



HOMELAND SECURITY EXERCISE AND EVALUATION PROGRAM

Volume I: Overview and Doctrine

U.S. Department of Homeland Security

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HOMELAND SECURITY
EXERCISE AND EVALUATION PROGRAM
VOLUME I: OVERVIEW AND DOCTRINE

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PREFACE

In 1998, Congress expressed concern about the potentially catastrophic effects of a chemical or biological terrorist attack and authorized the Attorney General to assist state and local public safety personnel in acquiring the specialized training, equipment, exercises, and technical assistance necessary to safely respond to terrorist incidents involving weapons of mass destruction (WMD). The Attorney General delegated authority to the Office of Justice Programs, which established the Office for Domestic Preparedness (ODP) to develop and implement a national State Homeland Security Strategy (SHSS). The Homeland Security Act of 2002 transferred ODP from the Department of Justice to the new Department of Homeland Security (DHS).

While effective approaches to planning, training, and exercises have been developed to mitigate the effects of natural and manmade disasters, state and local personnel must prepare to prevent and respond to new threats to public safety from terrorism involving the use of chemical, biological, radiological, nuclear, and explosive (CBRNE) weapons. Homeland security professionals at all levels of government and in all types of communities must be equipped with the knowledge, skills, and resources needed to identify, prevent, respond to, and recover from the new weapons and delivery methods being developed by terrorist organizations. ODP has designed its programs to address the delta between the “all hazards” emergency response requirements needed for natural disasters and the specialized requirements related to terrorism.

Under the State Homeland Security Grant Program (SHSGP), the states, territories, and the District of Columbia have conducted risk and needs assessments and developed Statewide Domestic Preparedness Strategies. ODP provides grant funds and direct support to help address the equipment, training, exercise, and technical assistance needs identified in the strategies. ODP also provides similar assistance directly to selected large metropolitan areas, and designs and conducts national, regional, and special security event exercises to address multi-jurisdictional and multi-agency terrorism preparedness needs.

ODP is pleased to present the Homeland Security Exercise and Evaluation Program—Volume I: Overview and Doctrine, which describes ODP’s exercise program, exercise doctrine, and program implementation. This document is the first in a series of Homeland Security Exercise and Evaluation Program (HSEEP) resources that will include an exercise manual and toolkit to help states and local jurisdictions to establish terrorism exercise programs, and to design, develop, conduct, and evaluate effective exercises that will enhance homeland security. The HSEEP will include the following documents:

Volume I Program Overview and Doctrine

Volume II Exercise Evaluation and Improvement

Volume III Exercise Development Manual

Volume IV Sample Exercise Documents and Formats

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INTRODUCTION

We will strive to create a fully integrated national emergency response system that is adaptable enough to deal with any terrorist attack, no matter how unlikely or catastrophic...Our federal, state, and local governments would ensure that all response personnel and organizations—including the law enforcement, military, emergency response, health care, public works, and environmental communities—are properly equipped, trained, and exercised to respond to all terrorist threats and attacks in the United States.

—National Strategy for Homeland Security, July 2002

In response to the 1995 bombing of the Murrah Federal Building in Oklahoma City, Congress directed the Department of Justice (DOJ), Office of Justice Programs (OJP) to develop and administer a program to enhance the capacity of states and local jurisdictions to prevent or respond to terrorist incidents involving the use of weapons of mass destruction (WMD). Weapons of Mass Destruction include chemical and biological agents and radiological, nuclear, and explosive devices (CBRNE). The Office for Domestic Preparedness (ODP) was established within the Office of Justice Programs in 1998, to develop and administer a national State Homeland Security Strategy (SHSS).¹

The Homeland Security Act of 2002 transferred ODP from DOJ to the Department of Homeland Security (DHS) and assigned it “the primary

responsibility within the executive branch of government to build and sustain the preparedness of the United States to reduce vulnerabilities, prevent, respond to, and recover from acts of terrorism.” While ODP has been at the forefront of homeland security preparedness since 1998, the assignment of expanded responsibilities broadens its constituency from an exclusively state and local focus to now include federal departments and agencies, tribal governments, the private sector and international entities. In addition to continuing its priority of direct and specific support to state and local homeland security professionals, ODP will now also provide general all-purpose support to all levels of government within the homeland security arena.

ODP’s definition of homeland security preparedness, presented below, acknowledges the nature and unique characteristics of the terrorism threat and equates preparedness to performance.

Homeland Security Preparedness is a comprehensive national program encompassing all homeland security systems involved in the planning of

¹The terms “domestic preparedness” and “homeland security” are used interchangeably in this manual. The National Strategy for Homeland Security defines homeland security as: “a concerted national effort to prevent terrorist attacks within the United States, reduce America’s vulnerability to terrorism, and minimize the damage and recover from attacks that do occur.”

organizational, operational, and technical measures designed to achieve full and sustainable performance to prevent, disrupt, or deter threats or acts of terrorism; reduce vulnerabilities; mitigate the effects of acts of terrorism; respond to threats and acts of terrorism; and perform effective remediation and recovery efforts from terrorist attacks throughout the entire threat spectrum, including terrorist use of chemical, biological, radiological, nuclear, and explosive weapons of mass destruction (CBRNE WMD).

The programs administered by ODP support Congressional mandates and implementation of the strategic objectives defined in the President's National Strategy for Homeland Security, which are to: prevent terrorist attacks within the United States, reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur. ODP's Homeland Security Exercise and Evaluation Program (HSEEP), defined with supporting doctrine in this document, is an essential element of this national program. Since the HSEEP is a part of a larger program to enhance the capacity of state and local governments to prevent and respond to terrorist attacks, it is important to understand the scope of the entire program and the role of HSEEP.

ODP's mission to develop and implement a national program to enhance the capacity of state and local governments to prevent and respond to terrorism is achieved through a fully integrated program of assistance to state and local homeland security professionals.² The pro-

gram includes funds to purchase specialized equipment, a robust training program, technical assistance, and exercise support. In addition, ODP designs and implements national level programs that support state and local preparedness efforts and facilitate coordination and cooperation among federal, state and local response agencies. The national level programs include the TOPOFF National Exercise Series, the Prepositioned Equipment Program, and support to National Security Special Events. Additional programs will be designed to implement ODP's broader mission and address the needs of DHS's expanded constituency groups.

The State Homeland Security Strategies developed by the states, based on threat, vulnerability, and needs assessments, provide the blueprint for the implementation of ODP's State Homeland Security Program. ODP provides assistance directly to some local governments under a program designed to build response capacity in the country's largest metropolitan areas. ODP assistance is directed to the full range of homeland security professionals at the state and local levels, which include elected officials, firefighters, emergency medical services, emergency management agencies, law enforcement, HazMat, public health, public works, health and hospitals, and emergency communications. This document is the first in a series of HSEEP documents that will be provided to assist state and local governments in assessing their level of preparedness through effective exercises. Chapter One of this document provides an overview of ODP's Homeland Security Program. Chapter Two defines the HSEEP, the HSEEP doctrine, and roles and responsibilities. Chapter Three defines the various types of exercises, and Chapter Four provides an overview of the exercise planning process and initiatives.

²Homeland Security Professional is used throughout the HSEEP documents to include individuals at the local, state, and federal levels engaged in the prevention of and/or response to terrorist attacks. They include individuals from the following disciplines: 1) elected officials, 2) firefighters, 3) emergency medical services, 4) emergency management, 5) law enforcement, 6) HazMat, 7) public health, 8) public works, 9) health and hospitals, and 10) emergency communications.

CHAPTER I

HOMELAND SECURITY PROGRAM

Past experience has shown that preparedness efforts are key to providing an effective response to major terrorist incidents and natural disasters. Therefore, we need a comprehensive national system to bring together and command all necessary response assets quickly and effectively. We must equip, train, and exercise many different response units to mobilize for any emergency without warning.

—National Strategy for Homeland Security, July 2002

The Office for Domestic Preparedness (ODP) implements programs designed to enhance the preparedness of local, state, and federal governments and agencies to effectively prevent, respond to, and recover from major terrorist incidents. ODP's programs are designed to equip, train, and exercise homeland security professionals who may be called upon to prevent or respond to a terrorist attack using chemical, biological, radiological, nuclear, or explosives (CBRNE) weapons. These programs, which are described in this chapter, consist of a state formula grant program, direct assistance to local jurisdictions, and national and regional scope activities.

State Homeland Security Grant Program

ODP provides formula grant funds under the State Homeland Security Grant Program to the 50 States, the District of Columbia, and the United States Territories (hereafter referenced as the states). The funds are awarded to a State Administrative Agency (SAA), designated by the

Governor, and are sub-awarded to state agencies and local governments for implementation. The funds may be used for planning, purchasing equipment, supporting terrorism exercises, and training. The formula grant funds, as well as direct support from ODP for training, technical assistance and exercises, are allocated within each state in accordance with the State Homeland Security Strategy and State Assistance Plan described below.

State Homeland Security Strategy

In order to implement a program that addresses state and local needs, states were required to conduct vulnerability, risk, and needs assessments and to develop a State Homeland Security Strategy. The assessments were conducted at the state and local levels using an *Assessment and Strategy Development Toolkit* developed by ODP in cooperation with the Federal Bureau of Investigation (FBI) and the Centers for Disease Control and Prevention (CDC). The strategy defines the state's domestic preparedness goals;

equipment, training, exercise, and technical assistance needs; and its implementation strategy. The states will update the local assessments and the State Strategy by the end of 2003. The enhanced assessment tool includes an agricultural vulnerability assessment process developed in conjunction with the Department of Agriculture.

Many states have adopted a regional approach for the distribution and sharing of resources. Some states purchased equipment at the state level for distribution to local jurisdictions rather than awarding grant funds for equipment to be purchased locally. Many mutual aid agreements and emergency management assistance compacts have been executed and coordination and cooperation has been enhanced among homeland security professionals at different levels of government (local, state, and federal) and across disciplines. Analysis of the strategies has provided ODP with a comprehensive picture of equipment, training, exercise, and technical assistance needs across the Nation.

State Assistance Plans

Following the review of the Statewide Strategies, ODP developed a tailored State Assistance Plan (SAP) for each state to address needs identified in the state's strategy. It defines the resources available to the state under the formula grant program, an allocation of training slots or course offerings available from ODP's training program, an allocation of direct exercise support, and technical assistance. The types of resources available to the states are described below:

Equipment

The list of authorized equipment that can be purchased with grant funds was expanded in FY 2003 to include the following types of equipment:

- ◆ Personal protective equipment (PPE)
- ◆ Explosive device mitigation and remediation equipment
- ◆ CBRNE search and rescue equipment

- ◆ Interoperable communications equipment
- ◆ Detection equipment
- ◆ Decontamination equipment
- ◆ Physical security enhancement equipment
- ◆ Terrorism incident prevention equipment
- ◆ CBRNE logistical support equipment
- ◆ CBRNE incident response vehicles
- ◆ Medical supplies and limited types of pharmaceuticals
- ◆ CBRNE reference materials

Training

ODP offers more than 30 specialized courses that range from basic awareness and operations training to advanced, hands-on technical and command courses. Courses are delivered both on site by mobile training teams and at state-of-the-art training facilities. All ODP-sponsored training delivered under the State Strategy and SAP is scheduled through the SAA's Training Point of Contact. The following is a sampling of the specialized training offered to state and local homeland security professionals to address the needs identified in the state strategies:

- ◆ Hands-on training in the management and remediation of WMD incidents using live chemical agents at ODP's Center for Domestic Preparedness in Anniston, Alabama, one of the nation's premier facilities for training first responders
- ◆ Live explosives training at the New Mexico Institute of Mining and Technology
- ◆ Radiological and nuclear agents training using live radiation sources at the U.S. Department of Energy's Nevada Test Site
- ◆ Advanced emergency medical training on treating victims exposed to certain biological and chemical agents using computer-operated human patient simulators, that mimic the signs and symptoms of

exposure, at the National Emergency Response and Rescue Training Center, Texas A&M University

- ◆ Operations-level training for fire, HAZMAT, law enforcement, and emergency medical services offered through the International Association of Firefighters
- ◆ Detection, prevention, and response training on bioterrorism at the National Center for Bio-Medical Research and Training at Louisiana State University

For information on the full range of ODP-sponsored training or to obtain a copy of the ODP Weapons of Mass Destruction Training Programs Course Catalog, contact ODP's Helpline at (800) 368-6498, or visit ODP's website at www.ojp.usdoj.gov/odp.

In addition to accessing specialized and advanced training from ODP-sponsored training centers and providers, beginning in FY 2003, states receive a training allocation as part of their grant award. The funds may be used to establish CBRNE terrorism training capabilities within existing training academies, universities, or junior colleges. The goal is to enhance the capabilities of state and local homeland security professionals through the development of state homeland security training programs that institutionalize awareness-level training within the state.

Technical Assistance

States may request technical assistance to address issues identified during the strategy development and implementation process that are not addressed through the resources listed above. Technical assistance may include information resources, such as models, templates, and samples; onsite problem solving through facilitated workshops; and site-specific training.

Exercises

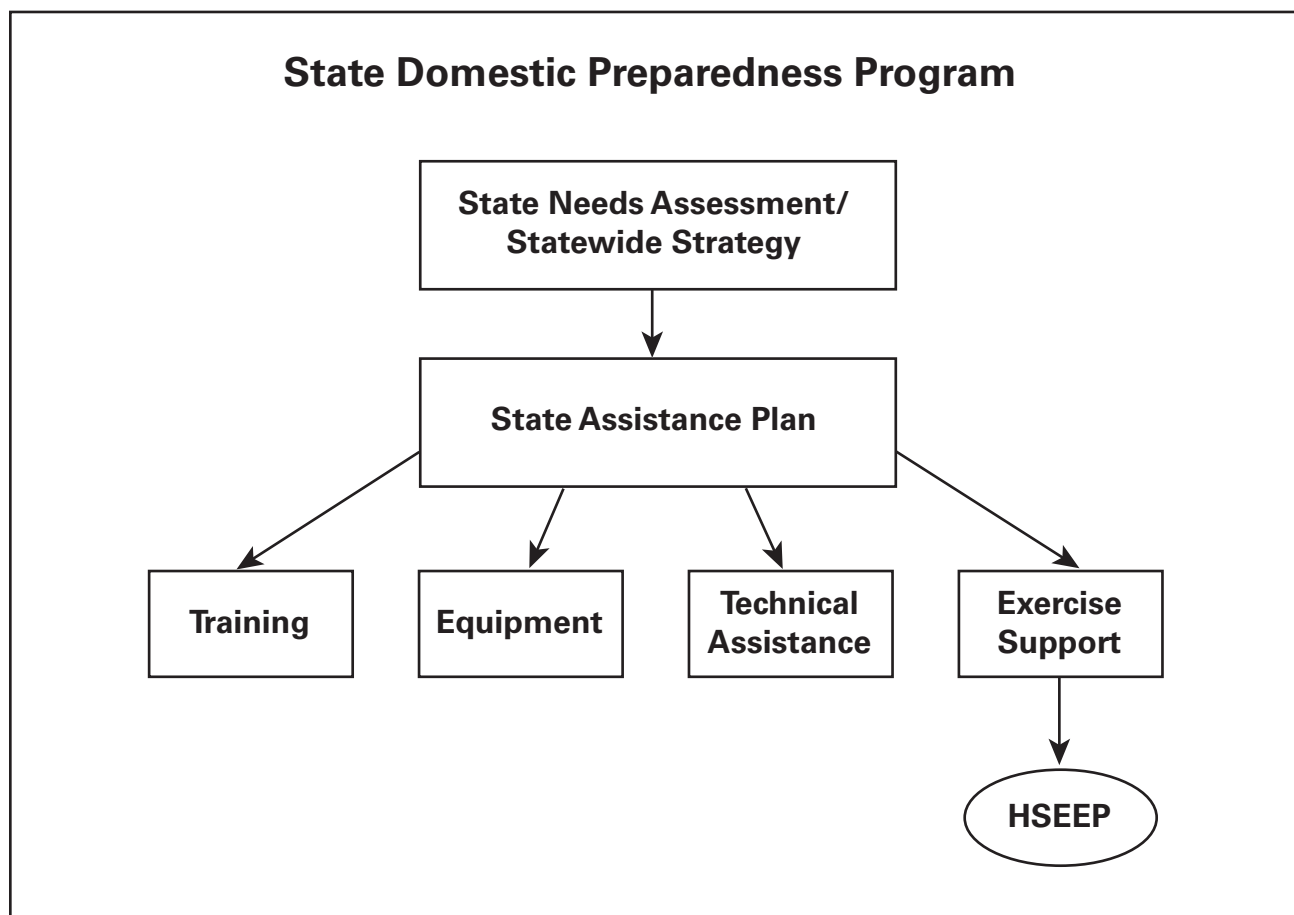
ODP provides funds for exercises to the states as part of their formula grant award. These funds may be used for the following purposes:

- ◆ Expenses related to convening a statewide exercise planning workshop
- ◆ Hiring of full- or part-time staff or contractors/consultants to support exercise activities
- ◆ Overtime for first response/exercise management personnel involved in the planning and conducting of exercises
- ◆ Travel associated with planning and conducting exercises
- ◆ Supplies consumed during the course of planning and conducting exercises
- ◆ Costs related to implementation of the HSEEP to include the reporting of scheduled exercises, and the tracking and reporting of After Action Reports and Corrective Action Plans from exercises
- ◆ Other costs related to the planning and conducting of exercise activities

In addition to grant funds, ODP offers states direct exercise support that is tailored to their needs. This direct support may include assistance with establishing their terrorism exercise program and/or assisting with the design and conduct of specific exercises. States are encouraged to develop a State Homeland Security Exercise and Evaluation Plan that defines exercise goals, establishes a cycle of exercises, and sets priorities for conduct of exercises within the state. All exercises implemented under the State Strategy are coordinated through the SAA's Exercise Point of Contact. Updated information on the SAA's Exercise Points of Contact and the ODP Exercise Managers is available by calling the ODP Helpline at 800-368-6498.

Local Domestic Preparedness Program

The Nunn-Lugar-Domenici Domestic Preparedness Program (NLD-DPP) provides train-



ing, exercises, and equipment support to enhance the capacity of local homeland security professionals and agencies to respond to terrorist incidents involving weapons of mass destruction.

In 1997, the Department of Defense (DoD) initiated the NLD-DPP by identifying 120 of the nation's most populous cities for participation in the program. On October 1, 2000, the President transferred program responsibility to the Department of Justice (DOJ), Office of Justice Programs (OJP), Office for Domestic Preparedness (ODP). Prior to the program's transfer, DoD completed delivery of all program elements to 68 of the 120 cities and initiated, but did not complete, activities in 37 of those cities. ODP is delivering the remaining activities to those 37 cities, as well as providing a com-

plete program of assistance to each of the 15 remaining cities not initiated by DoD.

ODP combined its extensive experience working with state and local entities with lessons learned from the DoD-administered NLD-DPP to develop an updated and robust program targeting the unique needs of each city. Under ODP administration, the NLD-DPP combines specialized training assets with jurisdiction-specific assessments, allowing each city to tailor the program to meet its own individual training, exercise, and equipment needs. All NLD activities are expected to be completed in early 2004, at which time all ODP support activities will be provided through each state's SAA.

Training

Training available to NLD-ODP participating cities includes a range of specialized courses, from basic awareness to discipline-specific advanced-level training. Training is directed at a broad spectrum of homeland security professionals from a variety of response disciplines. Most courses are brought directly to participating cities by the National Domestic Preparedness Consortium (NDPC) and other ODP training partners. Additional advanced level courses involving the use of real-time experiences, live agents, and explosives are taught at cutting-edge training facilities such as the Center for Domestic Preparedness, Nevada Test Site, and the New Mexico Institute of Mining and Technology.

Exercises

Under the NLD-DPP, ODP also supports the planning and conduct of three exercises for each participating community: a chemical weapons tabletop, a biological weapons tabletop, and a chemical weapons full-scale exercise. The facilitated, multi-media tabletop exercises give local government decision-makers and homeland security professionals an opportunity to discuss inter-agency strategies for response to a chemical or biological terrorist event in their jurisdiction. The full-scale exercise provides an opportunity for local response agencies to test their plans and procedures in a real-time drill covering the first hours of response to a simulated chemical weapons incident. Both types of exercises allow participants to test their knowledge and training and increase the overall preparedness of homeland security professionals across the jurisdiction. The exercise design features threat-based scenarios identified through the city's threat assessment.

Equipment

Each participating city is eligible for a one-time grant of \$280,000 for the acquisition of training equipment related to WMD domestic prepared-

ness and response. The funds may be used to purchase personal protective and detection equipment. For NLD-DPP cities initiating activities under the ODP program (cities 106-120), an additional \$30,000 was provided to assist with program administration, support the collection of assessment data, and assist in the coordination and execution of program activities.

National Program

ODP also develops and manages several national-level programs that focus on the Federal Government's response and coordination of federal, state, and local resources to prevent and respond to terrorist attacks. Most of these programs involve the design and conduct of exercises that are much broader in scope than those described above and simulate a coordinated response by participants from a range of disciplines and multiple levels of government, including international participants.

Top Officials (TOPOFF) National Exercise Series

TOPOFF is a Congressionally mandated, national, biennial exercise series designed to assess the Nation's integrated crisis and consequence management capability against terrorist use of WMD. It examines national relationships among state, local, and federal jurisdictions in response to a challenging series of integrated, geographically dispersed terrorist WMD threats and acts. Participation in TOPOFF is by application and subsequent invitation. The exercise design, planning, conduct, and evaluation are managed by ODP. The exercise series is typically co-directed by ODP and other Federal agencies or departments. TOPOFF 2000 was co-directed by ODP and the Federal Emergency Management Agency. TOPOFF 2, scheduled for completion in May 2003, is co-directed by ODP and the Department of State.

National Security Special Events Exercises

The Federal Government designates certain events as requiring special security because of their high visibility and potential attractiveness to threat elements. ODP provides exercise design, planning, conduct, and evaluation support to the preparations for designated events, such as the 2002 Winter Olympics in Salt Lake City. These exercises provide a forum to practice the coordination and response to specific challenges that could arise if a terrorist incident occurred during the event.

Federal, State, and Local Exercises

ODP's Federal, State, and Local (FSL) Exercises focus on regional coordination and bridge the gap between national TOPOFF exercises and state and local homeland security exercises. They accomplish this by examining response to CBRNE incidents that result in regional impacts. Regional-level federal officials, states, local juris-

dictions, and industry are selected to participate based on a review of the various state needs assessments. Crosscutting issues of regional concern such as mutual aid agreements, emergency management assistance compacts, agriculture, food safety, and critical infrastructure are identified during these exercises to form the basis for multi-state exercises.

Prepositioned Equipment Program

The Prepositioned Equipment Program is designed to pre-position specialized CBRNE response equipment in strategic locations around the country. The equipment is in transportable form so that it can be made available to jurisdictions that need it. An interagency working group was established to study and make recommendations on the equipment cache configuration, the placement of the equipment pods, the training needed to sustain and maintain the equipment, and procedures for the deployment of the equipment.

CHAPTER 2

HOMELAND SECURITY EXERCISE AND EVALUATION PROGRAM

The growing threat of terrorist attacks on American soil, including the potential use of weapons of mass destruction, is placing great strains on our Nation's system for training its emergency response personnel. The Department of Homeland Security will...launch a consolidated and expanded training and evaluation system to meet the increasing demand. This system would be predicated on a four-phased approach: requirements, plans, training (and exercises), and assessments (comprising of evaluations and corrective action plans).

—National Strategy for Homeland Security, July 2002

Definition

The Homeland Security Exercise and Evaluation Program (HSEEP) is a program of financial and direct support designed to assist state and local governments with the development and implementation of a state exercise and evaluation program to assess and enhance domestic preparedness. Well designed and executed exercises are the most effective means of:

- ◆ Testing policies, plans, procedures
- ◆ Clarifying and training personnel in roles and responsibilities
- ◆ Improving interagency coordination and communications
- ◆ Identifying gaps in resources
- ◆ Improving individual performance
- ◆ Identifying opportunities for improvement

This document, *Homeland Security Exercise and Evaluation Program—Volume I: Overview and Doctrine*, provides the state and local homeland security community with:

- ◆ ODP's exercise and evaluation doctrine
- ◆ A uniform approach for exercise design, development, conduct, and evaluation
- ◆ An exercise design and implementation process

Subsequent volumes of the HSEEP manuals will provide additional guidance on the design, development, conduct and evaluation of exercises.

Homeland Security Exercise and Evaluation Program: Doctrine

ODP is committed to the implementation of a threat- and performance-based exercise program that includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction. Exercises will assess performance of homeland security tasks under specified conditions and against objectively verifiable performance standards based on an analytical review and will be followed by the strategic and operational application of results. ODP will develop a set of scenarios and exercise performance measures to assist states and local jurisdictions with implementation of an exercise program that meets this challenge. ODP requires that the following principles be used to guide the design and implementation of state and local terrorism exercise programs implemented with grant funds or ODP direct support:

- ◆ Each state has a comprehensive State Homeland Security Exercise and Evaluation Plan to implement the exercise and evaluation component of its State Homeland Security Strategy and State Assistance Plan.
- ◆ The State Homeland Security Exercise and Evaluation Plan employs a cycle of exercise activity that includes exercises of increasing levels of complexity.
- ◆ Exercises are designed to test performance as well as the adequacy of Homeland Security plans, policies, and procedures.
- ◆ The scenarios used in exercises are threat-based.
- ◆ Exercise scenarios are realistic and accurate, based on best available information.
- ◆ Exercises generally involve players from multiple disciplines to test interagency relationships and agreements.

- ◆ Where possible, exercises are intergovernmental, including local, state, and federal players.
- ◆ All tabletop, drill, functional, and full-scale exercises are evaluated.
- ◆ An After Action Report (AAR) is prepared following every tabletop, drill, functional, and full-scale exercise.
- ◆ A Corrective Action Plan is developed and implemented to address findings and recommendations identified in the AAR.
- ◆ The state reviews and updates its State Homeland Security Strategy, State Assistance Plan, and State Homeland Security Exercise and Evaluation Plan to address deficiencies identified through exercises.
- ◆ Lessons learned and best practices identified through exercises are shared with the homeland security community.
- ◆ Accurate financial records related to exercise costs are maintained.

State Homeland Security Exercise and Evaluation Plan

States and local jurisdictions receiving assistance under HSEEP should develop a comprehensive Homeland Security Exercise and Evaluation Plan to address the terrorism exercise requirements of the state and local jurisdictions consistent with their State Homeland Security Strategy and State Assistance Plan. The state HSEEP Plan should define exercise goals, establish a cycle of exercises, and set priorities for conduct of exercises within the state taking into account the terrorist threat and level of preparedness of the jurisdiction(s). States, in partnership with ODP, are required to conduct an annual Exercise Planning Workshop to bring together key state and local officials to establish priorities and expectations for exercise activities, to define how the exercise will be conducted and evalu-

ated, and to discuss how corrective actions will be addressed and tracked.

Cycle of Exercise Activity

The State Homeland Security Exercise and Evaluation Plan should define a cycle of exercise activity that has a range of activities with increasing degrees of complexity. Linkage to the State Strategy, relative risks, experience, and preparedness levels of the state and targeted jurisdictions will enable state planners, in partnership with ODP as required, to identify the appropriate exercise entry level and provide a foundation for subsequent participation in more complex events. The schedule for training of personnel and acquisition of equipment should also be considered in determining the exercise priorities. An effective exercise program uses a combination of types of exercises to effectively accomplish exercise-specific objectives and program goals. Although each exercise type can be executed as a single activity, greater benefit can be achieved through a building-block approach that exposes program participants to a graduated process of increasing levels of complexity.

The National Strategy for Homeland Security requires annual exercises. The strategy includes the following language: “The Department [of Homeland Security] would [will] establish a national exercise program designed to educate and evaluate civilian response personnel at all levels of government. It would require individuals and government bodies to complete successfully at least one exercise every year. The Department would [will] use these exercises to measure performance and allocate future resources.” The state exercise planning workshop provides a forum for state and local officials to discuss a timetable for implementation of this requirement, in conjunction with ODP exercise managers.

Test Performance and WMD Plans, Policies, and Procedures

Exercises conducted under the HSEEP with funds from ODP should be performance-based, requiring demonstration, practical application, and evaluation of proficiency for discrete, essential tasks that enable a homeland security mission or function to be successfully accomplished. Workshops and tabletop exercises provide a forum to review the adequacy of plans, policies, functional, and interagency/inter-jurisdictional agreements, whereas operational field exercises, such as drills, functional, and full-scale exercises, are designed to test performance of people and equipment in achieving critical tasks and homeland security missions.

Threat-Based Scenarios

Attacks by international and domestic terrorists demonstrate that no location is immune from attack. All exercises conducted with grant funds must focus on terrorism threats. The exercise scenario should be appropriate to national threat conditions, and the assessed terrorist threat for the jurisdiction(s) involved in the exercise. This will enhance the training value of the exercise and provide an opportunity to assess the jurisdiction’s vulnerability in light of the likely prevention or response actions. The exercise planners should review the jurisdiction’s threat assessment conducted as part of the State Strategy development process and develop an exercise scenario that is credible in terms of the means of attack, the target, and the likely opposing force. To assist state and local agencies, in 2003 ODP will begin to establish a common suite of scenarios that will provide the necessary conditions and stimulus to perform essential tasks, cover a range of threat probabilities, are comprehensive and exacting, are validated by intelligence and law enforcement, and are periodically reviewed and updated.

Realistic Scenarios

The scenario used in HSEEP exercises should be realistic and accurate. It should mimic the tactics of potential terrorists and accurately reflect the effects of the CBRNE threat. An unrealistic scenario may train players to respond inappropriately to real attacks, as well as create credibility problems for the exercise staff. Subject matter experts should be brought into the planning process to assist with realistic scenario development.

Multi-Disciplinary Exercises

Just as the prevention of and/or response to a terrorist attack will require the resources and expertise from various agencies throughout the local government structure and the community, the exercise should be designed to assess the prevention and/or response capacity of multiple public and private organizations and the effectiveness of interagency communication and cooperation.

Intergovernmental Exercises

Since a terrorist attack will elicit a response from state and federal agencies, the exercise should include players from these agencies or, at a minimum, simulated participation by them. Jurisdictions that would rely heavily on mutual aid assistance for response should also include players from agencies with whom they have agreements and compacts.

Evaluation

Exercises are evaluated practice activities and provide a process for continuous improvement. Evaluation is the cornerstone of exercises; it documents strengths and opportunities for improvement in a jurisdiction's preparedness, and is the first step in the improvement process. To meet the intent of Congress and the President's National Strategy for Homeland Security that investments in state and local preparedness result in demonstrable improvements in the

nation's ability to prevent and respond to terrorism incidents, ODP has established a comprehensive exercise evaluation program, described in Volume II of the HSEEP.

For seminars and workshops, the evaluation process is simple and generally takes the form of gathering participant feedback. An After Action Report is generally not produced. In a tabletop exercise, the act of conducting the exercise is much of the evaluation. Information is collected during the exercise on participants' discussion of the adequacy of existing plans, policies, procedures, and interagency coordination in achieving an effective response, and formatted in a Summary Report.

The evaluation methodology for operational field-type exercises (drills, functional, and full scale) analyzes performance at three levels:

- ◆ **Individual-level performance**—the response of individual players in an exercise.
- ◆ **Team/discipline/department-level performance**—the performance of a system or group of individuals, often as defined within the Incident Command structure (e.g., HAZMAT team, emergency operations center, etc.)
- ◆ **Community/mission-level performance**—the response of the community as a whole (e.g., across disciplines, jurisdictions, mutual aid) in achieving the expected mission outcomes.

After Action Reports

The After Action Report (AAR) is a crucial part of the feedback system that drives improvements to prevention and/or response systems and national preparedness. The AAR documents performance and captures the findings—strengths and areas for improvement—identified by exercise participants and/or exercise observers and evaluators. It provides a description of what happened, issues that need to be

addressed, and recommendations for corrective actions. An AAR should be prepared for each tabletop, game, drill, functional, and full-scale exercise conducted under the HSEEP and a Summary Report should be produced for workshops and seminars. The AARs and Summary Reports should be forwarded to ODP within 60 days of exercise completion.

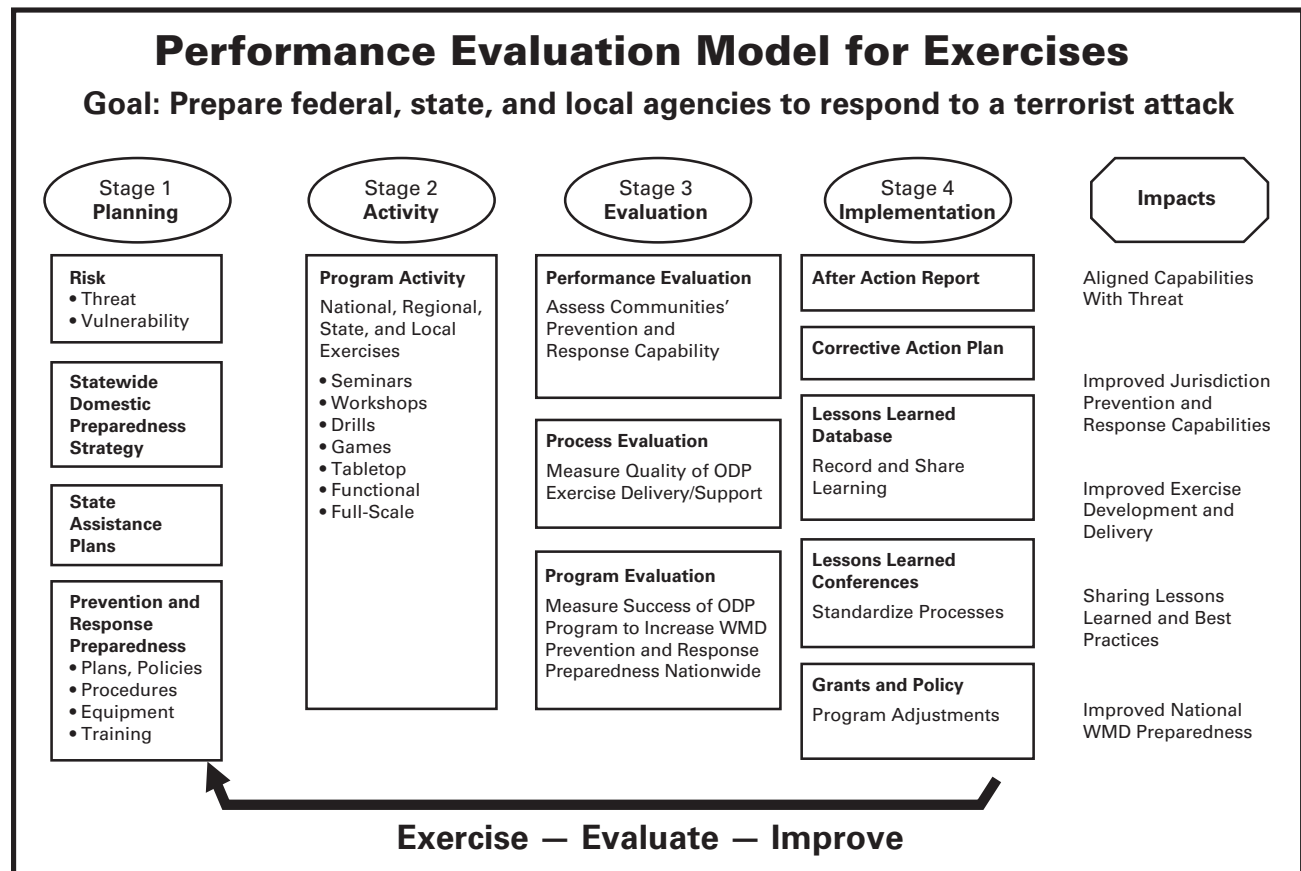
Corrective Action Plan

The exercises and the resultant AARs are the means to identify strengths and weaknesses and findings requiring corrective action to enhance preparedness. The single most critical step in the exercise process is the implementation of corrective actions, which may include: changes to plans, policies, or procedures; training; new or improved equipment; and enhanced interagency, interdisciplinary, and/or intergovernmental cooperation and coordination. A Corrective Action

Plan (CAP) should be developed to identify the actions that will be taken, the timelines, and the lead agency/individual responsible to address the recommendations presented in the AAR. A formal process should be developed to track the implementation of the actions identified in the CAP. Corrective actions from completed exercises should generally be implemented prior to scheduling additional exercises and should be tested in subsequent exercises. Volume II of the HSEEP manuals provides guidance on the implementation of the CAP.

Integration into Homeland Security Planning

Each state should review the exercise evaluation feedback and CAPs to assess progress on enhancing preparedness and incorporate the information into its planning process. This



process may identify the need for additional equipment, training, exercises, coordination, plans, and procedures that can be addressed through the State Homeland Security Strategy, State Assistance Plan, and/or State Homeland Security Exercise and Evaluation Plan.

Lessons Learned and Best Practices

Exercises and the resultant AARs provide lessons for the exercise participants, but also provide a valuable source of information that can be analyzed at the national level to identify lessons learned and best practices that can be shared to enhance preparedness across the country. Exercise AARs should identify lessons and highlight exemplary practices, and should be submitted to ODP for inclusion in the national database.

Financial Records

Accurate financial records of the costs associated with each exercise must be kept to facilitate the budgeting for future exercises.

Resources to Implement HSEEP

ODP provides a range of assistance under the HSEEP to assist state and local governments with implementation of effective exercises. The types of assistance are described below.

Grant Funds

Beginning in FY 2002, states receive an annual allocation of grant funds under the State Homeland Security Grant Program to enhance the prevention and response capabilities of states and local jurisdictions through terrorism exercises. The grant funds, which must be used in accordance with the State Strategy and the

State Assistance Plan, are described in more detail in Chapter I.

Direct Exercise Support

ODP has engaged multiple contractors with significant experience designing, conducting, and evaluating exercises to provide support to the states and local jurisdictions in accordance with the Statewide Strategies, State Assistance Plan, and State HSEEP. Contract support is available to assist states in developing a State Homeland Security Exercise and Evaluation Plan and to build or enhance the capacity of the states and local jurisdictions to design, develop, conduct, and evaluate effective terrorism prevention and response exercises. At the direction of the ODP Exercise Manager, the contractors will support exercise program implementation by: 1) assisting in exercise program establishment and administration, 2) designing, conducting, and evaluating a specified number of exercises, and/or 3) providing guidance and assistance to help the state with the implementation of needed exercises.

Homeland Security Exercise and Evaluation Program Manuals

A series of HSEEP manuals are being developed by ODP to guide the development of state terrorism exercise and evaluation programs and to assist state and local exercise planners with the design, development, conduct and evaluation of terrorism exercises. The HSEEP series is being issued based on current policy guidance and will be updated and enhanced as additional policy guidance is developed.

Exercise Toolkit

ODP is developing an Exercise Toolkit that will provide state and local exercise planners with an interactive computer-based tool to assist with the design, development, and execution of viable and effective exercises. The Toolkit will assist in

standardizing the methods used to plan and conduct exercises and evaluate results. The Toolkit will be delivered via a series of CD-ROMs and will include:

- ◆ The HSEEP manuals
- ◆ Sample scenarios
- ◆ ODP's Exercise Development Course
- ◆ An exercise builder program
- ◆ Reference library with sample exercise documentation and a virtual library of selected video and audio clips

Lessons Learned Database and Conferences

A Lessons Learned and Best Practices Network is being created to collect and disseminate lessons learned and best practices identified through terrorism exercises and incidents. The Network is administered by ODP's Memorial Institute for the Prevention of Terrorism (MIPT) in Oklahoma City. ODP has oversight over this effort and supports it as a means of sharing valuable information with and among state and local practitioners.

ODP also plans to sponsor periodic Lessons Learned and Best Practices Conferences to provide a forum to discuss field observations, identify common issues and innovative approaches, and analyze trends. The lessons learned will be used to improve program delivery and overall national preparedness.

Roles and Responsibilities

The following section defines the roles and responsibilities and the relationships between ODP and the State Administrative Agencies and local governments in the implementation of the HSEEP.

Office for Domestic Preparedness

The Office for Domestic Preparedness (ODP) is responsible for assisting state and local governments to enhance their capacity to prevent and respond to terrorist attacks. The following is a summary of ODP's major roles and responsibilities and how it has organized to better serve its constituents.

Roles and Responsibilities

- ◆ Provide grant funds to the states for equipment acquisition and exercises.
 - Provide guidance and a toolkit to help state and local governments conduct threat, vulnerability, and needs assessments and for the development and implementation of their Statewide Domestic Preparedness Strategies.
 - Work with the Interagency Board for Equipment Standardization and Interoperability to develop a standardized list of equipment that can be purchased with grant funds.
- ◆ Develop and deliver a comprehensive program of homeland security training.
 - Establish the National Domestic Preparedness Consortium to develop and deliver coordinated training.
 - Develop and publish Emergency Responder Guidelines to provide a baseline understanding of the tasks responders need to perform to effectively and safely respond to a terrorist attack.
- ◆ Provide direct support for the development of state and local exercises.
- ◆ Implement a national exercise program.
- ◆ Develop and maintain a compendium of homeland security lessons learned.

- ◆ Develop standard measurements of performance to assist state and local jurisdictions in assessing performance.
- ◆ Maintain exercise and training schedules through a Central Scheduling and Information Desk.

ODP Organizational Structure

ODP is organized into three divisions, each responsible for the development and delivery of a different component of the assistance available to state and local governments. The three divisions work closely to coordinate activities.

State and Local Program Management Division

A Program Manager from this division has been assigned to each state and Nunn-Lugar-Domenici city to serve as the primary contact for ODP assistance. The Program Manager's role is to:

- ◆ Conduct a formal strategy review and, with input from the other divisions, prepare a State Assistance Plan (SAP) that defines resources available to the state for strategy implementation.
- ◆ Review grant applications and prepare award documents.
- ◆ Administer the grant program.
- ◆ Assist the states with strategy implementation that includes working with other federal agencies to coordinate assistance (e.g., Homeland Defense Equipment Reuse Program [HDER] which provides surplus Department of Energy radiological detection equipment and support to state and local homeland security agencies).

Training and Technical Assistance Division

The role of the Training and Technical Assistance Division is to:

- ◆ Develop new training courses and conduct a periodic review and enhancement of

existing courses, with review and input by subject matter experts and practitioners.

- ◆ Incorporate lessons learned and best practices from analysis of exercise findings into existing training and/or develop new courses to address gaps in training.
- ◆ Review the State Strategies and, based on the identified needs, allocate training resources to the states, through the SAPs.
- ◆ Respond to requests for technical assistance to assist state and local agencies with the conduct of assessments and strategy development, equipment use training and maintenance, and other site-specific needs.

Exercise and Evaluation Division

The Exercise and Evaluation Division has three branches: the State and Local Program Branch, a National Programs Branch, and a Program Evaluation Branch. The State and Local Program Branch has assigned an Exercise Manager to work with each state and each Nunn-Lugar-Domenici (NLD) city. The role of the Exercise Manager is to:

- ◆ Coordinate exercise activities for the NLD cities.
- ◆ Review the State Strategies and grant applications for exercise funds, and based on the identified needs, allocate exercise resources to the state through the SAP.
- ◆ Work in partnership with the SAA to conduct an exercise planning workshop designed to bring together a group of high level officials, representing multiple disciplines from the state, regional, and local levels to: establish expectations for exercise activities, discuss how the state will implement the HSEEP doctrine, establish priorities for exercises, and define how corrective actions flowing from exercises will be addressed and tracked.

- ◆ Assist the states with the development and implementation of the State's Homeland Security Exercise and Evaluation Plan.
- ◆ Assist state and local governments with the design and conduct of terrorism exercises.
- ◆ Aid SAAs and local jurisdictions in obtaining exercise participation of other federal departments and agencies.
- ◆ Coordinate and direct the delivery of direct exercise contractor support. The country has been divided into three regions with one contractor assigned to provide support in each of the regions. See Appendix A for a list of the states assigned to each region. Under the direction of ODP's Exercise Manager, contractor teams will assist states and jurisdictions with the following tasks:
 - Develop homeland security exercise programs.
 - Develop specific exercise objectives.
 - Prepare detailed exercise planning and execution timelines.
 - Coordinate and conduct exercise-planning meetings.
 - Develop the full range of exercise documentation for each type of exercise.
 - Prepare an exercise control and evaluation methodology, and assist in actual exercise control and evaluation.
 - Prepare post-exercise reports and conduct critiques.
- ◆ Assist, support, and monitor implementation of the HSEEP by the states.
- ◆ Design and conduct national, special event, and regional exercises and share lessons learned and best practices with federal, state and local agencies.

State Administrative Agencies

The HSEEP incorporates input developed at the state level, primarily through the development of the Statewide Domestic Preparedness Strategies and the State Assistance Plans. Exercises implemented with grant or direct support from ODP must conform to the requirements outlined in the HSEEP and the National Homeland Security Strategy. The State Administrative Agencies:

- ◆ Conduct risk, vulnerabilities, and needs assessments of each selected jurisdiction using the ODP Assessment and Strategy Development Tool Kit.
- ◆ Prepare a State Homeland Security Strategy.
- ◆ Appoint state exercise and training points of contact to work with ODP.
- ◆ Sponsor an HSEEP Exercise Planning Workshop, as described above.
- ◆ Identify and prioritize jurisdictions within the state for participation in the program and receipt of resources.
- ◆ Administer equipment and exercise grants.
- ◆ Establish a plan to evaluate the effectiveness of its State Strategy in improving its ability to prevent or respond to a terrorism incident.
- ◆ Coordinate the development and acceptance of the SAP.
- ◆ Develop and implement a State Homeland Security Exercise and Evaluation Plan.
- ◆ Support the design, conduct, and evaluation of state and local exercises in accordance with the principles and guidance defined in the HSEEP manuals.
- ◆ Ensure that After Action Reports (AARs) and Corrective Action Plans (CAPs) are prepared and submitted to ODP.
- ◆ Establish a mechanism for tracking implementation of the CAPs.

- ◆ Incorporate lessons learned and prevention and response needs identified through exercises into the strategy process.

Local Governments

The responsibilities of local jurisdictions identified to receive exercise support, based on the level of support provided, are to:

- ◆ Coordinate terrorism preparedness activities with the state SAA.
- ◆ Ensure that they have developed and updated their Homeland Security plans and procedures.
- ◆ Identify goals and objectives within their community, in conjunction with the risk, vulnerability, and needs assessments.
- ◆ Ensure that homeland security professionals in their jurisdiction are adequately trained and equipped.
- ◆ Design and conduct exercises that conform to the HSEEP.
- ◆ Provide the ODP exercise manager and exercise support contractors access to information and personnel to aid in exercise design, development, conduct, and evaluation.
- ◆ Prepare a Corrective Action Plan that addresses recommendations in the exercise After Action Report to enhance preparedness.

CHAPTER 3

TYPES OF EXERCISES

This chapter describes the types of exercises routinely used by ODP and the products associated with each. The type of exercise that best meets the jurisdictions' requirements is identified through analysis of the stated exercise purpose, proposed objectives, experience, operations, historical precedence, and recommended levels of participation.

A specified planning process has been defined for each type of exercise, from concept development through conduct and evaluation. The third volume in the HSEEP series is the HSEEP Exercise Development Manual. The Manual will describe the key meetings and exercise documents generated during the exercise planning cycle, as well as generic charts that can be used as a quick reference for exercise planning lead times required to effectively design, develop, execute, evaluate, and compile final reports for the various exercise types. An exercise toolkit is also being developed to provide "how to" guidance to jurisdictions designing and conducting their own exercises.

Seminars

Seminars are generally employed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, or concepts and ideas. Seminars provide a good starting point for jurisdictions that are developing or making major changes to their plans and procedures. They offer the following attributes:

- ◆ Low-stress environment employing a number of instruction techniques, such as lecture, multimedia presentations, panel dis-

cussions, case study discussions, expert testimony, and decision support tools

- ◆ Informal discussions led by a seminar leader
- ◆ Not constrained by real time portrayal of events
- ◆ Effective with both small and large groups

Workshops

Workshops usually focus on development of a product by the attendees. Organization of attendees into functional groupings aided by facilitators, and the use of breakout sessions, are common. Final results are often presented and approved in a plenum session. In conjunction with exercise development, workshops are most useful in achieving specific aspects of exercise design, such as:

- ◆ Determining program or exercise objectives
- ◆ Developing exercise scenario and key events listings
- ◆ Determining evaluation elements and standards of performance

Tabletop Exercises

Tabletop Exercises (TTXs) involve senior staff, elected or appointed officials, or other key personnel in an informal setting to discuss simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures, or to

assess types of systems needed to guide the prevention, response to, and recovery from, the defined event. TTXs typically are aimed at facilitating the understanding of concepts, identification of strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth, and develop decisions through slow-paced problem solving rather than rapid, spontaneous decision-making that occurs under actual or simulated emergency conditions. In contrast to the scale and cost of exercises and games, TTXs can be a cost-effective tool when used in conjunction with more complex exercises. The TTX's effectiveness is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans.

Methods for the TTX divide into two categories—basic and advanced. In a basic tabletop, the scene set by the scenario materials remains constant. The scene describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the leader/moderator. Problems are discussed as a group and resolution is generally agreed on and summarized by the leader. In an advanced TTX, play revolves around delivery of prescribed messages to players that alter the original scenario. The exercise controller (moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. Attributes of a TTX may include:

- ◆ Practicing group problem solving
- ◆ Familiarizing senior officials
- ◆ Conducting a specific case study
- ◆ Examining personnel contingencies
- ◆ Testing group message interpretation
- ◆ Participating in information sharing

- ◆ Assessing interagency coordination
- ◆ Achieving limited or specific objectives

Games

A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real life situation. It does not involve the activities of actual resources, and the sequence of events affects, and is in turn affected by, the decisions made by the players.

Players are commonly presented with scenarios and asked to perform a task associated with the scenario episode. Each episode is moved to the next level of detail or complexity, taking into account the players' earlier decisions. The decisions made by game participants determine the flow of the game. The goal is to explore decisionmaking processes and the consequences of decisions. In a game, the same situation can be examined from a series of perspectives by changing variables and parameters that guide player actions. Large-scale games are multijurisdictional and can include active participation from local to national levels of government. Games stress the importance of the planners' and players' understanding and comprehension of interrelated processes.

With the evolving complexity and sophistication of current simulations, there are increased opportunities to provide enhanced realism for game participants. The use of computer-generated scenarios and simulations can provide a more realistic and time-sensitive method of introducing situations for analysis. Planner decisions can be input and models run to show the effect of decisions made during a game. Distributed games (available through the Internet) offer many additional benefits, such as saving participants' time and travel expenses, more frequent training opportunities, and less time away from primary functions. They

also provide a collaborative environment that reflects realistic occurrences. Games are excellent vehicles for the following:

- ◆ Gaining policy or process consensus
- ◆ Conducting “what-if” analyses of existing plans
- ◆ Developing new plans

ODP conducts ongoing analysis of commercial and government sector models, games and simulations to identify those of value for exercise use. While models, games and simulations are not a substitute for full-scale exercises, they are an increasingly more sophisticated and useful component of exercise programs. ODP plans to issue a list of government and commercially developed models, games, and simulations that have been evaluated against the training and exercise requirements as defined by ODP to enhance homeland security preparedness. Those on the approved list will be added to the list of equipment that can be purchased with grant funds starting in FY 2004.

Drills

A drill is a coordinated, supervised activity usually employed to test a single specific operation or function in a single agency. Drills are commonly used to provide training with new equipment, to develop or test new policies or procedures, or to practice and maintain current skills. Typical attributes include:

- ◆ A narrow focus, measured against established standards
- ◆ Instant feedback
- ◆ Realistic environment
- ◆ Performance in isolation

Functional Exercises

The Functional Exercise (FE) is designed to test and evaluate individual capabilities, multiple functions or activities within a function, or interdependent groups of functions. For the purposes of HSEEP, ODP includes command post exercises in this category. Functional exercises are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of Incident Command and Unified Command. Generally, events are projected through an exercise scenario with event updates that drive activity at the management level. The movement of personnel and equipment is simulated.

The objective of the FE is to execute specific plans and procedures and apply established policies, plans, and procedures under crisis conditions, within or by a particular function team(s). The FE simulates the reality of operations in a functional area by presenting complex and realistic problems requiring rapid and effective responses by trained personnel in a highly stressful environment. Attributes of an FE include:

- ◆ Evaluating functions
- ◆ Evaluating Emergency Operations Centers (EOC), headquarters, and staff
- ◆ Reinforcing established policies and procedures
- ◆ Measuring the adequacy of resources
- ◆ Examining interjurisdictional relationships

Full-Scale Exercises

In a Full-Scale Exercise (FSE), prevention and response elements are required to mobilize and deploy to a designated site or locale in response to a simulated attack, generally for an extended period. It involves testing a major portion of Operations Plans and organizations under field conditions. Actual mobilization and movement of personnel and resources are required to demon-

strate coordination and response capability. EOCs and field command posts are activated. The FSE is the largest, costliest, and most complex exercise type and may involve participation at the state, local, regional, and federal levels. Although pre-scripted events may be used, the exercise is primarily driven by player actions and decisions. An oral evaluation or critique is conducted at the end of the exercise, and an After Action Report is written. Attributes of an FSE may include:

- ◆ Assessing organizational and individual performance
- ◆ Demonstrating interagency cooperation
- ◆ Allocating resources and personnel
- ◆ Assessing equipment capabilities
- ◆ Activating personnel and equipment
- ◆ Assessing interjurisdictional cooperation
- ◆ Exercising public information systems
- ◆ Testing communication systems and procedures
- ◆ Analyzing memoranda of understanding (MOUs), standard operating procedures (SOPs), plans, policies, and procedures

CHAPTER 4

EXERCISE PLANNING PROCESS

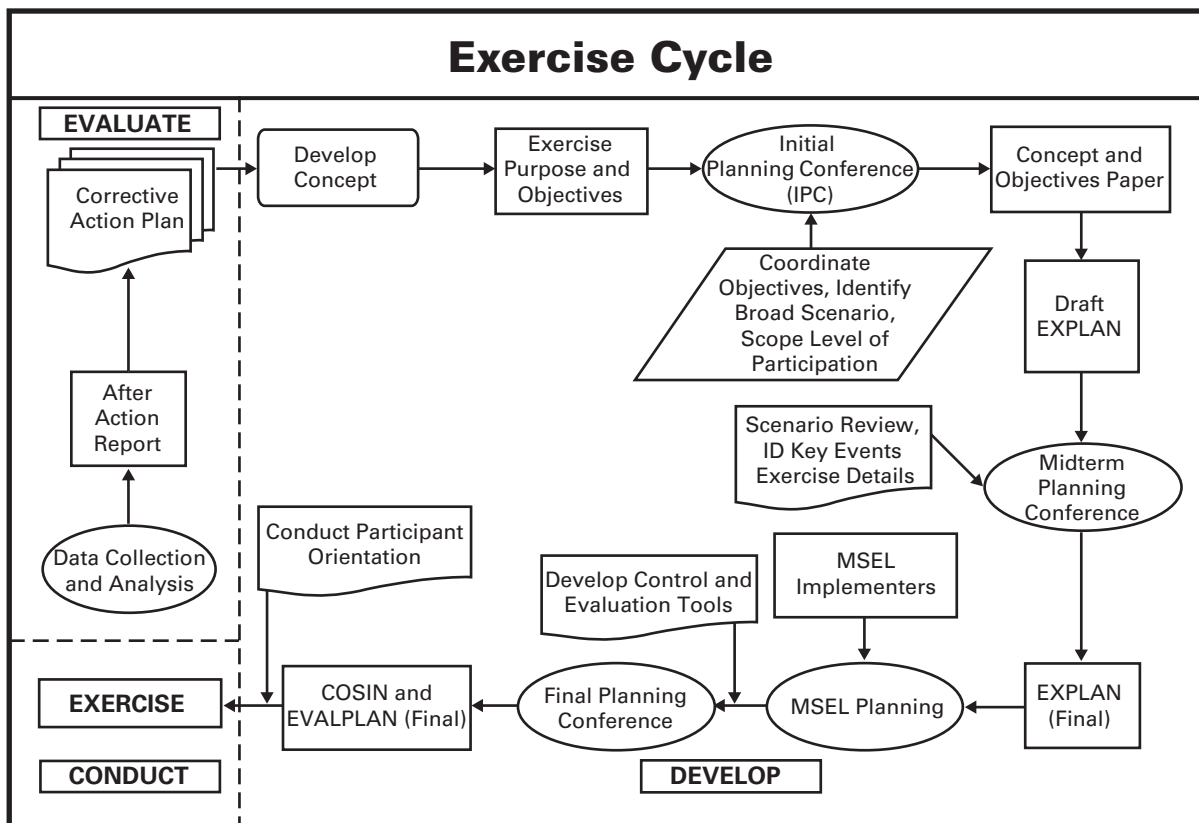
This chapter provides a brief overview of the exercise planning process and includes a description of common exercise planning events, exercise documents, planning committee members, and exercise planning timelines.

A generic exercise cycle is depicted in the chart below, but—as reflected in the individual time-lines—some planning events may not be included in every exercise cycle. For example, a Master Scenario Events List (MSEL) is customarily not used in a tabletop exercise, so there is no need for a MSEL conference. Detailed guidance on exercise design, development, execution, and evaluation will be available through subsequent

volumes of the HSEEP and a Tool Kit being developed by ODP.

Exercise Planning Team

The Exercise Planning Team (EPT), sometimes referred to as the Exercise Design Team, assists the Exercise Director in the design and development of the exercise including determining exercise objectives, tailoring the scenario, and developing the sequence of events and associated messages and actions. This team is responsible for creating and distributing all exercise materials, conducting pre-exercise training and assur-



ing the logistic and administrative necessities to conduct the exercise are complete. The team should include a representative from each of the participating jurisdictions in a multijurisdictional exercise and from key departments in a single-jurisdictional exercise. An Exercise Director oversees the Team's efforts, ensures all exercise preparation activity is accomplished, and resolves any conflicts of interest or inconsistencies. A Senior Planner is usually assigned responsibility for ensuring all exercise planning and development is related to the purpose, scope, and objectives of the exercise. During the exercise, the Senior Planner customarily serves as the Senior Controller. A Chief or Senior Evaluator is responsible for developing, publishing, and distributing the Evaluation Plan and overseeing exercise evaluation to provide feedback on the effectiveness of the exercise.

Planning Team Composition

There are a significant number of requirements necessary to ensure an exercise is successfully designed, coordinated, and executed. The work associated with putting together an exercise of any type is usually more than one person can do. This is especially true of the exercises envisioned as part of the HSEEP. To ensure exercises have the appropriate level of review and validation during the planning process, the table on page 25 suggests the types of agencies and representatives that should be part of the exercise planning team, or at least be part of the review and validation process conducted during the planning phase.

Exercise Planning Events and Documentation

Concept Development Meeting

A concept development meeting (or conference) is held to outline the approach and guidance required for planning a major exercise. This meeting formally begins the exercise planning process and identifies the initial type, scope, goals, and purpose of conducting the exercise. Specifically, the exercise staff and selected supporting exercise planners agree on the exercise scope, determine an exercise location, define the overall objectives, determine the major participants, and select a date for the Initial Planning Conference (IPC). Exercise concept development is usually based on the exercise sponsor's stated purpose and prior experience, operations, and historical precedence. Exercise objectives are used to establish the scope, specify the functions to be demonstrated, identify the extent of organization/personnel participation, and identify the breadth and depth of activities to be accomplished or simulated. Participants in the meeting submit views on the proposed exercise concept, scenario, objectives, recommended levels of participation, draft exercise responsibilities, potential planning milestones, and, if applicable, recommend changes to the host agency's scenario to ensure submitting agency interests are adequately reflected and objectives can be met. The exercise concept guides the preparation of exercise documents developed in subsequent exercise planning meetings.

Exercise Objectives

Exercise objectives are the foundation of design and development. Exercise objectives define specific goals, provide a framework for the development of the scenario, guide development of individual organizational objectives, and provide evaluation criteria for the exercise. Generally, the number of exercise objectives will be limited by

Recommended Planning Team Members				
Exercise Planning Committee Members	Chemical Exercise	Biological Exercise	Radiological/ Nuclear Exercise	Explosive Exercise
Agency for Toxic Substances and Disease Registry	•	•	•	
Bomb Squad/Special Weapons and Tactics	•		•	•
Centers for Disease Control and Prevention	•	•		
Coroner/Medical Examiner	•	•	•	•
Department of Defense	•	•	•	
Department of Health and Human Services	•	•	•	
Department of Transportation	•	•	•	•
Emergency Management	•	•	•	•
Emergency Medical Services	•	•	•	•
Environmental Quality	•	•	•	
Federal Bureau of Investigation	•	•	•	•
Federal, State, and Local Department of Energy			•	
Federal, State, and Local Environmental Protection Agency	•	•	•	•
Fire Service	•	•	•	•
Hazardous Materials	•	•	•	•
Highway Department	•	•	•	•
Hospital Emergency Room Representatives	•	•	•	•
Hospital Medical Laboratory	•	•	•	•
Hospital Representatives	•	•	•	•
Infectious Disease Representative		•		
Jurisdictional Government	•	•	•	•
Jurisdictional Law Enforcement	•	•	•	•
Local Communicable Disease		•		
Local Military Active/Guard/Reserves	•	•	•	
Mass Transportation Representatives	•	•	•	•
Medical Society/Private Practitioners		•		
Pathology Representative		•		
Poison Control	•	•		
Private Industry (Communications, Power, and Industry)	•	•	•	•
Public Health Department	•	•	•	
Public Information	•	•	•	•
Public Works	•	•	•	•
Radiological Disease Physicians			•	
State Agricultural Department	•	•		
State National Guard	•	•	•	•
State Veterinary Department	•	•	•	
State/Local Health Department	•	•	•	•
U.S. Coast Guard	•	•	•	•
Victim Services	•	•	•	•
Volunteer Organizations	•	•	•	•

planners to enable timely execution of the exercise, facilitate design of a reasonable scenario, and to adequately support the successful completion of exercise goals. Objectives are initially prepared during concept development.

More complex exercises typically have both major and supporting objectives. A major objective contributes to development of general events to present to participants for action. The supporting objectives are used by exercise devel-

SMART System

Simple	A good objective is simply and clearly phrased. It is brief and easy to understand.
Measurable	The objective sets the level of performance, so that results are observable and you can tell when an objective has been reached.
Achievable	The objective should not be too tough to achieve. It should be reasonable in its commitment of resources.
Realistic	Even though an objective might be achievable, it might not be realistic for the exercise.
Task Oriented	The objective focuses on a behavior or a procedure. With respect to exercise design, each objective should focus on an individual emergency function.

Source: FEMA Exercise Design Course Student Manual

opers to tailor the exercise so that it assesses the knowledge and skills of participants.

The performance addressed by the objectives should have observable and measurable indicators to aid in identifying evaluation criteria. The Federal Emergency Management Agency (FEMA) SMART System, shown above, provides a good checklist for ensuring the completeness and accuracy of objectives.

Initial Planning Conference

The Initial Planning Conference (IPC) is the first meeting that brings the Exercise Director and the collective members of the Exercise Planning Team together. The foundation of the IPC is the proposed concept and overarching objectives for the exercise, and the goal is to reach consensus on the exercise concept, objectives, scope, and broad scenario so that exercise design and development can proceed. This consensus will provide the basis for the Exercise Planning Team to:

- ◆ Refine draft exercise objectives and the scenario
- ◆ Identify exercise assumptions
- ◆ Confirm exercise dates
- ◆ Coordinate levels of participation in the exercise

- ◆ Disseminate current and specific planning guidance to exercise planners
- ◆ Inform planners to provide their portions of the draft EXPLAN
- ◆ Prepare a Concept and Objectives (C&O) Paper
- ◆ Prepare a draft EXPLAN

Concept and Objectives Paper

A Concept and Objectives paper (C&O) is prepared for dissemination to the exercise planning community and senior representatives of participating departments, agencies, jurisdictions and organizations. The C&O provides a synopsis of the IPC results and agreements, and addresses the following:

- ◆ Exercise dates
- ◆ Purpose and type
- ◆ Overall concept
- ◆ Major exercise objectives
- ◆ Exercise duration
- ◆ Assumptions and artificialities
- ◆ Expected participation list

Exercise Plan (EXPLAN)

The EXPLAN is the official planning document for the continued development of an exercise. It identifies the scope and concept of play for all participants; provides key exercise assumptions, artificialities, and simulations; documents scenario narratives leading to the start of the exercise; provides exercise objectives and associated observation elements; explains procedural aspects of play; describes roles of controllers, simulators, evaluators, and observers from the player's view; and establishes administrative and support requirements and procedures applicable to player activity during the exercise.

Situation Manual (SITMAN)/Player Handbook

The Player Handbook or SITMAN provides exercise players the basic information they need to participate in an exercise. In a large-scale exercise, it may be used to supplement the EXPLAN, while in smaller-scale exercises it may replace the EXPLAN. The Player Handbook identifies the scope and concept of play and key exercise assumptions, artificialities, and simulations. It also establishes the preliminary scenario narrative consisting of intelligence, weather, and other background information leading to the start of the exercise. It may also provide message preparation instructions and sample and actual forms to be completed by players for use in exercise evaluation. The SITMAN includes:

- ◆ Exercise overview
- ◆ Scenario narrative
- ◆ Assumptions, artificialities, and simulations
- ◆ Player procedures
- ◆ Information systems
- ◆ Safety
- ◆ Security
- ◆ Administrative and logistics support
- ◆ Glossary

Midterm Planning Conference

The Midterm Planning Conference (MPC) is scheduled as an in-progress review of the independent and interrelated planning actions required by the participating departments, agencies, jurisdictions, and organizations. The primary focus of the MPC is to review the draft EXPLAN, identify key events, and determine the overall status of exercise planning in specific functional areas, as well as the status of coordination to ensure required administrative and logistical support is adequate. The MPC is a vehicle to obtain commitments to play from the various agencies and jurisdictions and to develop an Extent of Play Agreement. The MPC allows course corrections, if necessary, to ensure the exercise concept and objectives will be attained. A final EXPLAN is often published after the MPC.

Extent of Play Agreement

An Extent of Play Agreement is primarily used in legislatively mandated exercises where statute, law, or directive mandates the frequency, conduct, and evaluation of the exercise. In these cases, the exercise objectives and evaluation methodology are keyed to specific events and standards. Simulation or modifications of routine performance may be necessary to perform an evaluation of an organization. An Extent of Play Agreement is a written agreement between the evaluating team and those being evaluated approving deviations (e.g., evaluations will occur through an interview rather than a demonstration of an activity; the evaluated activity will take place but not in sequence to when and/or where it would actually occur in the scenario).

Master Scenario Events List Conference

The Master Scenario Events List (MSEL) is a list or table that chronologically displays designated scenario times. It also lists and synthesizes key events, the expected response to these events, and the objective being demonstrated. Players in

an exercise either respond to conditions portrayed in the scenario, to the actions of other players and participating agencies, or to stimuli provided through the MSEL. The stimuli serve as the vehicle to provide information to prompt a player response (the action of performing a task), which in turn is evaluated to determine proficiency and successful accomplishment of an exercise objective. These stimuli are commonly referred to as “messages,” “scripts,” “injects,” or “implementers” and may be verbal, written, or in the form of a visual display. The MSEL ensures events occur so performance can be evaluated and controllers are able to manage exercise flow.

MSEL conferences are conducted for exercises with significant simulated and scripted play. Generally, two MSEL conferences are scheduled, and they can be held in conjunction with the MPC and Final Planning Conference (FPC) or as separate events. The first conference focuses on development of the MSEL and ensures exercise planners from participating departments, agencies, jurisdictions, and organizations have identified activities that must occur during the exercise. Exercise planners also define “injects” to stimulate players to perform tasks that address exercise objectives and coordinate event times, deconflicting as necessary. The result of the first conference is a chronological listing of exercise events and publication of the key event list. The second conference focuses on review of the MSEL, and is conducted to ensure the MSEL implementers developed by exercise planners do the following, (after which the final MSEL is published):

- ◆ Reflect the intent of the event as described in the MSEL items
- ◆ Accomplish intended results
- ◆ Include the correct action and information addresses
- ◆ Provide a sequence of times consistent with the flow of other exercise events

Master Scenario Events List

The Master Scenario Events List (MSEL) is a comprehensive chronological schedule of the scripted events that are injected into exercise play by exercise controllers to generate activity in specific functional areas in support of exercise objectives. A given scenario event can portray an activity, action, or requirement. Collectively, the events should cause sufficient activity in areas exercised to support attainment of exercise objectives and their evaluation. Its long version contains the supporting materials (implementers) to enable the controllers to influence player activities.

Final Planning Conference

The Final Planning Conference (FPC) is the last opportunity for the Exercise Director and full planning team to discuss exercise issues. It provides a forum to approve and finalize the development of the exercise and discuss requirements for exercise control and evaluation, staffing, scheduling, logistics, and administration. The final Control Staff Instructions (COSIN) and Evaluation Plan (EVALPLAN) are published after the FPC.

Control Staff Instructions

The Control Staff Instructions (COSIN) contains the guidance that Controllers, Simulators, and Evaluators need concerning procedures and responsibilities for exercise control, simulation, and support. The purpose of the COSIN is to: detail the scenario for the duration of the exercise; develop guidelines for control and simulation support of the exercise; explain the exercise concept as it relates to Controllers and Simulators; establish the management structure for these activities; and establish and define the control structure’s communications, logistics, and administration. Its level of detail will vary and can include the following:

- ◆ Exercise overview
- ◆ Exercise control organization

- ◆ Exercise control scheme
- ◆ Controller roles and responsibilities
- ◆ Control communications plan
- ◆ VIP/observer management plan
- ◆ Listing of key exercise events
- ◆ “Short” MSEL
- ◆ Narrative portion of the Procedural Flow Synopsis (PROFLOW)
- ◆ Exercise Safety Plan

Evaluation Plan

The Evaluation Plan (EVALPLAN) provides the evaluation staff with guidance and instructions on the evaluation or observation methodology to be used, and essential materials required in executing their specific functions. The EVALPLAN is a limited distribution document that evaluators use in conjunction with the EXPLAN and MSEL. Its level of detail will vary and can include the following:

- ◆ Exercise overview
- ◆ Evaluation control organization
- ◆ Evaluation methodology and observation techniques
- ◆ Evaluator roles and responsibilities
- ◆ Evaluation communications plan

Controller and Evaluator Handbook

The Controller and Evaluator (C/E) Handbook is generally used on smaller or limited scope exercises of short duration in lieu of a COSIN and EVALPLAN. It supplements the detailed information about the exercise scenario and the duties and responsibilities of the exercise controllers and evaluators in the EXPLAN. Its specifics may include the following:

- ◆ Roles and responsibilities of functional or individual controllers
- ◆ Evaluation guides and tools

- ◆ Schedule for training, site setup, exercise conduct, and critiques
- ◆ Exercise safety plan
- ◆ Controller communications plan

After Exercise Events and Documentation

Hot Wash/After-Action Review

A “hotwash” or after action review is an immediate debriefing session between players and members of the control organization to discuss preliminary observations on exercise performance. The Hot Wash/After-Action Review Briefing is used to compile the initial player and controller impressions and observations of the exercise, and provides the key issues and findings used to begin the data analysis required to prepare the After Action Report (AAR).

After Action Analysis and Report

The After Action Report (AAR) is the key post-exercise document developed in partnership with exercise evaluators, sponsoring agencies, and key participants of federal, state, and local agencies. It provides a historical record of findings and forms the basis for refinements to plans, policies, procedures, training, equipment, and overall preparedness of an entity. To prepare the report, the exercise evaluation team will analyze information gathered during the exercise, from the “Hotwash,” and from other sources (e.g., plans and procedures), to compare the actual results of the response with the intended outcome. Evaluators also attempt to determine what influenced, controlled, impacted, or limited response actions, decisions, and their consequences. The level of detail of an AAR will reflect the type and size of the exercise. AARs describe the exercise scenario, player activities, preliminary observations, major issues, and recommendations for improvements.

Typical Exercise Products							
Exercise Deliverable	Seminar	Workshop	Tabletop Exercise	Games	Drills	Functional Exercise	Full-Scale Exercise
Scenario Technical Description					•	•	•
Seminar Leaders Guide	•	•					
Player Handbook	•	•	•				
Results Summary	•						
Recorder Forms				•			
Exercise Plan						•	•
Control Staff Instructions						•	•
Master Scenario Events List						•	•
Communications Directory				•		•	•
C/E Briefing						•	•
Evaluation Plan						•	•
C/E Packets						•	•
Role Player/Actor/Victim Brief						•	•
FSE Liability Waiver					•	•	•
Player Briefing				•	•	•	•
Procedural Flow				•	•	•	•
Synchronization Matrix					•	•	•
C/E Safety Identifying Garments					•		•
Exercise Participants Badges	•	•	•	•	•	•	•
Hot Wash/After-Action Review Briefing				•	•	•	•
Summary Report	•	•			•		
After Action Report			•	•	•	•	•
Corrective Action Plan			•	•	•	•	•

Corrective Action Plan

The Corrective Action Plan (CAP) is a plan, prepared by jurisdiction(s) that participated in the exercise, to address the findings and recommendations identified in the exercise and documented in the AAR. It should provide a description of the action(s) that will be taken, the timeline for implementation, and the person or agency with lead responsibility. The CAP should be a dynamic improvement program that is continually updated and revised. The documentation of needs through the AAR and CAP will inform the strategic planning process and the targeting of resources by the state and ODP.

Exercise Products

Typical products for each exercise type and technique are listed above. Some products such

as meeting minutes, presentations, agendas, and public information releases have been omitted because they are produced while developing the primary products.

Exercise Planning Timelines

The following tables are examples of the activity flow and timelines for the planning and conduct of a typical tabletop and full-scale exercise. Timelines for workshops and seminars will generally be shorter than for a tabletop exercise, whereas the timelines for games and complex or multijurisdictional full-scale exercises could be longer than those outlined for full-scale exercises.

Tabletop Exercise Timeline	
Tabletop Exercise (TTX) Activity	Time Pre- and Post-Exercise Day
Establish Date of TTX	
Develop TTX Concept, Select Date of IPC	E-120 days
Prepare/Mail IPC Read-Ahead Packet	E-110 days
Prepare IPC Briefing	E-93 days
Conduct IPC	E-90 days
Prepare/Approve IPC Minutes	E-83 days
Prepare/Print Draft SITMAN	E-52 days
Review Materials for FPC	E-50 days
Conduct FPC	E-45 days
Prepare/Approve FPC Minutes	E-38 days
Finalize SITMAN	E-15 days
Finalize Multimedia Presentation	E-7 days
Set-Up Facility/Review Presentation	E-1 day
Conduct TTX	E-day
Collect and Analyze Data (e.g., Participant Input, Evaluation Observations, etc.)	E+21 days
Draft AAR Forwarded for Participant Review	E+28 days
Participant AAR Review Comments Received	E+49 days
AAR Finalized	E+60 days
Final AAR Distributed	E+75 days
Corrective Action Plan Developed	E+105 days
Corrective Action Plan Implemented	As needed

Functional Exercise Timeline	
Functional Exercise (FE) Activity	Time Pre- and Post-Exercise Day
Establish Proposed Date of Functional Exercise	
Concept Development and Select Date of IPC	E-210 days
Prepare/Mail IPC Read-Ahead Packet	E-200 days
Prepare IPC Briefing	E-183 days
Conduct IPC	E-180 days
Distribute IPC Minutes or C&O Paper	E-166 days
Draft EXPLAN Distributed for Review	E-130 days
Review of Plan and Material for MPC	E-125 days
Conduct MPC	E-120 days
Prepare MPC Minutes	E-113 days
Final EXPLAN Prepared/Disseminated	E-75 days
Review Draft MSEL, Control and Evaluation Plan, Exercise Timeline and Support Requirement Status	E-70 days
Final Preparations for FPC	E-65 days
Conduct FPC	E-60 days
Distribute FPC Minutes	E-53 days
Finalize Review of MSEL, MSEL Implementers	E-30 days
Final Review of C/E Handbook	E-30 days
Disseminate C/E Handbook	E-25 days
Finalize Pre-Exercise Briefings	E-7 days
Conduct Pre-Exercise On-Site Activities	E-1 days
Conduct Functional Exercise	E-day
Collect and analyze data (e.g., Participant Input, Evaluation Observations, etc.)	E+21 days
Draft AAR Forwarded for Participant Review	E+35 days
Draft AAR Forwarded to Community	E+42 days
Participant AAR Comments Received	E+65 days
AAR Finalized	E+90 days
Final AAR Distributed	E+106 days
Corrective Action Plan Developed	E+136 days
Corrective Action Plan Implemented	As needed

Full-Scale Exercise Timeline	
Full-Scale Exercise (FSE) Activity	Time Pre- and Post- Exercise Day
Concept Development and Select Proposed Date of FSE	
Coordinate Date of IPC	E-365 days
Prepare/Mail IPC Read-Ahead Packet	E-350 days
Prepare IPC Briefing	E-340 days
Conduct IPC	E-330 days
Distribute C&O Paper	E-320 days
Distribute Draft EXPLAN to Participants	E-240 days
Review of Plan and Material for MPC	E-200 days
Conduct MPC	E-180 days
Prepare/Approve MPC Minutes	E-160 days
Review Draft MSEL, Control and Evaluation Plan, Exercise Timeline and	
Support Requirement Status	E-120 days
Final EXPLAN Disseminated	E-90 days
Final Preparations for FPC	E-65 days
Conduct FPC	E-60 days
Prepare/Approve FPC Minutes	E-53 days
Finalize MSEL, MSEL Implementers	E-45 days
Final Review of Controller/Evaluator Handbook to Publications	E-30 days
Controller/Evaluator Handbook to Publications	E-25 days
Finalize Pre-Exercise Briefings	E-7 days
Conduct Pre-Exercise On-Site Activities	E-1 days
Conduct FSE	E-day
Collect and Analyze Data (e.g., Participant Input, Evaluation Observations, etc.)	E+30 days
Draft AAR Forwarded for Participant Review	E+52 days
Participant AAR Comments Received	E+90 days
Final AAR Distributed	E+120 days
Corrective Action Plan Developed	E+150 days
Corrective Action Plan Implemented	As needed

APPENDIX A

REGIONS FOR DELIVERY OF EXERCISE SUPPORT

Eastern Region	Central Region	Western Region
Connecticut	Alabama	Alaska
District of Columbia	Arkansas	American Samoa
Delaware	Illinois	Arizona
Florida	Indiana	California
Georgia	Iowa	Colorado
Maine	Kansas	Guam
Maryland	Kentucky	Hawaii
Massachusetts	Louisiana	Idaho
New Hampshire	Michigan	Montana
New Jersey	Minnesota	Nevada
New York	Mississippi	New Mexico
North Carolina	Missouri	Northern Mariana Islands
Pennsylvania	Nebraska	Oregon
Puerto Rico	North Dakota	Utah
Rhode Island	Ohio	Washington
South Carolina	Oklahoma	Wyoming
U.S. Virgin Islands	South Dakota	
Vermont	Tennessee	
Virginia	Texas	
West Virginia	Wisconsin	

