



**FY 2006 Urban Areas Security Initiative (UASI) Award
for the New York Area**

New York Area FY 2006 UASI Award \$ 124,450,000

Risk: The New York Area was among the top 25% of all Urban Areas based on the FY 2006 DHS comparative risk analysis

Effectiveness: New York Area’s FY 2006 proposed solutions were rated among the bottom 25% of all Urban Areas by the peer review panels

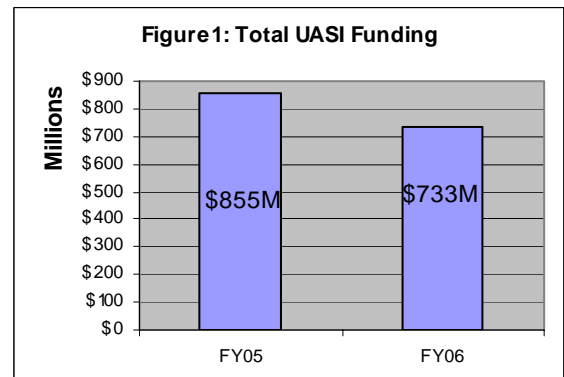
UASI Funding History for the New York Area

Since 9/11, the New York Area has received the following funding through the UASI program:

FY 2005	\$ 207,563,211
FY 2004	\$ 46,729,722
FY 2003	\$ 149,768,000
FY 2003 – FY 2005 TOTAL	\$ 404,060,933

Comparing the New York Area’s FY 2005 and FY 2006 UASI Awards

The appropriated funding for the overall UASI program decreased by more than 14 percent from FY 2005 to FY 2006, as illustrated in Figure 1. The table below provides a comparison of UASI award information for the New York Area in FY 2005 and FY 2006. The table includes the amounts awarded to the New York Area through the program in FY 2005 and FY 2006, and the award amounts as a percentage of the total available UASI funds. In addition, the table also provides an illustrative example of what the New York Area’s FY 2005 UASI funding would have been using the same allocation methodology used last year with the total funds available in FY 2006. While this figure is to be used only for comparison purposes, it provides a useful basis for comparing awards received in different fiscal years with different total UASI program funding amounts.



	FY 2005	FY 2006	Difference From FY 2005 to FY 2006
New York Area UASI Award Amount	\$ 207,563,211	\$ 124,450,000	(\$ 83,113,211)
Comparable FY 2005 UASI Award in FY 2006 Dollars	\$ 177,783,142		(\$ 53,333,142)
UASI Award as Percentage of Total UASI Funding Available	25.01%	17.50%	(7.51%)

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Summary of the FY 2006 Homeland Security Grant Program (HSGP) Risk Analysis for the New York City Area

Overview

As part of this risk-based approach to preparedness, DHS' Fiscal Year 2006 (FY06) risk methodology represents a major step forward in the analysis of the risk of terrorism, resulting in the most accurate estimation to-date of the relative risk faced by our Nation's communities. In response to State and local partner feedback, the FY06 methodology incorporates a number of significant enhancements over previous years' analyses, including:

- Incorporation of strategic threat analysis from the Intelligence Community
- Improved attribution of threat and law enforcement activity data
- Greater depth and breadth in critical infrastructure and key asset data
- Inclusion of populated areas outside official city limits to encourage regionalization
- Incorporation of transient populations, such as tourists and commuters

DHS defines risk by three principal variables: *threat*, or the likelihood of a type of attack that might be attempted, *vulnerability*, or the likelihood that an attacker would succeed with a particular attack type, and *consequence*, or the potential impact of a particular attack.

The risk model used to allocate HSGP funds includes both asset-based and geographically-based terrorist risk calculations. DHS combines these complementary risk calculations to produce an estimate of the relative risk of terrorism faced by a given area.

Asset-based risk – The asset-based approach uses strategic threat estimates from the Intelligence Community of an adversary's intent and capability to attack different types of assets (such as chemical plants, stadiums, and commercial airports) using different attack methods. DHS analyzes the vulnerability of each asset type relative to each attack method to determine the form of attack most likely to be successful.

Additionally, DHS estimates the consequences that successful attacks would have on each asset type, including human health, economic, strategic mission, and psychological impacts. This analysis yields a relative risk estimate for each asset type, which DHS applies to a given geographic area, based on the number of each asset type present within that area.

Geographically-based risk – The geographic-based approach allows DHS to consider general characteristics of a geographic area mostly independent of the assets that exist within that area. First, DHS evaluates reported threats, law enforcement activity (using Federal Bureau of Investigation and Immigration and Customs Enforcement terrorism case data), and suspicious incidents reported during the evaluation period. Next, DHS considers vulnerability factors for each geographic area, such as the area's proximity to international borders.

Lastly, DHS estimates the potential consequences of an attack on that area, including human health (e.g., population, population density, transient populations), economy (e.g., percentage of Gross Domestic Product, total agriculture sales, international cargo value), strategic mission (e.g., defense industrial base), and psychological impacts.

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New York City Area Results

- In evaluating the relative risk to the New York City Area, DHS looked at data for the cities of New York City and Yonkers, and a ten mile buffer extending from the limits of those cities. DHS then evaluated both the risk to individual assets residing within that combined area, and the risk to the geographic area itself, the sum of which placed the Urban Area into the top 25%, top 50%, bottom 50%, or bottom 25% of the 46 eligible Urban Areas.
- A total of 6,964 assets in ten critical infrastructure sectors met the criteria for consideration in the analysis; for the New York City Area, the largest concentration of these was Commercial Assets. When the asset-based risk analysis was applied to these assets, the New York City Area fell in the top 25% of the eligible Urban Areas, meaning that the risk associated with individual assets in the New York City Area was higher than at least three-quarters of the eligible Urban Areas.
- In the geographic-based risk analysis, the New York City Area fell in the top 25% of the eligible Urban Areas, indicating that it had a higher level of risk associated with reported threat and investigative activity, resident and visitor populations, and other geographic criteria than at least three-quarters of the eligible Urban Areas.
- When the asset-based and geographic-based risk data for the New York City Area was aggregated, it placed it in the top 25% of all eligible Urban Areas.
- Based on the DHS comparative risk analysis, the New York City Area placed in the top 35 areas.

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NEW YORK CITY AREA

URBAN AREA TOTAL RISK = Top 25%

Considered together, the sum of the numeric asset-based and geographically-based risk values provides a calculation of the total risk to the Urban Area, with the top 25% corresponding to those Urban Areas that were considered to be at a higher level of risk than at least three-quarters of the 46 eligible Urban Areas considered in the DHS comparative risk analysis. The bottom 25% corresponds to those Urban Areas that were considered to be at a lower level of risk than at least three-quarters of the 46 eligible Urban Areas considered in the DHS comparative risk analysis.

URBAN AREA ASSET RISK = Top 25%

Asset risk is the numerical value that is the product of consequence, vulnerability, and threat associated with a specific asset. Asset risk is calculated for each unique asset, as well as being summed for all assets associated with a specific candidate in a given grant to determine candidate asset risk. The Asset-based Risk percentage indicates the relative risk to assets for the Urban Area based on the results of the risk analysis.

ASSET INFORMATION	COUNT
BANKING AND FINANCE	4
CHEMICAL AND HAZARDOUS MATERIALS INDUSTRY	28
COMMERCIAL ASSETS	4,048
DAMS	0
ENERGY	111
HEALTHCARE AND PUBLIC HEALTH	123
NATIONAL MONUMENTS AND ICONS	0
NUCLEAR FACILITIES	2
POSTAL AND SHIPPING	798
TELECOMMUNICATIONS	193
TRANSPORTATION	1,614
WATER	43
Total Assets	6,964

URBAN AREA GEOGRAPHIC RISK = Top 25%

Geographic risk is the numerical value of the product of consequence, vulnerability, and threat associated with a specific candidate. Consequence, vulnerability, and threat scores rely on inherent attributes of the geographic candidate. The Geographic-based Risk percentage indicates the relative risk to populations and geographic areas for the Urban Area based on the results of the risk analysis.

GEOGRAPHIC ATTRIBUTES		COUNT
Human Consequences	Population City - Commuter	16,776,771
	Population-City 10 Mile Buffer Zone Night Census	8,301,205
	Population-Visitor Urban Area	184,050 325.87
Mission Consequences	Defense Industrial Base Facilities	Classified
	Military Bases	6
Psychological Consequences	Special Events	4
Inherited Geographic Risk	Population-City Limit Census	8,301,205
	Sum of Port Population in City	6,002,729
	Average Daily Rail Ridership	5,519,241
Vulnerability	Port of Entry/Border Crossings Total Throughput	3,623,618
	Length of Nuclear WIPP route within city buffer	0.00
Threat	FBI Cases	Classified
	I-94 Visitors Countries of Interest Destination City	Classified
	Intelligence Community Reports	Classified
	Immigration and Customs Enforcement Cases	Classified
	Port of Entry/Border Crossings I-94 Countries of Interest	Classified
	Suspicious Incidents	Classified
	Vessels of Interest	Classified

ASSET KEY

There were 38 Urban Area Asset Types considered for the asset-based risk calculations. The asset types were grouped into twelve sectors which each have specific thresholds and criteria for inclusion in the calculations.

Sector	Asset Types
BANKING AND FINANCE	Financial Facilities (>\$8 billion)
CHEMICAL AND HAZARDOUS MATERIALS INDUSTRY	Chemical Manufacturing Facilities (DHS Tier 1, 2, 3)
COMMERCIAL ASSETS	Colleges and Universities, Convention Centers (>250,000 sq. ft.), Enclosed Shopping Malls (>100 stores), Hotel Casinos (>500 rooms & >1,000 empl./shift), Primary And Secondary Schools, Stadiums (Non University >35,000 seating capacity), Tall Commercial Buildings (>600 ft.), and Theme Parks (>1,000,000 visitors/yr.)
DAMS	Dams (USACOE "high hazard") and Levees
ENERGY	Electricity Generation Facilities (>500MW or 1,500 MW), Electricity Substations (>230 KV), LNG Terminals, Natural Gas Compressor Stations (>20 in.), Petroleum Pumping Stations (>20 in.), Petroleum Refineries. and Petroleum Storage Tank Farms (>1,000,000 barrels)
HEALTHCARE AND PUBLIC HEALTH	Hospitals and National Health Stockpile Sites
NATIONAL MONUMENTS AND ICONS	National Monuments and Icons
NUCLEAR FACILITIES	Non Power Nuclear Reactors, Nuclear Power Plants, and Nuclear Research Labs
POSTAL AND SHIPPING	Commercial Overnight Shipping Facilities
TELECOMMUNICATIONS	Telcomm-Telephone Hotels (>5 exchanges) and Trans Oceanic Cable Landings (>250 MHz)
TRANSPORTATION	Commercial Airports, Ferry Terminals - Buildings, Maritime Port Facilities, Mass Transit Commuter Rail and Subway Stations, Railroad Bridges, Railroad Passenger Stations, Railroad Tunnels, Road Commuter Tunnels, and Road Bridges (>100,000 vehicles/day)
WATER	Potable Water Treatment Facilities >3,300 customers)

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Summary of the FY 2006 Homeland Security Grant Program (HSGP) Effectiveness Analysis for the New York City Area

Overview

For the FY 2006 HSGP, DHS employed a peer review process to evaluate the anticipated effectiveness of the proposed solutions in grant applications to address identified needs. Over 100 reviewers representing 48 States and Territories, 38 Urban Areas, and two Federal agencies participated in the review process. The outcome of this process was a set of objective, consistent, and defensible effectiveness scores for the overall submission and for each individual Investment.

The overall submission was evaluated on the following criteria:

- **Relevance to Interim National Preparedness Goal Implementation** – The extent to which the overall submission shows alignment with National Priorities, Target Capabilities, Program and Capability Enhancement Plan Initiatives, and goals and objectives from the State/Urban Area Homeland Security Strategies, as well as the extent to which the proposed Investments as a whole will help the Nation to be more prepared.
- **Connection to the Enhancement Plan** – The extent to which the overall submission relates back to the Program and Capability Enhancement Plan to show that the applicant is committed to addressing its priority needs.
- **Complete Picture** – The extent to which the individual Investments relate to each other to portray a complete picture of plans for the homeland security program.
- **Innovativeness** – The extent to which solutions presented in the Investment were the result of thoughtful planning, consideration, and creativity.
- **Feasibility and Reasonableness** – The extent to which solutions presented in the overall submission can be implemented and are appropriately scoped given the planned level of effort, and the extent to which the budget request aligns with the size and scope of the proposed Investments.

The individual Investments were evaluated on the following criteria:

- **Relevance** – The relationship of the Investment to the tenets of the Interim National Preparedness Goal. Relevance is gauged through the Investment's connection to the National Priorities, Target Capabilities List, State/Urban Area Homeland Security Strategy goals and objectives, and Initiatives from the Program and Capability Enhancement Plan.
- **Regionalization** – The ability to communicate, plan, and collaborate across disciplines and jurisdictions to leverage scarce resources for common solutions. Regionalization encourages States and Urban Areas to coordinate preparedness activities more effectively within and across jurisdictional boundaries by spreading costs, pooling resources, sharing risk, and increasing the value of their preparedness Investments through collaborative efforts.
- **Impact** - The effect that implementing (or not implementing) an Investment has on risk. Impact addresses the effect that the Investment will have on addressing threats, vulnerabilities, and/or consequences of catastrophic events that applicants might face.

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- **Sustainability** – The ability to sustain a target capability once the benefits of an Investment are achieved through identification of funding sources that can be used beyond the current grant period.
- **Implementation Approach** – Demonstration that the appropriate people, resources, and tools are (or will be) in place to manage the Investment, address priorities, and deliver results through appropriate expenditure of any funding received.

New York City Area Results

The peer review panel evaluated the New York City Area's overall submission and individual Investments based on the aforementioned criteria. For every Investment submitted, the panel members reviewed and scored the responses provided for each question. These scores were then averaged to compute a score for each individual Investment. The individual Investment scores were averaged to produce an average Investment score. The peer review panel also determined the overall submission score based on their review of the entire application. The average Investment score was combined with the overall submission score to determine the final effectiveness score.

Below are the summary results based on the peer review panel's evaluation of the New York City Area's submission. Several types of information are provided: the Urban Area's performance relative to all other submissions based on the total effectiveness score and specific results of peer reviewer evaluation of the Urban Area's submission. With the exception of the total effectiveness score, the ratings included in the summary sheet do not reflect results relative to other applicants. They are based on the peer reviewers' independent evaluation of the Urban Area's submission based upon the prescribed criteria.

In June 2006, DHS will provide feedback and recommendations from the peer review panels on this submission.

- The New York City Area's submission for the FY 2006 HSGP is in the bottom 25% of all Urban Area submissions.
- As presented in the Investment Summary table on the following page, the New York City Area submitted a total of 15 Investments. The peer review panel considered *OEM Citizen Preparedness and Public Outreach* to be the strongest Investment, and considered *FDNY Critical Resource Logistics and Grant Program Management* to be the Investment most in need of improvement.
- As presented in the Overall Submission table, the peer review panel considered the New York City Area's overall submission to be above average in Connection to the Enhancement Plan, and average in Relevance to Goal Implementation, Complete Picture, Innovativeness, and Feasibility and Reasonableness.
- The Investment Detail table provides a breakdown of Investment performance by category to aid the New York City Area in identifying areas of strength as well as areas needing improvement.

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Investment Justification Special Conditions

The bottom 15% of all Urban Area Investments, as scored through the peer review process, will have a special condition governing the drawdown of funds associated with these Investments included in the grant award. The following Investments proposed by the New York City Area scored among the bottom 15% of all 478 Urban Area Investments as determined through the Effectiveness Peer Review process.

- *Department of Health & Mental Hygiene: Enhance Public Health Response Capacity*
- *New York City Health and Hospitals Corporation: Public Hospital Preparedness & NIMS Training*
- *FDNY Critical Infrastructure Protection and Recovery*
- *NYPD Counter-Terrorism Equipment and Training*
- *FDNY Strategic Management and Planning*
- *Department of Environmental Protection: Critical Infrastructure Protection & HazMat*
- *NYPD Counter-Terrorism Bureau and Operation Atlas*
- *FDNY Critical Resource Logistics and Grant Program Management*

A special condition will be included in the grant award prohibiting the drawdown of funds against these Investments until they have been approved through DHS. Information in the effectiveness summary sheet as well as feedback from the peer review panels, to be provided under separate cover, should be utilized as a tool to update the Investments.

NEW YORK CITY AREA
URBAN AREA TOTAL EFFECTIVENESS = Bottom 25%

Investment Summary	
<i>This table ranks the Investments that were included in the FY 2006 HSGP submission according to evaluation results, from those that were strongest to those most needing improvement. Additional details regarding Investment evaluation results are provided below in the Investment Detail table.</i>	
Investment Name	Rank
OEM Citizen Preparedness and Public Outreach	1
FDNY Tiered Response Matrix for Response to CBRNE and Other Disasters	2
FDNY Protect the Waterfront	3
Interoperable Communications	4
NIMS and National Response Plan	5
Lower Manhattan Security Initiative	6
DOT East River Hazard Mitigation Program	7
Enhance Public Health Response Capacity	8
NYCHHC Public Hospital Preparedness and NIMS Training	9
FDNY Critical Infrastructure Protection and Recovery	10
NYPD Counter-Terrorism Equipment and Training	11
FDNY Strategic Management and Planning	12
Dept of Env. Prot. Critical Infrastructure Protection and HazMat	13
NYPD Counterterrorism Bureau and Operation Atlas	14
FDNY Critical Resource Logistics and Grant Program Management	15

Overall Submission				
<i>This table summarizes the evaluation results of the FY 2006 HSGP submission as a whole. Five categories were used in this overall evaluation.</i>				
I. Relevance to Goal Implementation	II. Connection to the Enhancement Plan	III. Complete Picture	IV. Innovativeness	V. Feasibility and Reasonableness

Legend				
Needs Improvement	Below Average	Average	Above Average	Excellent

Investment Detail					
<i>This table details individual Investment evaluation results, broken down into five categories, to aid applicants in identifying areas of strength and areas needing improvement.</i>					
Investment Name	I. Relevance	II. Regionalization	III. Impact	IV. Sustainability	V. Implementation Approach
OEM Citizen Preparedness and Public Outreach					
FDNY Tiered Response Matrix for Response to CBRNE and Other Disasters					
FDNY Protect the Waterfront					
Interoperable Communications					
NIMS and National Response Plan					
Lower Manhattan Security Initiative					
DOT East River Hazard Mitigation Program					
Enhance Public Health Response Capacity					
NYCHHC Public Hospital Preparedness and NIMS Training					
FDNY Critical Infrastructure Protection and Recovery					
NYPD Counter-Terrorism Equipment and Training					
FDNY Strategic Management and Planning					
Dept of Env. Prot. Critical Infrastructure Protection and HazMat					
NYPD Counterterrorism Bureau and Operation Atlas					
FDNY Critical Resource Logistics and Grant Program Management					