Homeland Security Exercise and Evaluation Program (HSEEP) Course

Participant Guide

Exercise Cycle

HSEEP Training

Module 1

Introduction and HSEEP Fundamentals
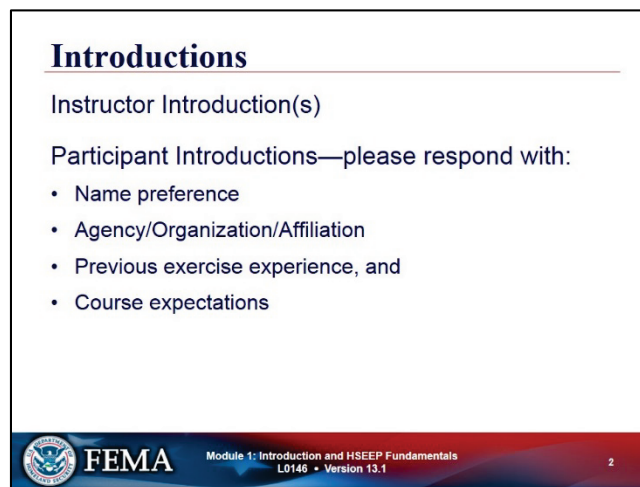
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Slide 1

Welcome to the **HSEEP Training Course** and **Module 1: Introduction and HSEEP Fundamentals**.

This is an intermediate course designed to describe the core principles and processes of HSEEP, its standardized methodology, and resources which are designed to assist you in developing an exercise program.

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Participant Introductions:
When called on please respond by providing information on the following:

- Your name (or name preference),
- The name of the agency or organization you represent,
- Any previous exercises planning experience you possess,
- What you hope to gain by participating in this training course.

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You will now take a pre-test.

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This is an overview of the course agenda with approximate timeframes that will be used to cover the materials and activities.

Day One
- Module 1: Introduction and HSEEP Fundamentals
- Module 2: Exercise Program Management
- Module 3: Exercise Design and Development

Day Two
- Module 3: Exercise Design and Development (continued)
- Module 4: Exercise Conduct
- Module 5: Exercise Evaluation

- Module 6: Exercise Improvement Planning

Following completion of the course the HSEEP Course manager will provide you with a final exam and instructions for obtaining a course completion certificate.

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This course is designed to provide training on the April 2013 release of the revised HSEEP Program Guidance. HSEEP doctrine used to be contained in three volumes but is now contained in one consolidated volume.

The target audience for this training is those involved in planning, budgeting, management, design, development , conduct and evaluation of exercises or those involved in the following roles at all levels of the planning process including:

- Exercise Planning Team Leaders/Members who require a comprehensive understanding of the HSEEP Exercise Planning Cycle
- Controllers and Facilitators who are responsible for the successful control and conduct of an exercise
- Evaluators who need to understand the evaluation processes; the supporting Core Capabilities and Exercise Evaluation Guides (EEGs); and be familiar with exercise conduct
- Exercise Program Managers who require an understanding of the Program Management and Improvement Planning process
- Senior Officials due to their responsibility for the continued operation of their assigned agencies/organizations to facilitate and direct improvement planning as required.

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Terminal Objective

After completion of this course you should understand the role of HSEEP in National Preparedness, and how HSEEP exercise principles and methodology support efforts across the whole community to improve our national capacity to build, sustain, and deliver core capabilities.

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Module 1: Introduction to HSEEP

Lesson 1: HSEEP Overview
• Purpose
• Applicability and Scope

Lesson 2: HSEEP Fundamentals
• HSEEP Principles
• Key Program Elements
• HSEEP Methodology

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Lesson 1 of this module presents an overview of HSEEP, including the purpose of the program and its applicability to the objective National Preparedness and scope of the program in assisting jurisdictions with exercise planning.

Lesson 2 presents the fundamentals of HSEEP, its implementation principles, program elements and the methodology used to create self-sustaining preparedness programs.

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The intent of Lesson 1, HSEEP Overview, is to describe the purpose of the Homeland Security Exercise and Evaluation Program and how it integrates with and supports National Preparedness efforts across all stakeholders through a Whole Community approach.

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No major doctrinal changes have been made under the revised program guidance. As before, exercises remain a key component of national preparedness—they provide stakeholders across the whole community with the opportunity to shape planning, assess and validate capabilities, and set priorities for improvements.

Through the HSEEP Program, priorities are identified and continually re-evaluated as part of an iterative preparedness planning process, and guide the overall direction of a progressive exercise program, where individual exercises identify objectives aligned with core capability requirements anchored to the priorities identified by stakeholder organizations and design and develop individual exercises that build toward an increasing level of complexity over time.

Exercise evaluation assesses the ability to meet these objectives and capabilities by documenting strengths, areas for improvement, core capability performance, monitor corrective actions and outcomes through **Rolling Summary Reports** and **After-Action Report/Improvement Plans (AAR/IP)**. These processes allow organizations to implement and monitor corrective actions that build and sustain capabilities, and maintain readiness.

In this way, HSEEP aligns local preparedness efforts with the **National Preparedness Goal** and the **National Preparedness System** and supports efforts across the whole community and in organizations of all sizes to improve our national capacity to build, sustain, and deliver core capabilities.

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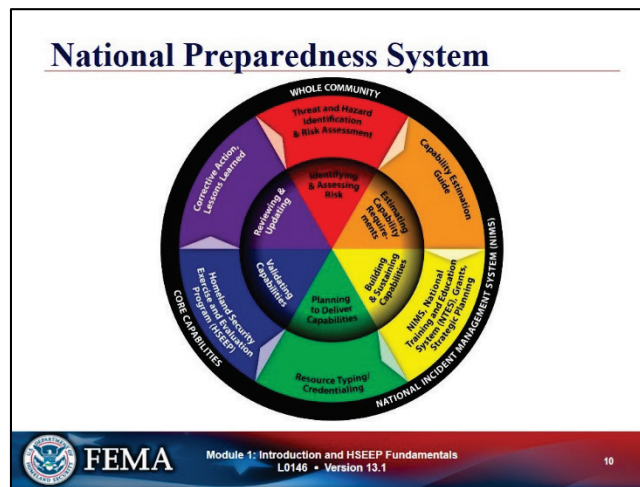
This National Preparedness System (NPS) graphic illustrates the processes and components used to achieve the National Preparedness Goal. The foundation of this system is integration of the whole community in the planning process, the utilization of National Incident Management System organizational structures, and the alignment of planning efforts to core capabilities for each mission area identified in the NPS.

HSEEP is the key component organizations can use to validate capabilities, and is linked to other elements of the NPS, including corrective action/lessons learned from previous exercises and actual events, threat and hazard identification and risk assessment, capability estimation, training and education, grants and strategic planning, and resource typing and credentialing.

The three concentric circles on this graphic of the National Preparedness System contain segments representing the activities communities may utilize to identify and assess local threats and hazards; estimate and build on existing capabilities; sustain, deliver and validate capability resources; and review, update, and manage community risks. These activities assist elected and appointed officials in identifying priority capability targets that can be examined and strengthened through a progressive exercise program.

These system components interact to build, sustain and deliver the core capabilities that ensure a community is prepared to address the threats and hazards of greatest concern. Through this capability estimation process, communities determine what resources they already have, what resources are available in the private and nonprofit sectors and from faith-based organizations, what resources they

can borrow through mutual aid, estimate whether available resources can deliver the required capability, and provide an estimate on the community or organization's ability to meet their capability targets.
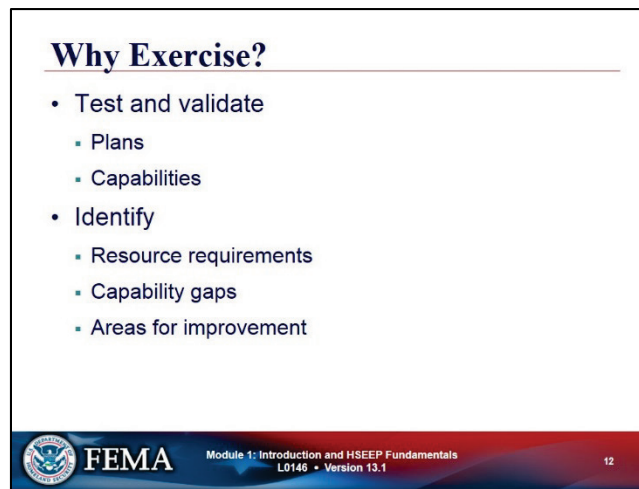
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HSEEP is a consistent approach to capabilities-based exercise program management that uses a common methodology for designing, developing, conducting, and evaluating exercises to measure progress toward building, sustaining, and delivering core capabilities. The program is designed to encourage the use of national best practices, is adaptable to the needs of each jurisdiction regardless of size.

As a key component of national preparedness, exercises provide elected and appointed officials and stakeholders from across the whole community with the opportunity to shape planning, assess and validate capabilities, and address areas for improvement.

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Exercises play a vital role in national preparedness by enabling whole community stakeholders to test and validate plans and capabilities, a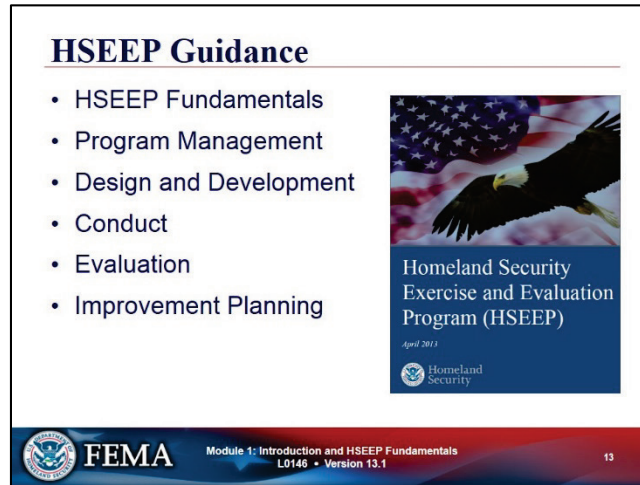nd identify both capability shortfalls and areas for improvement. The intent of exercising is to validate capabilities in each of the five mission areas of the National Preparedness Goal. Exercises bring together and strengthen the whole community in its efforts to prevent, protect against, mitigate, respond to, and recover from all hazards. HSEEP provides an organizational structure that helps to provide a realistic mechanism to test whether the right equipment, personnel, plans, and training exist to validate a particular capability exists.
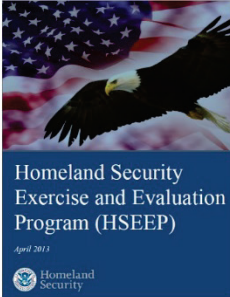
It's incumbent upon us, the exercise planners, to understand the purpose of each exercise we design and sponsor, what the intended outcome is for the exercise, and the core capabilities or procedures the exercise is intended to validate. Shortfalls identified through the evaluation process can direct your organization to areas for improvement, additional resource requirements, shortcomings in plans, policies or communication procedures, or poorly defined roles and responsibilities, all of which can be addressed through improvement planning.

A well-designed exercise provides a low-risk environment to test capabilities, familiarize personnel with roles and responsibilities, and foster meaningful interaction and communication across organizations. Overall, exercises are cost-effective and useful tools that help the nation practice and refine our collective capacity to achieve the core capabilities in the National Preparedness Goal.

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HSEEP Guidance

The current version reflects the feedback, lessons learned, and best practices of the exercise community, as well as current policies and plans.

It includes an overview of HSEEP fundamentals that describes core HSEEP principles and overall methodology. This overview is followed by several chapters that provide exercise practitioners with more detailed guidance on putting the program's principles and methodology into practice.

The doctrine is organized as follows:

Chapter 1: HSEEP Fundamentals describes the basic principles and methodology of HSEEP.

Chapter 2: Exercise Program Management provides guidance for conducting a **Training and Exercise Planning Workshop (TEPW)** and developing a **Multi-year Training and Exercise Plan (TEP).**

Chapter 3: Exercise Design and Development describes the methodology for developing exercise objectives, conducting planning meetings, developing exercise documentation, and planning for exercise logistics, control, and evaluation.

Chapter 4: Exercise Conduct provides guidance on setup, exercise play, and wrap-up activities.

Chapter 5: Evaluation provides the approach to exercise evaluation planning and conduct through data collection, analysis, and development of an **After Action Report (AAR).**

Chapter 6: Improvement Planning addresses corrective actions identified in previous Improvement Plans (IPs) from both exercises and real-world incidents, and describes the processes that aid organizations in tracking corrective actions to resolution.

Ongoing Revision

The U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) will review HSEEP doctrine and methodology on a biennial basis, or as otherwise needed as part of their

ongoing improvement planning process, making necessary modifications and incorporating the latest information on lessons learned from the field.

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HSEEP exercise and evaluation doctrine is flexible, scalable, adaptable, and is for use by stakeholders across the whole community.

HSEEP doctrine is applicable for exercises across all mission areas—prevention, protection, mitigation, response, and recovery. Using HSEEP supports the National Preparedness System.

HSEEP doctrine is based on national best practices and is supported by training, technology systems, tools, and technical assistance.

Exercise practitioners are encouraged to apply and adapt HSEEP doctrine to meet their specific needs.

There continues to exist certain guidance/requirements, not from FEMA but through other sources, that continues to use "HSEEP-compliant" terminology. We want to make sure you understand that there is no such thing as "HSEEP compliant" exercises, exercise planning processes, or improvement planning. HSEEP is a process and methodology **NOT a compliance or prescriptive** process.

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Revision Background

- August 17, 2010, Secretary of Homeland Security directed the revision of the National Exercise Program (NEP)
- FEMA Deputy Administrator for Protection and National Preparedness (NPD) directed the revision of HSEEP to accurately capture and reflect the Secretary's vision for an overall updated and revised exercise program
- 2013 iteration of HSEEP doctrine supersedes the 2007 HSEEP Volumes.

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On **August 17, 2010**, **the Secretary of Homeland Security directed the revision of the National Exercise Program (NEP)** to accurately capture and reflect the Secretary's vision for an overall updated and revised exercise program.

NPD conducted an extensive effort to revise and improve the NEP. The 2013 iteration of HSEEP doctrine supersedes the 2007 HSEEP Volumes, and reflects the participation and collaboration of stakeholders from across the entire emergency management and homeland security enterprise.

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Lesson 1: Review

In this lesson we learned the purpose of HSEEP and how the HSEEP program supports National Preparedness efforts.

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Lesson 1 Review

In this lesson, you have learned about the purpose of HSEEP and how the program supports National Preparedness efforts.
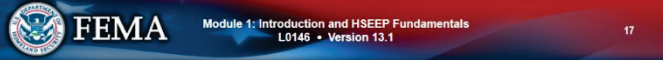
Questions?

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After completing this lesson, you should be able to:

- Describe the HSEEP methodology as set forth in the Exercise Planning Cycle
- Identify how the HSEEP Principles integrate core principles of NPS

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HSEEP Fundamental Principles

- Guided by Elected and Appointed Officials
- Capability-Based, Objective Driven
- Utilizes Progressive Planning Approach
- Whole Community Integration
- Informed by Risk
- Common Methodology

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Lessons learned from other organizations who have implemented their planning programs following the HSEEP principles have shown that these principles are critical to the effective examination of capabilities necessary to successfully respond to all kinds of risks and hazards. By providing a common approach and consistent method for exercise planning, HSEEP principles allow the planning process to remain flexible and accessible to each organization implementing an exercise program—regardless of size or scope of the group or organization, or the planned exercise.

The principles of the HSEEP process include the following:

Guided by Elected and Appointed Officials

The early and frequent engagement of elected and appointed officials is the key to the success of any exercise program. The basic premise here is that our senior officials should provide overarching guidance for the cycle of exercise products and overall preparedness effort. They are engaged in order to provide the overarching guidance and direction for the exercise and evaluation program as well as specific intent for individual exercises.

Capability-based, Objective Driven

The National Preparedness Goal identifies a series of core capabilities and associated capability targets across the prevention, protection, mitigation, response, and recovery mission areas. Through HSEEP, organizations can use exercises to examine current and required core capability levels and identify gaps. Exercises focus on assessing performance against capability-based objectives. There have been some changes to the naming of process steps used to develop exercise objectives which align the process with industry standards for development of objectives for training and evaluation. This will be described in detail in Module 3: Design and Development.

Progressive Planning Approach

A progressive approach includes the use of various exercises aligned to a common set of exercise program priorities and objectives within a cycle of exercises with increasing level of complexity over

time. Progressive exercise planning does not imply a linear progression of exercise types. Those in senior leadership positions in state, territory, tribal, local government and organizations of all sizes can provide direction on the principal objectives that guide each organization's approach to planning and preparedness.

Whole Community Integration

The use of HSEEP encourages exercise planners, where appropriate, to engage the whole community throughout exercise program management, design and development, conduct, evaluation, and improvement planning.

Informed by Risk

Identifying and assessing risks and associated impacts helps organizations identify priorities, objectives, and core capabilities to be evaluated through exercises.

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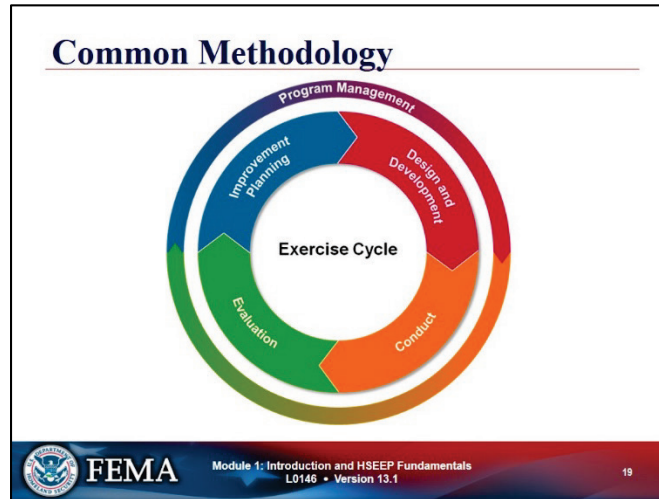
Common Methodology

HSEEP includes a common methodology for exercises that is applicable to all mission areas—prevention, protection, mitigation, response, and recovery. This methodology enables organizations of divergent sizes, geographies, and capabilities to have a shared understanding of exercise program management, design and development, conduct, evaluation, and improvement planning; and fosters exercise-related interoperability and collaboration.

The Exercise Cycle graphic shown here represents the common planning methodology followed for all exercise types and includes: exercise program management, design and development, conduct, evaluation, and improvement planning that is applicable to management of exercise programs and execution of individual exercises—regardless of the scope or scale of the exercise.

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Presidential Policy Directive 8 (PPD-8) describes the Nation's approach to national preparedness. The **National Preparedness Goal** is the cornerstone for the implementation of PPD-8; identified within it are the Nation's core capabilities across five mission areas: *Prevention, Protection, Mitigation, Response, and Recovery*.

The **National Preparedness System** is the instrument the Nation will employ to build, sustain, and deliver those core capabilities in order to achieve the goal of a secure and resilient Nation. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government.

HSEEP exercises enhance consistency in exercise conduct and evaluation while ensuring exercises remain a flexible, accessible way to improve our preparedness and meet the intent of the PPD-8 Guidance.

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Lesson 2 Review

In Lesson 2 information was included that:

• Described the HSEEP methodology as set forth in the Exercise Planning Cycle

• Identified how the HSEEP Principles integrate core principles of NPS

Questions?

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Module 1: Summary

In this module, we have discussed:

- How HSEEP addresses National Preparedness by incorporating Whole Community Principles to facilitate self-sustaining exercise programs
- HSEEP Methodology and capabilities-based planning.

Module 2: Exercise Program Management

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Module 1 Recap

In this module, we have discussed:

- How HSEEP addresses National Preparedness by incorporating Whole-Community Principles to facilitate self-sustaining exercise programs
- HSEEP Methodology and Capabilities-Based Planning

In the next module: **Exercise Program Management**, we will begin to explore the **Exercise Cycle** and the processes that are critical to ensuring a self-sustaining program.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

| Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

HSEEP Training

Module 2

HSEEP Program Management

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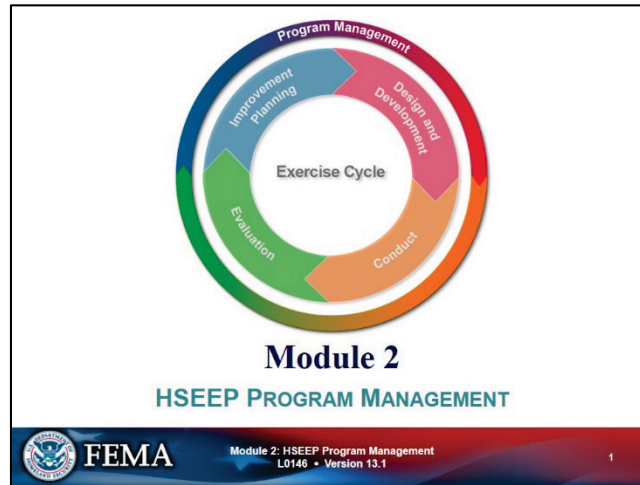
This section of the course is **Module 2 HSEEP Program Management**

In this module we will review the continuous iterative processes used to manage preparedness efforts in support of a community's overall resilience in the face of risks and hazards. Following the HSEEP methodology, training, exercises and evaluation activities, sustained over time, will help organizations create and maintain core capabilities.

Slide 2

Module 2 Terminal Objective

The purpose of this module is to provide you with an overview of the **HSEEP Program Management** processes and how they are used to develop, implement and maintain a **progressive multiyear training and exercise program**.

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Module 2 Agenda

This module will focus on the following aspects of HSEEP Program Management

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Module 2: Agenda

Lesson 1: Engaging Elected and Appointed Officials

Lesson 2: Multi-Year Training and Exercise Planning

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Lesson 1: Engaging Elected and Appointed Officials when establishing Preparedness Program priorities. Those in senior leadership, who hold positions with decision-making authority, fulfill this role.

Lesson 2: Multi-Year Training and Exercise Planning

These two activities provide long-term priorities for an effective exercise program. Exercise practitioners are encouraged to apply and adapt HSEEP guidance on exercise program management to meet the specific needs of their local jurisdiction or organization.

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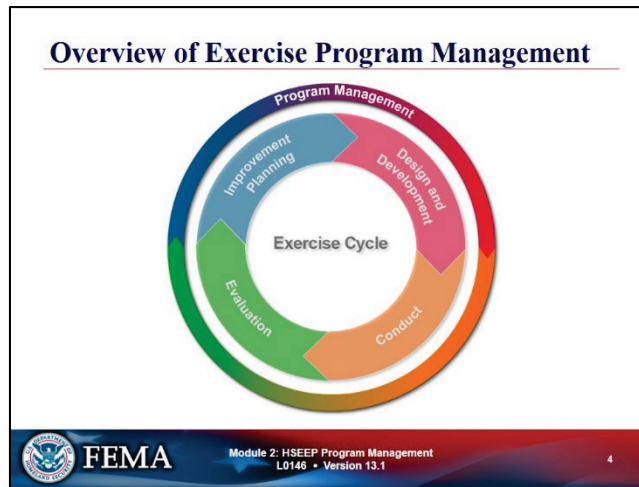
Overview of Exercise Program Management

Exercise program management is the ongoing process of overseeing and integrating a variety of exercises over time. An effective exercise program helps organizations maximize efficiency, resources, time, and funding by ensuring that exercises are part of a coordinated, integrated approach to building, sustaining, and delivering core capabilities. This approach—called multi-year planning—begins when elected and appointed officials, working with whole community stakeholders, identify and develop a set of multi-year exercise priorities informed by existing assessments, strategies, and plans. These long-term priorities help exercise planners design and develop a progressive program of individual exercises to build, sustain, and deliver core capabilities.

Effective exercise program management promotes a multi-year approach to:

Engaging elected and appointed officials	Establishing multi-year exercise program priorities
Developing a multi-year TEP	Maintaining a rolling summary of exercise outcomes
Managing exercise program resources	

Through effective exercise program management, each exercise becomes a supporting component of a larger exercise program with overarching priorities. Exercise practitioners are encouraged to apply and adapt HSEEP doctrine on exercise program management to meet their specific needs.

Let's look at these key elements in greater detail.

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Lesson 1: Engaging Officials

Lesson 1 presents the groundwork Emergency Management practitioners complete to determine major capability requirements through a hazard and risk assessment, validate capability priorities for their organization and identify which priorities will be addressed in individual exercises.

To this end, after completing this lesson, you should be able to identify:

- How components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities,

- The role elected and appointed officials (and those in senior leadership) play in identifying priority capabilities that will be addressed through training and exercises,

- The importance of engaging these officials early and often throughout the HSEEP Program Management process.

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National Preparedness System Components

As described in Module 1, the **National Preparedness System** outlines a process for communities to use in their preparedness activities to achieve the **National Preparedness Goal**. The National Preparedness Goal describes the **31 core capabilities** communities can use to evaluate their current state of preparedness and set targets for improvements to do their part in meeting the preparedness goal.

There are **six components of the National Preparedness System,** and these are represented in the inner circle of tasks shown on this NPS graphic.

Each component of NPS provides communities with a reliable and consistent approach for identifying high-priority capability targets. Verifying available resources and resource allocation requirements for meeting capabilities can be used to help measure progress toward meeting preparedness targets.

The six NPS components are:

Identifying and Assessing Risk
This component involves collecting historical and recent data on existing, potential, and perceived threats and hazards. One tool used in addressing this component is the Threat and Hazard Identification and Risk Assessment (THIRA).

Estimating Capability Requirements
This component involves determining the resources required to best address those risks, and where communities currently stand in meeting those requirements. Some capabilities may already exist and need to be sustained, and some may need to be obtained or built.

Building and Sustaining Capabilities
This involves figuring out the best way to use resources to build capabilities. You can use the risk assessment to prioritize resources to address the highest probability or highest consequence threats.

Planning to Deliver Capabilities

This component involves all parts of the whole community in developing and updating plans to support delivering these core capabilities.

Validating Capabilities

Participating in exercises, simulations, or other activities helps address this component by identifying shortfalls in plans and capabilities. It also shows progress toward meeting preparedness goals.

Reviewing and Updating Risks, Tools and Resources

This component involves regularly reviewing and updating all of the tools used to address these components. Risks and resources evolve—and so should preparedness efforts.

The focus of the process is on:

- Determining what resources are needed to meet capability requirements
- Examining current resource levels within the community or organization
- Comparing the current resource levels to what is required to meet capability targets, and provide a list identifying levels of sufficiency, surpluses, and shortfalls of those resources required to meet the capability. These results provide foundational data used by Emergency Management Officials to identify training and exercises intended to expand on and validate these capabilities.

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Exercise Foundation

Because of natural shifts in community demographics, research on, and validation of, high-priority capability targets is key to the successful implementation of any exercise program.

This research includes a review of previous risk assessments and analysis of your jurisdiction's/organization's current threats and vulnerabilities. This review process looks at the data in light of existing policies, plans and procedures, program grant requirements and cooperative agreements, existing **Training and Exercise Plans (TEP)**, **After-Action Reports** from real-world events and **Improvement Plans** developed in response to real-world events or following evaluation of exercises. Taken together, this information should provide an accurate picture of the current state of preparedness and **Multiyear Program Priorities** and essential functions of each organization that provides emergency services and support to the community during a crisis.

The exercise planning team uses this process to become familiar with not only their own jurisdictions capabilities, but also the capabilities of neighboring jurisdiction—or community organizations—with whom they partner; sharing capabilities by establishing agreements to share resources.

A critical component of this review process is **review of current community demographics** and **engaging Senior and Elected Officials** or those in **Senior Leadership** roles within stakeholder organizations (or their delegates) to verify emergency planning priorities.

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Elected and Appointed Officials

Emergency Management practitioners, senior elected and appointed officials, and those in leadership positions who have decision-making and funding authority should be engaged to the extent possible in identifying priority capability targets.

Officials in leadership positions utilize the outcomes of ongoing assessment processes to identify and validate high priority capability targets that planning officials will address through a schedule of training and exercises. Senior leadership is responsible for gathering information from reference sources for use in identifying the core capabilities of highest concern to local and organizational planning efforts:

- Results of risk assessments
- Reports of current status of the preparedness effort, and/or applicable SOPs and functional agreements.

This leadership should be engaged early in the exercise program management process, and consulted again at critical decision points to identify a schedule of training and exercises to improve capabilities.

Since local planners often report difficulty in engaging senior leadership in this process, the individual community and/or organization should strive to identify throughout the program planning process where opportunities may exist to engage leadership in meaningful ways. One way to engage leadership and build more support from senior and elected officials for the exercise program as a component of the larger NPS effort is to invite them to attend exercise events, and assign someone from the planning team to act as a tour guide to various staging areas of the exercise. At each of these staging areas this tour guide should be prepared to provide these officials with information on the critical capabilities their particular jurisdiction or organization are attempting to address through the exercise, and describe the importance of the participation of the various participating stakeholder agencies and organizations in addressing the broader Emergency Management goals and meeting capability targets.

Recognizing that a community's preparedness status is dynamic and changes as the community demographic undergoes change, another method available to engage officials is to implement the **Rolling Summary Report**, which is a new addition to the revised HSEEP guidance. Since it is critical to begin each planning effort with a review of the local Emergency Management research, and maintain situational awareness on capabilities of stakeholder and partner organizations, this report can be used to keep those in senior leadership aware of progress made toward meeting priority capabilities.

These reports are another method of providing officials with information on the periodic assessment of the exercise program's overall progress toward meeting capabilities and raise awareness on the role of exercises in ensuring the needs of the community are being adequately met. Program managers should attempt to identify what motivates interest from senior officials and engage officials at their level of interest. If the primary focus of your particular leadership is limited to budgetary aspects, be prepared to provide leadership with explanations on how the exercise program helps to target funding requirements during staging area tours or through the summary report process. The important point is to use your knowledge of topics of importance to your senior leadership to provide a frame of reference customized to the level of interest your senior leadership will understand. The Rolling Summary Report will be described in greater detail in Lesson 2.

This engagement process of review, validation and report-back ensures the success of the HSEEP Exercise Cycle by ensuring each exercise effort addresses the latest local trends and priority capability targets. The outcomes of this iterative process set priorities that guide exercise planning and set the specific intent for individual exercises.

References:

Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide (CPG) 101

Whole_Community_Dec2011.pdf

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Multiyear Program Priorities

Multiyear program priorities are the outcome of leadership's assessment of hazards and risks related to specific core capability targets. They guide the development of exercise program objectives as well as objectives developed for individual exercises. At the program management level these priorities are used as the basis for identifying the type and range of exercises that will form a progressive, comprehensive, integrated exercise program.

Within the HSEEP planning cycle a roadmap for planning is developed at the **Training and Exercise Planning Workshop (TEPW)** through the collaborative effort of community stakeholders. This process will also be explained in Lesson 2.

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Lesson 1 Review

This is the end of Lesson 1. In this lesson we discussed:

- How components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities
- The role elected and appointed officials play in identifying priority capabilities that will be addressed through training and exercises
- The importance of engaging these officials early and often throughout the HSEEP Program Management process.

Questions?

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Lesson 2: Developing a Multiyear Training and Exercise Plan

In Lesson 2 you will learn how Emergency Management and Elected and Appointed Officials identify priorities to address in the development of a Multiyear Training and Exercise Plan.

After completing this lesson you should be prepared to explain:

- The purpose of a Training and Exercise Planning Workshop (TEPW)
- The purpose a Multiyear Training and Exercise Plan (TEP) and development and coordination of the Multiyear Training and Exercise Schedule
- Exercise Program Manager's role in managing program resources and how the Rolling Summary Report supports these efforts.

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Training and Exercise Plan Workshop
- Program Level Planning
- Held on periodic basis
- Planning based on program needs or predetermined requirements.

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Training and Exercise Plan Workshop

The creation of effective capabilities-based training and exercise programs begin with a multi-year **Training and Exercise Plan (TEP)**. This is not the same as the planning meetings used to identify and plan for individual exercises, but is a larger overarching effort designed to bring together stakeholders from across the community to establish PROGRAM LEVEL priorities and establish a multi-year schedule of training and exercise activities designed to address those priorities and validate core capabilities.

The Training and Exercise Planning Workshop (TEPW) provides a collaborative environment for these Whole Community stakeholders to engage in a forum to discuss and coordinate training and exercise activities across local organizations in order to maximize the use of available resources and prevent duplication of effort. Stakeholders can include government agencies, public safety agencies engaged in Emergency Management and should include hospital groups, nonprofit or NGOs who assist with sheltering and mass-casualty response such as the Red Cross or Salvation Army, or other public and private sector groups who provide additional services to support local infrastructure. This should also include organizations involved in communication, IT or networking through social media, or methods used to ensure operational continuity and essential functions through government, military (National Guard) or other stakeholder partners. Agencies, jurisdictions and public or private sector partners responsible for delivering or supporting the delivery of core capabilities to the local community should participate in the workshop. We will look at who these participants might be momentarily.

TEPWs are held on a periodic basis (e.g., annual or biennial) depending on the needs of the program requirements (grant or other funding or cooperative agreements).

The TEPW establishes the strategy and structure for your overall exercise program and sets the foundation for the planning, conduct, and evaluation of individual exercises.

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Why? Purpose of the TEPW

The TEPW is held to **coordinate exercise schedules at state, regional, and jurisdictional levels** and **eliminate duplicative efforts** to avoid over exercising and to share resources and knowledge.

The purpose of the TEPW is to engage elected and appointed officials in identifying exercise program priorities and planning a schedule of training and exercise events to meet those priorities.

During the workshop participants:

- Review program accomplishments to date
- Review each jurisdiction's progress and accomplishments over the past year
- Identify needs and modifications required—such as changes to the Multi-Year Training and Exercise Schedule or other information and planning that may need updating
- Translate these needs into priorities and develop specific objectives to address through exercises
- Track IP actions against current capabilities, training, and exercises
- Identify and coordinate possible funding sources, and most important
- Coordinate exercise activities and scheduling—a major part of the workshop should be spent on schedule coordination since the workshop is an excellent opportunity for all jurisdictions to coordinate their exercise schedules to avoid duplication of efforts and collaborate to maximize resources. This is especially beneficial for scheduling of exercises tied to "grant deliverables".

The TEPW is one of the key elements of HSEEP because it is an opportunity for Whole Community stakeholders to discuss and develop a plan to increase preparedness using a carefully coordinated training and exercise schedule. This allows local organizations to more effectively function as a whole when translating goals and priorities into specific objectives and exercises, coordinating exercise activities, and tracking Improvement Plan actions against current capabilities, training and exercises.

Note: The TEPW can be mandated at the state government level, but can also be used at the local government level. Some grant guidance also specifies exercises as a grant deliverable. The TEPW can be used to coordinate grant deliverables on a multijurisdictional level.

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### Who? Whole Community Participants

It's important to have the right people at the table when conducting the Training and Exercise Planning Workshop. Using **whole community** concepts, exercise program managers should identify **stakeholders and senior leaders from organizations** including but not limited to:

- **Representatives from relevant disciplines** that would be part of the exercises or any real-world events
- **Senior leaders or those responsible for providing resources to support exercises**
- **Individuals with administrative responsibility** relevant to exercise conduct
- **Representatives from volunteer, nongovernmental, or nonprofit or social support organizations**, including advocates for children, seniors, individuals with disabilities, those with access and functional needs, racially and ethnically diverse communities, people with limited English proficiency, and animals.

In keeping with the **"Whole Community"** approach, which focuses on enabling the participation of a wider range of players from the **private and nonprofit sectors** (including non-governmental organizations and the general public in order to foster better coordination and working relationships). it may be appropriate to include some of these stakeholders in the workshop planning process, particularly if it is likely there would be a need to enter into formal agreements to provide assistance during disaster response. It's critical that those who attend are individuals who have **the authority to make decisions** and are empowered to carry them out. This includes a **manageable number of officials from participating agencies.** The officials who attend from participating agencies are those who sponsor training and exercises and should not be confused with those involved in exercise planning or players.

Once a comprehensive set of stakeholders has been identified, exercise program managers can integrate them into the exercise program by having them regularly participate in TEPWs.

Slide 15
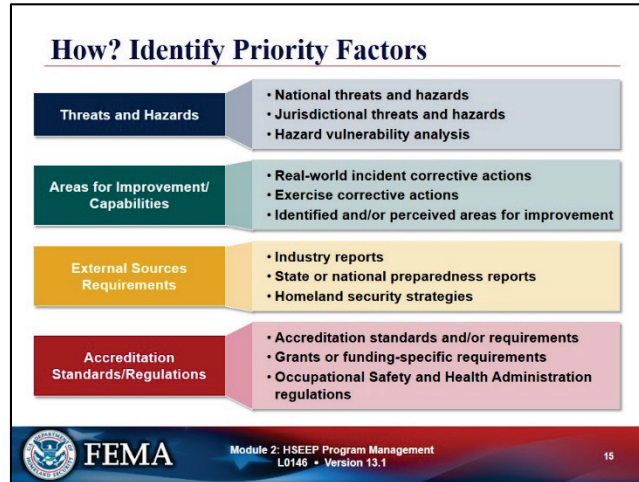
How? Identify Priority Factors

Planning is not a theoretical process that occurs without an understanding of the community, nor is it a scripting process that tries to prescribe hazard and response actions. Addressing the priority capabilities and their targets requires the combined efforts of the whole community and community-based plans provides a starting point for establishing preparedness operations, and adjusting operations as required. Because of the importance of this process, it is important that the TEPW engages individuals from partner organizations who can adequately weigh the risk specific to each discipline, functional area, and group represented by stakeholder organizations who work together to identify the CONTEXT of the threats or concerns of the local community.

At this stage, the overall goal of the workshop process is to identify the scope of the program planning effort. Outcomes of the process include lists of training and exercise processes or events aimed at building and sustaining the core capabilities that senior officials and leadership identify as priorities.

In support of these efforts the first task of TEPW participants is to identify factors for consideration in developing exercise program priorities which are the strategic, high-level priorities that will be used to guide the overall exercise program. These priorities form the development of individual exercise objectives to ensure that individual exercises evaluate and assess the community's priority capability targets in a coordinated and integrated fashion.

TEPW participants should consider the following factors:
- National Preparedness Goal and other strategy and guidance documents
- Threats and hazards including:
  - National threats and hazards
  - Organizational or jurisdictional threats and hazards

- Threat and Hazard Identification and Risk Assessment (THIRA)
- Local risk assessments
- Hazard vulnerability analysis.

Areas for improvement/capability assessments from exercises and real-world events, including:

- Strengths to be shared with other organizations
- Open and non-validated corrective actions
- Identified and/or perceived areas for improvement.

External sources and requirements, including:

- Industry reports
- State or national preparedness reports
- Homeland security strategies.

Accreditation standards, regulations, or legislative requirements, including:

- Accreditation standards (e.g., hospital accreditation requirements)
- Regulations or legislative requirements.

Workshop participants consider all the identified risk factors associated with each high priority capability and compare the resources necessary for addressing each against the resources available from all stakeholder organizations. This process can be used to identify the capabilities that are in greatest need of improvement that senior officials and leadership can designate for use in guiding the overall direction of a progressive training and exercise program.

Slide 16
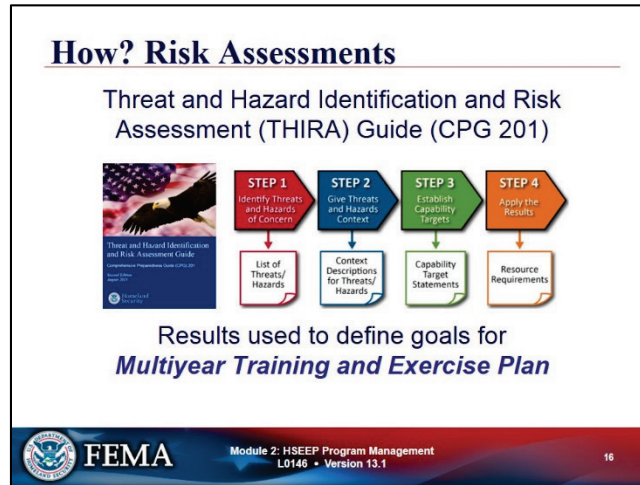
How? Risk Assessments

One method communities can use to determine program priorities is to conduct risk assessments following the process presented in the **Threat and Hazard Identification and Risk Assessment (THIRA) Guide,** *Comprehensive Preparedness Guide (CPG) 201***,** *Second Edition August 2013*. The THIRA process defines four steps communities can use to identify and understand likely vulnerabilities. We recommend you read CPG 201 as well as the publication **Developing and Maintaining Emergency Operations Plans,** *Comprehensive Preparedness Guide (CPG) 101***,** *Version2, November 2010.* Both preparedness guides describe processes that can help state and local partners understand the basics of the hazard and risk assessment process and how it supports the development of good program and operational plans.

Each industry that provides support for local infrastructure may also have additional guidelines that can be used as reference, providing workshop participants guidance in identifying the scope of program plans by describing standards and credentialing requirements for various stakeholder organizations.

The THIRA assessment process is intended to help stakeholders identify and prioritize capability targets and desired outcomes which can be tracked over time to identify improvement requirements in order to deliver or sustain core capabilities.

The five basic steps of the THIRA process support the preparedness planning effort, and these are:

Step 1. Identify the Threats and Hazards of Concern. Based on a combination of experience, forecasting, subject matter expertise, and other available resources, identify a list of the threats and hazards of primary concern to the community.

Step 2. Give the Threats and Hazards Context. Describe the threats and hazards of concern, showing how they may affect the community.

Step 3. Establish Capability Targets. Assess each threat and hazard in context to develop a specific capability target for each core capability identified in the National Preparedness Goal. The capability target defines success for the capability.

Step 4. Apply the Results. For each core capability, estimate the resources required to achieve the capability targets through the use of community assets and mutual aid, while also considering preparedness activities, including mitigation opportunities.

Because the THIRA process is scalable and focuses on identification of core capabilities for each mission area outlined in the National Preparedness Goal, it **can be employed at all levels of response planning**—by small, one-person departments as well as larger organizations with greater needs and resources.

Using the results of this risk analysis process, organizations of **all sizes** can develop a strategy for allocating resources more effectively to achieve capability targets and reduce risk. On a smaller scale these assessment steps can also be utilized to reassess and update the current hazard and risk landscape when planning for development of training or individual exercises.

When used as part of a continuous cycle of capability assessment, developing program plans, and planning for individual exercises, the incorporation of the results from repeated cycles of the THIRA process allows organizations to identify and manage changes to their risk landscape.

Publishing the results of the program level assessment process provides transparency into the planning process, and educates the community at large on the local preparedness environment by alerting individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing the community. Publishing assessment results can also rally support for preparedness and resource funding to build and sustain capabilities within the local community.

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How? Link Core Capabilities

Using the latest demographic information for the local community or organization, elected and appointed officials and/or senior organizational leaders with decision-making authority review a compiled list of capabilities that is obtained from the risk assessment process to determine which capabilities are of greatest concern. From this list of capabilities, leadership officials identify those that should be considered high priorities for improvement, and these become the focus of annual training and exercise efforts.

Once these priority capabilities are identified, workshop participants attempt to identify which of the assembled stakeholder organizations have responsibility for providing support toward mitigation of the identified risks. When the time comes for planning individual exercises, Exercise Program managers must determine which of these organizations should be invited to participate in planning for individual exercise events.

Let's look at how these core capabilities are identified.

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Mission Areas/Core Capabilities

During the TEPW community stakeholders work together to identify priorities for preparedness improvement efforts by reviewing and assessing the resource requirements related to each of the **mission areas** identified in the National Preparedness Goal.

Core capabilities are distinct critical elements necessary to achieve the specific capability related to these five mission areas of prevention, protection, mitigation, response, and recovery. By linking each risk factor to one or more capabilities that can address the risks associated with a particular mission area, participants identify and prioritize the capabilities to be addressed through the Emergency Management program.

This review process frames the planning efforts within the context of the mission areas and ensures assessments evaluate current status of the personnel, teams, facilities, equipment and supplies, existing

plans, procedures, strategies, training, exercises, programs, systems, technologies, services, funding, authorities, laws, ordinances and policies necessary to meet capabilities for each of the five mission areas.

Maintaining this CONTEXT for the planning effort is very important since training and exercises can sometimes be viewed as taking resources away from other political priorities. To avoid politicizing the planning effort, it is important for workshop facilitators and participants to be aware that the potential does exist for some workshop participants to promote political agendas. To maintain an appropriate context workshop, participants should work together to link the training and exercise program efforts to **real world capability priorities.** Emphasizing the linkage of the program, training and exercises to mission-critical core capabilities during the early program planning stages, as well as during development of individual exercises, can keep these planning discussions focused on the context a program of training, exercises and improvement planning designed to meet both local and national preparedness efforts.

Slide 19
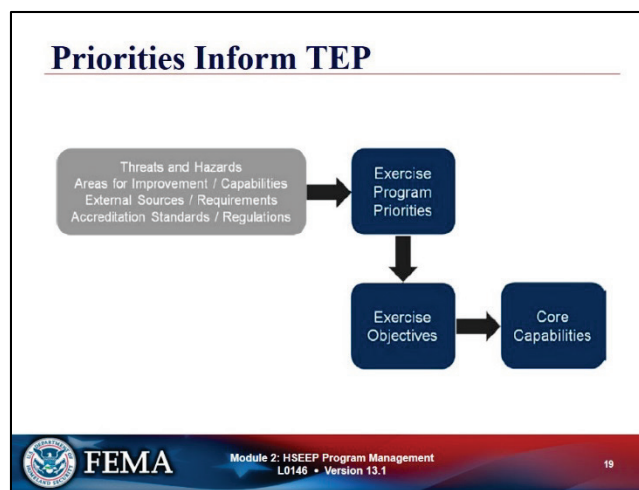
Priorities Inform TEP

The identified priorities inform the Training and Exercise Plan and ensure the tasks associated with each of the high-priority capabilities measure, assess and validate the community's existing capabilities within the context of each identified Mission Area.

One or more of these priority capabilities and their associated tasks will become the focus of training and exercises within the larger program plan and the individual exercise program when developing objectives for training and exercises.

This graphic illustrates the relationship between these program level priorities and exercise objectives that are designed to identify the individual tasks required to maintain core capabilities.

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Activity 1

Activity 1 (Optional):
THIRA Process for Establishing Priorities

Objective:
Using the THIRA process to prioritize capabilities targets to address using training and/or exercises.

Time: 10–15 minutes

Instructions:
Group discussion of hazard and risk assessment process for use in identifying priority capability targets.
With your group, please identify the top three Core Capabilities and targets. (Since the groups are comprised of varied entities, you may need to compromise for purposes of the activity.)

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THIRA for Establishing Priorities

Objective: Use the THIRA or hazard and risk assessment process to prioritize capabilities targets to address using training and/or exercises.

Time Required: 10–15 minutes.

Instructions: Utilize guided discussion of the hazard and risk assessment process stakeholder organizations use to identify priority capability targets for planning purposes.

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Multiyear Training and Exercise Plan

Outlines Program:
- Characteristics
- Vulnerabilities/Challenges
- Priorities/Goals/Objectives
- Exercise Methodology
  - Targeted capabilities
  - Planned exercises
  - Training courses
- Exercise Schedule/Timeline

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The **Multi-year Training and Exercise Plan** is designed to coordinate the effort to provide improved capabilities among all stakeholder organizations.

In developing a TEP, stakeholders should remember that public law, presidential directives, grant requirements, or various regulations may outline specific functional and reporting requirements and

timelines for certain exercises; therefore jurisdictions must review all funding source requirements as they prepare to establish their program plan.

The component of a typical Multiyear Training and Exercise Plan should present an outline of the identified **program priorities and target capabilities** to be addressed using an associated multiyear training and exercise **schedule.**

Major components to the plan include:

- The **Purpose** provides an overview of the TEP document and the organization's overall training and exercise program for a specific multi-year time period.

- **Program priorities** describes how the organization established the priorities and how the existing strategy documents, THIRA, capabilities assessments, and past After Action Reports (AARs) and Improvement Plans (IPs) informed the development of the priorities.

- Program **Methodology and Tracking**. Outline how the training courses and exercises were selected and how they will be tracked with respect to progression and improvement. The approach should challenge participants with increasingly advanced scenarios, verify lessons learned, demonstrate areas for improvement, offer means of evaluation, and ensure a method to share lessons learned and best practices.

- Multiyear **exercise training and exercise schedule.** A schedule of exercises that should illustrate the proposed activities scheduled in the Multiyear Training and Exercise Plan.

A progressive approach, with exercises that build upon each other and are supported with training resources, ensures that organizations do not rush into a full-scale exercise too quickly.

Following is a review of the different types of exercises that may be included in the multi-year plan.

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Discussion-Based Exercises

The first level of exercises is **Discussion-based** exercises.

Discussion-based exercises include **seminars, workshops, tabletop exercises (TTXs), and games.** These types of exercises can be **used to familiarize players with current plans, policies, agreements, and procedures or develop new plans, policies, agreements, and procedures**. Discussion-based exercises focus on strategic, policy-oriented issues.

Seminars generally orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas. As a discussion-based exercise, seminars can be valuable for entities that are developing or making major changes to existing plans or procedures. Seminars can be similarly helpful when attempting to gain awareness of, or assess, the capabilities of interagency or inter-jurisdictional operations.

Similar to seminars, **workshops** differ in two important aspects: participant interaction is increased, and the focus is placed on achieving or building a product. Effective workshops entail the broadest attendance by relevant stakeholders. Products include new standard operating procedures (SOPs), emergency operations plans, continuity of operations plans, and mutual aid agreements. The workshop format is open and adaptable to different purposes. They can be done in a tabletop format with scenario and presentation slides but be designed to have players actually develop a procedure or procedural step, or design a plan or plan element. While they can be conducted in many different ways, to be effective, workshops should focus on a specific issue, focused objective, product, or goal that is clearly defined.

TableTop Exercises which are commonly referred to by their acronym—**TTXs**, are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in perceptions. Players are encouraged to discuss issues in depth, collaboratively examining areas of concern and solving problems. The effectiveness of a TTX is derived from the energetic involvement of

participants and their assessment of recommended revisions to current policies, procedures, and plans; therefore facilitation is critical to keeping participants focused on exercise objectives. They come in a variety of *flavors* that fall into two types—the **traditional basic or advanced TTX**. Basically, an **advanced TTX provides more complex exercise play** that can combine certain disciplines, with small teams or task level or functional area players working on games in coordination with senior level players using a scenario that improves or moves forward over time in a series of moves over several modules. The idea is to use TTXs as a way to look at traditional functional and task level policies and procedures, and especially where these involve coordination across multiple jurisdictions or organizations in order to identify potential improvements.

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 hypothetical situation. Depending on the game's design, the consequences of player actions can be either pre-scripted or decided dynamically. Identifying critical decision-making points is a major factor in the success of games because players make their evaluated moves at these crucial points.

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Operations-Based Exercises

Operations-based exercises are more complex and include *drills, functional exercises (FEs)*, and *full-scale exercises (FSEs)*. These exercises are used to validate plans, policies, agreements, and procedures; clarify roles and responsibilities; and identify resource gaps. Operations-based exercises are characterized by actual *implementation of response activities* in reaction to an exercise scenario.

A **drill** is a coordinated, supervised activity usually employed to validate a specific function or capability in **a single agency or organization.** Drills are commonly used to **provide training on tasks specific to new equipment or procedures, to introduce or validate procedures, or practice and maintain current skills**. Drills can also be used to determine if plans can be executed as designed, to assess whether more training is required, or to reinforce best practices. During drills the command and control or coordination of agency or organizational elements are simulated or not in play.

A drill is useful as a stand-alone tool for use when implementing the use of new equipment or procedures within a single agency or organization, but a series of drills can also be used to prepare several agencies and organizations to collaborate in a Full Scale Exercise or FSE.

Functional Exercises or FEs are traditionally used to evaluate coordination of **management-level command and control functions** and are designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. As they are traditionally used FEs focus on exercising plans, policies, procedures, and staff members involved in **management, direction, command, and control branches of the Incident Command System (ICS) and Unified Command, or multiagency coordination centers (e.g., Emergency Operations Centers [EOCs])** where movement of personnel and equipment and task level activities are usually simulated.

FSEs are typically the most complex and resource-intensive type of exercise and include command-and-control, functional and task level components. They are conducted in a real-time, stressful environment intended to mirror a real incident where many activities occur simultaneously throughout the duration of the exercise. In an FSE, events are projected through an exercise scenario with event updates that drive activity at the operational level. They involve multiple agencies, organizations, and jurisdictions and validate many facets of preparedness operating under the Incident Command System (ICS) and Unified Command, or multiagency coordination centers (e.g., Emergency Operations Centers [EOCs]). Personnel and resources may be mobilized and deployed to the scene where actions would be conducted as if a real incident had occurred. The FSE simulates reality by presenting complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel. The level of support needed to conduct an FSE is greater than that needed for other types of exercises. Safety issues, particularly regarding the use of props and special effects, must be monitored and the exercise site or venue is usually large; therefore site logistics require careful planning and close monitoring.

Not every exercise that you can do will neatly fit into these seven exercise types. This is especially true as you move towards the use of games as operational exercises that may have elements of one or more exercise types.

For example:

Do you think it is possible for a game—which is a type of discussion-base exercise—to utilize Controllers to facilitate exercise play? Games are often described as a competition between two or more **teams**, but are also described as an exercise event where players utilize a computer or some sort of technology which alters scenario play based on player actions and responses.

Controllers are not typical participants for discussion-based exercises, but games can also be used to describe exercise scenarios designed to explore individual **OR** team decision-making processes.
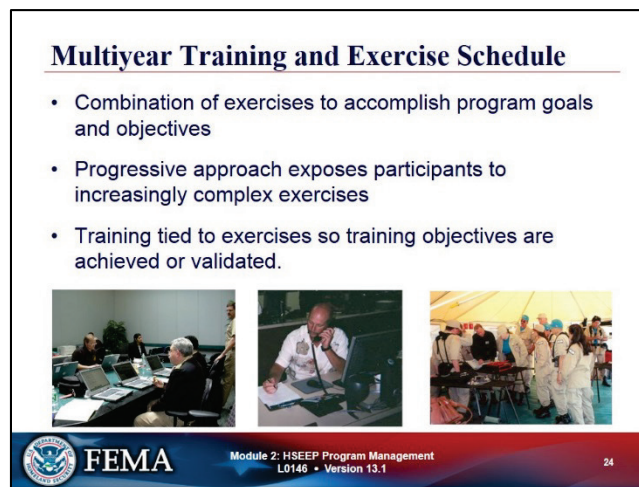
When games are used to evaluate team decisions rather than individual player actions, **Controllers** (rather than a computer) implement various scenario paths based on team decisions using a flow chart

representing the decision points within the scenario, with instructions provided for altering game play as a result of competing team decisions at each decision point.

Another example of this blending of types and terminology crossover is the use of Seminars to introduce new plans or procedures. Seminars usually do not include a feedback or evaluation process; however, Seminar attendees may possess expertise or insights not available to the originators of the plan. To provide the opportunity to obtain added value from the Seminar process, attendees should be provided with the added feature of a feedback mechanism to allow attendees the opportunity to raise questions or concerns on details of plan implementation, and invite recommendations on potential improvements for implementation of the plan in the field.

The main thing to remember is to avoid getting hung up over the HSEEP exercise *type* terminology when your exercise uses elements of different types, or incorporates additional focus areas in a blended delivery. In these cases be prepared to characterize and describe your blended exercise activities using one or more exercise of the common exercise type descriptions, and be sure to describe the rationale for blending these types in your exercise program plan and when describing requirements for the design and development of scenarios and implementation of exercise conduct.

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The **Multiyear Training and Exercise Schedule** should reflect a progressive program of increasingly complex exercises with each exercise building on the capabilities tested and validated in previous exercises. When building a training and exercise schedule, be sure that it is not overly aggressive. Think about what needs to be accomplished and how it can be efficiently accomplished through a combination of efforts and resources.

The schedule should:

- Provide a **graphic representation** of the proposed activities scheduled in the **Multiyear Exercise Plan.**
- Emphasize coordination between jurisdictions.

- Allow **adequate time** for a natural progression of increasingly complex exercises designed **to build and validate capabilities**.

Creating a multiyear training and exercise schedule requires ongoing coordination with stakeholders to:
- Identify the appropriate type and timeline for exercises,
- Consider current capabilities and preparedness levels,
- Experience of stakeholder organizations
- Personnel training and equipment acquisition schedules.

The completed Multiyear TEP and schedule should be distributed to the appropriate Emergency Management personnel throughout the state or jurisdiction. Templates for creation of the Multiyear TEP and other exercise documentation are available on the **HSEEP homepage at https://www.llis.dhs.gov/hseep**.

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Activity 2

Activity 2 (Optional): TEPW Schedule Development

Objective: Prepare for a TEPW to coordinate training and exercise priorities, goals, and types

Time: 15 minutes with 10-minute report-back

Instructions:
1. Determine your top two capabilities in your group.
2. Determine existing training/exercises that exist.
3. Determine new training/exercises required to meet core capabilities.
4. Place training and exercises on board.

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TEPW Schedule Development
Objective: Discuss activities that should be included/listed in the TEP Schedule (timeline).

Time Required: 10–15 minutes.

Instructions: Guided discussion on the dates/scheduling of activities across the TEP Schedule (timeline), including de-conflicting of scheduled activities across whole community stakeholder organizations.

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Rolling Summary of Outcomes

To help ensure that exercise program priorities are adequately addressed, Exercise Program Managers should periodically develop and distribute a **rolling summary of exercise outcomes**, or **rolling summary report**. A rolling summary report provides stakeholders with an analysis of issues, trends, and key outcomes from all exercises conducted as part of the exercise program.

The **rolling summary report is** not a collection of AARs, but rather **an analysis of trends across exercises**. It is developed periodically throughout the series of exercises completed as part of a multi-year TEP (e.g., quarterly or biennially, depending how many exercises are conducted). This report is **intended to serve as an exercise program management and communications tool**, which informs stakeholders and guides the development of future exercises.

This report is designed to:
- **Inform** elected and appointed officials on the progress of the exercise program
- Provide data to **support preparedness assessments and reporting requirements**
- Enable exercise planners to **modify objectives and the exercise schedule as required** to reflect knowledge gathered from the exercises.

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Managing Exercise Program Resources

An effective exercise program should utilize the full range of available resources. Program managers should also ensure they have planned for an exercise budget, program staffing, and other program support resources.

Exercise Budget Management

Effective budget management is essential to the success of an exercise program, and it is important for exercise managers to maintain awareness of their available resources and expected expenditures. In developing and maintaining an exercise program budget, program managers should work with the full range of stakeholders to identify financial resources and define monitoring and reporting requirements as required by individual exercises.

Program Staffing

Program managers should identify the administrative and operational staff needed to oversee the exercise program. The TEP can be the basis for determining exercise program staffing needs in addition to grant funds or other programmatic considerations. Program managers should also identify gaps between staffing availability and staffing needs. Exercise program managers can consider alternative means of procuring staff members, such as adding volunteers, students from universities (e.g., student nurses or emergency management students), or interns.

Other Resources

Exercise program managers should also consider other resources that can support exercises. Such resources can include:

- Information technology (e.g., modeling and simulation capabilities)
- Exercise tools and resources (e.g., document templates)
- Materials from previous exercises
- Training courses

- Mutual aid agreements, memoranda of understanding, and memoranda of agreement
- Technical assistance
- Equipment or props (e.g., smoke machines).

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Lesson 2 Review

In this lesson, you have learned:

- The purpose of a Training and Exercise Planning Workshop (TEPW)
- The purpose a Multiyear Training and Exercise Plan (TEP) and development and coordination of the Multiyear Training and Exercise Schedule
- Exercise Program Manager's role in managing program resources and how the Rolling Summary Report supports the Exercise Program Priorities.
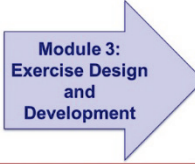
Questions?

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Module 2: Exercise Program Management Summary

As a review of the materials covered in Module 2:

- You've learned how the components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities and how they are used in HSEEP Program Management.
- You understand the importance of engaging Senior Officials in identifying priority capabilities to be addressed through a progressive, comprehensive and integrated series of training and exercises.
- You identified the purpose of a Training and Exercise Planning Workshop (TEPW) and how stakeholders work together for development and coordination of the Multiyear Training and Exercise Plan (TEP) and Multiyear Training and Exercise Schedule.

In the lessons that follow you will be able to use your understanding of these program management processes to gain a better understanding of the planning activities involved in development of individual exercises.

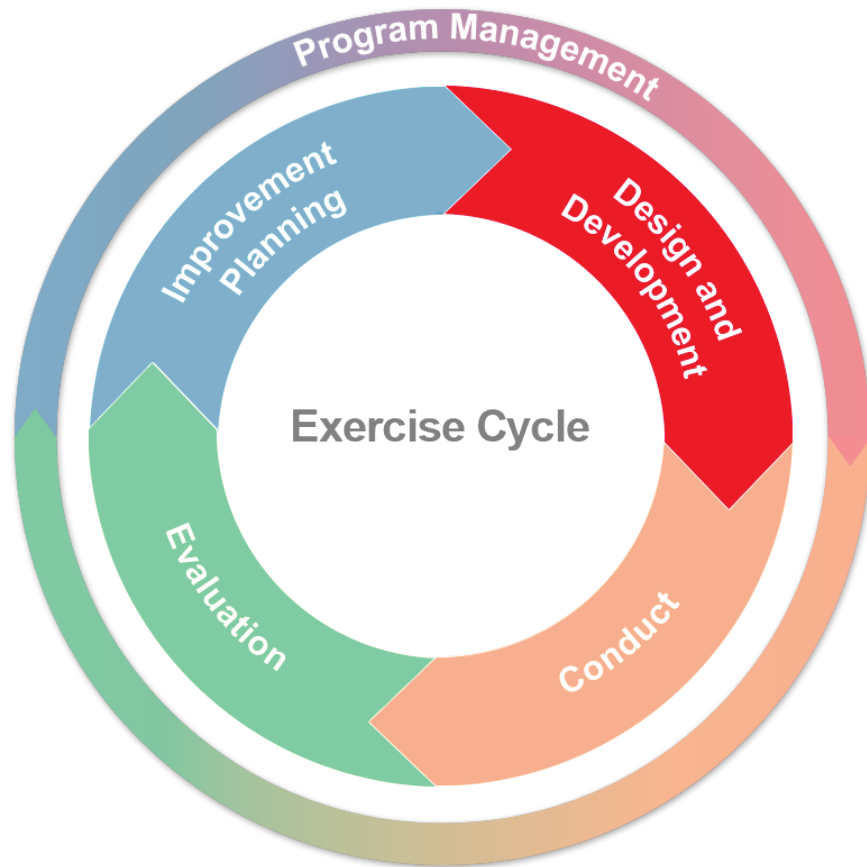The next section is Module 3: Exercise Design and Development.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

Program Management

Improvement Planning

Design and Development

Exercise Cycle
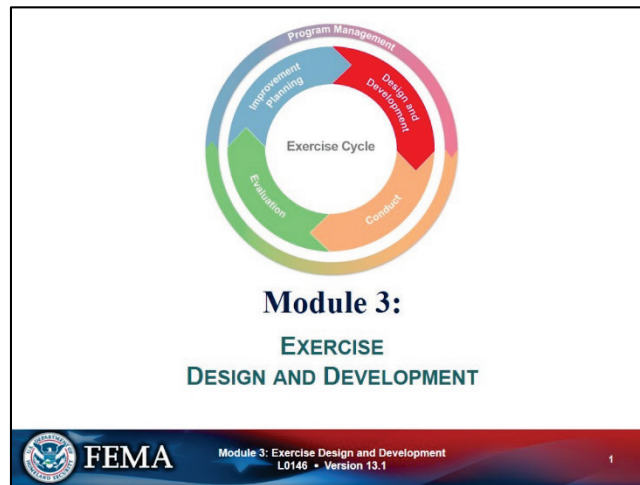
Evaluation

Conduct

HSEEP Training

Module 3

Exercise Design and Development

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Slide 1

Module 3: HSEEP Exercise Design and Development

In the design and development phase of HSEEP, exercise practitioners use guidance provided by the sponsoring organization's senior elected and/or appointed officials, the exercise program priorities identified in previous Program Management activities, and the existing Training and Exercise Plan when designing individual exercises. Exercise planning teams apply guidance from senior officials to shape the key concepts and planning considerations for an individual exercise or series of exercises.

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Module 3: Terminal Objective

After completing this module you should be prepared to describe HSEEP methodology for developing exercise objectives, conducting planning meetings, developing exercise documentation, and planning for exercise logistics, control and evaluation.

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Lesson 1: Exercise Foundation	Lesson 4: Exercise Development
Lesson 2: Exercise Planning Teams	Lesson 5: Creation of Exercise
Lesson 3: Exercise Planning	Lesson 6: Exercise Logistics

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Lesson 1: Exercise Foundation

Enabling Objective:

After completing this lesson you should be able to describe how to use guidance from Program Management Planning in the design and develop of individual exercises.

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Key Design and Development Steps

The key steps of exercise design and development include:

- Setting the exercise foundation by reviewing elected and appointed officials' guidance, the Training and Exercise Plan (TEP), and other factors
- Selecting participants for an exercise planning team and developing an exercise planning timeline with milestones
- Developing exercise-specific objectives and identifying core capabilities based on the guidance of elected and appointed officials
- Identifying evaluation requirements
- Developing the exercise scenario
- Creating documentation
- Coordinating logistics
- Planning for exercise control and evaluation.

Engagement of senior officials is accomplished in large part prior to the selection of planning team members as part of prior program management foundational processes.

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Exercise Foundation Key Factors

The exercise foundation is a set of key factors that drive the exercise design and development process. Prior to the beginning of its design, exercise program managers should review and consider the following items to set the foundation for an individual exercise:

- Multiyear TEP
- Jurisdiction's existing plans and procedures
- THIRA or other risk, threat and hazard assessments
- Past exercise AAR/IPs
- Grant or cooperative agreement requirements.

By reviewing these elements, exercise program managers can ensure the exercise builds and sustains a jurisdiction's capabilities while taking prior lessons learned into account in the exercise design process.

Once the planning team has been selected and convened, they will begin the design process with a review of information collected during the foundational phase. This is done to ensure each exercise adheres to the progressive approach and is designed with the appropriate level of scope and complexity within the range of exercises described in the Training and Exercise Plan.

Senior officials should be engaged as necessary throughout the design process to clarify and validate the exercise plan aligns with the intent and guidance of these officials.

For each exercise offering, the design and development process is initiated with selection of the Exercise Planning Team.

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Lesson 1: Review

In this lesson we discussed:

- How to use guidance from Program Management Planning in the design and develop of individual exercises including:
- Key Steps of Exercise Design and Development
- Key Factors of Exercise Foundation

Questions?

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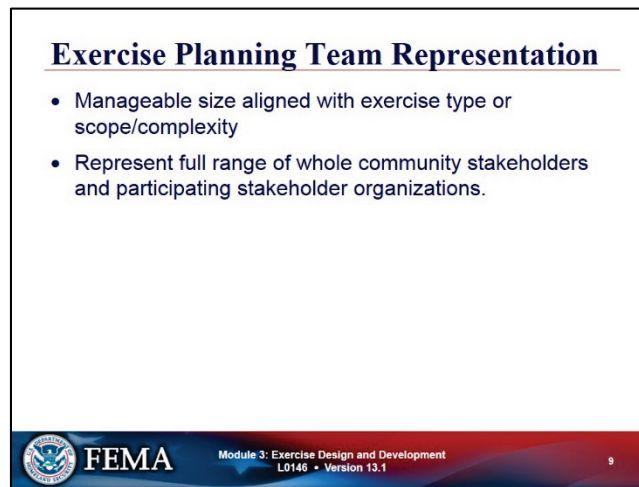
Lesson 2: Exercise Planning Teams

Lesson 2 introduces the Exercise Planning Team and their function within HSEEP methodology. After completing this lesson, you should be able to describe the:

- Importance of ensuring representation of the whole community on the planning team
- Role and function of the exercise planning team
- Role of team members as Trusted Agents
- Characteristics of a successful Exercise Planning Team
- Recommended management structure for exercise planning teams.

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Exercise Planning Team Representation

The exercise planning team should be of manageable size yet represent the full range of participating organizations as well as other relevant stakeholders, and should be led and managed by an Exercise Director appointed by the sponsoring organization.

When selecting team members, it is important to incorporate whole community stakeholders, including support agencies/organizations including advocates for children, seniors, individuals with disabilities, those with access and functional needs, diverse communities, and people with limited English language proficiency.

For multi-jurisdictional exercises, planning team members should include representatives from each jurisdiction and participating functional areas or relevant disciplines who would normally be involved in the mission area activities to be evaluated during exercise play. The membership of an exercise planning team should be modified as necessary to fit the type or scope of an exercise, since this can vary considerably depending on the selected exercise type and complexity.

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Subject Matter Experts (SMEs)

Depending on their area of experience, SMEs can be called upon to fulfill any of the roles in the planning team structure.

Their most important function is their ability to lend functional knowledge and expertise to the Exercise Planning Team to help make the scenario realistic and plausible by identifying player-specific actions/tasks used to evaluate capability. They may also provide local insights to make the scenario come alive for participants and to make sure the exercise remains within reasonable and realistic scope based on local response capabilities.

For example, a biological exercise would have a large role for hospitals and public health departments, but care must be taken not to overwhelm these assets when these entities are asked to participate in a full-scale exercise (FSE). This is one of the reasons early engagement of private sector organizations typically involved in real-world incidents is important to the exercise planning process as well as the design of the exercise.

Depending on the exercise type, some SMEs may be called upon to play a more active role in designing the exercise and planning the scope and conduct than others. For example, Public Health SMEs would provide functional knowledge necessary for creating scenario and event injects for a bioterrorism exercise.

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Trusted Agents

Since every exercise is designed as a testing process intended to validate the selected mission area capability, it is also important that every member of the exercise planning team, but especially those who participate in the conduct of the exercise, understand their role as "trusted agents." As a trusted agent, each member is expected to maintain the integrity and confidentiality of the intended evaluation process for the exercise. Team members must not reveal details or provide insights into the scenario to players or other personnel who are not members of the planning team.

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Successful Planning Teams

Regardless of the scale and complexity of an exercise, an exercise planning team is most effective when it adheres to a coherent organizational structure that clearly delineates roles, responsibilities and functional requirements for each role/position on the planning team.

Involvement of senior elected and appointed officials throughout the design process helps ensure the alignment of the exercise with the larger effort to meet mission capabilities.

Utilizing proven project management principles during the design and development ensures this phase of the exercise cycle is completed within the timeframes established for development. Effective project management ensures identification, development, and management of critical and supportive tasks; frequent communication about project status; and use of management plans and timelines (e.g., task schedules, Gantt charts).

When establishing the structure and organization of the planning team, exercise planners may elect to use the Incident Command System (ICS) structure, as established in the National Incident Management System (NIMS). With this structure the team can expand or contract to reflect the scope of the exercise and the available resources and personnel of the participating organizations, depending on available resources. This also allows some of the team members to fulfill multiple functions. Setting up the team using the Incident Command System (ICS) structure is not the only approach that can be taken, but it is a proven one. What is important is that the team functions properly to accomplish all aspects of the planning process.

Suggested Practice: You can use the Master Task List found on the HSEEP homepage as the basis of the exercise timeline—it makes it easier to assign responsibilities to team members without forgetting any of the critical design and development tasks.

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Role and Function of the Planning Team

The exercise planning team manages and is ultimately responsible for exercise design, development, conduct, and evaluation. Using the exercise program priorities and guidance from elected and appointed officials, the team conducts a series of planning meetings to determine the exercise objectives and core capabilities that will be assessed during exercise play; creates a realistic scenario to assess them; and
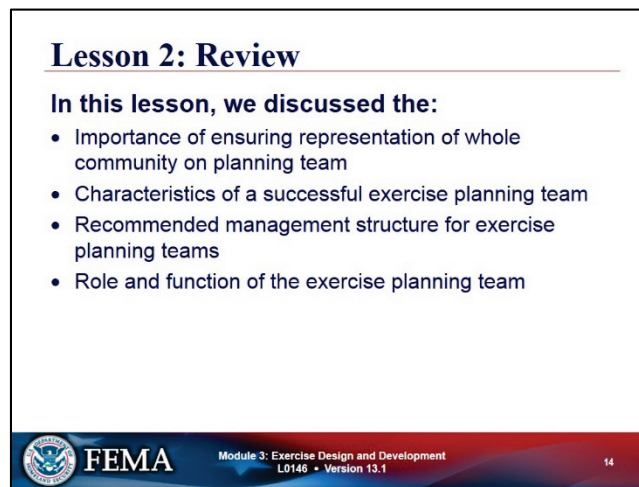
develops supporting documentation, processes, and systems that are used in evaluation, control, and simulation.

The team must identify Exercise Evaluation Guides (EEGs) by the Mission Area that will be assessed and develop these to ensure they can be used successfully to verify the capabilities exist.

Planning team members also help with developing and distributing pre-exercise materials and conducting exercise planning meetings, briefings, and training sessions.

As some of you may know from personal experience, being part of the planning team is often a work assignment added to each team member's normal job tasks/roles. Because of this it is important to ensure "buy-in" from each candidate for the planning team along with a commitment to be an active participant in the planning process. Each team member must understand the required time commitment and be willing and able to dedicate the time to serve on the Team.

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Lesson 2: Review

We've now reached the end of Lesson 1. We will continue to build on the knowledge we've gained about the Exercise Planning Team throughout the remainder of the course.

In this lesson, we discussed:
- Importance of ensuring representation of whole community on planning team
- Characteristics of a successful Exercise Planning Team
- Recommended management structure for exercise planning teams
- Role and function of the exercise planning team.

Questions?

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Lesson 3: Planning Activities

Following completion of Lesson 3 you should be prepared to identify and describe:

- Exercise planning activities and how they contribute to exercise development
- Exercise development tasks associated with each planning activity
- Timeframes for each activity and associated task(s).

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Planning Activities ("Meetings")

Planning Meetings are held to discuss, review, or develop exercise content. They are typically face-to-face meetings, and are crucial in both the initial and final stages of exercise development.

Developing an exercise is an intensive process, so these planning meetings are important for discussing, reviewing, or developing content.
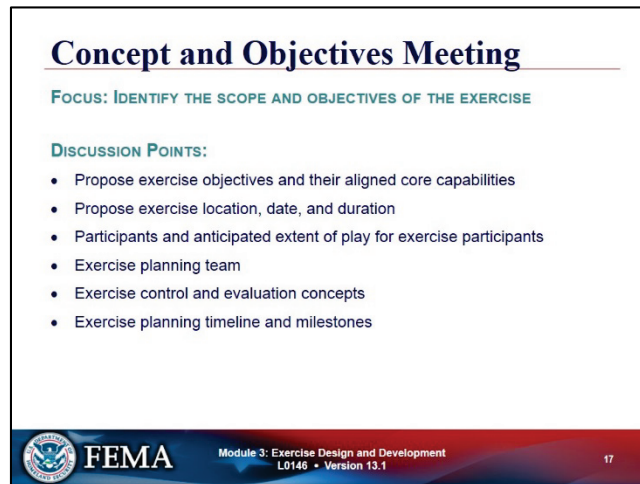
Not all the work of developing an exercise can be done during these meetings, but these are a good place to assess progress, assign responsibilities, review completed work and establish deadlines. Once the exercise planning team is established, collaborative online meetings may be used to facilitate the exercise planning process.

Face-to-face meetings are a forum for coordination and collaboration among participating agencies and officials. It often brings together partners who have never worked together, but by the end of the exercise, relationships may have developed which are important not only for planning a successful, engaging exercise, but also for increasing the ongoing coordination and collaboration among these participating agencies and officials.

Exercise planning team are encouraged to apply and adapt HSEEP doctrine on exercise program management to meet their specific needs

NOTE: HSEEP has removed planning timelines, and planning team members must determine what timeframes are best to meet their specific needs.

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The **Concept and Objectives (C&O) Meeting:**
When/if held directly before the Initial Planning Meeting (IPM), the C&O Meeting marks the **formal beginning of the planning process.**

It should be held BEFORE the IPM whenever the scope dictates, such as for large-scale exercises, complex full-scale exercises (FSEs), or any high-profile exercise where high level support from executives or authorities is required.
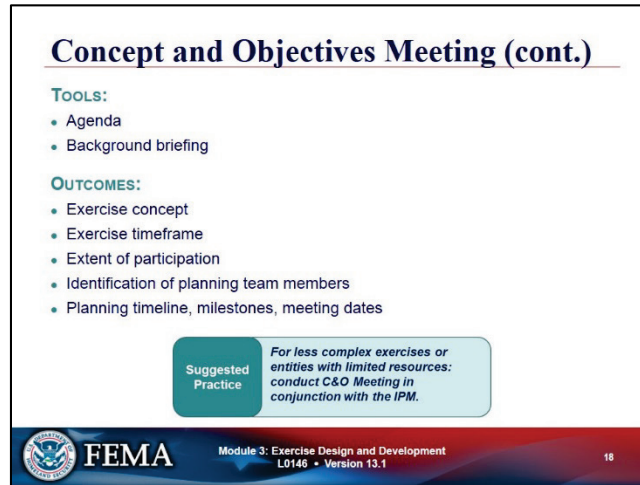
Length and Location: Depending on the scope of the exercise, the C&O Meeting can run from 2 to 4 hours and is held in a location convenient to the senior officials who will attend.

Participants:

- Elected and appointed officials
- Representatives of the sponsoring organization
- Participating organizations, and
- Exercise Planning Team Leader

Discussion Points:

- Potential exercise scope
- Resources for design and development including EEGs by mission area targeted for use in exercise development
- Proposed exercise objectives and their aligned core capabilities
- Proposed exercise location, date, and duration
- Participants (players and potential actors) and anticipated extent of play for exercise participants
- Proposed composition of exercise planning team—including which communities of practice potential evaluators can be drawn from
- Exercise assumptions and artificialities related to the proposed conditions of play
- Exercise control and evaluation concepts
- Exercise security organization and structure
- Available exercise resources
- Exercise logistics
- Exercise planning timeline and milestones
- Local issues, concerns and sensitivities
- What **evaluation** method(s)/standards will be used to judge actions of participants
- Mission areas targeted for development of EEGs
- What kinds/types/areas of expertise will be required of Subject Matter Experts (SMEs)
- Determine **Security and logistics** for the proposed exercise venue
- Contingency plan
- Control concept

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Concept and Objectives Meeting (cont.)

Tools:
The **primary tool** for these meetings is **a read-ahead packet** that includes the agenda and background/ rationale for conducting the exercise.

Outcomes of this meeting should be:

- An agreement regarding the exercise type, scenario, capabilities, tasks and objectives
- Consensus regarding the target exercise timeframe and the date and time of the next planning meeting
- Identification of participating entities.

Follow-up: Minutes from the meeting should be prepared and sent to participants within 4 working days of the meeting's conclusion.

Suggested Practice: For less complex exercises and for jurisdictions with limited resources, the C&O Meeting can be conducted in conjunction with the IPM.

Reference: See Sample Exercise Materials.

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Initial Planning Meeting (IPM)

The IPM marks the **beginning of the exercise design process**, and preparation is the key to a successful IPM.

Its purpose is to determine exercise scope by getting intent and direction from elected and appointed officials, and gathering input from the exercise planning team; and to identify exercise design requirements and conditions (e.g., assumptions and artificialities), exercise objectives, participant extent of play, and scenario variables (e.g., time, location, hazard selection).

Focus: To gather input from Planning Team on the **scope, design requirements, and conditions** (such as assumptions and artificialities), **objectives**, level of participation and scenario variables (e.g., threat/hazard election). For **discussion-based exercises**, the IPM is typically the *only* opportunity the group has to meet before the FPM, where materials are reviewed. As such, it is important that the IPM be focused and well organized in order to capture all necessary information. Therefore, as with the C&O Meeting, having resources and tools prepared ahead of time is important.

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Tools:

The primary tools for the IPM are the read-ahead packet, agenda, core capabilities, threat and hazard information and the exercise planning timeline with milestones. A briefing is useful for presenting an overview of the exercise and meeting discussion points.

It's important to provide the read-ahead materials at least five days in advance of the meeting.

Each packet should contain:

- The meeting agenda
- A list of capabilities and tasks from the Exercise Evaluation Guides (EEGs) or copies of the EEGs that pertain to the capabilities to be validated
- Hazard information (if applicable to the exercise)
- For discussion-based exercises: the proposed room layout
- For operations-based exercises: a map of proposed exercise venue and description of the local environment
- A copy of the proposed project timeline for exercise design and development, and
- Copies of the presentation briefing to be used at the meeting.

Because face-to-face time at the meeting is limited, providing these materials beforehand gives participants a chance to formulate ideas and come prepared to contribute to the effort, thus increasing productivity of the time available during face-to-face sessions.

Outcomes:

The IPM results in desired outcomes, such as:

- Any outcomes listed in the C&O Meeting section above if a C&O Meeting was not conducted
- Clearly defined exercise objectives and aligned core capabilities
- Initial capability targets and critical tasks, which will be reviewed and confirmed prior to the next planning meeting

- Identified exercise scenario variables (e.g., threat scenario, scope of hazard, venue, conditions)
- A list of participating exercise organizations and anticipated organizational extent of play
- Draft Situation Manual (SitMan) or Exercise Plan (ExPlan)
- Identification and availability of all source documents (e.g., policies, plans, procedures) needed to draft exercise documents and presentations
- A refined exercise planning timeline with milestones
- Identification and availability of SMEs, as necessary, for scenario vetting and/or expert evaluation
- Determination of preferred communication methods among the exercise planning team
- Clearly identified and assigned responsibility for exercise logistical issues
- A list of tasks to be accomplished by the next planning meeting with established dates for completion and responsible planning team members identified
- An agreed-upon date, time, and location for the next planning meeting and the actual exercise.

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Planning Meeting Follow-up Activities

Minutes of the Initial Planning Meeting should be prepared and disseminated to team members. During the period between the IPM and the next planning meeting, team members are very busy reviewing reference documents, previous exercise plans and EEGs to draft their assigned exercise documents for review at next planning meeting. They continue to work on development of the exercise scenario, and to ensure realism may consult and collaborate with identified SMEs for assistance in creating plausible incident events for the scenario that reflect real-world response requirements.
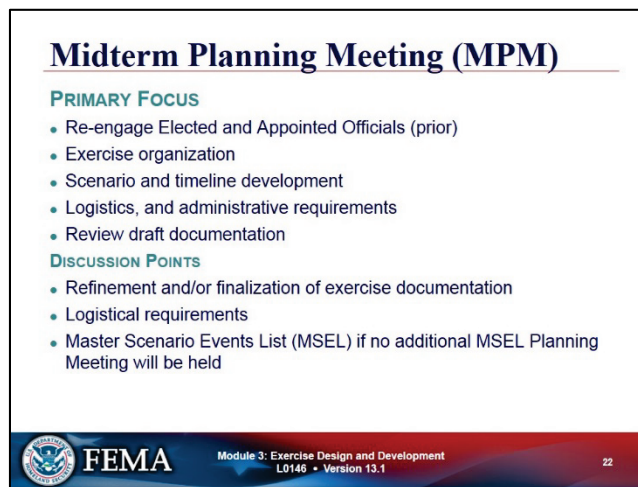
The Planning Team Leader should encourage direct and **continual contact among all team members** and request periodic progress reports to identify outstanding information they require, and ensure those assigned logistical tasks for future planning meetings are on track for preparations required for next planning meeting.

During this period Exercise Planning Team members prepare their assigned draft exercise documents and presentations. To ensure productivity during the next planning meeting, team members should distribute their assigned document drafts to the team in advance of the next meeting so members can review and come prepared to provide comments and recommendations.

Best Practice: Frequent and productive coordination within the Exercise Planning Team in the time between the IPM and MPM is critical to successful project management and can help the MPM run more efficiently.

<u>Reference:</u> Sample IPM presentation can be found HSEEP homepage.

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Midterm Planning Meeting (MPM)

PRIMARY FOCUS
- Re-engage Elected and Appointed Officials (prior)
- Exercise organization
- Scenario and timeline development
- Logistics, and administrative requirements
- Review draft documentation

DISCUSSION POINTS
- Refinement and/or finalization of exercise documentation
- Logistical requirements
- Master Scenario Events List (MSEL) if no additional MSEL Planning Meeting will be held

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Midterm Planning Meetings (MPMs)

MPMs provide additional opportunities to engage elected and appointed officials and to settle logistical and organizational issues that may arise during exercise planning.

Primary Focus:
The MPM is a meeting to discuss exercise organization and staffing concepts, scenario and timeline development, scheduling, logistics, and administrative requirements. It is also held to review draft documentation. If only three planning meetings are scheduled (i.e., IPM, MPM, and Final Planning Meeting [FPM]), a portion of the MPM should be devoted to developing the MSEL, as needed. See the next section, MSEL Meeting, for more information.

Prior to the MPM, the exercise team leader should engage elected and appointed officials to provide awareness of the planning process, address any questions, and ensure alignment with guidance and intent.

Discussion Points:

Possible topics or issues for an MPM include the following:

- Comments on draft exercise documentation
- Construction of the scenario timeline—usually the MSEL—if an additional MSEL Planning Meeting will not be held
- Identification of exercise venue artificialities and/or limitations
- Agreement on final logistical items
- Assignment of additional responsibilities.

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Midterm Planning Meeting (MPM) (cont.)

Tools:

MPM tools include, but are not limited to, an agenda, IPM minutes, draft scenario timeline, draft documentation (e.g., ExPlan, Controller/Evaluator [C/E] Handbook), and other selected documentation needed to illustrate exercise concepts and provide planning guidance.

Outcomes:

The following outcomes are expected from the MPM:

- Fully reviewed SitMan or ExPlan
- Draft Facilitator Guide or Controller/Evaluator (C/E) Handbook, including EEGs
- A fully reviewed exercise scenario timeline, which is typically the MSEL (if an additional MSEL Meeting will not be held)
- Well-developed scenario injects (imperative if an additional MSEL Planning Meeting is not scheduled)
- Agreement on the exercise site
- Finalization of date, time, and location of the MSEL Planning Meeting and/or FPM.

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Master Scenario Events List (MSEL) Meeting

For more complex exercises, one or more additional planning meetings—or MSEL Meetings—may be held to review the scenario timeline. If not held separately, topics typically covered in a separate MSEL Meeting can be incorporated into the MPM and FPM.

Primary Focus:

The MSEL Meeting focuses on developing the MSEL—a chronological list that supplements the exercise scenario with:

- Event synopses
- Expected participant responses
- Objectives and core capabilities to be addressed,
- Responsible personnel.

It includes specific scenario events (or *injects*) that prompt players to implement the plans, policies, procedures, and protocols that require testing during the exercise, as identified in the capabilities-based planning process. It also records the methods that will be used to provide the injects (e.g., phone call, radio call, e-mail).

Discussion Points:

- Tasks, conditions and standards required to meet exercise objectives
- Key events and critical tasks
- Event originator, target player, expected player actions and timeframe
- Contingency injects to prompt player action (if needed)

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Master Scenario Events List (MSEL) Meeting (cont.)

TOOLS:
- MSEL Template/System
- Applicable plans, policies, and procedures

OUTCOMES:
- Key event injects and timeline for delivery
- Assignment of responsibility for constructing remaining events
- Timeline for completion

Suggested Practice: *Early identification of the Template or System used for development and conduct.*

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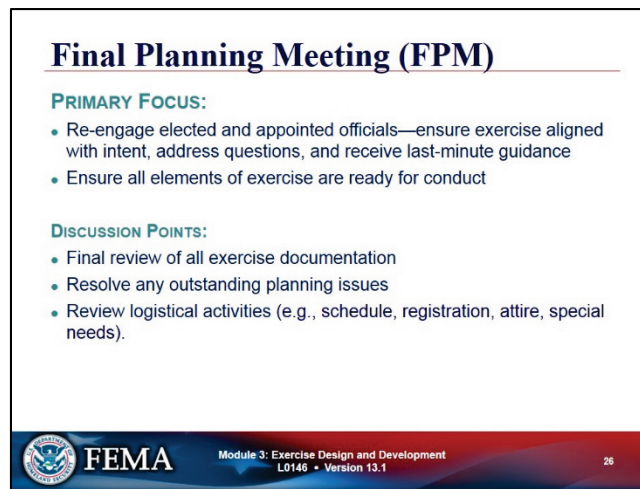
Master Scenario Event List (MSEL) Meeting (cont.)

Tools: Read-ahead packet with previous planning meeting minutes, draft exercise documents, MSEL template.

Outcomes:
- Scenario injects and timeline—injects are MSEL events that prompt players to implement the plans, policies, and procedures that planners want the exercise to validate. Exercise controllers provide injects to exercise players to drive exercise play toward achievement of objectives.
- Draft document revision
- Venue selection agreement
- Identified logistics planning requirements *(to support scenario)*

Suggested Practice: Early identification of the Template or System used for development and conduct.

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Final Planning Meeting (FPM)

The FPM is the final forum for reviewing exercise processes and procedures. Both before and after the FPM, the exercise team leader should engage elected and appointed officials to ensure that the exercise is aligning with their intent, address any questions, and receive any last-minute guidance.

Primary Focus:

An FPM should be conducted for all exercises to ensure that all elements of the exercise are ready for conduct. Prior to the FPM, the exercise planning team receives final drafts of all exercise materials. No major changes to the exercise's design, scope, or supporting documentation should take place at or following the FPM. The FPM ensures that all logistical requirements have been met, outstanding issues have been identified and resolved, and exercise products are ready for printing.

Discussion Points:

The following items are addressed during the FPM:

- Conduct a comprehensive, final review and approve all remaining draft exercise documents (e.g., SitMan, MSEL, C/E Handbook, EEGs) and presentation materials
- Resolve any open exercise planning issues and identify last-minute concerns
- Review all exercise logistical activities (e.g., schedule, registration, attire, special needs).

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Tools:

The primary tools for the FPM include IPM and/or MPM minutes, an agenda, and previously finalized and/or drafted exercise documents.

Outcomes:

The FPM should not generate any significant changes. The following outcomes are expected:

- Exercise documents and materials for production are approved
- Attendees understand and approve exercise processes and procedures
- Last-minute issues are identified and resolved
- Logistical elements, including equipment, facilities, and schedule, are confirmed.

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Lesson 3: Review

Items covered in Lesson 3 related to the planning activities necessary for each exercise development process include:

- Exercise Planning activities and descriptions of how these activities contribute to exercise development
- Exercise development tasks associated with each of these planning activities.

Questions?

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Lesson 4: Exercise Design

Lesson 4 will discuss the details and requirements of the exercise design process.

After completing this lesson, you should be able to describe the process used to:

- Select exercise type based on targets of your assessment process (plans or operations)
- Develop exercise objectives
- Identify specific tasks and measurement criteria for development of capabilities-based exercise objectives
- Develop a scenario and its supporting elements.

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Exercise Scope

Determining exercise scope enables planners to "right-size" an exercise to meet the objectives while staying within the resource and personnel constraints of the exercising organizations. **Key elements in defining exercise scope include exercise type, participation level, exercise duration, exercise location, and exercise parameters.** Some of these elements are determined, or initially discussed, through program management activities or grant requirements. However, the exercise planning team finalizes the scope based on the exercise objectives. Alterations to the scope are reviewed with the exercise objectives in mind; planners must consider whether a change in the scope will improve or impede the ability of players to meet the objectives.

Exercise planners select the **exercise type** that is appropriate to the targeted capability process. A comprehensive, integrated exercise program will utilize a progression of exercise types chosen so that when done in series they address program priorities by assessing the full range of preparedness activities for each mission area—from underlying procedural concepts through full mobilization of stakeholder organizations.

Participation level refers to the organizations and level of personnel (e.g., tactical operators, line supervisors, agency directors) participating in the exercise, as well as the general number of personnel who will participate in the exercise.

Duration should be determined by how long it will take to address the exercise objectives effectively. Resource constraints, including the opportunity cost of having employees away from their primary roles, should be factored into determining duration.

Locations suitable for the exercise should be discussed and decided on as the location chosen can necessitate limiting the scope or defining artificialities required to simulate real-world events.

The **exercise parameters** describe the activities that will be included in the exercise in order to meet planning and training requirements. These describe the scope of exercise activities that will keep the exercise to a manageable and realistic level.

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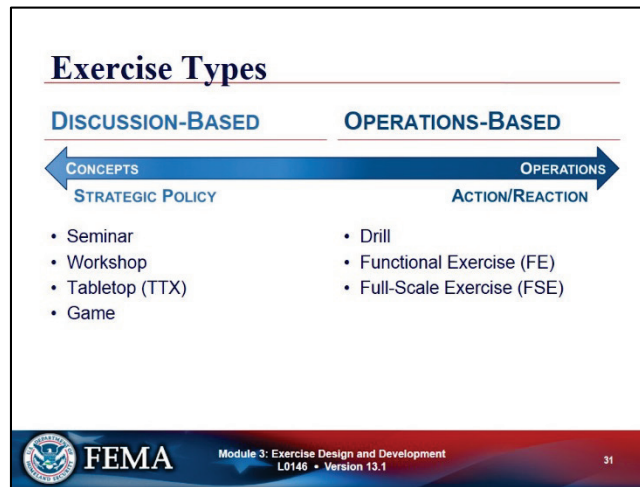
Exercise Types

The exercise type is selected based on the purpose of the exercise. If the intent is to review and discuss a new policy, plan, or set of procedures, a discussion-based exercise may be appropriate. If the intent is to assess the responders' knowledge, skills and abilities in implementing a plan, policy, or set of procedures, an FE or FSE may be appropriate.

Exercise planners select the exercise type that is appropriate to the capabilities and risks that will be the focus of the exercise. A comprehensive, integrated exercise program will utilize a progression of exercise types chosen so that when done in series they address program priorities by assessing the full range of preparedness activities for each mission area—from underlying procedural concepts through full mobilization of stakeholder organizations.

Discussion-based exercises focus on strategic, policy-oriented issues and include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises are used to familiarize players with current plans, policies, agreements, and procedures or develop new plans, policies, agreements, and procedures. Facilitators/presenters usually lead the discussion, and are critical for keeping participants on track toward meeting exercise objectives.

Operations-based exercises are characterized by actual reaction to an exercise scenario designed to simulate a real-world event and may involve actual mobilization of personnel and resources. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs). These are used to validate functional response actions where plans, policies, agreements, and procedures are implemented "as if" responding to actual incident. They are used to validate appropriateness of player actions based on assigned roles and responsibilities and are used to identify resource gaps across the

scope of response—including the policy and planning basis that sets forth standard operating procedures followed during response activities.

As you may expect, due to their scope and complexity the level of support and time needed to plan, design, develop and conduct operation-based exercises is considerably greater than those required for discussion-based exercises.

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Exercise Participation Level

Active participation by appropriate entities and key leaders is paramount to meeting the exercise objectives successfully. Participation level refers to the organizations and level of personnel (e.g., tactical operators, line supervisors, agency directors) participating in the exercise, as well as the general number of personnel who will participate in the exercise.

At times, scheduling conflicts, real-world events, or other competing requirements will limit an organization's or key players' ability to participate in an exercise. In this case, exercise designers need to simulate the decisions and actions of those participants through an exercise SimCell. An Extent of Play Agreement (XPA) is a good way to define the level of participation.

Extent of Play Agreements

XPAs are used to define the organizations participating in the exercise as well as their extent of play (e.g., one fire station for 8 hours, county EOC activated at level A for 24/7 exercise operations). These agreements are formed between exercise participants and the exercise sponsor, and can be vital to the planning of an exercise, recruitment of evaluators, and development of support requirements.

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Exercise Duration and Parameters

When selecting the exercise duration, the planning team should determine how long it will take to address the exercise objectives effectively. Discussion-based exercises and some drills are generally shorter, ranging from a couple of hours to a full day. FEs and FSEs may take longer. Prevention-focused FEs that exercise the intelligence and information sharing core capability may last up to 30 days with limited duration of play each day. Resource constraints, including the opportunity cost of having employees away from their primary roles, should be factored into determining duration.

Establishing exercise parameters assists planners in identifying what should be included in an exercise scenario based on the objectives and scope and what should not be exercised. Often there is a desire to add exercise activities that fall outside of the scope of the exercise to meet diverse planning and training requirements. While these activities may be useful to a jurisdiction, they may impact the ability of players to meet exercise objectives or may reduce the benefit of the exercise by diluting its focus. Clearly defining the exercise scope early in the design process will help exercise planners keep the exercise to a manageable and realistic level.

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What Are Objectives?

Exercise Objectives

Based on direction from elected and appointed officials, the exercise planning team selects one or more exercise program priorities on which to focus an individual exercise. These priorities drive the development of exercise objectives, which are distinct outcomes that an organization wishes to achieve during an exercise. Exercise objectives should incorporate elected and appointed officials' intent and guidance, and exercise participants' plans and procedures, operating environment, and desired outcomes. Generally, planners should select a reasonable number of specific, measurable, achievable, relevant, and time-bound (SMART) exercise objectives to facilitate effective scenario design, exercise conduct, and evaluation.

Suggested Practice: Limit the number of objectives to enable exercise conduct, facilitate reasonable scenario design, and adequately support successful completion of exercise goals.

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Characteristics of Good Objectives

An objective should state who should do what under what conditions, according to which standards. The **SMART** acronym can be used to create objectives.

The S-M-A-R-T Model for development of objectives stands for:

Specific—Objectives should address the five Ws—-who, what, when, where, and why. The objective specifies what needs to be done with a timeline for completion.

Measurable—Objectives should include numeric or descriptive measures that define quantity, quality, cost, etc. Their focus should be on observable actions and outcomes.

Achievable—Objectives should be within the control, influence, and resources of exercise play and participant actions.

Relevant—Objectives should be instrumental to the mission of the organization and link to its goals or strategic intent.

Time-Bound—Objectives must include specified and reasonable timeframes where appropriate for completion of associated task(s) that will determine satisfactorily completion.

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Creation of Performance Objectives

Performance objectives should describe **what players should know or do under specific conditions in response to an event,** real-world or within an exercise scenario. Each objective should support the overall objective of the planned exercise.

When developing objectives, it helps to first consider the **specific tasks related to the capability to be tested** and determine an **observable action verb** that describes each task. As you can see in the example presented here, these action verbs are: **conducts, identify, and establish**.

In keeping with the specific aspect of SMART objectives, the next item to identify is the **condition** by which the task must be performed. This establishes the **expected skill**, knowledge, tool, or SOP the player/responder is expected to demonstrate knowledge of in performance of the task. In our example the Incident Safety Officer is expected to use knowledge of HazMat classification and OSHA HazMat Responder Safety Codes (to identify the specific safety threat for the incident and appropriate health and safety measure to use in response to the incident).

The **performance statement** describes what the player/responder must be able to accomplish overall by using the knowledge/skill and task actions required to meet the objective. In our example the SO is expected to **determine** hazard-specific health and safety risk to personnel in immediate range of the incident **in order to fulfill the specific task of establishing a "Hot Zone" safety perimeter** to protect responders and general public.

The **criteria statement** describes the particular criteria within the performance of the tasks that is used to measure the achievement of the overall objective. It's often not enough simply to know *how* to do a task; it's often critical to know *"how well"* or within *"what timeframe"* the task must be completed to fulfill the objective. In our example this means our SO **must fulfill all the tasks associated with the objective** and set up the Hot Zone **within 30 minutes of arrival** on the incident scene.

After each of these elements have been identified, the performance objectives can be created -- usually starting with the **performance statement** that identifies the ultimate goal of the objective -- and using each identified element, creating an objective that specifically describes the observable and measurable tasks, conditions and criteria required to successfully fulfill the objective.

Example:

The Incident Safety Officer (SO) will conduct a scene survey to determine hazard-specific health and safety risk to personnel in response to, and within 30 minutes of arrival on scene, using HazMat classification and 29 CFR 1910.120, identifying hazards and establishing a Hot Zone perimeter.

Slide 37
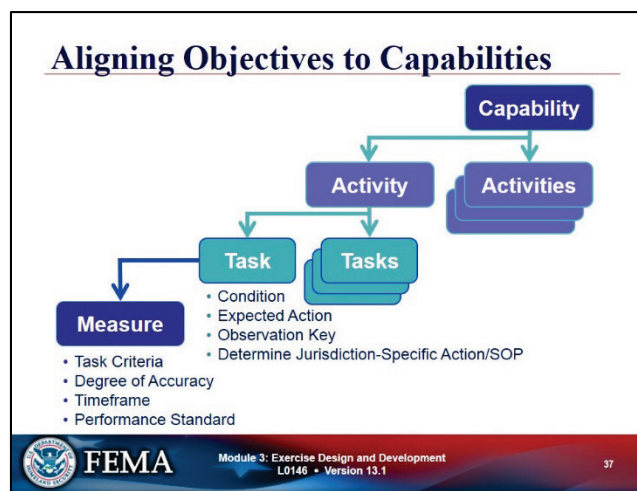
Aligning Objectives to Capabilities

Aligning objectives to a common set of capabilities enables:

- Systematic tracking of progress over the course of exercise programs and/or cycles
- Standardized exercise data collection to inform preparedness assessments
- Fulfillment of grant or funding-specific reporting requirements.

So let's review the steps necessary to target objectives to the capability targeted by your exercise:

- Select/identify the core capability based on the type and scope of the intended exercise—the capability that your jurisdiction decided to focus on at the **Initial Planning Meeting (IPM)**.
- Identify the associated activities necessary to address the capability.
- For each activity, identify the individual critical tasks that must be successfully undertaken to demonstrate the capability.
- For each of these tasks, identify the condition, actions that demonstrate task proficiency and incorporate any jurisdiction-specific action or SOP—these provide the *observation keys* evaluators would focus on in order to determine successful completion of the tasks.
- Identify the performance standard that defines the measure or criteria used to create a performance statement describing how the task/activity is to be demonstrated and evaluated.

This analysis provides the information required to develop objectives that meet the characteristics of SMART objectives described previously.

Let's review a sample process for development of exercise objectives. To do this we're going to reference a sample jurisdiction.

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Example of Capability Analysis

In this example the planning team selected capabilities based on the type and scope of the exercise they were planning on conducting.

During their initial **Concept and Objectives Meeting (C&O)** the decision was made to validate the following capabilities during their annual exercises:

- On-Scene Incident Management
- Environmental Response/Health and Safety
- Medical Surge.

We're going to look at how they developed objectives for the second capability—Environmental Response/Health and Safety—and see how they tailored their exercise objectives for exercise conduct.

After identifying the core capability to be validated in their exercise, the planning team's next step was to use the targeting process we just discussed to analyze the specific tasks associated with the selected capability: Environmental Response/Health and Safety

Slide 39

Selection of Target Task

As the planning team looks at the list of tasks associated with the targeted capability, they determine which task will be the focus of the objective they will develop. This process will be repeated for each objective developed for the exercise. Liberty County/Central City selected the fifth **Environmental Response/Health and Safety** task: *"Establish decontamination sites."*

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Objectives for Discussion-Based Exercises

The next few slides will include reference colors and numbering to help you identify the **conditions, responsible party, and player action and standard** on which the assessment of player actions would be determined for each objective.

This example is an objective created for a discussion-based exercise that focuses on strategic plans, or policy-oriented issues.

When designing a discussion-based exercise, be sure not to select objectives that can only be evaluated during operations-based exercises and require meeting tactical standards such as response times and proper use of equipment.

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Objectives for Operations-Based Exercises

Objectives for operations-bases exercises typically focus on integration of multiple entities systems- and tactical-level issues.

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Central City's Chemical FSE Objectives

After targeting objectives to capabilities, Central City developed three objectives for its exercise. These objectives are:

- Evaluate the ability of Central City's *incident command (who)* to provide essential HazMat personnel to incident site (action) *within 1 hour following notification (standard)* of a **chemical incident (condition)** *in accordance with existing SOPs (standard)*.

- Evaluate the ability of *first responders (who)* to identify hazard and establish incident perimeter and hot zone (action) *within 30-minutes of arrival (standard)* on scene *using established SOPs and appropriate hazard guidelines (standard)* for the *identified chemical* (condition).

- Evaluate ability of *emergency response personnel (who)* to administer proper levels of decontamination (action) to responders and victims *prior to transport* (condition) to hospitals *in accordance with established procedures (standard)*.

- Evaluate ability of *hospital staff (who)* to evaluate HazMat victims upon arrival and determine decontamination status (action) of patients*, and* administer decontamination (action) as required *prior to admittance* (condition) to hospitals *in accordance with established procedures (standard)*.

Now we're going to use an activity to attempt to give each group the opportunity to practice developing objectives.

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Activity 3

Activity 3: Develop Objectives

Objective:
Develop two objectives that identify the specific actions/tasks, and measurement criteria or performance standard designed to demonstrate a capability identified in your TEPW.
These objectives will be used in follow-on activities.

Time: 30 minutes, with 15 minute report back.

Instructions:
1. Take capability from TEPW.
2. Determine tasks to demonstrate.
3. Develop three SMART Objectives.

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Activity: Develop Objectives

The purpose of this activity is to identify capabilities and develop exercise objectives to support your most complex exercise in your Training and Exercise Plan.

Group members will brainstorm objectives for a full-scale operations-based exercise. Each group will develop 2-3 objectives and the group recorder will write them down.

Report-back—During the report-back phase, each group will describe:

- How the team went about developing their objectives
- Why the objectives were selected
- Was there disagreement in the group

- How could the process be done differently
- How will success be measured in the execution of the objectives

Next we'll discuss how exercise objectives are used to develop an exercise scenario.

Slide 44

Evaluation Requirements

It is important to develop exercise evaluation requirements early in the design process, as they will guide development of the exercise scenario, discussion questions, and/or MSEL. Evaluation requirements clearly articulate what will be evaluated during the exercise and how exercise play will be assessed. This information is documented in the EEGs.

Once the exercise planning team aligns objectives to core capabilities, it identifies which capability targets and critical tasks for each core capability are being addressed by the exercise.

Capability targets are the performance thresholds for each core capability; they state the exact amount of capability that players aim to achieve. Generally, these targets are based on targets identified as part of an organization's or jurisdiction's THIRA or other threat and hazard identification or risk assessment process. Evaluators use these performance thresholds to validate successful completion of critical tasks associated with each core capability.
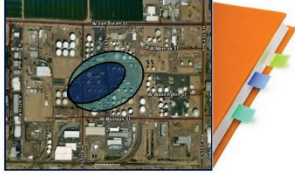
Critical tasks are the distinct elements required to perform a core capability. Critical tasks may be derived from Mission Area Frameworks, organizational operations plans or SOPs, or discipline-specific standards.

The exercise planning team will develop Exercise Evaluation Guides (EEGs) for use by Exercise Evaluators during the exercise. The EEGs will be specific and/or critical tasks associated with each capability target and the standards used as a basis for the performance thresholds. Development of EEGs will be covered in Module 5, which describes the Evaluation process in greater detail.

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The Exercise Scenario

A scenario is **an outline or model of the simulated sequence of events for the exercise**. It can be written as a narrative or depicted by an event timeline. For discussion-based exercises, a scenario provides the backdrop that drives participant discussion, and is contained in a SitMan. For operations-based exercises, a scenario provides background information and storyline about the incident catalyst(s) of the exercise—the overall scenario is provided in the C/E Handbook, and specific scenario events are contained in the MSEL.

Exercise planners should select and develop scenarios that enable an exercise to assess objectives and core capabilities. All scenarios should be realistic, plausible, and challenging; however, designers must ensure the scenario is not so complicated that it overwhelms players

Scenarios contain **three basic elements:**
- The general **context or comprehensive story** of the incident event
- **Conditions** that will allow players to demonstrate proficiency and competency in demonstrating the core capabilities and meeting objectives
- **Technical details** necessary to accurately depict scenario conditions and events—including timelines of events that occur across the exercise.

The focus during development is to ensure that the scenario facilitates assessment of exercise objectives and core capabilities. Because of this, exercise planners should refrain from developing the scenario until after the scope and objectives of the exercise have been clearly defined. Furthermore, scenarios should be constructed to avoid any sensitivity that may arise, such as the use of real names of terrorist groups or sensitive venues.

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Developing an Exercise Scenario

Threat or Hazard

The scenario is developed to address the type of threat or hazard selected as the target for the exercise during the design phase.

Each type of emergency has its own strengths and weaknesses when it comes to evaluating different aspects of prevention, protection, mitigation, response, and recovery. The exercise planning team should select the scenario topic that best assesses the objectives and core capabilities for the mission area on which the exercise will focus.

Modeling and Simulation

Utilizing modeling and simulation can bring versatility, cost savings, and fidelity to exercises. A **model** is a **representation of a system at a point in time or space** intended **to expand an understanding of the real system**. **Simulation** is a method of **implementing the performance of a model, or combination of models, over time**. Modeling and simulation support decision-making processes by providing human and/or computer feedback to players during exercise play, thus dynamically representing the impact of their decisions. For example, human-based simulation during exercises is often manifested through the SimCell, which represents nonparticipating entities. An example of a computer-based simulation could include wind damage and storm surge forecasting models developed by the National Oceanic and Atmospheric Administration, which enable simulation of the effects a hurricane may have on coastal communities.

Modeling and simulation can also be applied in situations where reality cannot be achieved. For example, for safety reasons a bioterrorism exercise cannot be conducted by releasing a deadly virus into the environment. However, it is still important to exercise the capabilities necessary to respond to this type of scenario. The use of modeling and simulation can realistically replicate variables such as disease propagation, radiation, and chemical attacks.

The level of detail provided in the scenario should reflect real-world uncertainty and be designed to ensure that the scope of the exercise remains within an appropriate **scope or magnitude** so it can be implemented without overwhelming (or failing to challenge and sufficiently test) local response assets.

The narrative should present the response story by describing the:
- Probable threat/hazard which provides the context within which responders must operate.
- Response objectives developed to demonstrate the capability that describes the activities required to satisfy the capability requirements.
- Expected actions describing the specific tasks related to each objective necessary that would demonstrate proficiency in the related task.
- Technical details that define the requirements or standard by which the evaluation will be made, which will be described in detail in the MSEL.

These identify player activities and decision-making opportunities and are those which must occur to accomplish each objective in order to adequately evaluate the capability.

So for operational tasks associated with each objective you need to consider:
- What is the action?
- Who is responsible for the action?
- When should the action take place?
- How long should the action take and how much time is actually available?
- What has to happen before?
- What happens after?
- What resources does the person/entity performing the action need?

In other words, work through the scenario in advance to make sure it accomplishes what you want it to and actually tests and validates the intended objectives.

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Activity 4

Activity: Developing an Exercise Scenario

Building on the objectives developed in the previous activity, next is another Breakout Session where participants will work in groups to identify a scenario for your exercise.

ACTION:

Activity Instructions:
Based on the summaries of the National Planning Scenarios, group members should work together to customize one of the scenarios for your most complex operations-based exercise, making sure to identify the following:

- Threat/hazard/agent
- Participating agencies
- Number of casualties
- Incident location.

Report Back Instructions:
A representative from each group should report back on specific insights or lessons learned from the activity only if they feel this information benefits the entire audience.

- Groups should review information about their mock jurisdiction to ensure the scenario is of local interest and considers the threat/vulnerabilities in their jurisdictional identity.
- The scenario should be based on information from the 15 National Planning Scenarios but should be tailored to meet the size and capabilities of the jurisdiction.
- During the report back session, groups are encouraged to reflect on the scenario development process.
  - How could the process be improved?
  - What additional information would have been helpful?
  - What challenges were encountered?

- Scenarios should be detailed enough to prime the exercise participants for exercise play and direct their thinking process.
- The scenario should have elements that require performance of the tasks identified in previous activities from the Universal Task List (UTL).

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Lesson 4: Review

Lesson 4 discussed the details and requirements of the exercise development process including:

- Selection exercise types based on targets of your assessment process (plans or operations)
- Development of capabilities-based exercise objectives
- Identification of specific tasks and performance-based measurement criteria
- Develop a scenario and its supporting elements.

Questions?

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Lesson 5: Exercise Development — Documentation

Enabling Objectives

After completing this lesson, you should be able to identify exercise documentation requirements.

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Lesson 5: Exercise Development – Documentation

After completing this lesson, you should be able to identify:

- Requirements for exercise documentation, personnel, and logistics for discussion-based exercises.
- Requirements for exercise documentation, personnel, venue control and logistics for operations-based exercises.

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Exercise Documentation

- Ensure accurate account of exercise
- Control and distribution
- Additional considerations

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Exercise Documentation

Comprehensive, organized exercise documentation is critical to ensure an accurate account of the exercise is preserved. This in turn allows organizations to leverage past documentation to support future exercises and, more importantly, ensures that all critical issues, lessons learned, and corrective actions are appropriately captured to support improvement efforts.

While most exercise materials are not sensitive or classified, some materials (e.g., scenario details) may necessitate restrictions on distribution. It is important for the planning team to determine security requirements related to sensitive documents including:

- Identification and marking rules and requirements,
- Access and dissemination
- Storage
- Disposal
- Incident reporting.

Consideration should also be given to the accessibility of presentations and documents, such as making information available in alternative formats (e.g., large print, compact disc, Braille), closed captioning or another form of text display, or the provision of sign language interpreters.

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Exercise Documentation by Exercise Type

Document Title	Exercise Type	Distribution Audience
Situation Manual (SitMan)	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Facilitator's Guide	Seminar (Optional), Workshop (Optional), TTX, Game	Facilitators
Multimedia Presentation	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Exercise Plan (ExPlan)	Drill, FE, FSE	Players, Observers
Controller and Evaluator (C/E) Handbook	Drill, FE, FSE	Controllers, Evaluators
Master Scenario Events List (MSEL)	Drill, FE, FSE, Complex TTX (Optional), Game (Optional)	Controllers, Evaluators, Simulators
Extent of Play Agreement (XPA)	FE, FSE	Exercise Planning Team
Exercise Evaluation Guides (EEGs)	TTX, Game, Drill, FE, FSE	Evaluators
Participant Feedback Form	All Exercises	All Participants

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Exercise Documentation by Exercise Type

This table lists the key exercise design and development documents identified by the exercise type and relevant audience.

HSEEP Sample Materials include templates to assist exercise planners and planning teams in the production of exercise documents.

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Exercise Documentation (Discussion-based)

SitMans are provided for discussion-based exercises as the core documentation that provides the textual background for a facilitated exercise. The SitMan supports the scenario narrative and serves as the primary reference material for all participants during conduct.

The i**ntroduction** provides an overview of the exercise—including scope, objectives and core capabilities, structure, rules, and conduct—as well as an exercise agenda. The next section of the SitMan is the **scenario**, which may be divided up into distinct, chronologically sequenced modules. Each module represents a specific time segment of the overall scenario, based on exercise objectives and scenario requirements.

Each module is followed by discussion questions, usually divided by organization or discipline. Responses to the modules' discussion questions are the focus of the exercise, and reviewing them provides the basis for evaluating exercise results. These discussion questions should be derived from the exercise objectives and associated core capabilities, capability targets, and critical tasks documented in each EEG.

The SitMan generally includes the following information:
- Exercise scope, objectives, and core capabilities
- Exercise assumptions and artificialities
- Instructions for exercise participants
- Exercise structure (i.e., order of the modules)
- Exercise scenario background (including scenario location information)
- Discussion questions and key issues
- Schedule of events.

SitMan reference appendices may include, but are not limited to:
- Relevant documents regarding plans, SOPs, etc.
- Jurisdiction- or organization-specific threat information

- Material Safety Data Sheet6
- A list of reference terms or agent.

Facilitator Guide

A Facilitator Guide is designed to help facilitators manage a discussion-based exercise. It usually outlines instructions and key issues for discussion during the event and provides background information to help the facilitator answer questions from participants or players. This guide may also include an evaluation section that provides evaluation staff members with guidance and instructions on evaluation or observation methodology to be used as well as essential materials required to execute their specific functions.

Multimedia Presentation
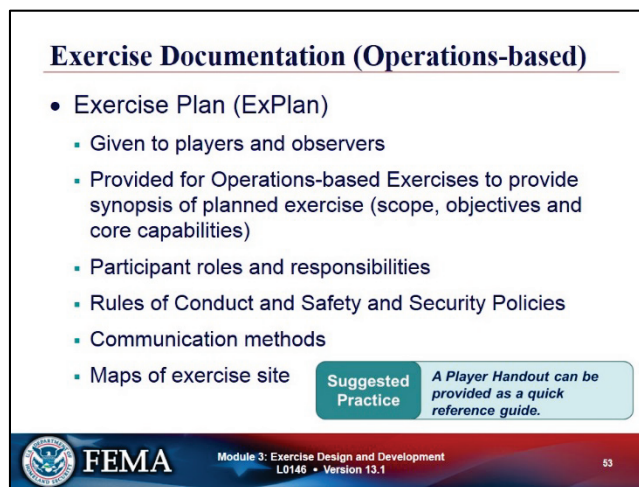
Multimedia presentations are often used to illustrate the general scenario for participants. They are given at the Start of Exercise (StartEx) and support the SitMan. The presentation should concisely summarize information contained in the written documentation. Like the SitMan, the multimedia presentation is also divided into distinct, chronologically segmented modules that, when combined, create the entire scenario.

This presentation typically contains, at a minimum, the following information:
- Introduction
- Exercise scope, objectives, and core capabilities
- Exercise play rules and administrative information
- Modules that describe the scenario.

The presentations are intended to help focus and drive the exercise as well as add realism. A/V enhancements to a presentation include video or sounds that convey information to participants.

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Exercise Documentation (Operations-based)

ExPlans are provided for operations-based exercises to provide participants with a synopsis of the exercise. They are published and distributed to the participating organizations following development of

most of the critical elements of the exercise. The ExPlan is intended to be seen by the exercise players and observers—therefore, it does not contain detailed scenario information that may reduce the realism of the exercise. Players and observers should review all elements of the ExPlan prior to exercise participation.
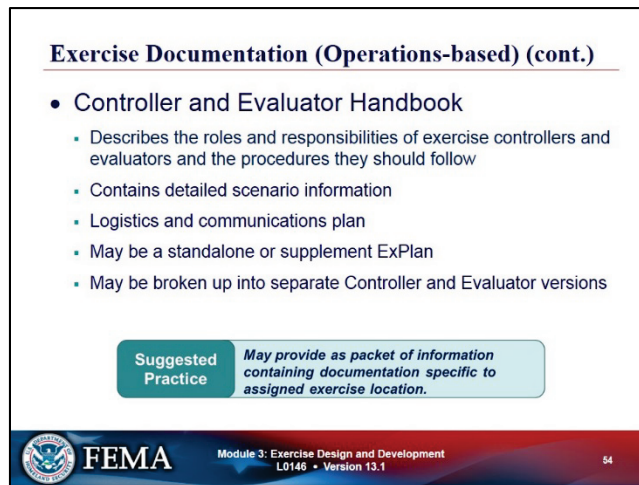
An ExPlan typically contains the following sections:
- Exercise scope, objectives, and core capabilities
- Participant roles and responsibilities
- Rules of conduct
- Safety issues, notably real emergency codes and phrases, safety controller responsibilities, prohibited activities, and weapons policies
- Logistics
- Security of and access to the exercise site
- Communications (e.g., radio frequencies or channels)
- Duration, date, and time of exercise and schedule of events
- Maps and directions.

Player Handout
The Player Handout provides key information to exercise players. A Player Handout can supplement the SitMan or ExPlan by providing a quick reference guide to logistics, agenda or schedule, and key contact data for players.

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Exercise Documentation (Operations-based) (cont.)

- Controller and Evaluator Handbook
  - Describes the roles and responsibilities of exercise controllers and evaluators and the procedures they should follow
  - Contains detailed scenario information
  - Logistics and communications plan
  - May be a standalone or supplement ExPlan
  - May be broken up into separate Controller and Evaluator versions

Suggested Practice: *May provide as packet of information containing documentation specific to assigned exercise location.*

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Exercise Documentation (Operations-based) (cont.)
Controller and Evaluator Handbook
The C/E Handbook describes the roles and responsibilities of exercise controllers and evaluators and the procedures they should follow. Because the C/E Handbook contains information about the scenario and about exercise administration, it is distributed to only those individuals designated as controllers or evaluators. The C/E Handbook may supplement the ExPlan or be a stand-alone document. When used as a supplement, it points readers to the ExPlan for more general exercise information, such as participant

lists, activity schedules, required briefings, and the roles and responsibilities of specific participants. Used as a stand-alone document, it should include the basic information contained in the ExPlan, and detailed scenario information.

The C/E Handbook usually contains the following sections:
- Assignments, roles, and responsibilities of group or individual controllers and evaluators
- Detailed scenario information
- Exercise safety plan
- Controller communications plan (e.g., a phone list, a call-down tree, instructions for the use of radio channels)
- Evaluation instructions.

The Controller portion of the C/E Handbook, sometimes known as Control Staff Instructions (COSIN), provides guidelines for control and simulation support and establishes a management structure for these activities. This section provides guidance for controllers, simulators, and evaluators on procedures and responsibilities for exercise control, simulation, and support. The Evaluation portion of the C/E Handbook, sometimes known as the EvalPlan, provides evaluation staff members with guidance and instructions on evaluation or observation methodology to be used, as well as essential materials required to execute their specific functions.

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Master Scenario Events List (MSELs)
A MSEL is typically used during operations-based or complex discussion-based exercises and contains a chronological listing of the events that drive exercise play.

At a minimum each MSEL entry should contain the following:

- Scenario time
- Event synopsis
- Controller responsible for delivering the inject, with controller or evaluator special instructions (if applicable)
- Intended player (i.e., agency or individual player for whom the MSEL event is intended)
- Expected participant response (i.e., player response expected upon inject delivery)
- Objective, core capability, capability target, and/or critical task to be addressed (if applicable)
- Notes section (for controllers and evaluators to track actual events against those listed in the MSEL, with special instructions for individual controllers and evaluators).

Scenario timelines listed in a MSEL should be as realistic as possible and based on input from SMEs. If the activity occurs sooner than the MSEL writers anticipated, then controllers and evaluators should note the time it occurred, but play should not be interrupted.

Controllers delivering MSEL injects will either be co-located with players in the venue of play, or they will reside in a SimCell. A SimCell is a location from which controllers deliver messages representing actions, activities, and conversations of an individual, agency, or organization that is not participating in the exercise but would likely be actively involved during a real incident. Prior to StartEx, the mechanisms for introducing injects into exercise play should be tested to ensure that controllers are aware of the procedures for delivering MSEL injects and that any systems that will be used to deliver them are functioning properly.

There are three types of MSEL items that facilitate exercise play.

The three types of descriptive MSEL events that support exercise play include:

Contextual injects introduced to a player by a controller to help build the exercise operating environment and/or keep exercise play moving. For example, if the exercise is designed to test information-sharing capabilities, a MSEL inject can be developed to direct an actor to portray a suspect by behaving suspiciously in front of a law enforcement player.

Expected action events reserve a place in the MSEL timeline and notify controllers when a response action would typically take place. For example, during an FSE involving a chemical agent, establishing decontamination is an expected action that the players will take without the prompting of an inject.

Contingency injects are provided by a controller or simulator to players to ensure play moves forward to adequately evaluate performance of activities. For example, if a simulated secondary device is placed at an incident scene during a terrorism response exercise, but is not discovered, a controller may want to prompt an actor to approach a player to say that he or she witnessed suspicious activity close to the device location. This should prompt the responder to discover the device and result in subsequent execution of the desired notification procedures.

MSELs are typically produced in long formats, short formats, or both. Short-form MSELs usually list injects in a single row in a spreadsheet format. These can be used as a quick-reference guide during exercise play or projected onto a large screen in a control cell or SimCell. Long-form MSELs are used when greater detail is necessary; they include more detailed descriptions, exact scripting language for actors and simulators, and more detailed descriptions of expected actions.

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Elements of an Inject

Injects are representative actions and scenario elements that drive the exercise play. The MSEL injects do three things:

- Link simulation to action
- Enhance exercise experiences for players
- Reflect an incident or activity that will prompt players to implement the policy or procedure being tested.

Injects should include the following elements:

Designated scenario time—when the event should take place. If the activity occurs sooner than the time designated in the MSEL controllers and evaluators note the time it occurred as "actual," but play should not be interrupted.

Event synopsis/description—what will occur?

Controller responsible for delivering inject—and what means are used to stimulate the behavior (e.g., course of play, telephone call, actor, video)?

Expected action—what action will the players take—identify **tasks, conditions, and standards** set forth by each exercise objective (as determined during the IPM). A **task** consists of performing a behavior that demonstrates the ability to accomplish an objective. A **condition** is the environment in which a task is performed; it can be established by the scenario or through the MSEL. **Standards** are the criteria by which each task is evaluated.

Intended player—who should receive and act on the inject

Objective to be demonstrated—which objective does this inject satisfy?

Notes section—blank space for the controllers to enter notes.

If scenario conditions do not stimulate the appropriate behavior, the Controller must attempt to use a contingency inject to try to move play forward in a manner that will permit Evaluators to determine if tasks were completed successfully.

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How to Develop a MSEL
When developing a MSEL, consider the following:
- Review capabilities to be evaluated and validated
- Identify chronology of key actions that must occur prior to a planned event occurrence–how one event would drive follow-on events–for realism
- Anticipate Player actions–Identify information resources Controller will need to provide for players to act
- Compile all MSEL events into single list–vet with exercise planning team
- Refine selected MSEL events–create detailed long version.

Once the MSEL is drafted, the Exercise Planning Team should coordinate and sequence entries and resolve any conflicts between events, thus forming a credible and challenging MSEL that will enhance the exercise experience for the players.

It is essential that the final MSEL be reviewed with quality assurance procedures in mind.

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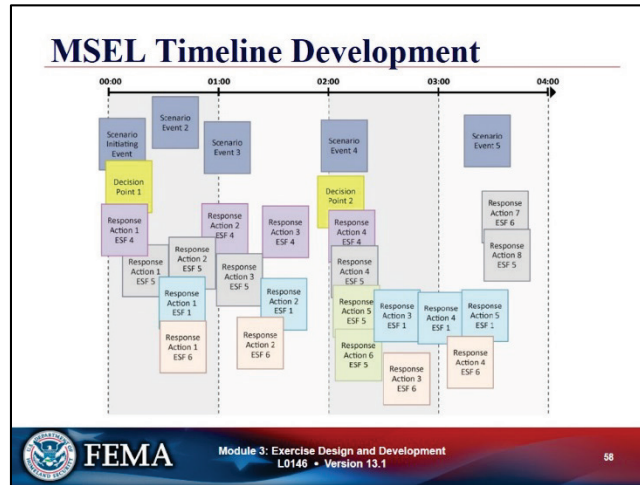
MSEL Timeline Development

This is an example of one method that can be used to aid in the development of the MSEL.

Using a whiteboard, easel pages, or cards taped to a wall with painters tape:

- Create a timeline that represents each hour and segment of hour of the proposed exercise.
- Identify each event, decision point and event action across the exercise Scenario.
- Write each event, decision point or action on post-it notes or index cards
- Organize these by placing each card under the timeline where they are expected to occur.

Note: Using separate color notes to represent each agency/organization involved in the response can help in providing a visual representation of the activities and who takes action in response to each Scenario event.

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Activity 5

Activity 5: Developing MSEL and Exercise Injects

Objective: Understand what information a MSEL contains and practice developing injects.

Time: 30 minutes, with 10 minute report back

Instructions:
- Familiarize yourself with format used for MSEL injects
- Develop two contextual injects and two contingency injects for your exercise.

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Activity: Developing MSEL and Exercise Injects

This activity will use another Breakout Session to practice developing MSEL injects.

You will be working in your assigned group to develop 4 MSEL injects for a Full Scale Exercise (FSE). You should develop **2 Contextual Injects** and **2 Contingency Injects**.

Report-Back Session—Group representative presents/describes completed worksheet. Each group should discuss challenges or recommendations for development of exercise injects.

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Additional Exercise Documentation

- Extent of Play Agreements (XPAs)
- Exercise Evaluation Guides (EEGs)
- Participant Feedback Form
- Waiver Forms
- Weapons and Safety Policy

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Additional Exercise Documentation

Extent of Play Agreements

XPAs can be used to define the organizations participating in the exercise as well as their extent of play (e.g., one fire station for 8 hours, county Emergency Operations Center [EOC] activated at Level A for 24/7 exercise operations). These agreements are formed between exercise participants and the exercise

sponsor, and can be vital to the planning of an exercise, recruitment of evaluators, and development of support requirements.

Exercise Evaluation Guides
EEGs are intended to help evaluators collect relevant exercise observations. These documents are aligned to objectives, and document the related core capability, capability target(s), and critical tasks. More information on EEGs will be provided in Module 5: Exercise Evaluation.

Participant Feedback Form
At the end of an exercise, participants may receive a Participant Feedback Form that asks for input regarding observed strengths and areas for improvement that players identified during the exercise. Providing Participant Feedback Forms to players during the exercise wrap-up activities allows them to provide their insights into decisions made and actions taken. A Participant Feedback Form also provides players the opportunity to provide constructive criticism about the design, control, or logistics of the exercise to help enhance the planning of future exercises.

At a minimum, the questions on the Participant Feedback Form solicit the following:
- Strengths and areas for improvement pertaining to the implementation of participating agencies and organizations' policies, plans, and SOPs
- Impressions about exercise conduct and logistics.

Information collected from feedback forms contributes to the issues, observations, recommendations, and corrective actions in the After Action Report/Improvement Plan (AAR/IP). Feedback forms can be supplemented by the conduct of a Hot Wash immediately following the exercise, during which facilitators, controllers, and evaluators capture participant perspectives on the key strengths and areas for improvement identified during the exercise.

Waiver Forms
Each actor should receive a waiver form prior to the exercise. Signing this form waives liability for all exercise planners and participants. Exercising entities should use discretion when recruiting actors under the age of 18 because of additional challenges and concerns related to liability. If the exercise requires volunteers younger than 18 years old, parents or legal guardians must sign their waiver forms.

Weapons and Safety Policy
All exercises, where applicable, should employ a written weapon and safety policy that is in accordance with applicable state or local laws and regulations. Exercise sponsors should coordinate the application of this policy with the appropriate safety and/or legal departments as necessary.

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Media and Public Affairs Guidance

Members of the media have the unique ability to fulfill an important function before, during, and after an exercise. Prior to an exercise, they inform the public that an exercise will take place, and raise public awareness that the community is preparing for disasters. During an exercise, they can facilitate the validation of public information plans and procedures. Following an exercise, the media may release details to the host community on the state of its preparedness, if the exercise planning team leader provides such information. Therefore, exercise sponsors should work to incorporate media-related issues into exercise planning.

Press Release

Prior to an exercise, the exercise planning team should develop a written press release to disseminate to media outlets, including web-based and/or social media outlets, as appropriate. This release informs the media and the public about general exercise information. Additionally, this information can be distributed to observers, elected and appointed officials, and other VIPs. This release should *not* contain detailed scenario information, such as the type of threat or hazard, nor should it contain information that might hinder meeting exercise objectives if a participant were to see it.

Typically, the contents of a media or public information release include the following:
- Introduction, including sponsor and exercise program information
- Exercise scope and objectives
- General scenario information
- Participating agencies or disciplines.

Public Announcement

Public announcements should be made prior to any exercise involving public space or space that will be viewable by the public. This precaution helps avoid confusion on the part of the public. It will also help the public avoid congestion near the exercise site by providing suggestions for alternate routes.

Announcements can be made through local media, through mass mailings or pamphlets, and/or on signs near the exercise site.

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Media Policy

The agency or organization sponsoring the exercise should decide whether to invite media representatives to the exercise. If invited, media representatives should have an opportunity prior to the exercise to conduct interviews with key planners and participants.

At discussion-based exercises, media representatives should not be present during the discussion of any potentially sensitive information, and filming exercise conduct should be avoided so as not to inhibit or hinder discussion or the flow of play.

During operations-based exercises, media representatives may be allowed to film certain activities but should be cautioned not to interfere with exercise play or film any sensitive operations. Unless media representatives are invited to participate in the exercise, a guide—typically a public information officer or designee—should escort media representatives at all times. If mock media or exercise controllers simulating the real-world media are employed during an exercise to test public affairs training, they should be kept completely separate from any real-world media representatives who may be observing the exercise.

Slide 63

Lesson 5: Review

In this lesson, we have discussed documentation requirements for discussion-based and operations-based exercises.
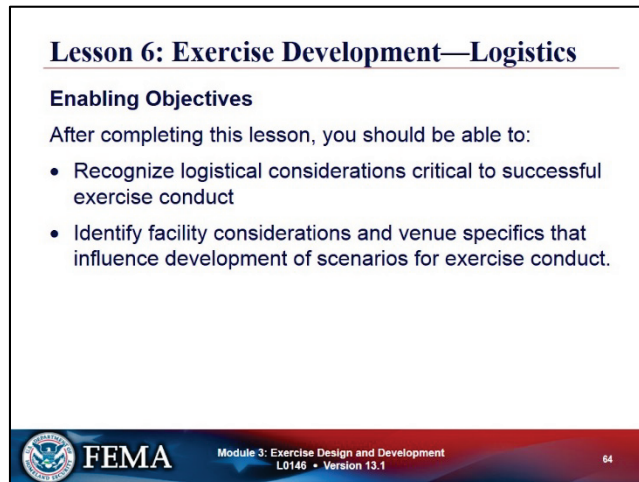
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Lesson 5: Review

In this lesson, we have discussed:

- How to develop the documentation for operations-based exercises
- Development of exercise injects—contextual and contingency
- The personnel involved in operations-based exercises
- The logistical support needed for operations-based exercises.

Questions?

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Lesson 6: Exercise Development—Logistics

Enabling Objectives

After completing this lesson, you should be able to:

- Recognize logistical considerations critical to successful exercise conduct
- Identify facility considerations and venue specifics that influence development of scenarios for exercise conduct.

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Lesson 6: Exercise Development—Logistics

Exercise development involves planning for the critical elements of exercise conduct: logistics, control, and evaluation. Logistical details are important, but often overlooked, aspects of an exercise. Logistics drive exercise development and can be a factor in determining the scope of operations-based exercises.

Logistics can make the difference between a smooth, seamless exercise and one that is confusing or even unsafe.

After Lesson 6 you should be able to:
- Recognize logistical considerations critical to successful exercise conduct
- Identify facility considerations and venue specifics that influence development of scenarios for exercise conduct.

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Planning for Exercise Logistics
Logistical details are important, but often overlooked, aspects of an exercise. They can make the difference between a smooth, seamless exercise and one that is confusing or even unsafe.

Venue
Facility and Room
Meetings, briefings, and exercises should be conducted in facilities that are appropriate for the exercise scope and attendance. Planners should also ensure that all environmental and historical preservation documentation is completed if required. Facilities should be reserved solely for exercise purposes and should be accessible to all participants and free from distractions.

When selecting a facility and room for exercise planning or conduct, planners should account for the following considerations:
- Ensure there are enough tables and chairs for every relevant participant—the facility selected should have rooms available that are large enough to accommodate all participants and be free from outside distractions. If participants are uncomfortable, distracted, or cannot hear the facilitator or each other, they will not be productive. Check with facilities management to determine what kinds of other meetings are being held at the same location to determine if there may be activities that would be a distraction to participants. To further reduce distractions you may want to ask participants to turn off mobile devices before they enter the exercise room.

- Arrange tables to best suit the meeting or exercise (e.g., U-shaped layout for exercises requiring facilitation and participant interaction). Make sure sound checks are performed at various locations around the room to ensure participants will be able to hear the facilitator. Obtain an amplified sound system to use at the venue if necessary.
- Select a facility with room acoustics that facilitate ease of discussion. The layout of tables for group activities and presenter area will be determined by the type and purpose of the exercise.

Audio/Visual Requirements

A/V requirements are identified during the design phase, including individuals assigned to ensure equipment is properly functioning.

Supplies, Food, and Refreshments

Exercise planners should not assume participants will bring necessary supplies with them. Writing utensils, notepads, easels, copies of plans and procedures, name badges, and any other equipment deemed necessary should be procured prior to exercise conduct and provided to participants.

The exercise planning team should also consider whether food and refreshments can be provided for participants and observers, in accordance with applicable funding guidance or venue policies. For discussion-based exercises, it is often beneficial to have a working lunch provided to minimize disruption to play. For operations-based exercises, hydration of participants is an important consideration.

Badging and Identification

For security purposes, all exercise participants should wear some form of identification. Although some players may wear their uniforms, badges are typically used to identify each exercise participant by name and organization. Where appropriate, name tents should be placed on tables prior to StartEx to ensure proper seating arrangements. Additionally, each table should have a table tent identifying the organization or functional area seated at that table.
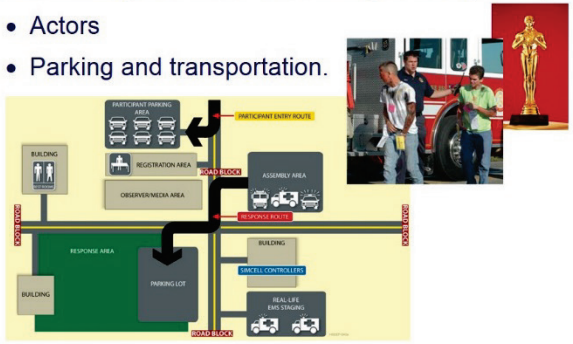
Registration and Table/Breakout Identification

Participants register upon arrival, for both identification and security reasons. Each participant should, at minimum, provide their name, organization, telephone number, and e-mail address. The exercise planning team retains copies of the sign-in sheets so that participants can receive follow-up correspondence such as thank-you notes, certificates of completion, copies of the AAR/IP, and invitations to future planning meetings and exercises.

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Planning for Exercise Logistics (cont.)

Actors

Volunteer actors provide added realism and prompt players to provide simulated victim care. Exercise planning team members can recruit them from local colleges and universities, medical and nursing schools, drama clubs, theaters, civic groups, emergency response academies, and Federal and State military units. Consideration should be given to soliciting volunteer actors from within the access and/or functional needs population to provide an opportunity to practice meeting the needs of these individuals in a variety of operational environments.

Prior to the exercise, actors should receive the following:

- Waiver forms for signature, clearing liability for exercise planners and participants
- Actor instructions including information on when to arrive, where to report, and other logistical details
- Symptomatology cards containing the signs and symptoms the actor will portray, as well as information for medical providers.

Parking, Transportation, and Designated Areas

Established parking areas should be clearly labeled for use by participants arriving in personal vehicles. If required, law enforcement personnel should be available to help direct vehicles to proper parking areas.

Operations-based exercises may also have several key areas for exercise conduct. Designated exercise areas should be clearly marked, and can include:

- **Exercise Assembly Area.** This is a gathering place for all deployable resources that will be playing in an exercise. The purpose of the exercise assembly area is to gather all resources and personnel near the exercise site prior to StartEx for safety briefings, weapons checks, and to ensure that resources and personnel are transported in a safe and unhurried manner.
- **Operations Area.** This is a large space where tactical operations—such as decontamination, triage, or render-safe procedures—take place.

- **Response Route.** This is the path traveled by responding emergency units from the Assembly Area to the exercise site during a response-focused exercise.
- **Observer/Media Area.** This is a designated area that provides observers and real-world media representatives with a view of the exercise but prevents them from interfering with exercise play.

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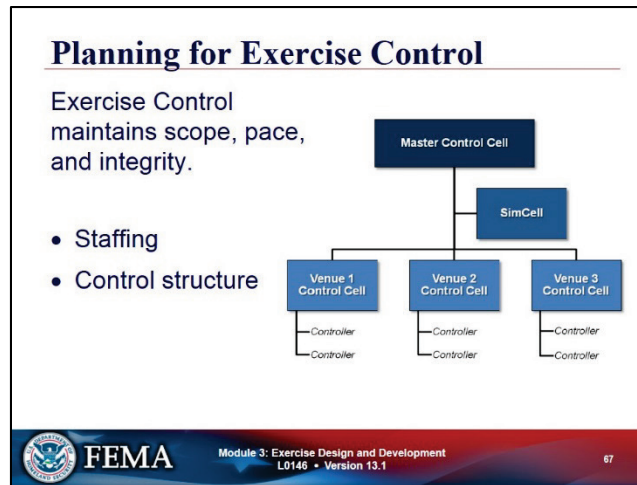
Planning for Exercise Control

Exercise control maintains exercise scope, pace, and integrity during conduct under safe and secure conditions. Key elements of exercise control include controller staffing, structure, training, communications, and safety and security.

Staffing

The planning team identifies the number of controllers needed during the exercise to deliver and track information. As a guiding principle, at least one controller should be present at every venue whenever possible. In addition to controlling the flow of information and release of MSEL events, positioning a controller at every site helps ensure the exercise is conducted safely with proper security controls.

During discussion-based exercises, the control staff provides the facilitation. If participants divide into groups for part of conduct, a facilitator is assigned to each group. A complex multijurisdictional FSE, on the other hand, may require hundreds of controllers at field and headquarters play sites, as well as additional controllers in control cells, to coordinate among the various play sites or serve in a SimCell. Resource constraints may make placing a controller at every site challenging. Multitasking personnel to serve as both a controller and an evaluator can help. While not desirable, exercise planners may also assign selected players to serve as controllers. Such players/controllers would need to understand clearly how to separate the roles to avoid feeding advance information into play or otherwise harming exercise integrity.

The *control structure* is the framework that allows controllers to communicate and coordinate with other controllers at other play sites or at a control cell to deliver and track exercise information. For discussion-based exercises, the structure is usually minimal. For operations-based exercises, however, the control structure may need to be fairly substantial to allow for proper coordination.

In an exercise involving field and headquarters play among multiple organizations in one location, a control cell serves as a central node for sharing information among controllers at the various sites and for putting all of the information together to form a common exercise picture. If an exercise contains multiple jurisdictions, particularly multiple levels of government in different geographic locations, it may be beneficial to establish multiple *venue control cells* that communicate and coordinate with each other through a *master control cell*. When an exercise does require establishment of multiple control cells, it is important to define their roles and relationships, including their decision-making hierarchy.

A *SimCell* is used to generate injects, receive player responses, and provide information in place of nonparticipating organizations that would likely participate actively if exercise events were real. Physically, the SimCell is a working location for a number of qualified professionals who portray these non-participating organizations. These professionals are knowledgeable of the organizations they are portraying, and they deliver injects in a realistic fashion. Depending on the type of exercise, the SimCell may require a telephone, computer, e-mail account, radio, or other means of communication.

When developing the control structure, exercise planners should consider their resource environment. Ideally, a control cell will contain a point of contact (POC) or a liaison representing each participating organization. In exercises involving a mix of classified and unclassified information, it may be required to separate control cells, with appropriate security firewalls set up to handle classified and unclassified information. Moreover, if an exercise uses a SimCell to drive exercise play, a determination needs to be made how to staff and integrate it into the broader control structure.

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Planning for Exercise Control (cont.)

Controller Training

If all exercise controllers can be recruited from the exercise planning team, there is little need to develop and provide special training for controllers. If, however, controllers are recruited from participating entities or other sources outside the planning team, it is very beneficial to provide some level of advance training to ensure that controllers understand the exercise, their role in it, and what they need to do.

The training generally includes a basic primer on the exercise design and all of the developed aspects of exercise control, including the scenario, information delivery methods, control staff, structure, and communications plan. Controllers are also trained to use the documents (e.g., MSEL) and the facilities (e.g., SimCell) that will help them control the exercise.

Communications Plan

The best-designed exercise control structure staffed by the most experienced exercise practitioners will fail if controllers cannot communicate effectively and efficiently. A communications section in the C/E Handbook or COSIN serves as a communications plan by telling controllers who to communicate with, what they need to communicate, and how they will communicate. This communications section may include:

- **Controller Communications.** Controllers at field or headquarters play sites may need to communicate with controllers at other sites or only with a control cell. Control cells will need to be able to communicate with all controllers at field or headquarters play sites, internally, and with other control cells if appropriate. Controllers and control cells may also need to communicate with players through means other than face-to-face interaction.
- **Timing and Content of Communications.** While controllers should communicate exercise events as they occur, establishing a regular communications schedule with defined information requirements will help to ensure effective information flow.

- **Communications Methodology.** Communications may occur by phone, radio, e-mail, over a networked system, or a mix. Controllers and control cells will need to be equipped to use the designated method(s) of communication.

Safety and Security

Controllers also play an important role in ensuring that the exercise is conducted safely in a secure environment. In exercises involving potentially dangerous field play or the use of classified materials, the control team designates a safety and/or security controller(s) to focus on those areas of control.

Safety

Safety is the most important consideration in planning any exercise. For operations-based exercises, consideration should be given to the following to help ensure a safe environment:

- Appoint a safety controller(s).
- Dedicate non-exercise participating advanced life support or basic life support ambulance unit(s) for real-world emergencies that may occur during the exercise.
- Identify real-world emergency procedures with a code word or phrase.
- Outline safety requirements and policies.
- Consider other safety issues outside the scope of exercise control (e.g., weather, heat stress, hypothermia, etc.).

Security

Because of the sensitive nature of many exercises, it is important for the exercise site to be secure. Local law enforcement can provide site security where appropriate. Exercises often also involve sensitive or classified information or procedures. For all exercises involving sensitive or classified information, exercise planners should identify and adhere to appropriate security standards to ensure that this information is not compromised. Such measures can include conducting registration prior to a discussion-based exercise, ensuring that uninvited or unregistered individuals do not participate, or having law enforcement or security guards monitor and control access to a play site for the duration of the exercise.

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Lesson 6: Review

In this lesson you learned how to:

- Recognize logistical considerations critical to successful exercise conduct
- Identify facility considerations and venue specifics that influence development of scenarios for exercise conduct.
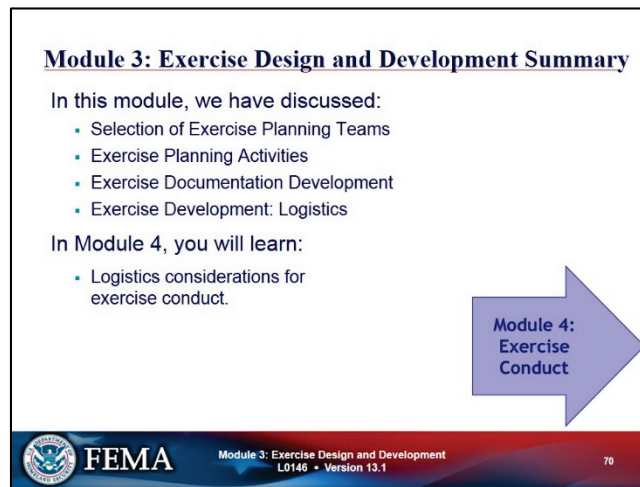
Lesson 6: Review

In Lesson 6, Exercise Logistics, you learned how to:

- Recognize logistical considerations critical to successful exercise conduct
- Identify facility considerations and venue specifics that influence development of scenarios for exercise conduct.

Questions?

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Module 3: Exercise Design and Development Summary

In this module, we have discussed

- Exercise Planning Team and Events
- Exercise Design Activities
- Logistics Planning
- Exercise Documentation
- Exercise Development.

In our next module we will learn about the logistic considerations of exercise conduct.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

HSEEP Training

Module 4

Exercise Conduct

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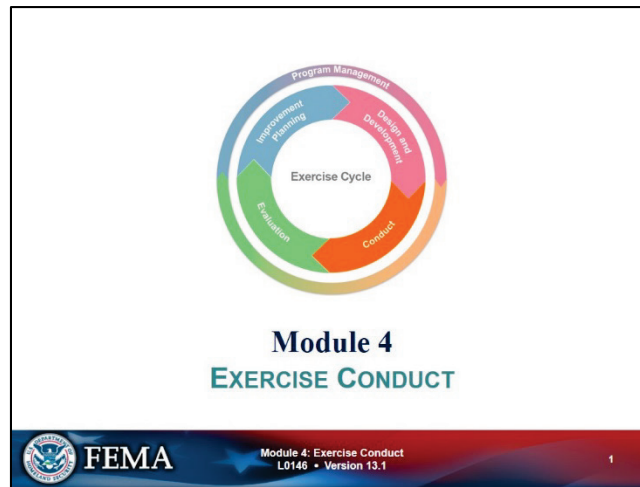
HSEEP Module 4: Exercise Conduct

After design and development activities are complete, the exercise is ready to take place. Exercise conduct involves activities such as preparing for exercise play, managing exercise play, and conducting immediate exercise wrap-up activities.

Slide 2

Module 4: Terminal Objective

After completing this module you should be able to describe the activities needed for exercise preparation, exercise play, and exercise wrap-up.

In this module, you will learn what steps are required to ensure exercise success.

Slide 3
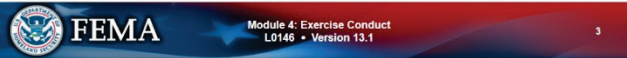
Module 4: Agenda

The module is broken into three lessons:

Lesson 1: Exercise Preparation
Lesson 2: Exercise Conduct
Lesson 3: Exercise Wrap-Up

Slide 4

Lesson 1: Exercise Preparation

In this first lesson we will review the exercise preparation process and describe activities related to exercise setup, the purpose and importance of participant briefings toward the success of the exercise, and participant roles and responsibilities during exercise conduct.

At the completion of this exercise, you should be prepared to identify these preparation activities, and have a basic understanding of the importance of the Exercise Orientation Briefings in ensuring the validity of the findings to be obtained from exercise conduct.
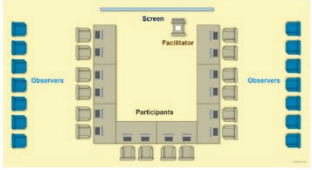
Slide 5

Discussion-based Exercise Set-Up

Members of the exercise planning team assigned to support exercise setup should visit the exercise site at least one day prior to the event to arrange the room, test A/V equipment, and discuss administrative and logistical issues. On the day of the exercise, planning team members should arrive several hours before StartEx to handle setup activities and arrange for registration.

Prior to exercise conduct, the exercise planning team must deliver the necessary exercise materials and equipment, which may include the following:

- SitMans or other written materials for exercise participants
- Multimedia presentation
- Appropriate A/V equipment including televisions, projectors, projection screens, microphones, and speakers
- Table tents for each table
- Name tents for each participant
- Badges identifying the role of each exercise participant
- Sign-in sheets
- Participant Feedback Forms.

Slide 6

Setup for Operations-Based Exercises

The appropriate exercise planning team members should begin event setup as many days prior to the event as necessary, depending on the scope of the simulated environment. Setup entails arranging briefing rooms and testing A/V equipment, placing props and effects, marking the appropriate exercise areas and their perimeters, and checking for potential safety issues.

On the day of the exercise, all exercise planning team members should arrive several hours before StartEx to handle any remaining logistical or administrative items pertaining to setup, and arrange for registration.

A communications check should also be conducted prior to the start of an operations-based exercise.

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Exercise Orientation Briefings

Held before each exercise, **Exercise Orientation Briefings** educate each participant group about their unique roles and responsibilities during exercise play. By scheduling separate briefings for elected and appointed officials, controllers and evaluators, actors, players, and observers, exercise planning team members can avoid giving extraneous material to different groups.

Regardless of their role in the exercise conduct, all individuals participating in the exercise are expected to attend these briefings. Participants must understand that attendance is mandatory in order to ensure the success of the exercise and the safety of all participants. It's important to explain to participants that because each exercise is unique, targets different capabilities, and may involve different players, attending the Exercise Orientation Briefing for one exercise does not mean a participant does not need to attend these briefings for future exercises.

The **Elected and Appointed Officials** who were engaged early in the design and development should be engaged again prior to exercise conduct to ensure the exercise as designed aligns with leadership intent, and to review the decision processes that will be used to end the exercise prematurely in the event of a real-world emergency where players must respond to maintain the sponsor organization's mission response capabilities.

Controller and Evaluator briefings ensure that those serving as controllers and evaluators conduct their responsibilities in a uniform manner; this consistency contributes to the accuracy of the evaluation process. The contingency process identified for use in event of a real world emergency must also be fully understood by controllers who will be responsible for implementing the contingency process.

Controllers should be briefed with an overview of the exercise, the specifics for their assigned location and the schedule of events and MSEL injects they are expected to deliver at each point in the scenario, the control concept chosen for the exercise, the controller's oversight responsibilities, and the contingency process that is to be followed in event of real-world emergency.

Evaluators should receive a briefing with an overview of the evaluation plan, methodology and objectives and evaluation materials. The briefing should include instructions on how evaluators are expected to use the materials in the Evaluator Handbook to observe the exercise including: what to look for, what to record, how to use Exercise Evaluation Guides (EEGs), and how they will use the collected data to conduct an analysis of exercise outcomes. Evaluators need to understand the exercise methodology and objectives, and know the agenda or schedule.

To ensure evaluators are fully prepared to evaluate exercise play, they should be provided advanced copies of the evaluation materials. Exercise planners should ensure sufficient time is allocated for evaluators to prepare in advance during the exercise planning phase, specifically by studying the appropriate exercise documents and reference materials.

Because each exercise is unique it is important that Controllers and Evaluators understand that *attending an Exercise Orientation Briefing for one exercise does not mean they would not need to attend*

this briefing for future exercises. **Attendance is mandatory** to ensure the success of the exercise, the consistency of the evaluation process, and the safety of all participants.
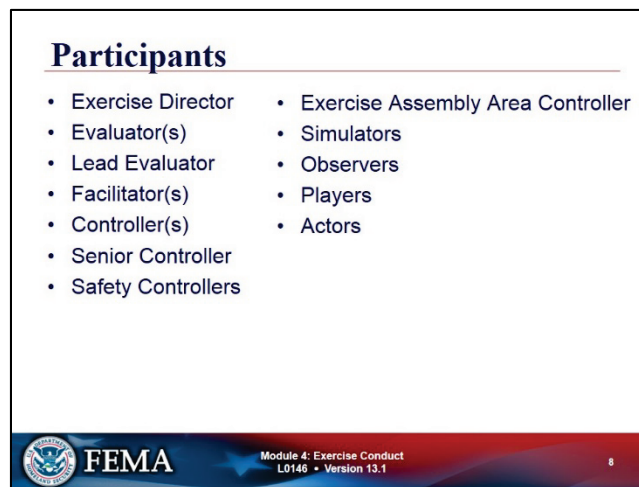
Shortly before the start of the exercise, controllers assigned to oversee each participant group conduct a briefing for their assigned participant group:

The **Actor Controller** leads the actor briefing, providing actors with an overview of the exercise and their expected response behaviors as "victims" during the exercise to add to the realism of the exercise for players.

The **Exercise Assembly Area Controller** conducts a Player Briefing to address their roles and responsibilities, the exercise parameters, safety, security badges, and any logistical exercise concerns or questions from players. The rules of play are established before the exercise to prevent physical harm and property damage. Because operations-based exercises—with the exception of functional exercises—do involve the use of real equipment, resources, and responders, the exercise rules must be established and reviewed well in advance to ensure proper precautions are taken. The rules should be followed to ensure a safe and productive exercise.

The **Lead Controller or the Controller assigned to the Observer/Media Area** conducts an Observer Briefing to inform observers and VIPs about the background of the exercise program, the type of scenario that will be played out during the exercise, the exercise schedule of events, observer limitations and restrictions, and any other miscellaneous information.

Slide 8

Exercise Participants

During exercise play, participants accomplish various roles and responsibilities aimed at achieving exercise objectives and demonstrating core capabilities.

During the design and development process, the planning team identifies facilitators, controllers and evaluators who will oversee the exercise play.

The sponsoring organization(s) identify and assign players who will take part in the exercise. The number of players involved in an exercise is determined based on the type, scope, objectives, and scenario of the exercise.
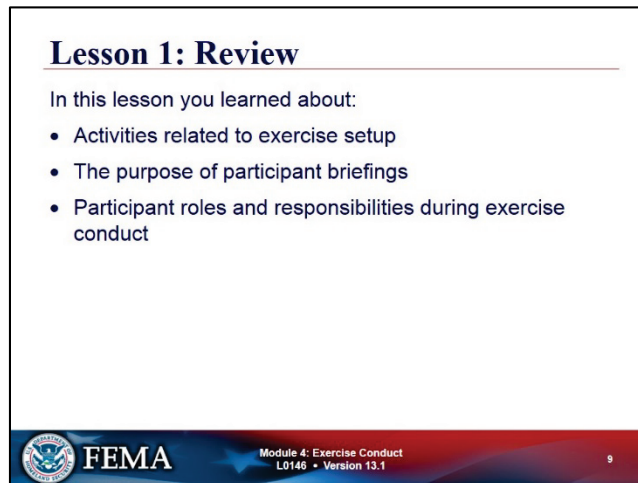
Discussion-based exercises usually require participation of senior-level decision makers, while operations-based exercises use a mix of junior and senior staff, chosen based on both rank and experience.

The number of players involved in an exercise is ultimately based on design of the scenario and the capability-based objectives to be validated through exercise conduct. The planning team should work to ensure there will be enough players participating to accomplish the exercise objectives, and manage these numbers to ensure that exercise controllers and evaluators can reasonably monitor their actions during the exercise.

Planners must strive to ensure that the players invited to participate will actually have a role in the exercise. It causes a great deal of frustration when an agency sends a representative and their role is minimal in the event.

Reference: Table 4.1: Exercise Participant Roles, HSEEP Guidance April 2013, pg. 4-4

Slide 9

Lesson 1: Review

In this lesson you learned about:
- Activities related to exercise setup
- The purpose of participant briefings
- Participant roles and responsibilities during exercise conduct.

Questions?

Slide 10

Lesson 2: Exercise Conduct

Enabling Objective

After completing this lesson you should be prepared to describe the activities related to the conduct of discussion-based and operations-based exercises.

Slide 11

Discussion-based Conduct

Multimedia Presentation
The multimedia presentation is a crucial vehicle for conveying information to the players. The presentation typically starts with brief remarks by representatives from the exercise planning team or sponsoring organization, and/or elected and appointed officials from the governing jurisdiction. After the opening remarks, the presentation moves into a brief introductory and explanatory phase led by a

facilitator. During this phase, attendees will be introduced to any other facilitators, controllers (games only), or evaluators; given background on the exercise process; and advised about their individual roles and responsibilities.

The facilitator generally presents the multimedia briefing, which describes the scenario and any relevant background information. The facilitator also leads the discussion, introduces spokespersons, poses questions to the audience, and ensures that the schedule remains on track.

Facilitated Discussion
Facilitated group discussions can occur in a plenary session or in breakout groups, which are typically organized by discipline or agency/organization. In both formats, a facilitator is responsible for keeping the discussion focused on the exercise objectives and making sure all issues are explored within the time allotted. A good facilitator should possess:

- The ability to keep side conversations to a minimum, keep discussions on track and within established time limits, control group dynamics and strong personalities, and speak competently and confidently about the subject without dominating conversation.
- Functional area expertise or experience
- Awareness of appropriate plans and procedures
- The ability to listen well and summarize player discussions.

If feasible and/or appropriate, co-facilitators who are knowledgeable about local issues, plans, and procedures may assist the lead facilitator. Also, designating a recorder to take notes allows the facilitator to focus on key discussion issues.

Moderated Discussion
Moderated discussions generally follow breakout discussions. In moderated discussions, a representative from each group presents all participants with summarized results from a group's facilitated discussion. This spokesperson is selected before the facilitated discussion so that he or she can prepare to speak on behalf of the group. During moderated discussions, spokespersons summarize the facilitated discussion, present key findings and issues, and discuss any unresolved issues or questions. At the end of the moderated discussion period, the facilitator opens the floor for questions.

Time for moderated discussion is generally scheduled at the end of each module, with another longer period for each at the conclusion of the exercise. During the moderated discussion, groups should focus only on the material presented in a given module.

Exercise Data Collection
During discussion-based exercises, facilitators help evaluators collect useful data by keeping discussions focused on exercise objectives, core capabilities, capability targets, and critical tasks.

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Operations-based Conduct

During conduct of operations-based exercises, the exercise planning team leader normally serves as the senior controller or Exercise Director. Controllers and evaluators report key activities to the senior controller. The senior controller is responsible for both commencing exercise play by announcing StartEx, and announcing EndEx at the conclusion of the scenario, after a certain period of time has passed, or when all exercise objectives have been met.

Prior to StartEx, rules for exercise play should be disseminated to all participants to establish the parameters that they must follow during the exercise. These rules help players understand their roles in the exercise environment, describe appropriate behavior, establish guidelines for physical contact, and aim to prevent physical harm to individuals or damage to property. Written rules should be reviewed and approved by appropriate authorities.

Exercise areas for operations-based exercises should be clearly defined, and all exercise operations should take place within these designated areas. The exercise area for an FE is usually limited to the control or command centers and their onsite staff members. All other activity and deployment of resources outside of these locations are notional and is simulated by the SimCell staff. The exercise area for an FSE or drill might include one or more simulated incident sites, as well as control or command centers. It is important that these areas be clearly marked to ensure player safety and avoid confusion with real-world operations.

To prevent confusion with real-world communications or accidental deployment of resources, all communications must be clearly identified as exercise-related. This can be accomplished by displaying the phrase "Exercise Material Only" prominently on all typed or printed communications, and by beginning each verbal communication by stating, *"This is an exercise,"* or a similar statement as agreed upon by the exercise planning team. Additionally, players should be supplied with an exercise directory that provides contact information for each of the simulated organizations portrayed by simulators in the SimCell.

Exercise Data Collection

During the exercise, each evaluator should use the EEGs to record both quantitative and qualitative data for capabilities, capability targets, and critical tasks, as assigned by the lead evaluator. During operations-based exercises, evaluators should be strategically pre-positioned in locations at which they can gather useful data, and they should track and record participant actions carefully.

Contingency Process

An effective contingency process is critical to ensure the exercise can be halted, postponed, or canceled if a real-world event takes place. This process should be reviewed with all participants and stakeholders participating in the exercise during exercise briefings.

In order to prevent jeopardizing mission performance in response to real-world events, the exercise planning team should maintain a contingency process to halt, postpone, or cancel an exercise as necessary. Should the conduct of the exercise put at risk any efforts to respond to real-world events or should real-world events hinder conduct of the exercise, the Exercise Director and exercise planning team should convene, in coordination with elected and appointed officials from participating organizations, to determine the appropriate course of action. Following decision on a final course of action, the Exercise Director should communicate that course of action to all exercise planners, participants, and other key stakeholders through all relevant communications mechanisms.

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Control

The control structure for an operations-based exercise describes how controllers communicate and coordinate with one another and how they track exercise information. These procedures, as well as clearly defined roles and responsibilities for each controller, should be detailed in the C/E Handbook. During exercise play, controllers carry out these responsibilities and closely monitor exercise play to ensure a safe and effective exercise.

During FE play, SimCell control is particularly important. Because of the great deal of simulated activity that occurs during FEs, these exercises require a robust and detailed MSEL and close communication

between the site controller(s) and the SimCell. Site controllers should advise the SimCell on the pace of exercise play, and request more or fewer injects as necessary to maintain an appropriate pace.

During FSEs and drills, the exercise assembly area controller plays a key role. The exercise assembly area controller remains in close communication with other controllers throughout the exercise to ensure safe and realistic deployment of personnel. When a unit arrives at the assembly area, the exercise assembly area controller takes attendance to ensure all players are present. Units are positioned according to their deployment times, and qualified individuals perform a weapons check to guarantee the tagging of all inspected weapons to indicate they are safe for exercise play.

This controller is also responsible for the exercise assembly area's logistical organization, including placement locations for units and coordination of exiting patterns for dispatched units. It is imperative for the exercise planning team to create a deployment timetable based on realistic response times; failure to do so will result in a compromised and disorganized exercise. The exercise assembly area controller must be informed about any updates to the exercise that may require changes to the deployment timetable, and he or she should update the deployment timetable accordingly.

In all operations-based exercises, it is critical that all exercise controllers take appropriate actions to ensure a safe and secure exercise environment. These actions may involve monitoring conditions that impact player and/or actor safety, such as heat stress and other health issues.

Slide 14

Lesson 2: Review

In this lesson you learned about activities related to the conduct of discussion-based and operations-based exercises.

Slide 15

Lesson 3: Exercise Wrap-Up Activities

Enabling Objective

After completing this lesson you should be able to describe the wrap-up activities that all relevant data is collected to support effective evaluation and improvement planning.

Slide 16

Wrap-Up Activities

Performing thorough exercise wrap-up will ensure that all relevant data is collected to support effective evaluation and improvement planning.

Debriefings

Immediately following the exercise, a short debriefing should be conducted with exercise planning team members to ascertain their level of satisfaction with the exercise, discuss any issues or concerns, and

propose improvements. Planners should collect exercise attendance lists, provide copies to the exercise planning team leader, collect Participant Feedback Forms, and develop debriefing notes.

Player Hot Wash

A Hot Wash provides an opportunity for exercise participants to discuss exercise strengths and areas for improvement immediately following the conduct of an exercise. The Hot Wash should be led by an experienced facilitator who can ensure that the discussion remains brief and constructive. The information gathered during a Hot Wash can be used during the AAR/IP process, and exercise suggestions can be used to improve future exercises.

Hot Washes also provide opportunities to distribute Participant Feedback Forms which, when completed by players, can be used to help generate the AAR/IP.

For operations-based exercises, a Hot Wash should be conducted for each functional area by that functional area's controller or evaluator immediately following an exercise. It can also provide an opportunity for players to gain clarification on exercise play at other exercise sites or in other functional areas.

Controller/Evaluator Debriefing

The C/E Debriefing provides a forum for functional area controllers and evaluators to review the exercise. The exercise planning team leader facilitates this debriefing, which provides each controller and evaluator with an opportunity to provide an overview of the functional area they observed and to discuss both strengths and areas for improvement. During the debriefing, controllers and evaluators complete and submit their Participant Feedback Forms. Debriefing results are captured and may be included in the AAR/IP. Similarly, for discussion-based exercises, a Facilitator/Evaluator Debriefing is held to review exercise conduct. This debriefing can be facilitated by the exercise planning team leader and provides a forum for facilitators and evaluators to discuss strengths, areas for improvement, and progress in completing exercise objectives.

Slide 17

Activity 6

Activity 6 (Optional):
Discussion-based Exercises Lessons-Learned
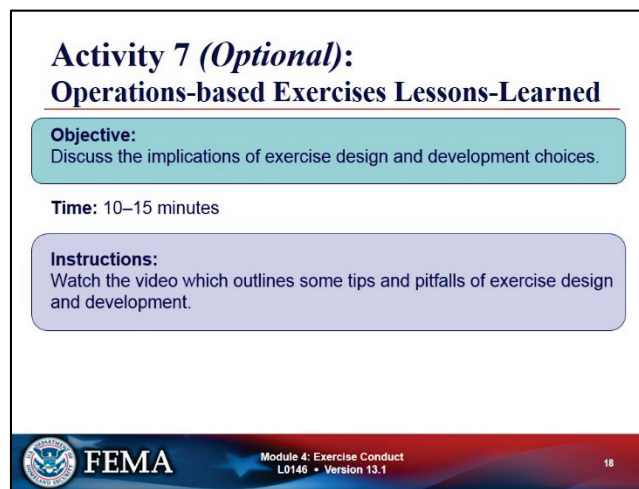
Objective:
Discuss the implications of exercise design and development choices.

Time: 10–15 minutes

Instructions:
Watch the video which outlines some tips and pitfalls of exercise design and development.

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Activity: Discussion-based Exercises Lessons Learned

Objective: Discuss implications of exercise design and development choices

Time Required: 10–15 minutes.

Instructions:
Following video viewing, participants should discuss what they noticed from observing the video that may point to corrective measures that could have been addressed during the design and development phase.

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Activity 7

Activity: Operations-based Exercises Lessons-Learned

Objective: Discuss the implications of exercise design and development choices on the exercise outcomes.

Time Required: 10–15 minutes.

Instructions:
Following video viewing, participants should discuss what they noticed from observing the video that may point to corrective measures that could have been addressed during the design and development phase.

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Lesson 3: Review

In this lesson we discussed exercise wrap-up activities including:

- Debriefings
- Player Hot Wash
- Controller/Evaluator Debrief
- Data collection for development of draft After Action Report (AAR).

Slide 20

Module 4: Exercise Conduct Summary

In Module 4, we discussed:

- Exercise Preparation
- Exercise Conduct
- Exercise Wrap-Up Activities.

In Module 5, we will describe the post-exercise evaluation process.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

HSEEP Training

Module 5

Exercise Evaluation

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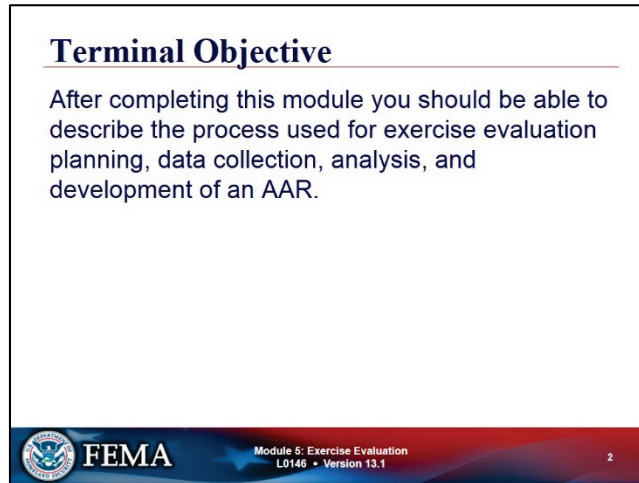
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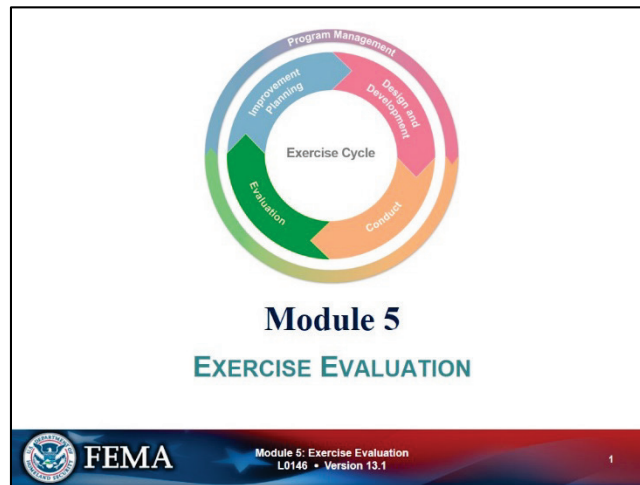
HSEEP Module 5: Exercise Evaluation

Exercise evaluation maintains the fundamental link between the exercise and improvement planning. Through exercise evaluation, organizations assess the capabilities needed to accomplish a mission, function, or objective. This assessment is based on the performance of critical tasks according targeted levels for the selected capability.

Effective exercise evaluation involves:

- Planning for exercise evaluation
- Observing the exercise and collecting exercise data during exercise conduct
- Analyzing collected data to identify strengths and areas for improvement
- Reporting exercise outcomes in a draft AAR.

Using a common approach to evaluation supports consistent and meaningful reporting of exercise results.

Slide 2

Terminal Objective
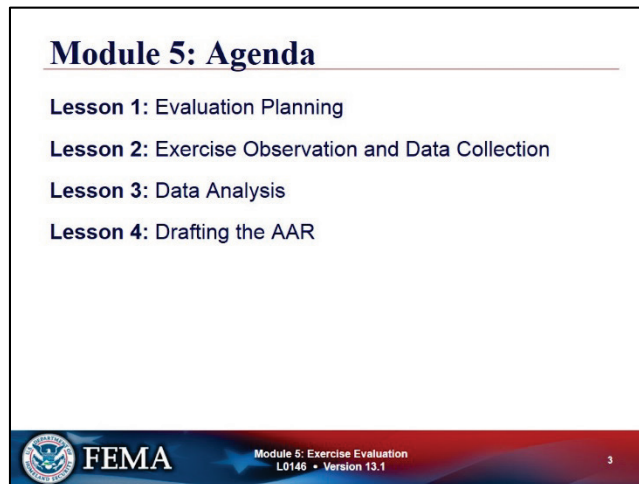
After completing this module you should be able to describe the process used for exercise evaluation planning, data collection, analysis, and development of an AAR.

This evaluation process is used to identify performance and resource gaps or other issues that may need to be addressed in order for your organization to meet the priority capabilities from the Mission Areas assessed by the exercise.

Slide 3

Module 5: Agenda

The module is broken into four lessons:

Lesson 1: Evaluation Methodology and Planning
Lesson 2: Exercise Observation and Data Collection
Lesson 3: Data Analysis
Lesson 4: Drafting the After Action Report (AAR)

Each lesson provides information needed to design and execute exercise evaluation.
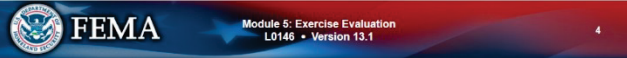
Slide 4

Lesson 1: Evaluation Planning

Enabling Objectives
After completing this lesson you should be able to describe:
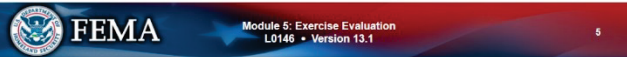
- The composition of an evaluation team
- The purpose and development of Exercise Evaluation Guides (EEGs)
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

Slide 5

Evaluation Planning Phase
Exercise planners should collaborate to ensure a consistent approach for evaluating capabilities during an exercise, and elected and appointed officials should be engaged early in evaluation planning in order to identify any specific evaluation requirements. Identifying clear evaluation requirements early in the

planning process will ensure that the design, development, and conduct of the exercise best support an effective and consistent process is used during evaluation.

Slide 6

Evaluation Team Responsibilities

- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train, and assign additional evaluators

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Evaluation Team Responsibilities

Early in the exercise planning process, the exercise planning team leader should appoint a lead evaluator to oversee all facets of the evaluation process. The lead evaluator participates fully as a member of the exercise planning team and should be familiar with the exercise's objectives. A lead evaluator should also have the management skills needed to oversee a team of evaluators as well as the knowledge and analytical skills to undertake a thorough and accurate analysis of all objectives and core capabilities of an exercise. The lead evaluator must have the skills to effectively communicate and coordinate with the exercise controllers. In addition, the lead evaluator should be familiar with the mission areas and core capabilities associated with the exercise; plans, policies, and procedures of the participating organizations; incident command and decision-making processes; and key preparedness doctrine and policy.

The exercise planning team and lead evaluator should determine the tools and documentation needed to support the evaluation team, such as the need for a separate Evaluation Plan instead of relying on the evaluation section in the C/E Handbook. The lead evaluator also identifies data collection methods to ensure that information specific to examining capabilities for the individual exercise is recorded.

Members of the evaluation team should:
- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train, and assign additional evaluators.

Slide 7
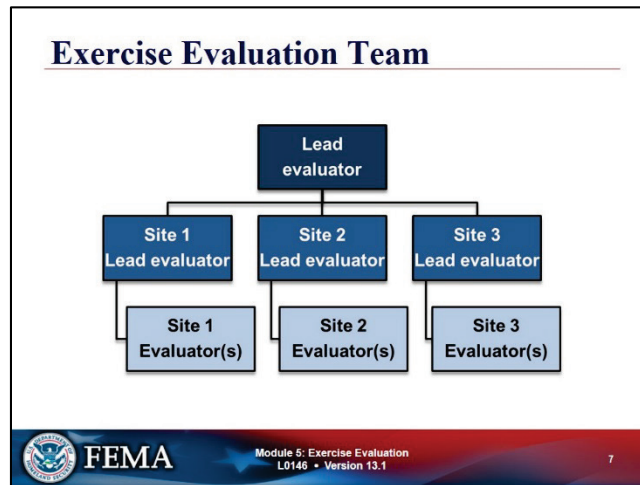
Exercise Evaluation Team

The exercise planning team and lead evaluator should determine the structure of the exercise evaluation team based on the scope of the exercise, the exercise objectives, associated core capabilities, and critical tasks that will be evaluated during the exercise. Specific security clearance levels may be required for some exercise play or locations. Exercises that involve multiple jurisdictions and/or multiple venues should consider assigning site leads, as illustrated by the example provided in this graphic. A site could be a jurisdiction, a specific emergency operations center, or another exercise location. These individuals support the lead evaluator and manage the activities of other evaluators assigned to that location.

Consideration should be given to an exercise's scope and objectives when selecting the number of individuals needed to support the evaluation process. For exercises of limited scope and having objectives with fewer capabilities, the lead evaluator and one additional person may be all that is needed. For more complex or larger exercises with a greater number of objectives and capabilities, more individuals may be required.

Exercises that involve multiple jurisdictions and/or multiple venues should consider assigning jurisdiction leads or site leads, as illustrated by the example here. A site could be a jurisdiction, a specific emergency operations center, or a location. These individuals support the lead evaluator and manage the activities of other evaluators assigned to that location.

Slide 8

Lead Evaluator

The **Lead Evaluator** takes charge of planning the evaluation and works with the planning team members throughout the exercise planning process to determine the tools and documentation needed to support the evaluation team, such as development of a separate Evaluation Plan to accompany the Evaluator Handbook and provide guidance to the Exercise Planning Team when conducting the analysis of all the exercise data and feedback obtained from participants.

In general the development of the evaluation plan involves the following tasks:

- **Define evaluation requirements—**determine what needs to be evaluated and how information will be collected.
- **Prepare a plan for evaluating the exercise**—prepare the complete package of information on the evaluation process.
- **Select or develop the evaluation forms**—used to capture information during exercise observation and data analysis.
- **Finalize the plan for evaluation**—complete the activities necessary to organize the evaluation and prepare evaluation packets for use in exercise conduct.

The evaluation plan includes:

- **Exercise-specific information:** The scenario or a summary of the scenario, the functional groups for the exercise, and the exercise schedule of events (including the evaluation schedule).
- **Plans, policies, procedures, and agreements:** Copies of, or references to, the jurisdiction's applicable plans, policies, procedures, and agreements that would be expected to be discussed during discussion-based exercises and utilized/implemented during an operations-based exercise.
- **Evaluator requirements and assignments:** Numbers of evaluators needed, the background or subject matter expertise required, and the functional group or discipline that each will observe.

- **Evaluator instructions:** Instructions on what evaluators should do before they arrive (e.g., review exercise materials, jurisdictional plans and procedures, the evaluation plan/process), their roles and responsibilities throughout the exercise, and required deliverables following the exercise.
- **Evaluation tools:** Include the data collection instruments and jurisdiction-specific Exercise Evaluation Guides (EEGs).

Slide 9

Recruit, Assign and Train Evaluators

Once evaluation requirements have been defined by the planning team, the lead evaluator **determines the necessary qualifications of the evaluators**, identifies appropriate individuals to serve in these roles, and oversees recruiting, assigning, and training these evaluators.

Whenever possible, evaluators should have experience and subject matter expertise in their assigned functional area. Those chosen should have functional knowledge in the area that they will be assigned to evaluate and be familiar with the plans, policies, procedures, and agreements between local agencies and jurisdictions.

The **goal** of the evaluation process is **to obtain objective evaluations**, and members of a participating agency may have pressures to favor outcomes for their agency. For this reason it is **best to recruit evaluators from local nonparticipating agencies** either within or from outside of the jurisdiction.
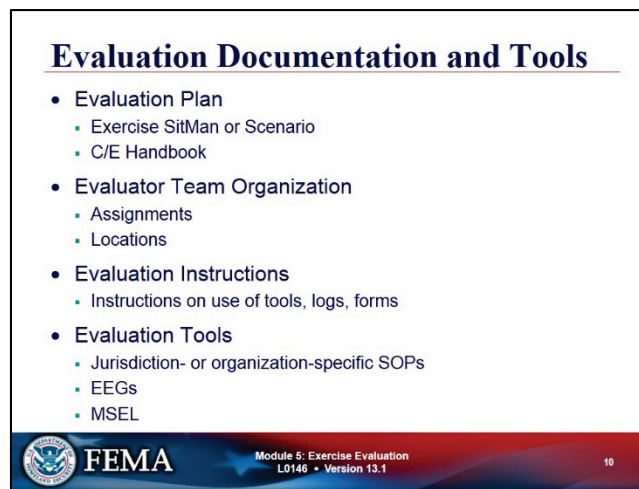
Evaluator assignments should be communicated to evaluators prior to exercise conduct so that they may focus on the specific functional tasks identified in the MSEL to be observed at their assigned location.

As discussed earlier, all evaluators receive a pre-exercise briefing to ensure that they have a shared understanding of key data to be collected and how that data will contribute to the evaluation of the exercise.

Pre-Exercise Evaluator Briefing

Before exercise play begins, the lead evaluator should meet with all evaluators to verify roles, responsibilities, and assignments, and to provide any significant updates (e.g., last-minute changes to the scenario, new assignments). The Evaluator Briefing provides an opportunity for evaluators to ask questions and to ensure complete understanding of their roles and responsibilities. Depending on a variety of factors, including exercise scope, objectives, and scenario, this briefing may be done in conjunction with exercise controllers, as a Controller/Evaluator Briefing. Depending on the exercise organization, it may be necessary to conduct briefings at more than one exercise site.

Slide 10

Evaluation Documentation and Tools

The C/E Handbook or Evaluation Plan is the primary evaluation documentation for the exercise and typically contains the following information:

- **Exercise-Specific Details:** Exercise scenario, schedule of events, and evaluation schedule.
- **Evaluator Team Organization, Assignments, and Locations:** A list of evaluator locations, shift assignments, a map of the exercise site(s), evaluation team organizational chart, and evaluation team contact information.
- **Evaluator Instructions:** Step-by-step instructions for evaluators for activities before, during, and following the exercise.
- **Evaluation Tools:** EEGs, the MSEL or a list of venue-specific injects, electronic or manual evaluation logs or data collection forms, relevant plans and procedures, Participant Feedback Forms, and Hot Wash templates.

Slide 11

Exercise Evaluation Guides (EEGs)

EEGs provide a consistent tool to guide exercise observation and data collection. EEGs are aligned to exercise objectives and core capabilities, and list the relevant capability targets and critical tasks. These targets and critical tasks may be drawn from the National Preparedness Goal and the five national planning frameworks, a threat/hazard identification and risk assessment product, or from an organization's own plans and assessments.

EEGs are designed to accomplish several goals:
- Streamline data collection
- Enable thorough assessments of the participant organizations' capability targets
- Support development of the AAR
- Provide a consistent process for assessing preparedness through exercises
- Help organizations map exercise results to exercise objectives, core capabilities, capability targets, and critical tasks for further analysis and assessment.

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Exercise Evaluation Guides (EGG) Format

The EEG format is designed to present the following evaluation requirements to exercise evaluators:

- **Core capabilities:** The distinct critical elements necessary to achieve a specific mission area (e.g., prevention). To assess both capacity and gaps, each core capability includes capability targets.

- **Capability target(s):** The performance thresholds for each core capability; they state the exact amount of capability that players aim to achieve. Capability targets are typically written as quantitative or qualitative statements.

- **Critical tasks:** The distinct elements required to perform a core capability; they describe how the capability target will be met. Critical tasks generally include the activities, resources, and responsibilities required to fulfill capability targets. Capability targets and critical tasks are based on operational plans, policies, and procedures to be exercised and tested during the exercise.

- **Performance ratings:** The summary description of performance against target levels. Performance ratings include both Target Ratings, describing how exercise participants performed relative to each capability target, and Core Capability Ratings, describing overall performance relative to entire the core capability.

For each EEG, evaluators provide a target rating, observation notes including an explanation of the target rating, and a final core capability rating. In order to efficiently complete these sections of the EEG, evaluators focus their observations on the capability targets and critical tasks listed in the EEG.

Slide 13

Activity 8: Develop EEG

Objective:
Develop an Exercise Evaluation Guide (EEG).

Time: 20 minutes, with a 10 minute report back.

Instructions:
- Assign a member to be the recorder for your group
- Develop a single core capability EEG with customized target and tasks based on one of your objectives
- Select one person to report back

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Activity: Developing EEGs

Objective: Develop and Exercise Evaluation Guide

Time: 20 minutes

Instructions:

Breakout groups should assign one member to be recorder and spokesperson for the group. The group should work together to develop a single core capability EEG with customized target and tasks based on one of the objectives created by the group in the earlier activity.

Exercise Objective:

Core Capability:

Activity: Establish Full Onsite Incident Command
Critical Tasks:
- Establish Incident Command.
- Establish the command structure to manage the incident and meet objectives.
- Establish branches, groups, and divisions needed to manage the incident and meet incident objectives, strategies, and tactics.
- Maintain communications with EOC/MACC.
- Coordinate operations with specialized emergency response teams (e.g., Special Weapons and Tactics [SWAT]/tactical, bomb squad/explosives, hazardous materials [HazMat], land-based search and rescue).
- Transition from Incident Command to Unified Command for incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement.
- Implement processes to order, track, and assign incident resources.

Source(s):
- FEMA NIMS: Tab 1—ICS Organization, Pgs. 91–97
- FEMA NIMS: Component IV: Command and Management, Pgs. 45-61

Observation Notes and Explanation of Rating:
_____

_____

Target Rating:

Final Core Capability Rating	

Slide 14

Evaluator Time Requirements

When seeking commitments from those recruited to serve as evaluators, it is important that they understand the significant commitment of time required to support the entire scope of the exercise evaluation process. Evaluator's subject matter expertise may aid in the scenario development to ensure realism and critical focus elements for the evaluation, so it is important that those chosen are aware of the critical role they play toward the success of the exercise. When selected early in the planning process, they may lend their expertise to the development of the evaluation plan to ensure the validity of the evaluation process.

In addition to the early planning activities they also need to be available for:

- Pre-exercise training (Exercise [E]–1 day)
- Briefing and/or site visit
- The exercise itself (E)
- Post-exercise Hot Wash (E)
- After Action Meeting
- Evaluators will assist the Exercise Planning Team in drafting the AAR by providing the information they collected during their exercise observations.

Slide 15

Lesson 1: Review

In this lesson, we have discussed planning and organizing exercise evaluations by describing:

- The composition of an evaluation team
- Purpose and development of an Exercise Evaluation Guides
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

Questions?

Slide 16

Lesson 2: Exercise Observation & Data Collection

After completing this lesson, you should be able to describe:

- The exercise observation data collection process
- The use of EEGs to record observations.

Slide 17

Observation and Data Collection

Exercise observations and data collection can differ between discussion-based exercises and operations-based exercises. Discussion-based exercises often focus on issues involving plans, policies, and procedures; consequently, observations of these exercises may consist of an evaluator or a note-taker recording data from participant discussions on EEGs.

Operations-based exercises focus on issues affecting the operational execution of capabilities and critical tasks. During operations-based exercises, evaluators collect and record participant actions, which form the analytical basis for determining if critical tasks were successfully demonstrated and capability targets were met.

Slide 18

Observation

Exercise evaluators should observe exercise activity in a non-attribution environment, in accordance with the evaluation training and EEGs. Evaluators will generally be able to observe the following topics related to execution of capabilities and tasks examined during the exercise:

- Utilization of plans, policies, and procedures related to capabilities
- Implementation of legal authorities
- Understanding and assignment of roles and responsibilities of participating organizations and players
- Decision-making processes used
- Activation and implementation of processes and procedures
- How and what information is shared among participating agencies/organizations and the public.

Slide 19

Data Collection

Evaluators should retain their notes and records of the exercise to support the development of the AAR. As necessary, the lead evaluator may assign evaluators to collect supplemental data during or immediately after the exercise. Such data is critical to fill in gaps identified during exercise evaluation. For example, sources of supplemental evaluation data might include records produced by automated systems or communication networks, and written records, such as duty logs and message forms.

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EEG Observations

The EEG **Observations Section** allows exercise evaluators to record general exercise events, specific actions deserving special recognition, particular challenges or concerns, and areas needing improvement occurred.

The information recorded in the EEGs is used to develop the AAR/IP.

The standard sources, such as EEGs, are not the only sources of information, and all attempts should be made to gather as much information as possible.

Observations from exercises can come from a variety of sources, such as:

- Event logs
- Video or audio recordings
- Evaluator notes
- Photographs.

For operations-based exercises, evaluators should be given a format that suits the environment.

Slide 21

Recording Observations

Observation notes include *if* and *how* quantitative or qualitative targets were met. For example, a capability target might state, "*Within 4 hours of the incident….*" Observation notes on that target should include the actual time required for exercise players to complete the critical task(s). Additionally, observations should include:

- *Actual time required* for exercise players to complete the critical task(s)
- *How* target was or was not met
- *Decisions* made and information gathered to make decision
- *Requests* made and how requests were handled
- *Resources* utilized
- *Plans, policies, procedures, or legislative authorities* used or implemented
- Any *other factors* contributed to the outcomes.

Based on their observations, evaluators assign a target rating for each capability target listed on the EEG. Evaluators then consider all target ratings for the core capability and assign an overall core capability rating. The rating scale includes four ratings:

- Performed without Challenge (P)
- Performed with Some Challenges (S)
- Performed with Major Challenges (M)
- Unable to be Performed (U).

Slide 22

Activity 9

Activity 9: Recording Observations

Objective:
Use the Exercise Evaluation Guide (EEG) activities and tasks to capture exercise observations.

Time: 40 minutes, with a 10 minute report back.

Instructions:
- Review EEG to become familiar with what to observe
- Watch video and record observations and time
- Determine if required tasks were completed
- Comparing observations within your group

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Activity: Recording Observations

To complete this activity we will use a video observation to present you with a simulated experience of the challenges faced by evaluators when observing an exercise. This will help demonstrate the importance of anticipating the evaluation requirements in advance during Exercise Planning and customizing evaluation forms and EEGs for use by your exercise evaluators.

You will be watching the video and recording your group's consolidated observations in the EEG form

Each participant should enter observations using the EEG form in their group session, and compile the group's observations to share with the larger group during the Report-Back phase.

Slide 23

Lesson 2: Review

Enabling Objectives

After completing this lesson, you should be able to describe:

- The exercise observation data collection process
- The components of an EEG and how Evaluators use EEGs to record observations

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Lesson 2: Review

After completing Lesson 2 you should be able to:

- Describe the exercise observation data collection process for discussion-based and operations-based exercises
- Describe the use of EEGs to record observations.

Slide 24

Lesson 3: Data Analysis
Enabling Objective

After completing this lesson, you should be able to describe the processed used to analyze data to determine root causes for capability shortfalls.

Slide 25

Data Analysis Process

The goal of data analysis is to evaluate the ability of exercise participants to perform core capabilities and to determine if exercise objectives were met. During data analysis, the evaluation team consolidates the data collected during the exercise and determines whether participants performed critical tasks and met capability targets. Evaluators consider participant performance against all targets to determine the overall ability to perform core capabilities. Additionally, the evaluation team takes notes on the course of exercise play, demonstrated strengths, and areas for improvement. This provides the evaluators with not only what happened, but why events happened.

After this initial data analysis, evaluators examine each critical task not completed as expected and each target not met, with the aim of identifying a root cause. A *root cause* is the source of or underlying reason behind an identified issue toward which the evaluator can direct an improvement. When conducting a root-cause analysis, the evaluator should attempt to trace the origin of each event back to earlier events and their respective causes.

Slide 26

Root-Cause Analysis

Root-cause analysis may also require the review and evaluation of an organization's plans, policies, and procedures. When completing the analysis, evaluators should consider the following questions:

- Were the objectives for each critical task met? If not, what factors contributed to this result?
- Did exercise discussions or activities suggest the critical tasks performed sufficiently to meet the capability targets? If not, what were the resulting impacts or consequences?
- What improvements are required? Are other resources needed? If so, how will they be obtained?
- Identify the strengths and weaknesses required to carry out those tasks. What decisions would need to be made, and who would make them?
- Do current plans, policies, and procedures support the performance of the critical tasks? Are participants familiar with these documents?

- Are personnel trained to perform the critical tasks? If not, what personnel may require additional training?
- Do personnel from multiple agencies or jurisdictions need to work together to perform the tasks? If so, are agreements or relationships in place to support the performance of the tasks?
- What should be learned from this exercise?
- What improvements are recommended? Who (position or agency) is responsible for implementing the improvements? What is the expected timeframe for completion of the improvement?

Slide 27

Lesson 3: Review

This lesson described the processes used to analyze data to determine root causes for capability shortfalls.

Slide 28

Lesson 4: After Action Report (AAR) Draft

After completing this lesson you should be prepared to discuss:

- The purpose of the After Action Report (AAR)
- The elements of an AAR, and
- The process used to develop the AAR.

The Evaluation Team takes the lead in the development of the AAR Draft Document.

The AAR provides feedback to participating jurisdictions on their performance during an exercise. The AAR provides a record of what happened during the exercise and is used to recommend changes directed at improving jurisdictional capabilities.

Slide 29

What Is an AAR?
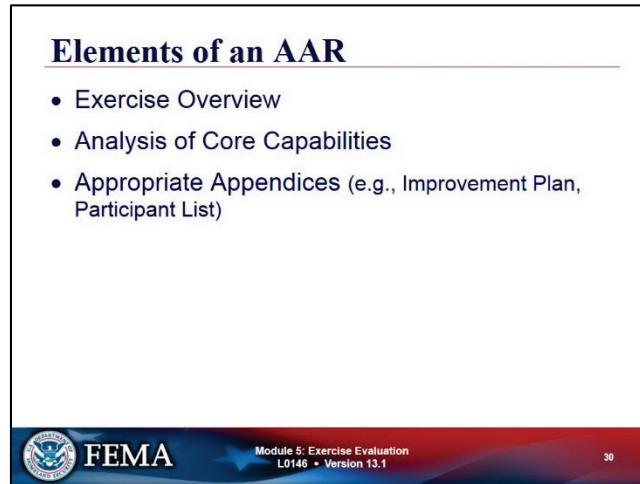
The AAR is the document that summarizes key information related to evaluation. The length, format, and development timeframe of the AAR depend on the exercise type and scope. These parameters should be determined by the exercise planning team based on the expectations of elected and appointed officials as they develop the evaluation requirements in the design and development process.

The AAR should include an overview of performance related to each exercise objective and associated core capabilities, while highlighting strengths and areas for improvement. Therefore, evaluators should review their evaluation notes and documentation to identify the strengths and areas for improvement relevant to the participating organizations' ability to meet exercise objectives and demonstrate core capabilities.
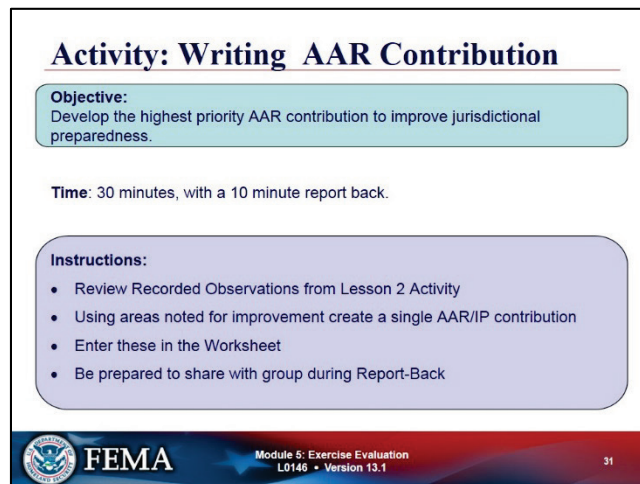
Slide 30

Elements of an AAR

The main focus of the AAR is the analysis of core capabilities. Generally, AARs also include basic exercise information, such as the exercise name, type of exercise, dates, location, participating organizations, mission area(s), specific threat or hazard, a brief scenario description, and the name of the exercise sponsor and POC.

Slide 31

Activity 10

Activity: Writing an AAR Contribution

In this activity you'll be practicing writing recommendations using the observations you recorded in the previous activity in Lesson 2.
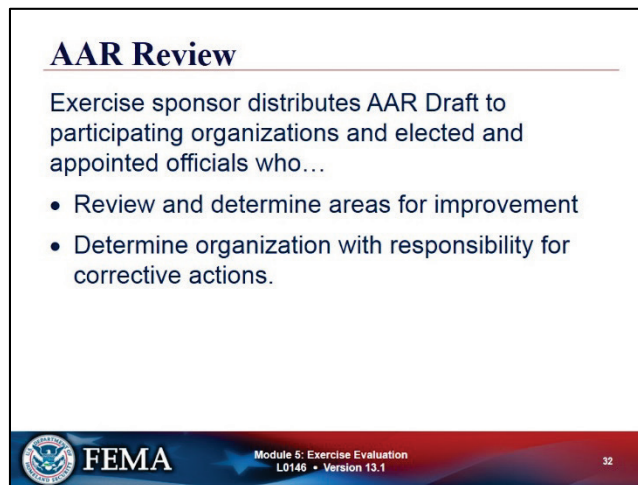
Each group should develop 2–3 recommendations written in depth; remember to provide the following details:

- Identify the activity or task to be addressed by the recommendation—reference EEG item if possible.
- Provide specific information on standard or guidance used as reference for recommended improvement.
- Identify what actions are required and who is responsible for taking these actions, and include a deadline or timeframe for implementation.
- Indicate when/if these improvement recommendations require changes to plans, additional training, and/or equipment purchases before they can be implemented.

Participants who have experience writing recommendations should share their expertise within their groups.

Work as a group to record recommendations, and be prepared to share these with the larger group during the Report-Back.

Slide 32

AAR Review

Upon completion, the evaluation team provides the draft AAR to the exercise sponsor, who distributes it to participating organizations. Elected and appointed officials, or their designees, review and confirm observations identified in the formal AAR, and determine which areas for improvement require further action. Areas for improvement that require action are those that will continue to seriously impede capability performance if left unresolved.

As part of the improvement planning process, elected and appointed officials identify corrective actions to bring areas for improvement to resolution and determine the organization with responsibility for those actions. This process is further described in Module 6: Improvement Planning.

Slide 33

Lesson 4: Review

In this lesson we discussed the:

- Purpose of the After Action Report (AAR)

- Elements of an AAR

- AAR review process.

Questions?

Slide 34

Module 5: Evaluation Summary

Evaluation is the keystone of the exercise process where exercise planners use documentation of exercise conduct to determine the actual capability of their jurisdiction in the areas that were tested.

In this module, we have discussed the first four steps of the evaluation and improvement process:

- Plan and organize the evaluation
- Observe the exercise and collect data
- Analyze the data
- Develop the Draft AAR.

The next and final module deals with Improvement Planning.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

Exercise Cycle

HSEEP Training

Module 6

Exercise Improvement Planning

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Slide 1
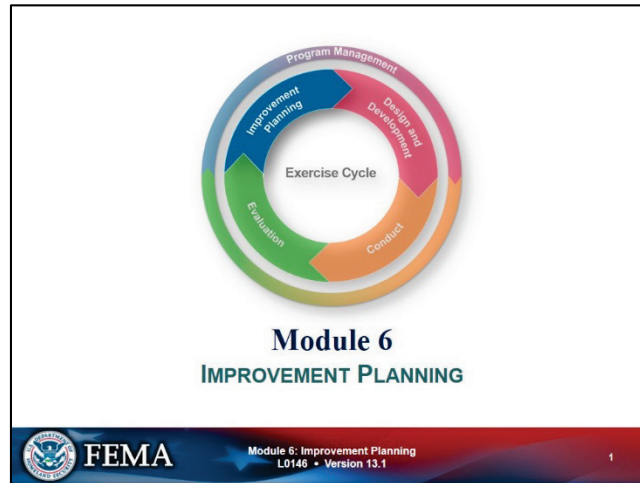
Module 6: Improvement Planning

This module will describe HSEEP Improvement Planning.

This part of the planning process supports the overall assessment process by identifying the existing state of the capabilities within the given jurisdiction or organization, and the areas that require additional improvements following exercise conduct.

Slide 2

Terminal Objective

After completing this module, participants should be able to describe how the process and products of improvement planning help organizations improve plans for building and sustaining capabilities and maintaining readiness.

Exercises afford organizations the opportunity to evaluate capabilities and assess progress toward meeting capability targets in a controlled, low-risk setting. After the evaluation phase concludes,

organizations should reach consensus on identified strengths and areas for improvement and develop a set of improvements that directly addresses core capability shortfalls. This information is recorded in the AAR/IP and resolved through the implementation of concrete corrective actions, which are prioritized and tracked as part of a corrective action program. This process constitutes the improvement planning phase and the final step in conducting an exercise.

Slide 3

Identifying Corrective Actions
Enabling Objectives
After completing this lesson, you should be able to describe the processes used to identify, prioritize, and implement corrective actions, including:

- The After Action Meeting
- AAR/IP finalization
- Corrective Acton tracking and implementation
- Using improvement planning to support continuous improvement.

Slide 4

Corrective Actions

Concrete, actionable steps to resolve shortfalls.

Corrective actions may include:

- Changes to plans and procedures, organizational structures, and/or management processes
- Additional training, equipment, or resources

After review and confirmation of areas for improvement a **Draft Improvement Plan** is developed.

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Corrective Actions

Once exercise data are analyzed, organizations should perform an additional qualitative assessment to identify potential corrective actions. Corrective actions are concrete, actionable steps that are intended to resolve capability shortcomings identified in exercises or real-world events. In developing corrective actions, elected and appointed officials or their designees should first review and revise the draft AAR, as needed, prior to the After-Action Meeting (AAM) to confirm that the issues identified by evaluators are valid and require resolution. The reviewer then identifies which issues fall within their organization's authority, and assume responsibility for taking action on those issues. Finally, they determine an initial list of appropriate corrective actions to resolve identified issues.

The organization's reviewer should use the following questions to guide their discussion when developing corrective actions:

- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to organizational structures to improve performance?
- What changes need to be made to management processes to improve performance?
- What changes to equipment or resources are needed to improve performance?
- What training is needed to improve performance?
- What are the lessons learned for approaching similar problems in the future?

Slide 5

After Action Meeting (AAM)

Once the organization's reviewer has confirmed the draft areas for improvement and identified initial corrective actions, a draft IP is developed for review at an AAM. AAMs serve as forums to review the revised AAR and the draft IP. Prior to the AAM, as appropriate, the exercise sponsor will distribute the revised AAR, which incorporates feedback on the strengths and areas for improvement, and the draft IP to participants. Distributing these documents for review prior to the meeting helps to ensure that all attendees are familiar with the content and are prepared to discuss exercise results, identified areas for improvement, and corrective actions. The organization's elected and appointed officials, or their designees, should attend the AAM along with exercise planners to answer any questions or provide necessary details on the exercise itself.

During the AAM, participants should seek to reach final consensus on strengths and areas for improvement, as well as revise and gain consensus on draft corrective actions. Additionally, as appropriate, AAM participants should develop concrete deadlines for implementation of corrective actions and identify specific corrective action owners/assignees. Participant organizations are responsible for developing implementation processes and timelines, and keeping their elected and appointed officials informed of the implementation status.

Slide 6

Finalizing the AAR/IP—Corrective Action Tracking and Implementation

After-Action Report/Improvement Plan Finalization

Once all corrective actions have been consolidated in the final IP, the IP may be included as an appendix to the AAR. The AAR/IP is then considered final, and may be distributed to exercise planners, participants, and other preparedness stakeholders as appropriate.

Corrective Action Tracking and Implementation

Corrective actions captured in the AAR/IP should be tracked and continually reported on until completion. Organizations should assign points of contact responsible for tracking and reporting on their progress in implementing corrective actions. By tracking corrective actions to completion, preparedness stakeholders are able to demonstrate that exercises have yielded tangible improvements in preparedness. Stakeholders should also ensure there is a system in place to validate previous corrective actions that have been successfully implemented. These efforts should be considered part of a wider continuous improvement process that applies prior to, during, and after an exercise is completed.

Slide 7

Using IPs to Support Continuous Improvement

Conducting exercises and documenting the strengths, areas for improvement, and associated corrective actions is an important part of the National Preparedness System, and contributes to the strengthening of preparedness across the Whole Community and achievement of the National Preparedness Goal. Over time, exercises should yield observable improvements in preparedness for future exercises and real-world events.

The identification of strengths, areas for improvement and corrective actions that result from exercises help organizations build capabilities as part of a larger continuous improvement process. The principles of continuous improvement are:

Consistent Approach. Organizations should employ a consistent approach for continuous improvement-related activities across applicable mission areas—prevention, protection, mitigation, response, and recovery. This consistent approach enables a shared understanding of key terminology, functions, processes, and tools. This approach also fosters continuous improvement-related interoperability and collaboration across an organization's components.

Support National Preparedness. By conducting continuous improvement activities, organizations support the development and sustainment of core capabilities across the Whole Community. Continuous improvement activities also ensure that organizations are able to support assessments of national preparedness in a timely, actionable, and meaningful way.

Effective Issue Resolution and Information Sharing. Through improvement planning, organizations complete continuous improvement action items at the lowest level possible while facilitating the sharing of strengths and areas for improvement.

Application across Operational Phases. The functions, processes, and tools apply to all operational phases, including:

- Near-real time collection and analysis during real-world events or exercises
- Post-event/exercise analysis
- Trend analysis across multiple events/exercises over time
- These processes provide the answer to the question posed in Module 1 of this course.

Slide 8

Why Exercise?

The HSEEP cycle describes processes that can be followed by any size community or organization to improve their resilience in addressing identified risks.

This process used for conducting exercises and documenting the strengths, areas for improvement, and associated corrective actions is an important part of the National Preparedness System, and contributes to the strengthening of preparedness across the Whole Community and achievement of the National Preparedness Goal. Over time, exercises should yield observable improvements in the state of preparedness through future exercises and real-world events.

Slide 9

Module 6: Summary

In Module 6, we have discussed how the problems identified in the AAR are translated into IPs and future planning. Without a valid IP, jurisdictions are subject to repeating previous errors, not only in future exercise activities, but also in real-world incidents where the price paid can be much higher.

This module described the improvement planning phase and how it supports exercise program management including:

- The process used to identify corrective actions for creation of Improvement Plans
- The continuous improvement principles used to track improvement plans and identify ongoing program improvement priorities.

We hope this material has helped you understand the importance of the HSEEP Exercise Program Management process. Remember that you can find additional guidance as well as templates and tools to support your Exercise program on the HSEEP website.
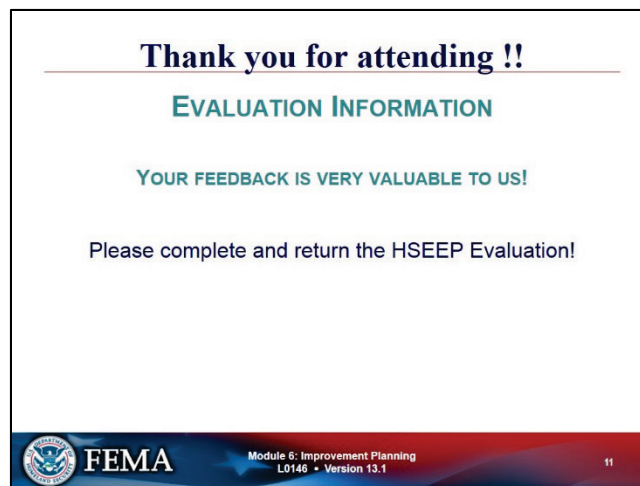
Slide 10

You will now take a post-test.

Slide 11

Thank you for Attending

This brings us to the end of our training. Thank you for attending!

Your feedback is important to the success of this course and the ongoing evaluation and improvement of the training. When you receive the evaluation forms from the EMI Course Manager, please take the time to complete and return it.

NOTES:

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SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1

HSEEP Course Activities for Participants

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Contents

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ACTIVITY 1 (MODULE 2)

Objectives	Discuss the THIRA and items that would be present for various jurisdictions linking them to core capabilities.
Estimated Completion Time	15 Minutes
Instructions	1. Review the reference materials listed below. 2. As a group, determine your top hazards and risks for your jurisdiction. 3. Determine which core capabilities would be the most useful to mitigate those hazards or risks.

FOR CLASSROOM ACTIVITY:

Reference materials:
- Core Capabilities List
- Jurisdiction Reference Guide
- Mission Area List
- THIRA Process information

Activity 1 (Optional): THIRA Process for Establishing Priorities

Objective:
Using the THIRA process to prioritize capabilities targets to address using training and/or exercises.

Time: 10–15 minutes

Instructions:
Group discussion of hazard and risk assessment process for use in identifying priority capability targets.

With your group, please identify the top three Core Capabilities and targets. (Since the groups are comprised of varied entities, you may need to compromise for purposes of the activity.)

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Jurisdictional Analysis Worksheet using the THIRA process
for establishing priorities

Complete the following worksheet using the jurisdictional identity assigned to your table. The information captured on this worksheet will be used in a later activity to develop an exercise schedule that accounts for current capabilities, experience, and threats to your jurisdiction.

Jurisdiction Name: _____

Previous Training and Exercise Experience

Describe the training and experience of personnel in your jurisdiction (e.g., participated in multiagency tabletop, functional, and full-scale exercises; all response personnel trained in NIMS, etc.)

1. _____

2. _____

3. _____

Threats and Vulnerabilities
List the known threats and vulnerabilities to your jurisdiction (e.g., a pipeline carrying petroleum; earthquakes, bioterrorism, miss casualty incident, etc.)

1. _____

2. _____

3. _____

Needs
List the needs of your jurisdiction (e.g., an updated all-hazards plan, training on new equipment)

1. _____

2. _____

3. _____

Capabilities (taken from the Core Capabilities List)
Assign 2 Core Capabilities for your fictional jurisdiction that will identify your needs from the THIRA process (Threat and Hazard Identification and Risk Assessment)

1. _____

2. _____

3. _____

ACTIVITY 2 (MODULE 2)

Objectives	Prepare for a TEPW to coordinate training and exercise priorities, goals, and types.
Estimated Completion Time	15 Minutes with a 10-Minute Report-Back
Instructions	1. Separate into your breakout group. 2. Determine your leader and who will take notes. 3. As a group, determine your top three needs and priorities organized by Core Capability. 4. Determine the existing exercises already scheduled in your jurisdictions over the next two years and enter them into the corresponding section. Please put the exercise Type (e.g. TTX, FE, FSE) and the "Core Capabilities" being demonstrated at the exercise. 5. Once your existing exercises are listed, please enter any additional exercises required to achieve your core capabilities over the next three years. 6. Place the exercises on sticky notes and place the notes on the classroom board. 7. Select one person to represent the group in the report-back session.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

Core Capabilities List	THIRA Process Information
Mission Area List	Sticky Notes
Jurisdiction Reference Guide	

Activity 2 (Optional): TEPW Schedule Development

Objective:
Prepare for a TEPW to coordinate training and exercise priorities, goals, and types

Time: 15 minutes with 10-minute report-back

Instructions:
1. Determine your top two capabilities in your group.
2. Determine existing training/exercises that exist.
3. Determine new training/exercises required to meet core capabilities.
4. Place training and exercises on board.

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Prepare for a TEPW

Based on the THIRA process conducted in Activity 1, your group should decide the priorities, associated capabilities, and training or exercise types your jurisdiction will focus on for the next 3 years.

List existing exercises that your jurisdiction may already be performing.

State or Local Priority	Associated Capabilities	Training or Exercise Type
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

Determine the list of required training needed to achieve preparedness for your Core Capabilities, as outlined in the previous activity.

State or Local Priority	Associated Capabilities	Training or Exercise Type
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____
6. _____	_____	_____

List any additional new exercises required to validate your preparedness to achieve your Core Capabilities.

State or Local Priority	Associated Capabilities	Training or Exercise Type
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

Print these exercises on sticky notes, and place on classroom board to form a Multi-Year Training and Exercise Schedule.

ACTIVITY 3 (MODULE 3)

Objectives	Develop four SMART objectives that identify the specific actions/tasks, and measurement criteria or performance standard designed to demonstrate a capability as outlined in your TEPW.
Estimated Completion Time	30 Minutes with a 15-Minute Report-Back
Instructions	1. Assign a member to be the recorder for your group. 2. Pick two capabilities from your TEPW used in your most complex exercise. 3. Pick two players/agencies that will participate in this exercise. 4. List tasks to perform for each agency to meet the corresponding capability (up to eight tasks total). 5. Choose two tasks from each list and write a SMART objective for each. 6. Select one person to represent the group in the report-back session.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

Core Capabilities List	Jurisdiction Reference Guide
Mission Area List	THIRA Process Information

Group members will brainstorm objectives for your most complex operations-based exercise based on your Training and Exercise Plan. Each group will develop 4 SMART objectives.

SMART OBJECTIVES
Specific, Measurable, Achievable, Relevant, Time-Bound

Capability 1:	Capability 2:
Player 1:	Player 2:
SOP Tasks (up to eight): 1.	SOP Tasks (up to eight): 1.
2.	2.
3.	3.
4.	4.
5.	5.
6.	6.
7.	7.
8.	8.
SMART Objective 1:	SMART Objective 1:
SMART Objective 2:	SMART Objective 2:

ACTIVITY 4 (MODULE 3)

Objectives	Develop a realistic scenario for your identified exercise that allows players to demonstrate the four objectives you identified in Activity 3.
Estimated Completion Time	20 Minutes with a 10-Minute Report-Back
Instructions	1. Assign a member to be the recorder for your group. 2. Develop a realistic scenario that allows the players to demonstrate the objectives identified in Activity 3. 3. Fill out the details and write a short scenario narrative. 4. Select one person to represent the group in the report-back session.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

Core Capabilities List	THIRA Process Information
Mission Area List	Activity 3 Worksheet
Jurisdiction Reference Guide	

Activity 4: Developing an Exercise Scenario

Objective: Develop a scenario of local significance, tied to the objectives developed in previous activity.

Time: 20 minutes, with 20 minute report back

Instructions:

1. Using the questions on the activity worksheet to guide your discussion, develop a draft exercise scenario. Record your responses in the worksheet.

2. Identify and record jurisdiction-specific information, such as:
   - Incident location and time reported
   - Principle threat, hazard, or agent
   - Participating response agencies
   - Number of casualties

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Scenario Development Worksheet

The questions below help focus the development of a scenario. The scenario should support the completion of objectives developed in Activity 3. Once the questions are completed, they can be used to develop a one- to two-paragraph scenario narrative.

What is the incident, and where does it occur?

_____

_____

What type of agent/hazard is involved in the incident?

_____

_____

What time did the incident occur?

_____

_____

What advance warning (if any) is available?

_____

_____

How do players learn of the incident?

_____

_____

How many casualties are there?

_____

What resources and infrastructure (if any) are damaged in the incident?

_____

_____

SCENARIO NARRATIVE

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ACTIVITY 5 (MODULE 3)

Objectives	Understand MSEL content and develop MSEL injects.
Estimated Completion Time	30 Minutes with a 10-Minute Report-Back
Instructions	1. Assign a member to be the recorder for your group. 2. Use the worksheet or your easel pad to develop at least four MSEL injects for your exercise scenario. You should develop two Contextual Injects and two Contingency Injects. 3. Analyze these to determine which ones require simulated information to be fed to the players in order for them to perform the expected player action, and any that are critical to the achieving of objectives. 4. Select one person to represent the group in the report-back session.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

MSEL Inject Development Form
Sample MSEL
Easel or Classroom Board

Activity 5: Developing MSEL and Exercise Injects

Objective: Understand what information a MSEL contains and practice developing injects.

Time: 30 minutes, with 10 minute report back

Instructions:
- Familiarize yourself with format used for MSEL injects
- Develop two contextual injects and two contingency injects for your exercise.

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HSEEP Course Participant Activities

Master Scenario Events List (MSEL) Item Development Worksheet

Number:	Expected Inject Time:
Responsible Controller:	Intended Player:

Event Synopsis:

Message/Description:

Expected Player Action:

Objective to be Demonstrated:

Notes:

| Injected By:
__ Hard copy
__ Telephone
__ Face-to-face
__ Audio tape
__ Other (please specify) | __ Fax
__ Radio
__ E-mail
__ Video tape |

Master Scenario Events List (MSEL) Item Development Worksheet

Number:	Expected Inject Time:
Responsible Controller:	Intended Player:

Event Synopsis:

Message/Description:

Expected Player Action:

Objective to be Demonstrated:

Notes:

| Injected By:
__ Hard copy
__ Telephone
__ Face-to-face
__ Audio tape
__ Other (please specify) | __ Fax
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__ E-mail
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Master Scenario Events List (MSEL) Item Development Worksheet

Number:	Expected Inject Time:
Responsible Controller:	Intended Player:

Event Synopsis:

Message/Description:

Expected Player Action:

Objective to be Demonstrated:

Notes:

Injected By:	
__ Hard copy	__ Fax
__ Telephone	__ Radio
__ Face-to-face	__ E-mail
__ Audio tape	__ Video tape
__ Other (please specify)	

Master Scenario Events List (MSEL) Item Development Worksheet

Number:	Expected Inject Time:
Responsible Controller:	Intended Player:

Event Synopsis:

Message/Description:

Expected Player Action:

Objective to be Demonstrated:

Notes:

Injected By:	
__ Hard copy	__ Fax
__ Telephone	__ Radio
__ Face-to-face	__ E-mail
__ Audio tape	__ Video tape
__ Other (please specify)	

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HSEEP Course Participant Activities

**SAMPLE MSEL**										
Event Number	Time	Title	To	From	Controller	Method	Type	Description/ Script	Expected Action	Comments/ Notes
1	0900	SimCell Operational	All Controllers	SimCell	SimCell	Phone	Contextual	Simulators are in position and communications are in place	Check communica-tions with field controllers	
2	0945	Communi-cations check	All Controllers	SimCell	All	Radio	Contextual	Ensure communications are operable	All controllers establish communica-tions with the SimCell	
3	1000	STARTEX								
4	1001	Explosion			Salt Railroad Station	Pyrotec-hnics	Contextual	Explosive detonated on site	N/A	
5	1002	Report from Train Passenger	Salt Railroad Station Security	Passenger 1	SimCell	Phone	Contextual	"There has been an explosion here in the railyard! A train car carrying barrels of some sort exploded and threw barrels all over the place!"	Call Salt Springs Dispatch	
6	1004	9-1-1 Call from Train Station	Salt Springs Dispatch	Passenger 2	SimCell	Phone	Contingency	"I'm at the Salt Railroad Station and there was an explosion. None of us can breathe. People are on the ground. Help!"	Dispatch, fire, EMS, and police to the Salt Railroad Station	To be injected if fire and EMS are not notified after initial call
7	1007	Police arrive on scene	N/A	N/A	Security	N/A	Expected Action	1st police cruiser expected on scene	Police officer should recognize signs/ symptoms of potential chemical contamination and position upwind/ uphill of site and don appropriate PPE	

MSEL										
Event Number	Time	Title	To	From	Controller	Method	Type	Description/ Script	Expected Action	Comments/ Notes

ACTIVITY 6 (MODULE 4)

Objectives	Discuss the implications of discussion-based exercise design and development choices.
Estimated Completion Time	15 Minutes
Instructions	1. Watch the video. 2. Discuss the various design choices and lessons from your own exercises.

Activity 6 (Optional):
Discussion-based Exercises Lessons-Learned

Objective:
Discuss the implications of exercise design and development choices.

Time: 10–15 minutes

Instructions:
Watch the video which outlines some tips and pitfalls of exercise design and development.

FEMA

Module 4: Exercise Conduct
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ACTIVITY 7 (MODULE 4)

Objectives	Discuss the implications of operations-based exercise design and development choices.
Estimated Completion Time	15 Minutes
Instructions	1. Watch the video. 2. Discuss the various design choices and lessons from your own exercises.

Activity 7 *(Optional)*:
Operations-based Exercises Lessons-Learned

Objective:
Discuss the implications of exercise design and development choices.

Time: 10–15 minutes

Instructions:
Watch the video which outlines some tips and pitfalls of exercise design and development.

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ACTIVITY 8 (MODULE 5)

Objectives	Develop an Exercise Evaluation Guide (EEG) for use during your exercise evaluation.
Estimated Completion Time	20 Minutes with 10-Minute Report-Back
Instructions	1. Assign a member to be the recorder for your group. 2. Develop a single core capability EEG with customized target and tasks based on one of your objectives. 3. Select one person to represent the group in the report-back session.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

Core Capabilities List
EEG Form
Sample EEG

Activity 8: Develop EEG

Objective:
Develop an Exercise Evaluation Guide (EEG).

Time: 20 minutes, with a 10 minute report back.

Instructions:
- Assign a member to be the recorder for your group
- Develop a single core capability EEG with customized target and tasks based on one of your objectives
- Select one person to report back

FEMA — Module 5: Exercise Evaluation — L0146 • Version 13.1 — 13

Exercise Evaluation Guide Form

Exercise Name: Exercise Date:	Organization/Jurisdiction:	Venue:
Exercise Objective:		
Core Capability:		

Organizational Capability Target 1:
Critical Task:
Critical Task:
Source(s):

Organizational Capability Target 2:
Critical Task:
Critical Task:
Source(s):

Organizational Capability Target 3:
Critical Task:
Critical Task:
Source(s):

Organizational Capability Target	Associated Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
		Final Core Capability Rating	

Ratings Key
P – Performed without Challenges
S – Performed with Some Challenges
M – Performed with Major Challenges
U – Unable to be Performed

ACTIVITY 9 (MODULE 5)

Objectives	Capture Observations using paper and your EEG during conduct.
Estimated Completion Time	30 Minutes with a 10-Minute Report-Back
Instructions	1. Review the EEG to prepare for the evaluator role during the Full-Scale Exercise (FSE). 2. Watch the short video and record your observations and the time. 3. Check if tasks were completed. 4. Spend a few minutes comparing observations. 5. Perform a Hotwash.

FOR CLASSROOM ACTIVITY:

Reference Materials & Materials Needed:

Core Capabilities List	Video
EEG Form	Pad of paper
Sample EEG	

Exercise Objectives:

1. The EOC shall activate to a Level 1 staffing within 30 minutes of trigger incident.

2. The EOC shall secure and maintain communications with all relevant ESFs and agencies within 30 minutes of activation.

Exercise Scenario:

An explosion occurs and ruptures a storage container releasing an unknown chemical on a clear, breezy afternoon. Multiple casualties are reported. Secondary explosions occur, which impact first responders.

Excerpts from Plans:

Excerpt 1:
First Responder personnel who are present at the site of a hazardous materials (HazMat) incident will operate under the safety standards provided for in 29 Code of Federal Regulations (CFR) 1910.120(q)(3) and, if required, serve as Incident Commander under 29 CFR 1910.120(q)(6)(v).

Excerpt 2:
The highest-ranking jurisdiction fire department officer on-scene will assume the role of Incident Commander and implement the Incident Command System (ICS). If the incident occurs on land, the Director of Emergency Management at the EOC will be the Incident Commander.

Excerpt 3:
It is imperative that the first arriving officer determine the level and amount of HazMat involved before taking action to stabilize the incident.

Excerpt 4:
The private sector (e.g., Chemical Manufacturers Association [CMA], facility operators, shippers, carriers) may be able to provide the State On scene Coordinator with technical advice or recommendations or provide specialized personnel or equipment needed for response and recovery operations.

Excerpt 5:
The Poison Control Centers will:

a. Assist incident responders in identifying and assessing the threat

b. Provide medical management and decontamination information

Excerpt 6:
The State Department of Agriculture will:

a. Measure, evaluate, and monitor the impact of the incident on natural resources under the U.S. Department of Agriculture's (USDA's) jurisdiction

b. In conjunction with the State Department of Environmental Quality, provide predictions of the effects of pollutants on soil and their movements over and through soil

Excerpt 7:
The County Health Department will:

a. Test or provide for the testing of water, air, soil, or food, as applicable

Excerpt 8:
The county 9-1-1 dispatch center's responsibilities include obtaining weather and other information upon request of the Incident Commander.

Excerpt 9:
EOC Staffing Levels Shall be:
Level 3 – Duty Officer and Emergency Manager Monitoring only
Level 2 – Incident Specific Primary and Secondary supporting ESFs Leads
Level 1 – Full EOC staffing to include all Command and General Staff and incident specific primary and all supporting ESFs

Activity 9: Recording Observations

Objective:
Use the Exercise Evaluation Guide (EEG) activities and tasks to capture exercise observations.

Time: 40 minutes, with a 10 minute report back.

Instructions:
- Review EEG to become familiar with what to observe
- Watch video and record observations and time
- Determine if required tasks were completed
- Comparing observations within your group

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ACTIVITY 10 (MODULE 5)

Objectives	Write a single observation Area for Improvement, analysis, references, and corrective actions based on the exercise evaluation.
Estimated Completion Time	30 Minutes with 10-Minute Report-Back
Instructions	1. Assign a member to be the recorder for your group. 2. Review EEGs from exercise. 3. Determine the highest priority Area for Improvement. 4. Develop your AAR/IP contribution. 5. Select one person to represent the group in the report-back session.

AAR Analysis of Core Capabilities Template

[Objective 1]

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

[Core Capability 1]

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

SAMPLE AAR CORE CAPABILITIES ANALYSIS

Objective 1: Increase understanding of key ICS positions and associated requirements as they relate to both scene and unified command.

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

Core Capability 1: Operational Coordination

Strengths

The partial capability level can be attributed to the following strengths:

Strength 1: Participants easily recognized the available resources and equipment that were already in place. Each agency offered up valuable resources that other agencies could use.

Strength 2: Participants quickly came to a group consensus of what the main objectives should be during the bridge incident scenario.

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: Each agency must recognize that once the pre-determined break point has been reached during an incident, a representative from their agency must either come on line or report to the established Incident Command Post.

Reference: Federal Emergency Management Agency (FEMA): U.S. Fire Administration Traffic Incident Management Systems: Chapter 5 Pre-incident Planning and Incident Command for Roadway Incidents - Pgs. 62 - 73

Analysis: Early notification and early involvement in bridge incidents need to be first priority. A break point of a 2 hour closure in either direction or incident greatly affecting traffic needs to be firmly established. Just because the actual incident is not on the east or west side of the bridge or traffic is not backing up onto either of those sides should not have agencies thinking that they don't need to be involved in the incident operations or decision making.

Blank AAR Analysis of Core Capabilities

Objective 1:

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

Core Capability 1:

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1:

Strength 2:

Strength 3:

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1:

Reference:

Analysis:

Area for Improvement 2:

Reference:

Analysis:

Exercise Cycle

- Program Management
- Design and Development
- Conduct
- Evaluation
- Improvement Planning

HSEEP Jurisdiction Identities Reference Guide

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State of Columbia Map
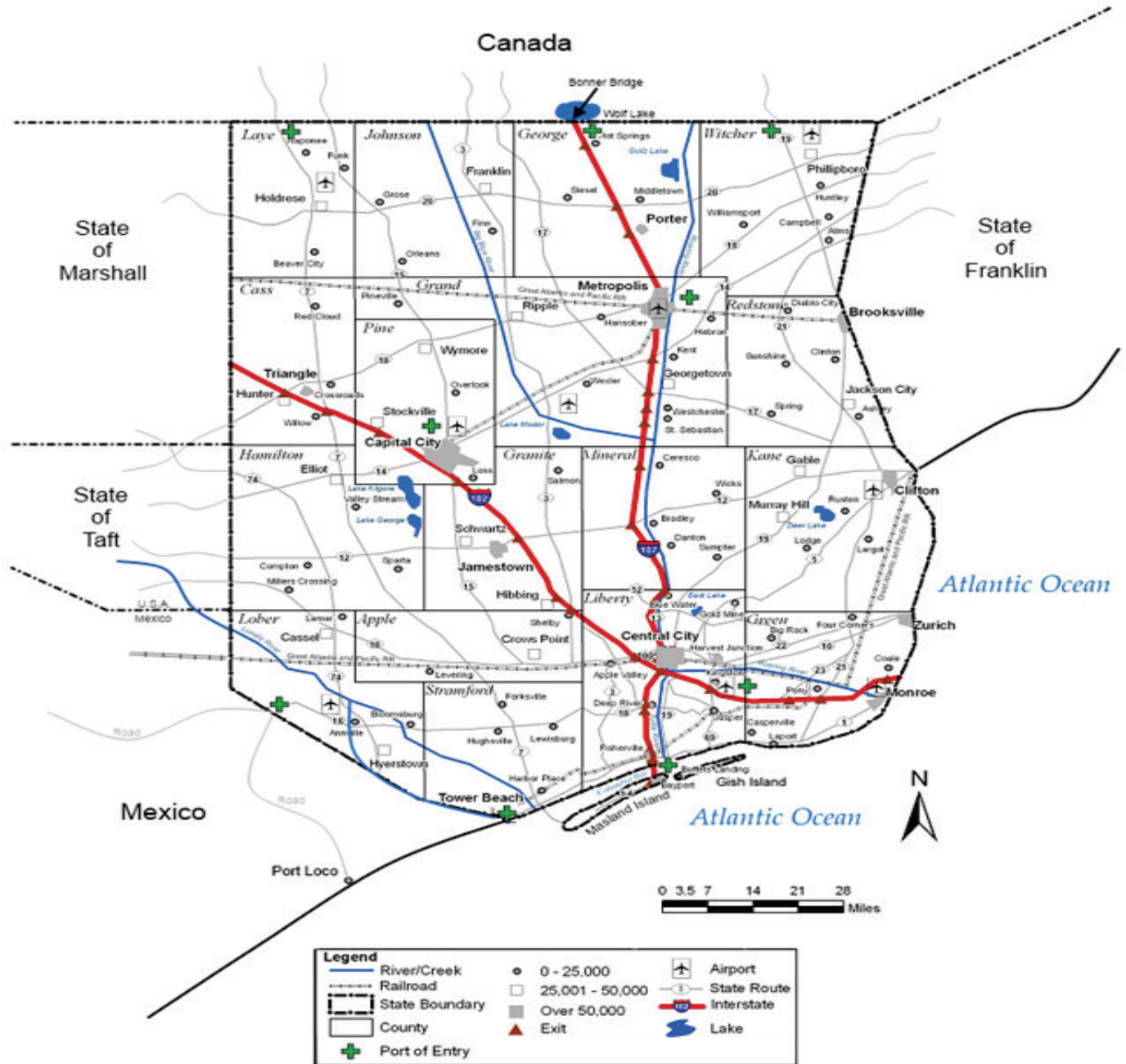
State of Columbia

Vital Statistics

Population (Based on 2010 Census)

Population 2,694,412

Households 1,197,516

Under 18 .... 25.3%

Over 65 .... 13.4%

Median age .... 31.2 years

Birth rate per 1,000 .... 14.8%

Death rate per 1,000.. 8.8%

Major Landmarks

Triangle Cattle Yard

– Built in 1908 as a depot for getting cattle to the market

– Now open for tours about the history of the cattle industry

Lamar Courthouse State Historic Park

– Oldest territorial courthouse in the State

– Now a State park and museum with exhibits and artifacts from Lamar's colorful past

Hayward State Park

– Large surfing attraction

– Draws visitors from around the world

Gold Mine

– Founded in the 1859 gold rush

– Restored town and mine offers visitors a glimpse into the past with reenactments and daily life in 1859

Van Deusen Park and Campground

– Recreational area with water sports, hiking, and nature watching

Geography

Highest Point

– Liberty Plateau (Price Point), 1,200 feet

Lowest Point

– Sea Level, Liberty County

Quick Facts

State Bird

– Cardinal

State Flower

– Scarlet Carnation

State Tree

– Pine

State Motto

– *Potentia Unius* – The Power of One

Normal Temperatures

– Mean temperature ....72.8°F

– Coldest month.................................... January/60.9°F

– Hottest month .... August/82.5°F

Rainfall

– Mean rainfall...48.35 inches

– Driest month .... December/2.3 inches

– Wettest month...................................June/7.35 inches

Government

Branches

– Executive – Governor and Lt. Governor

– Legislative – 40-person Senate and 80-person House of Representatives

– Judicial – State Supreme Court

Size

– 62,000 employees at State, county, and local levels

Economy

Agriculture

– Poultry

– Cattle and calves

– Greenhouse, nursery, and sod products

Manufacturing

– Motor vehicles and other transportation equipment

– Textiles

– Chemicals, petroleum, natural gas

State of Columbia

Columbia is a hub of economic and cultural growth in the United States. The capital, Capital City, was founded in 1830 as a trading post. The capital of the State was moved there after the original capitol building in Central City was destroyed in a flood in 1902. A wide range of activities takes place in the State, which vary based on geography and climate. Although Capital City is the focal point for government, Central City is the more prominent focal point where a large seaport and industrial market promote a great deal of trade.

The State consists of 17 distinct counties. The northernmost counties are George, Johnson, Laye, and Witcher, while the southernmost county is Stramford, which lies on the boundary between the United States and Mexico. Also within the State boundary lays the Great Americana Valley Nation, which is independently governed by a confederation of Roaring River Tribal Community. This land was ceded to the tribal governmental body in the late 1800s, but the county lines remain from the constitutional foundation in 1818, and land-use agreements have been in place between the counties affected and the Nation ever since.

Training and Exercises

The State exercise program has been very proactive in attempting to coordinate exercise grant funding across multiple districts and varying resource needs. Both Capital City and Central City are part of the Urban Area Security Initiative (UASI) grant program. The counties in the State have had varying levels of success in organizing effective exercise programs, but recent efforts to reorganize the State's program have made vast improvements in capability and effectiveness. Per order of the Governor's Office, via the State Division of Disaster and Emergency Services, all local and county jurisdictions within the State must conform to the National Incident Management System (NIMS), the Incident Command System (ICS), and the Homeland Security Exercise and Evaluation Program (HSEEP).

The State has been included in recent National Level Exercises (NLEs). State initiatives to develop interoperable communication networks across jurisdictions are meeting with increased success and a statewide intelligent traffic management system is in place to warn motorists of potential issues on the roadways.

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City of Clifton/Kane County

Vital Statistics/City of Clifton

Population (Based on 2010 Census)

Population 60,000
Households 18,333
Under 18 .... 26.8%
Over 65 .... 17.4%
Median age .... 36.8 years
Birth rate per 1,000 .... 12%
Death rate per 1,000......................... 5.25%

Vital Statistics/Kane County

Population (Based on 2010 Census)

Population 75,000
Households 31,665
Under 18 .... 27.8%
Over 65 .... 17.7%
Median age .... 36 years
Birth rate per 1,000 .... 11.1%
Death rate per 1,000.......................... 6.5%

Major Landmarks

Clifton Regional Airport
– Daily flights to Liberty International, Atlanta, and Cincinnati

Beaches
– Numerous beaches along the Atlantic Ocean seashore

Deer Lake
– Recreational area with camping, fishing and hiking

Culture and Entertainment

Chamber-Sponsored Events
– Late Winter Expo... March
– Annual Golf Tournament..................................... April
– Spring Fling .... April
– Fourth of July Celebration ....July 4
– Clifton Reunion Weekend ....October
– Annual Holiday Parade............................... December
– Holiday Arts and Craft Show...................... December

Public Library
– Founded 1890, opened 1902
– More than 250,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Computer Resource Center
– Located in downtown Clifton

History Museum
– Founded 1978
– Located in the Old Courthouse
– Dedicated to the rich history of Clifton

Schools in Kane County (includes Clifton)
– 12 elementary ....7,828 students
– 6 junior and 6 senior high ....11,160 students

Quick Facts

Business – Major Area Employers
– City of Clifton...630
– Kane County Memorial Hospital............................500
– Harvest Junction Community Hospital…………..200
– Mal-Mart..480
– Hometown Depot...135
– Public School System 742
– Government 2,021

Normal Temperatures

- Mean temperature .... 72.8°F
- Coldest month ....January/60.9°F
- Hottest month ....August/82.5°F

Rainfall

- Mean rainfall ....28.35 inches
- Driest month .... December/2.3 inches
- Wettest month........................... April/5.35 inches

Emergency Management

Clifton Fire and Rescue

- 6 fire/ambulance stations
- 80 uniformed service members
- Pumper Trucks
  - 6 Type II
  - 4 Type III
- Ladder Trucks
  - 2 Type I
  - 4 Type II
- Emergency Medical Services (EMS)
  - 8 Type III basic life support (BLS) ambulances

Clifton Law Enforcement and Security Resources

- 80 uniformed police/security members
- 28 support staff

Kane County (outside of Clifton)

Fire and Rescue

- 8 fire/ambulance stations
- 80 paid volunteer firefighters and EMTs
  (paid by call)
- Pumper Trucks
  - 8 Type II
  - 4 Type III
- Ladder Trucks
  - 4 Type I
  - 6 Type II
- EMS
  - 6 Type III BLS ambulances

Law Enforcement and Security Resources

- 28 uniformed police/security members
- 5 support staff

City of Clifton/Kane County

You are the newly organized exercise planning team for Kane County, including the City of Clifton. Kane County is less than 600 square miles and largely devoted to ocean and agriculture operations, both large- and small-scale. A few small towns are dispersed throughout the county. These towns (Gable, Largo, and Rusten) have between 2,500 to 15,000 inhabitants. The county seat and largest city in Kane County, Clifton has approximately 60,000 residents within the city limits. The population in the city has remained relatively stable over the last few decades. Most of the local population works in the agricultural industry, fishing and coastal tourism industry. There are also a large number of employees in the government, education, and medical fields.

Capabilities

The Clifton Fire and Rescue Service comprises both the fire department and EMS, with 80 total uniformed services members. The fire department has two battalions with three stations each. Two shifts of emergency response personnel work a rotating 3-day on, 2-day off schedule. Eight fire stations in the county are supported by approximately 80 paid volunteers.

Clifton's size and location have not required an extensive police presence, and the city is served by a single station with three 8-hour shifts of police officers. The facility is co-located with the city jail and is in the center of the city, next to the courthouse. The police force has limited experience with emergency operations and response outside the exercises run by the Local Emergency Planning Committee (LEPC) and the Kane County Memorial Hospital. Explosive Ordnance Disposal (EOD) resources have not been required in the area, but Memorandums of Agreement (MOAs) are in place with nearby communities to respond to these types of incidents, should they occur. The county does have a 12 person Special Response Team (SRT) that is a joint city/county team.

Kane County Memorial Hospital has 96 beds with emergency room (ER) services. Severe trauma patients are typically transported to more advanced care facilities in other jurisdictions. There are no decontamination or isolation facilities in the hospital. Gable and Largot have medical clinics.

Public works in Clifton and Kane County are limited to heavy equipment designed for road and bridge repair. Several dump trucks are available for debris removal if they are requested, but the department of public works does not have a formal plan for response to a major disaster or terrorist attack.

Hazards and Vulnerabilities

The Local Emergency Planning Committee (LEPC) has identified potential hazard zones due to the interstate and railway that runs through the county that could be affected by a catastrophic incident. The LEPC has also identified two elementary schools and an assisted living facility that should have an emergency evacuation plan based on the railway hazard.

Threats of communicable diseases are intermittent as surrounding regions periodically report of mumps, measles, and influenza outbreaks. The potential for an Avian Influenza A (H5N1) Virus outbreak in the poultry industry concerns many local leaders, public health workers, and poultry industry workers as "bird flu" cases in other countries have occurred from direct or close contact with infected poultry or contaminated surfaces.

Training and Exercises

Exercise funding has been limited in prior years and what has been received has been centered in Clifton, which used most of the funding to maintain the training levels of local responders in Hazardous Materials (HazMat) response and awareness.

Clifton's local emergency responders have attended HazMat technician certification courses and several statewide conferences relating to HazMat response. The city's operating budget has been insufficient to purchase enough equipment to permit the fire departments to build a functional HazMat team internally, and all previous incidents have been handled by neighboring jurisdictions.

Prior exercises have not been formally provided by the county EMA but were instead developed as part of the local hospital's annual mass casualty exercises. These events have primarily focused on traumatic injuries from a nonspecific source, such as a major car accident, and have been limited to no more than 20 victims. The county has recently applied for grant money to revise the county emergency operations plan, because this issue was discussed in the past round of county commissioner elections. The incumbent lost to the challenger, largely on the issue of disaster preparedness. These new grant applications would allow the city to begin a more comprehensive, all-hazard training and exercise program.

Kane County
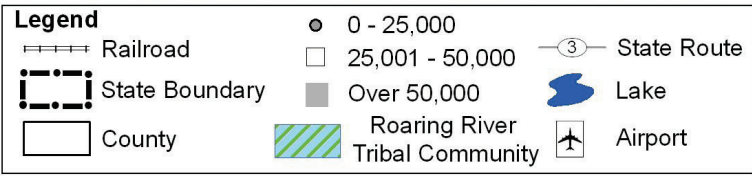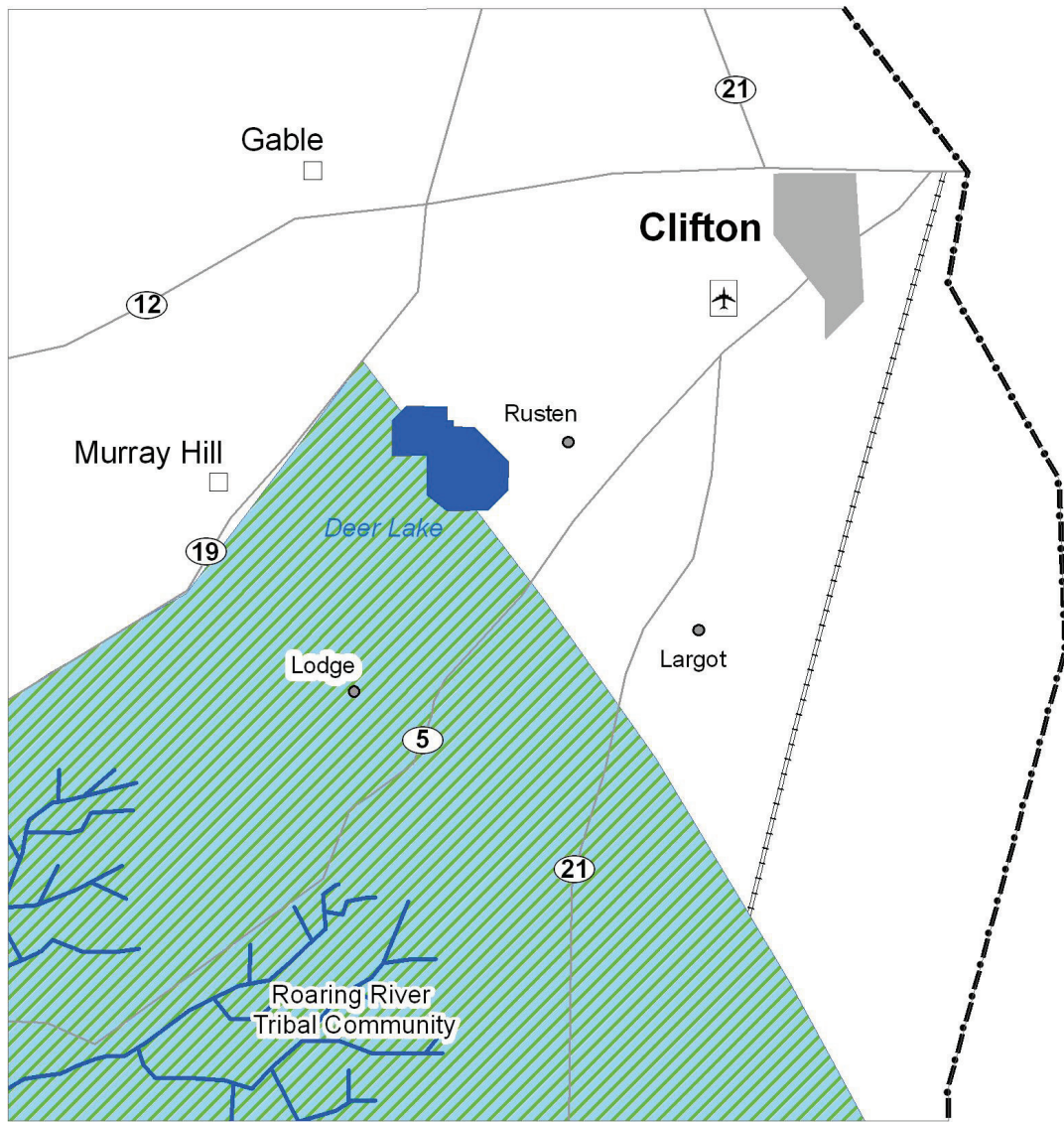
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Granite County

<table>
<tr><td colspan="2" align="center">Vital Statistics</td></tr>
<tr><td colspan="2">Population (Based on 2010 Census)</td></tr>
<tr><td>Population</td><td>130,000</td></tr>
<tr><td>Households</td><td>48,872</td></tr>
<tr><td>Under 18</td><td>26.3%</td></tr>
<tr><td>Over 65</td><td>14.7%</td></tr>
<tr><td>Median age</td><td>37 years</td></tr>
<tr><td>Birth rate per 1,000</td><td>12%</td></tr>
<tr><td>Death rate per 1,000</td><td>7.15%</td></tr>
</table>

Major Landmarks

Granite County Courthouse

– Oldest territorial courthouse in the State

– Contains a museum with exhibits and artifacts from Granite County's colorful past

Fort Leighton Museum

– Collections and displays of the history of the military and the southeast

– Army outpost established in 1877

Quick Facts

Business – Major Area Employers

– Manufacturing
– Retail
– Tourism
– Labor force 39,262

Normal Temperatures

– Mean temperature .... 61.3°F
– Coldest month...........................December/37.1°F
– Hottest month ....August/83.1°F

Rainfall

– Mean rainfall...33.2 inches
– Driest month .... December/1.97 inches
– Wettest month.................................... May/7.3 inches

Culture and Entertainment

Historical Society

– Founded 1920

– Includes Jamestown Arts and Historical Museum

– Antique displays and collectibles from throughout Granite County

Public Library

– Founded 1890

– More than one million books, records, periodicals, pictures, microfilms, videotapes, and slides, as well as the Computer Research Center

– 12 branches and 1 bookmobile

Schools

– Elementary...26
– Junior and senior high..13
– Community college...1
– Total number of public school students 28,160
– Granite Community College, a 2-year community college has its main campuses in Jamestown, with an extension campus at Salmon

Emergency Management

Granite County Fire and Rescue
- Six stations across two fire districts
- 130 uniformed service members
- Pumper Trucks
  - Five Type I
  - Six Type III
- Ladder Trucks
  - One Type I
- Hazardous Materials (HazMat) Entry Teams
  - One Type II
- Emergency Medical Services (EMS)
  - Six Type I advanced life support (ALS) ambulances

Law Enforcement and Security Resources
- 102 uniformed police/security members
- 15 support staff
- One Type III Special Response Team (SRT)

Granite County

You are the exercise planning team for Granite County and the county seat of Jamestown sits approximately halfway between Capital City and Central City. The county has undergone a massive transformation in the last 50 years from a small agricultural community to an industrial and research hub for both government and industry. The county, primarily Jamestown, enjoys a full range of well-funded emergency services because of the large tax base provided by local industry. Being centrally located between Capital City and Central City, the county serves as a major commerce conduit for the State of Columbia and this part of the country.

Capabilities

The primary focus of the fire department in Granite County has been structural fires. The Jamestown Fire Department is divided into two fire battalions. Each of these battalions has three fire companies, which serve on a rotating 72-hour shift. These stations are supported by 130 uniformed service members. Five years ago, an upswing in the drug production in the county resulted in the formation of a county HazMat team due to a proliferation of meth labs.

The law enforcement agencies in the county have been strained with fighting the drug trade that moves a large amount of illegal drugs to Central City. The county recently formed a Type III joint city/county Special Response Team (SRT) that is now a full-time unit with 25 members. The police department and sheriff's office serve on three 8-hour shifts and are supported by 100 uniformed police and security members, as well as 15 support staff members.

Hazards and Vulnerabilities

The county has a small to medium contingent of emergency response personnel that has been well trained, but the lack of any full-time departments outside of Jamestown make response times lengthy. The volume of drugs found in raids has tripled in the last 5 years as the drug trade and smuggling industries flourish. Hazardous materials (HazMat) units in the county are required to respond to these finds, and the county has been attempting to identify alternative sources for funding these units. The operators of these facilities have also begun planting devices to harm personnel attempting to remove them. This new effort by the drug manufacturers has spawned a call for increased funding and equipment by county residents. Exercise activity has been extremely limited because of the high operational tempo of the county's first responders, and department heads have been reluctant to allow first responders to attend resident courses at the various U.S. Department of Homeland Security Training Consortium sites due to staffing needs in the county. The county's emergency plan is largely focused on weather-related events such as floods, but it has a transportation annex and a small weapon of mass destruction (WMD) annex that provides immediate shelter-in-place instructions for regional schools and a list of contact information for State emergency management officials.

The county hospital (Granite County General Hospital) has been inundated in recent years with the treatment of a growing population. The number of patients seeking treatment for conditions ranging from common injuries and illnesses to overdoses and HazMat exposures from clandestine drug labs has overwhelmed the hospital's ability to provide care for all of the county's residents. The hospital has contracted for the installation of a decontamination facility, but the construction has not yet begun.

Training and Exercises

Exercise funding has been increasing over the last several years, but few events have taken place because of the high operational level and real-world requirements of the county's first responders. Additional funds have been made available to fight drug trafficking, but most of this funding will be used for operations rather than exercises.

Granite County
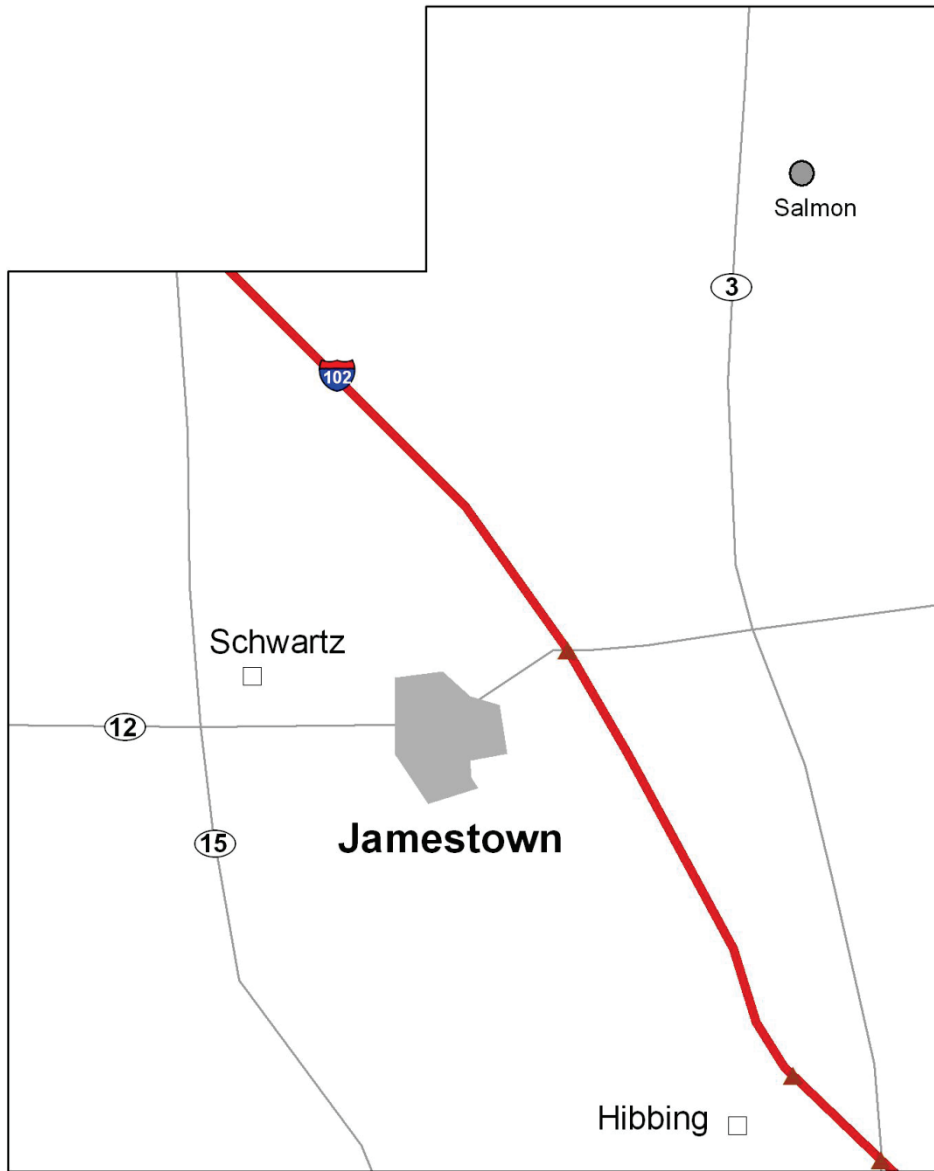
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Central City

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┌─────────────────────────────────────────────┐
│              Vital Statistics                 │
│                                               │
│ Population (Based on 2010 Census)             │
│ Population......................................149,000 │
│ Households ....................................60,215  │
│ Under 18 ....................................... 24.2% │
│ Over 65 ......................................... 9.3% │
│ Median age .................................. 35 years │
│ Birth rate per 1,000............................. 12%  │
│ Death rate per 1,000......................... 5.15%    │
└─────────────────────────────────────────────┘
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Vital Statistics

Population (Based on 2010 Census)

Population 149,000
Households 60,215
Under 18 .... 24.2%
Over 65 .... 9.3%
Median age .... 35 years
Birth rate per 1,000 .... 12%
Death rate per 1,000 .... 5.15%

Major Landmarks

Columbia State University
  – Enrollment: 15,000

Farmers A&M University
  – Enrollment: 5,500

Convention Center
  – Built in 1976
  – 95,000 square feet of meeting space

Liberty Coliseum
  – Built in 1985
  – Home to The Lightening (Semi-Pro Basketball)
  – Home to The Pounders (Semi-Pro Hockey Team)

Fluman Sloane Stadium
  – Home of The Pounders (Double Affiliate/ Baltimore Orioles)
  – Seats 9,700

Quick Facts

Major Area Employers
  – DuPont Chemical 4,243
  – Columbia State University 2,062
  – Columbia State Prison 1,300
  – Central City Hospital 958

Normal Temperatures
  – Mean temperature .... 65.2°F
  – Coldest month .... January/40.2°F
  – Hottest month .... August/83.6°F

Rainfall
  – Mean rainfall .... 29.38 inches
  – Driest month .... January/2.9 inches
  – Wettest month .... May/5.6 inches

Culture and Entertainment

Historical Society
  – Founded 1830
  – Includes five galleries and a library with more than 50,000 volumes

Central City Museum
  – Founded 1910, opened 1916
  – Serves 375,000 visitors a year, including 68,000 students
  – Includes Junior Museum, Fire Museum, Planetarium, Lemon House (1880), and Liberty Farms Schoolhouse (1788)

Schools
  – 11,429 students
  – 2 School Districts (1 Public and 1 Private)
  – Elementary 24
  – Junior and senior high 12

Emergency Management

Central City Fire Department
- 12 stations
- 300 uniformed service members
- Engines
  - 16 Type I
  - 3 Type II
  - 2 Type VI
- Ladder Trucks
  - 4 Type I
  - 2 Type II
- Fire Boats
  - 1 Type II
- Foam Tenders
  - 1 Type I
- Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
- Available Liberty County Mutual Aid (11 Departments)

Emergency Medical Services (EMS)- Managed by Liberty County Health Department
- 91 personnel
- 1 Type I Advanced Life Support (ALS) Ambulance
- 6 Type II ALS Ambulances
- 5 Type IV Basic Life Support (BLS) Ambulances
- 1 Type I Rotary Wing Aircraft

Law Enforcement
- Liberty County Sheriff's Department
  - 164 Sworn Officers
  - 37 Non-Sworn Staff
- Central City Police Department
  - 138 Sworn Officers
  - 45 Non-Sworn Staff
- 1 Type III Explosive Ordnance Disposal (EOD) team (Central City Police Department)
- 1 Type III Special Response Team (SRT) (Sheriff's Department)

Public Works and Engineering
- Public Works Emergency Management Support Team
- Disaster Management Recovery Team
- Equipment Preventative Maintenance Team
- Heavy Preventative Maintenance and Repair Team

Law Enforcement (Continued)
- Columbia State Police District 2
  - 95 Sworn Officers
  - 15 Non-Sworn Staff
- Columbia State University
  - 22 Sworn Officers
  - 5 Non-Sworn Staff
- Farmers A & M University
  - 16 Sworn Officers

Central City

You are an exercise planning team for Central City. Your city has been the focal point for many activities after the September 11, 2001, attacks, including major terrorism investigations resulting in the arrests of dozens of suspected terror cell members. Your city has undergone a massive overhaul in its emergency response plans and has spent millions of dollars on the purchase of new first responder equipment and training in the last 2 years alone. Major events are planned in the future for your city, including a major party convention in the run up to the Presidential election and a bid for the summer Olympic Games.

The political climate within the city is rather tumultuous, with the mayor announcing that he plans to run for governor in the next term. The governor, who is of another political party, has frequent public disagreements with the mayor's policies, which draws a great deal of media attention. The political leaders of the city are jockeying to position themselves for the mayoral candidacy.

Central City is one of the oldest major cities in the State of Columbia, founded in the late 1700s. After decades of decline and disinvestment, Central City today is attracting national attention for its ongoing rebirth and renewal. Crime and unemployment are both down, achieving levels unseen in decades. Neighborhoods are witnessing a boom of housing, opportunity, and hope. Businesses are relocating and expanding. Major educational reforms are underway, as evidenced by the two universities that call Central City home. Bricks and mortar investment in Central City between 1995 and 2010 is estimated to total several hundred million dollars per square mile, approximately 12–14 billion dollars for the city as a whole. While more remains to be done, Central City is a city on the rise.

Capabilities

The Central City Fire Department is a modest size department. The department has operates three shifts. The fire department typically works a 24-hours on/48-hours off shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

The law enforcement resources for Central City are extensive and well trained for a city of its size. There is also mutual aid support readily available from the Liberty County Sheriff's Department, the Columbia State Police, Columbia State University, and Farmers A&M University. The Central City Police Department maintains an explosive ordnance disposal (EOD) unit and the Liberty County Sheriff's Department maintains the county Special Response Team (SRT). The activities relating to special security events in the city have resulted in a force that has expertise in crowd control and response to catastrophic events, including chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-related incidents. The city and county both maintain three shifts per day, though 2 twelve hour overlapping shifts may be implemented for high security events.

The health and medical resources in Central City consists of a large number of volunteer and professional medical services personnel, including 4 hospitals with a combined bed capacity of over 600 beds. These teams have been active in response to disasters. Most recently, they have responded to the crash of an airliner in a residential district on the outskirts of the city, numerous tornadoes, and the hurricanes that struck the State of Columbia, Liberty County and Central City on nearly an annual basis.

The Central City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 339 employees in the department, including five full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

A U.S. Coast Guard (USCG) Marine Safety Unit (MSU) is located in the southern part of the county in the bay area and is responsible for response to large spills and other disasters in the region, including the Turtle River. The State of Columbia National Guard's 40th Weapons of Mass Destruction (WMD) Civil Support Team (CST) is also headquartered in the southeastern area of the county and has been responsive to city requests for support in both exercises and unknown chemical discoveries and exposures. Several other assets are located in the area, such as the 6th Rescue and Recovery Squadron, which includes lifesaving capabilities and services to civilian and military agencies.

Hazards and Vulnerabilities

Central City is close to a large, exposed coastline and is situated within approximately 2 hours driving time from two other major metropolitan areas. The city is a hub of industrial and commercial transportation and has one major airport serving national and international flights.

There is a major railway for the Great Atlantic and Pacific Railroad that passes directly through Central City and presents a hazardous material (HazMat) vulnerability due to the amount of industrial chemicals that are transported through the city on a daily basis.

Central City has one major interstate highway that runs through the city (I-107) and another interstate highway (I-102) just to the south of the city. The Central City Light Rail System operates three car units that transport over 18,000 customers per day.

Training and Exercises

The funding stream for the city has been adequate to meet the needs of past exercises through a combination of Federal and State grants, a healthy tax base, and a budget provided by the city government.

Past exercises have included a portion of the past two National Level Exercises (NLEs), which included Federal, State, and local agencies from the county and city. However, those exercises were conducted without any significant grant funds, which limited local and State agency participation. There has also been a significant decrease in homeland security funding, which has delayed new equipment purchases. Interest in the preparedness level of the city is high due to method in which the homeland security funds within the city have been recently spent due to issues in the response to recent disasters and with an election less than two years away.

Central City

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Green County

Vital Statistics
Population (Based on 2010 Census)
Population 196,000
Households 31,612
Under 18 .... 17%
Over 65 .... 4%
Median age .... 36.4 years
Birth rate per 1,000 .... 11%
Death rate per 1,000 .... 5.15%

Major Landmarks

Monroe Regional Airport
– Daily flights to Liberty International, Atlanta, and Cincinnati

Beaches
Numerous beaches along the Atlantic Ocean seashore

South Branch Train Depot Museum
– Restored depot for the Great Atlantic and Pacific Railway

Quick Facts

Business – Major Area Employers
– Retail, including a large factory outlet mall
– Railroad
– Fishing
– Coastal Tourism

Normal Temperatures
– Mean temperature .... 72.8°F
– Coldest month ....January/60.9°F
– Hottest month ....August/83.5°F

Rainfall
– Mean rainfall ....28.35 inches
– Driest month .... December/2.3 inches
– Wettest month........................... April/5.35 inches
–

Culture and Entertainment

Public Library
– Founded 1950
– More than 275,000 books, records, periodicals, pictures, microfilms, videotapes, slides, and the Information Technology Resource Center
– Four branches, three satellites, and one bookmobile

Douglas Museum
– Founded 1925
– Serves 175,000 visitors a year, including 28,000 students
– Includes Children's Science Museum, Fire Museum, Planetarium, and Natural History Museum

Schools
– Public elementary 14
– Middle and senior high 8
– Private and parochial 4
– Total number of public school students 14,000

Emergency Management

Monroe and Zurich Fire and Rescue
– 3 fire stations
– 102 full-time firefighters
– 12 full-time support staff
– Pumper trucks
  • 3 Type I
  • 6 Type III
– Ladder trucks
  • 3 Type II
– Emergency Medical Services (EMS)
  • 1 Type I advanced life support (ALS) ambulance
  • 2 Type II ALS ambulances
  • 2 Type III ALS ambulances
  • 6 Type III basic life support (BLS) ambulances

Monroe and Zurich Law Enforcement
– 125 uniformed police/security members
– 50 support staff

Green County

You are the exercise planning team for Green County, which is situated east of Liberty County and Central City along the Atlantic Ocean.

The county has historically been a railroad and fishing area with thriving fishing areas off the coast of both Monroe and Zurich. The regional airport and seasonable weather associated with a coastal area has resulted in an influx of many families seeking a home outside of large urban areas. Interstate 102 (I-102) provides a direct route to Central City and points west. As the population increases, so does the demand for resource basics, such as water treatment and schools, and less emphasis has been placed on emergency services.

Capabilities

Green County's fire and emergency services are provided by the two major fire departments (Monroe and Zurich) and by an additional 10 volunteer fire departments across the county, including rural volunteer fire departments in Coale, Casperville, and Laport. Outside of the Monroe and Zurich Fire Departments, the remainder of the county is staffed by a small contingent of full-time dispatchers and full-time staff and supported by 250 volunteer members. Emergency responders are summoned to the volunteer stations via pager and telephone. A campaign is currently underway to improve response time throughout the county by hiring more full-time personnel; however, the county has not been able to obtain sufficient funds to accomplish this. Hazardous Materials (HazMat) responses are handled in agreement with surrounding communities.

Green County's law enforcement agencies include the cite police departments in Monroe and Zurich, which are equally staffed, and the county sheriff's office. There is countywide mutual aid in place for law enforcement, as well as limited support from the State of Columbia State Police. There are no organic Explosive Ordnance Disposal (EOD) or Special Response Team (SRT) assets within the county, though both Monroe and Zurich are exploring the creation of SRT units in each jurisdiction.

The Green County health care system consists of a single public hospital (St. Dorothy's Hospital) in Monroe, along with three urgent care clinics. There is no isolation facility, but the emergency room (ER) does have a decontamination corridor that was recently purchased and installed.

The local emergency response network comprises of a large volunteer force that, while well-trained, is not well-equipped to deal with a mass casualty incident (MCI). Mutual-aid agreements (MAAs) exist between the county and adjacent counties for aid in times of disaster.

Hazards and Vulnerabilities

Due to the interstate and railway line that runs through the county, there is interest by a few chemical manufacturing facilities that are interested in relocating to remote areas of the county. Some developers have been able to persuade government authorities to allow developments to go through, but there is still large public concern. As is, numerous industrial chemicals are transported through the county on any given day. The county is also susceptible to hurricanes due to low-lying areas near the coastline.

There is no disaster response team within the county for response to mass MCIs. Additional concerns have been raised after a letter purportedly containing ricin was delivered to a local developer's office by

a long-time resident who was upset by the potential relocation of chemical manufacturing plants to Green County.

Training and Exercises

Exercise funding has been adequate in the past, but the rapid growth of the area has resulted in most of the resources provided by grants and the local budgets being funneled to the purchase of equipment and facilities for new first responder units. Due to decreases in homeland security funding, first responder training and exercises are being scaled back due to cost saving measures.

The emergency response plan is rapidly becoming outdated because of changes in population and has not been exercised in over 2 years. The plan has had one addition. Due to recent railway expansion projects and an increase in the transport of hazardous materials, the railroad conducted a tabletop exercise (TTX) with the county emergency management agency and first responder organizations. The end result was an update to the county HazMat Annex, which was promulgated last year.

Green County
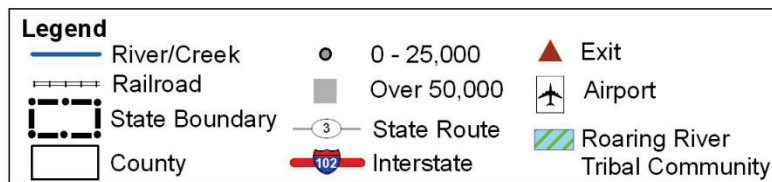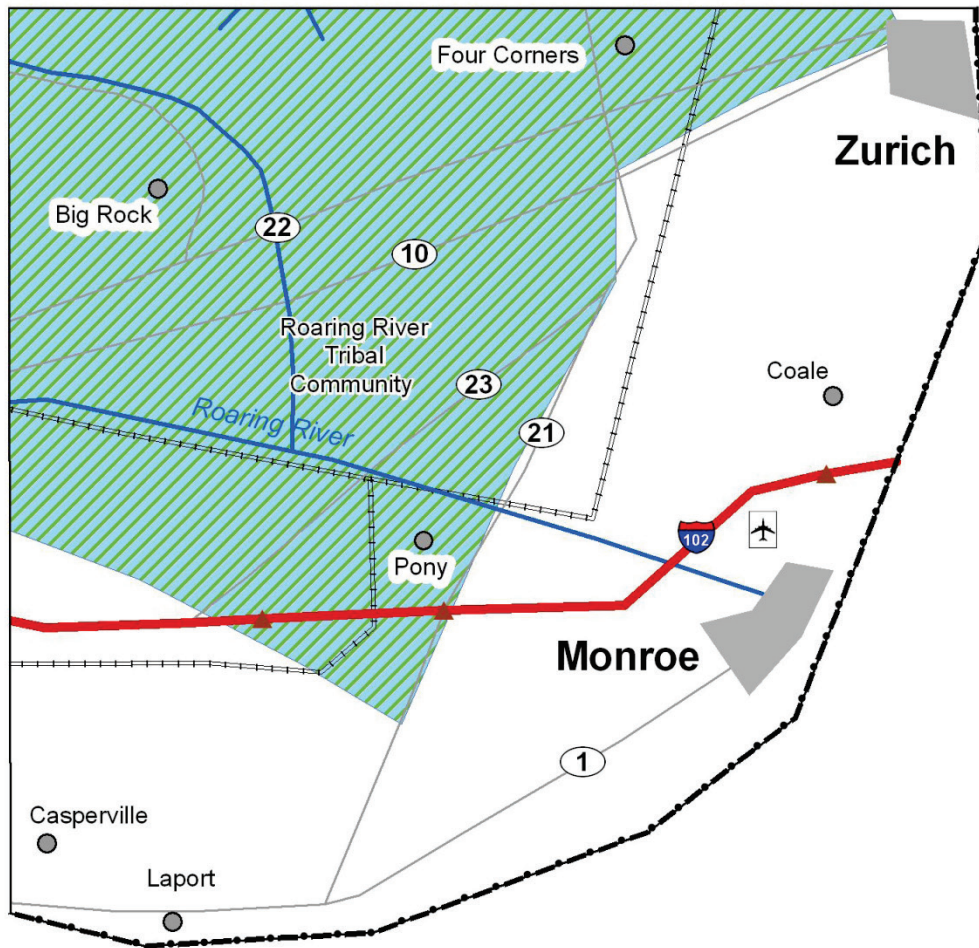
Mineral County

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┌─────────────────────────────────────────────┐
│              Vital Statistics                 │
│ Population (Based on 2010 Census)            │
│ Population ...............................26,000 │
│ Households ...............................7,471 │
│ Under 18 ................................. 27.3% │
│ Over 65 .................................. 12.3% │
│ Median age ........................... 35.1 years │
│ Birth rate per 1,000 ........................ 14% │
│ Death rate per 1,000...................... 6.15% │
└─────────────────────────────────────────────┘
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Major Landmarks

Mineral Mountains
– Recreational area with camping, fishing, hiking, and white water rafting

Roaring River Rapids
– Recreational area with camping, fishing, hiking, and white water rafting

Quick Facts

Business – Major Area Employers
– Lumber Companies.........................250
– Mineral County Hospital 300
– Businesses...................................1,400

Normal Temperatures
– Mean temperature....................... 55.3°F
– Coldest month...............................January/34.8°F
– Hottest month .... July/79.2°F

Rainfall
– Mean rainfall...........................37.07 inches
– Driest month ....October/2.65 inches
– Wettest month.................................. April/4.78 inches

Culture and Entertainment

Public Library
– Founded 1976
– More than 200,000 books, records, periodicals, pictures, microfilms, videotapes, and slides
– Three branches

Fall Foliage Festival
– Held the 2nd weekend in October. Attracts over 10,000 tourists.

Bradley Community Theatre
– Built 1968
– Remodeled 1989
– Seats 879 people

Schools
– Public elementary 6
– Junior/senior high 5
– Private and parochial 1
– Total number of public school students 4,700

Emergency Management

Mineral County Fire and Emergency Services
- Eight stations across five fire departments
- One Type II Wide Area Search and Rescue Team
- 65 uniformed service members
- Pumper Trucks
  - Eight Type III
- Ladder trucks
  - Three Type I
- Foam Tenders
  - One Type I
- Emergency Medical Services (EMS)
  - 6 Type III advanced life support (ALS) ambulances
  - 10 Type II basic life support (BLS) ambulances

Law Enforcement and Security Resources
Mineral County Sheriff's Department
- 25 uniformed police/security members
- 6 support staff

Mineral County

You are an exercise planning team for Mineral County. The population of your county (approximately 26,000 people) is mostly from an agricultural and forestry background. The Roaring River provides a source of employment and recreation during the late-Spring/early-Fall time-frame. The Mineral Mountains provide recreational and Fall foliage-viewing opportunities. The county is very rural with only 5 communities (Bradley, Ceresco, Danton, Sumpler, and Wicks). The road network in the county is primarily two-lane highway with the exception of I-107, which runs north to south through the county. limited to four-lane highways in the cities and two-lane State highways connecting the populated areas. Large cities lie to the north (Metropolis) and south (Central City).

Capabilities

Due to being a small community, there has been little influx of homeland security funding to purchase equipment, train, or exercise. Hazardous materials (HazMat) responses are conducted through mutual-aid agreements (MAAs) with contiguous counties.

Mineral County Hospital is an aging hospital built in the mid 1950s, though it has recently been renovated and now has a state-of-the-art emergency room (ER) with an isolation ward but does not have an organic decontamination unit. The hospital has the capacity to treat approximately 85 patients with varying levels of illnesses at one time. The hospital staff has also developed an emergency plan that uses off-duty employees in case of a mass casualty incident (MCI).

The Public Works Department has not been active in disaster response except during response to wildfires when road graders and bulldozers are used for creating fire breaks.

Hazards and Vulnerabilities

The fire departments throughout the county are split between two major functions: battling frequent brush fires and structural fires in a very rural setting. There are only 65 volunteers throughout the entire county. There are 5 fire departments and eight stations. Each station has a minimum of one assigned fire company and ambulance crew. The employees of the departments are primarily volunteers, though there are paid firefighters that are on a 12-hour shift at the main fire station in Bradley.

The county Sheriff's Department is the primary law enforcement presence in Mineral County, with the exception of limited support from the State of Columbia State Police. These county Sheriff's Department has received little training in MCIs and has no protective gear to respond to a HazMat incident. There are no special teams assigned within the law enforcement departments for response to high-risk situations (e.g., hostage situation, barricaded suspects, terrorism).

Training and Exercises

With the exception of limited funding from the Local Emergency Planning Committee (LEPC), there is no formalized exercise-funding source, though local departments and agencies do participate in hospital drills and exercises. There are ongoing efforts to secure homeland security funding due to the counties geographic position between two large urban areas.

The county response agencies have good relationships and training events have often included repre-sentatives from most of the emergency response services. No formal exercises have taken place to verify

that emergency operations functions are well-coordinated. Most of the past occasions for county emergency response personnel to work together in an extended manner have involved tornado recovery, wildfires, and flood response along the Roaring River after heavy rains.

Mineral County
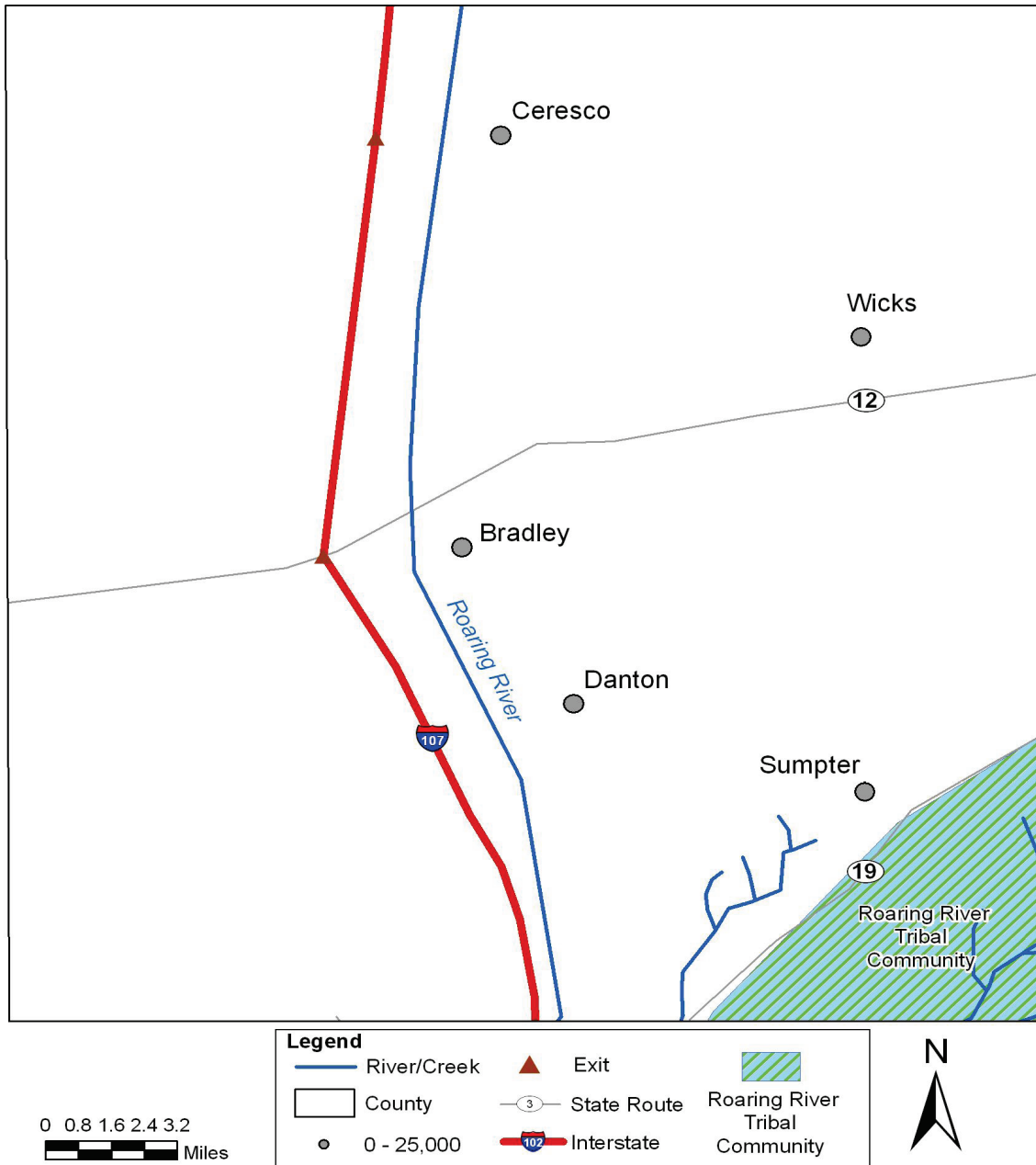
Stramford County (Tower Beach)

Vital Statistics
Population (Based on 2010 Census)
Population 145,000
Households 45,393
Under 18 .... 26.3%
Over 65 .... 14.7%
Median age .... 37 years
Birth rate per 1,000 .... 12%
Death rate per 1,000... 5.15%

Major Landmarks

Camp Lewisburg
  – Dates to the Spanish-American War
  – Houses a military museum

Metro Kiwanis Sportsplex
  – Located in the city center
  – This park and recreation complex is the gem in the city's recreational facilities

Tower Beach
  – Popular beach attraction
  – Large tourism and fishing industry

Quick Facts

Business – Major Area Employers
  – Tourism
  – Fishing
  – Commercial
  – Industrial
  – Shipping

Normal Temperatures
  – Mean temperature ....65.2°F
  – Coldest month..................................... January/40.2°F
  – Hottest month .... August/83.6°F

Rainfall
  – Mean rainfall..29.38 inches
  – Driest month ....January/2.9 inches
  – Wettest month.................................... May/5.6 inches

Culture and Entertainment

Performing Arts Center
  – Opened in 1965
  – Seats 1,500 people

Public Library
  – Founded 1940
  – More than 500,000 books, records, periodicals, pictures, microfilms, videotapes, and slides and the Technology Resource Center

Tower Beach Museum
  – Founded 1960
  – Serves 15,000 visitors a year
  – Includes Planetarium, Cotton Mill (1850), and Tower Beach Schoolhouse (1888)

Schools
  – Public elementary 14
  – Middle and senior high 8
  – Private and parochial 4
  – Total number of public school students 14,000

Emergency Management

Stramford County Fire and Rescue

- 8 stations across 5 fire districts
- 230 uniformed service members
- Pumper Trucks
  - Five Type I
  - Eight Type III
- Ladder Trucks
  - One Type I
- Hazardous Materials (HazMat) Teams
  - 2 Type II
- Emergency Medical Services (EMS)
  - Four Type I advanced life support (ALS) ambulances
  - Ten Type II basic advanced life support (BLS) ambulances

Law Enforcement and Security Resources

Tower Beach Police Department

- 125 uniformed officers
- 15 support staff

Stramford County Sheriff's Department

- 175 uniformed officers
- 15 support staff
- One Type III Special Response Team (SRT)

U.S. Customs and Border Protection (Stramford Sector)

- 350 uniformed officers
- 55 support staff
- One Type III Special Response Team (SRT)

Public Works and Engineering

- One Type I Recovery Director
- One Type II Assessment Director

Stramford County

You are the exercise planning team for Stramford County. The county has undergone a massive transformation in the last 50 years from a small beach and agricultural community to an industrial and research hub for both government and industry. The county enjoys a full range of emergency services that are well-funded due to the high number of terrorism suspects that have been arrested.

Stramford County sits along the border between the United States and Mexico. The county is a major point of transfer for people and goods between the two countries, but many of the largely unpopulated areas have also made it a haven for people entering the United States illegally. Citizen groups have formed to attempt to stem the tide and assist the government in maintaining border integrity, but some of these groups have conducted operations that have been seen as unnecessary and potentially dangerous. Additional U.S. Customs and Border Patrol (CBP) staff have been hired over the past few years. The U.S. Department of Homeland Security (DHS) has provided numerous training opportunities for the county's law enforcement personnel to better prepare them to assist CBP operations to eliminate the entry of potential terrorists into the country, but many residents of the county do not see the effect because of the extent of the border and the limited number of agents and officers on patrol along the border. There were 25 individuals from countries the U.S. Department of State has identified as supporting terrorism that were captured attempting to cross the border in the last year, raising the concern of local residents about potential terrorists slipping across the border.

Capabilities

The city has benefited from the relationship with the local CBP sector by conducting joint exercises in emergency response in the past, and many mutual-aid agreements (MAAs) exist between CBP and local emergency responders. The frequent antiterrorism drills and exercises conducted by the county are seen positively by county residents, and pressure is frequently placed on elected officials to increase involvement from county emergency management personnel.

The Stramford County Fire Department is made up of 8 stations across 5 fire districts and is supported by 230 uniformed members. The department works on a split-shift schedule. There are four actual shifts, with two shifts on duty at all times. The shift change for one shift occurs at 6:00 a.m., while the second occurs at 6:00 p.m. The fire department typically works a 48-hour shift. Support personnel are typically weekday only and work 8:00 a.m. to 5:00 p.m.

Stramford County has a fairly robust law enforcement community, with the Stramford County Sheriff's Department and Tower Beach Police Department having a total of 300 sworn officers between the two departments, as well as a the Sheriff's Department SRT. There are also 350 Border Patrol Officers assigned to the Stramford Sector, including a CBP SRT. All departments, including the CBP Officers, all work 8-hour shifts. There are Memorandums of Understanding (MOUs) in place with the CBP to provide mutual-aid support.

The Tower City healthcare system comprises a single public hospital (Tower Beach Community Hospital) and several acute care facilities and family care clinics. The River Valley Hospital has a state-of-the-art burn center with many experts in trauma, burns, and HazMat exposure.

The Public Works Division has a moderate inventory of disaster recovery equipment, including cranes and dump trucks for debris removal but has no assigned team for this purpose. There are no full-time

personnel assigned as disaster recovery specialists, but two individuals work with the city to keep plans updated and serve in the city Emergency Operations Center (EOC) when activated. They typically work from 8:00 a.m. to 5:00 p.m. at the Public Works Department and are on call at other times.

Hazards and Vulnerabilities

Tower Beach serves as a port of entry into the United States, which results in a large amount of commerce being transported into the county and subsequently moved via rail to points throughout the United States, including a large amount of HazMat. There is also a railway, which transports commerce between Mexico and the United States.

Being a coastal community, Tower City is susceptible to hurricanes and coastal flooding. There is also the threat of river flooding along the Lonely River, but it largely flows outside of populated areas. Other hazards include tornadoes and threats of terrorism.

Training and Exercises

A variety of homeland security training has been conducted throughout the county. Exercise funding has improved over the last 3 years, with current funding being adequate to support a variety of city and county exercises for the foreseeable future.

Stramford County

Legend
- River/Creek
- Railroad
- State Boundary
- County
- 0 - 25,000
- Over 50,000
- State Route

N

0 1 2 3 4 Miles
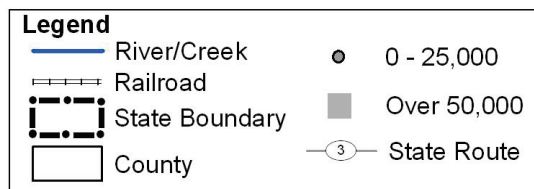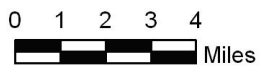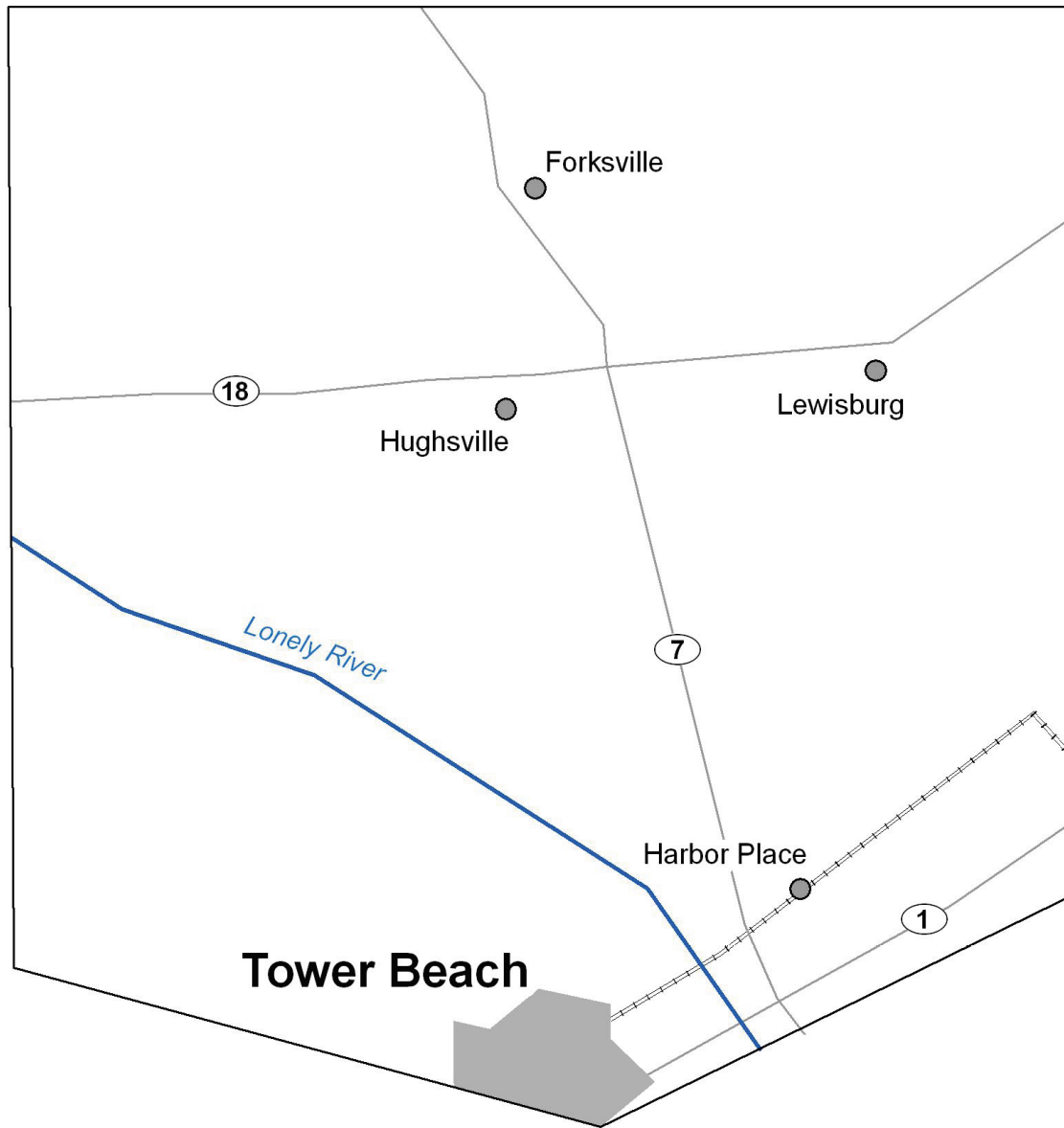
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Capital City

Vital Statistics
Population (Based on 2010 Census)
Population...265,000
Households 106,854
Under 18 .... 20.3%
Over 65 .... 18.2%
Median age .... 34.2 years
Birth rate per 1,000 .... 11%
Death rate per 1,000... 6.25%

Major Landmarks

Falcon Tower
- 620-foot tall tower with observation deck, completed in 1991

Columbia State Capital
- Built in 1843
- Contains chamber for the State House and Senate

Quick Facts

Business – Major Area Employers
- State government…………………………23,000
- New Twinkie/Fruit Pie Bakery……….…..5,000
- Great Atlantic & Pacific Railway………….4,000
- Capital City Hospital……………….……..1,264
- Pine Cogeneration Plant……………………1,100
- Coca-Cola Bottling Company…………...…1,050

Normal Temperatures
- Mean temperature...................................... 64.2°F
- Coldest month...........................December/37.1°F
- Hottest month ....August/82.4°F

Rainfall
- Mean rainfall..28.2 inches
- Driest month .... January/2.1 inches
- Wettest month.................................... May/5.3 inches

Culture and Entertainment

Capital City Museum
- Founded 1910, opened 1916
- Serves 425,000 visitors a year,

Capital City Stadium
- Built in 2011
- State-of-the-art multi-purpose stadium
- Home of the Capital City Crusaders (Coastal Football League Professional Football)

Historical Society
- Founded 1950
- Includes three galleries, library with more than 20,000 volumes, and 28 historical sites

Downtown Performing Arts Center
- Opened in 1985
- Seats 4,500 people
- Serves as the home of the Capital City Symphony Orchestra

Emergency Management

Capital City Fire Department

– 20 stations
– 475 uniformed service members
– Engines
  - 22 Type I
  - 6 Type II
  - 4 Type VI
– Ladder Trucks
  - 8 Type I
  - 4 Type II
– Hazardous Materials (HazMat) Entry Teams
  - 1 Type I
– Available Liberty County Mutual Aid (4 Departments)

Emergency Medical Services (EMS)

– 130 personnel
– 3 Type I Advanced Life Support (ALS) Ambulance
– 12 Type II ALS Ambulances
– 10 Type IV Basic Life Support (BLS) Ambulances
– 1 Type I Rotary Wing Aircraft

Law Enforcement

– Pine County Sheriff's Department
  – 250 Sworn Officers
  – 50 Non-Sworn Staff
– Capital City Police Department
  – 200 Sworn Officers
  – 75 Non-Sworn Staff
– 1 Type III Explosive Ordnance Disposal (EOD) team (Capital City Police Department)
– 1 Type III Special Response Team (SRT) (Sheriff's Department)

Public Works and Engineering

– Public Works Emergency Management Support Team
– Disaster Management Recovery Team
– Equipment Preventative Maintenance Team
– Heavy Preventative Maintenance and Repair Team

Law Enforcement (Continued)

– Columbia State Police HQ and District 1
  – 195 Sworn Officers
  – 70 Non-Sworn Staff

Capital City

You are the exercise planning team for Capital City, which is the largest city in the State of Columbia. The city comprises a large urban area surrounded by a relatively large suburban sprawl. A large number of commuters live within 2 hours of the city center and travel I-102, which skirts the southern to western edges of the city. The region is a major transfer point for ground-based and air-based commerce and serves as a port of entry. It has one major airport that serves domestic flights and acts as a hub for several smaller discount airlines.

The city has a fairly robust light-rail system and is also served by commercial rail. The light rail system serves over 30,000 customers per day. The Capital City Regional Airport, which opened in 1939, is a regional transfer hub and has daily service to Liberty International Airport, Atlanta, and Cincinnati, with future service to include Dayton, OH.

Capabilities

Capital City has 475 full-time firefighters in four fire districts. The personnel and equipment within these districts are divided into 8 fire battalions. The fire departments also have command and control of the Emergency Medical Services (EMS) and are augmented by an additional 150 volunteer fire personnel. The shifts work in a 72-hour rotation, with a third of the on-duty force rotating off duty each day at 5:00 a.m. There is one hazardous materials (HazMat) team in the city.

The law enforcement resources in Capital City have been recently upgraded by the addition of several police precincts, bringing the total to 8. Within these precincts, the 250 uniformed personnel have been active in their response training, but protective equipment has been a lacking resource in recent years. Training with mutual-aid districts has been spotty and difficult to organize, but the condition has been improving. Police units in Capital City typically work 8-hour shifts, with varying hours for shift changes based on the precinct's needs. Many of the downtown districts are relatively quiet at night, while they are extremely crowded during daylight hours. The EOD team, which falls under the police force, recently added a robotic EOD response unit to their list of capabilities. The county Special Response Team (SRT), which is assigned to the Pine County Sheriff's Department, has also used homeland security grant funding to purchase an armored vehicle for hostage response. The vehicle was purchased based on a rising number of barricaded suspects situations and active shooter incidents in the outskirts of the city limits.

The medical resources in Pine County are limited to Capital City Hospital, which is a 400-bed, Level II Trauma Center. The hospital is capable of accepting and decontaminating chemical, biological, radiological, nuclear, and high-yield explosive (CBRNE)-exposed patients, but one additional decontamination/isolation unit is scheduled to become operational next spring. These resources are combined with the capabilities of a Disaster Medical Assistance Team (DMAT), which has been recently established to respond to mass casualty incidents (MCIs) within the city, county, and State.

The Capital City Department of Public Works has a significant amount of disaster recovery equipment including, a Public Works Emergency Management Support Team, Disaster Management Recovery Team, Equipment Preventative Maintenance Team, and a Heavy Preventative Maintenance and Repair Team. Memorandums of Agreement (MOAs) are signed with construction crews in the city indicating that equipment may be required for use by the city in a time of emergency. Liability is assumed by the

city in these instances, and equipment rental and operator time is reimbursed by the city as a part of this agreement. There are a total of 457 employees in the department, including 8 full-time personnel that serve in the county/city joint Emergency Operations Center (EOC) when activated.

Hazards and Vulnerabilities

To the west of the city lies a large chemical manufacturing complex that frequently transports dangerous goods within the city limits including pesticides, herbicides, chlorine, ammonia, and other manufactured chemicals in smaller amounts. The companies operating on the outskirts of the populated areas store vast quantities of these chemicals for their processes. They have been cited as a potential risk to the city's residents, especially after a major fire at one of the facilities sickened hundreds of nearby residents and put a black cloud of smoke over the city center for several days until it was brought under control.

Training and Exercises

As the capital of the State of Columbia, Capital City has a robust training and exercise program, with significant funding coming from the Urban Area Security Initiative (UASI) grant program. Recently, State transportation officials participated in a discussion-based exercise, which exposed several flaws in emergency response coordination along the outlying areas of the city. The city is continuing to standardize response and communications equipment across the area to allow first responders greater flexibility in responding to mutual-aid situations in other areas.

Central City continues to conduct a large amount of Incident Command System (ICS) training due to a large amount of recent retirements and staff openings. There has also been a significant amount of local training provided by various members of the U.S. Department of Homeland Security's Training Consortium.

Future UASI funding is expected to decrease but expectations are that future funding will be sufficient to continue a moderate level of exercises. Past exercises have indicated weaknesses in the areas of communications and evacuation planning, largely because of the growing populations in the surrounding communities and the difficulties involved with large-scale urban evacuations. A recent citywide reverse 911 system has been installed to warn residents of an emergency, which provides a redundant method of issuing protective action decisions to the public during emergencies.

Capital City

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Roaring River Tribal Community

Vital Statistics

Population (Based on 2010 Census)

Population	7,375
Households	1,505
Under 18	27.2%
Over 65	21%
Median age	39 years
Birth rate per 1,000	11%
Death rate per 1,000	8.1%

Major Landmarks

Big Rock Creek Source of revenue (fishing)
– Over 10 miles of hiking trails on each side of the creek

Big Rock
– A site of spiritual and cultural significance

Quick Facts

Area
– 1,200 square miles

Altitude
– 400-500 feet above sea level

Business – Major Area Employers
– Small Manufacturing
– Tourism

Normal Temperatures
– Mean temperature .... 58.2°F
– Coldest month .... December/37.1°F
– Hottest month .... July/84.1°F

Rainfall
– Mean rainfall .... 30.9 inches
– Driest month .... October/1.6 inches
– Wettest month .... July/3.3 inches
– Mean annual snowfall .... 8.2 inches

Culture and Entertainment

Roaring River Community Cultural Heritage Center
– Founded in 1963
– Includes displays of artifacts and history

Language Revitalization Center
– Provides language courses
– Contains more than 30,000 books, transcripts, and historical records

Schools
– Elementary schools 1
– Middle schools 2
– High schools (attend either Central City or Zurich) 0

Emergency Management

Tribal Fire Department
– 2 stations
– 21 full-time service members (including eight certified paramedics)
– 50 volunteer fire personnel
– Pumper Trucks
  • 3 Type II
– Emergency Medical Services (EMS)
  • 3 Type I advanced life support (ALS) ambulance

Law Enforcement and Security Resources
– 4 stations
– 37 uniformed police/security members
– 10 support staff

Roaring River Tribal Community

During the early 1800s, the Roaring River Tribal Community was formed as Native Americans were forced from their lands in other states. Many tribes of other nations came together for the common cause of rebuilding a life resembling the one they knew before. The tribal area spans four counties: Liberty, Green, Kane, and Mineral and was given to the tribal confederation by the United States in perpetuity in 1898. The duties of public security and safety have fallen to the Department of Public Safety, which has built a small but well trained group of emergency response personnel.

Industry has been limited in the tribal area largely because of a lack of transportation and a limited workforce. Until the late 1980s, the main source of income had been tourism. Recent development within the counties in which the Tribal Nation lies has spurred a modest growth in the retail sector as residents began working outside the borders of the Tribal Nation to earn a greater income for their families. As a result, small retail outlets are growing near populated areas within the confines of the Tribal lands. The residents of Liberty, Green, Kane, and Mineral Counties are using the opportunity of differing tax regulations within these areas, and shopping centers featuring many types of retail goods are thriving.

Capabilities

Emergency response planning is early in the developing stages within the Tribal Nation. The primary threats to the residents of the Tribal Nation have been from hurricanes, floods, residential fires, automobile accidents and petty crime. The expansion of the retail sector has brought an increased flow of residents and visitors to the area and has focused population near the retail outlets.

Hazards and Vulnerabilities

A significant flash flood 2 years ago brought about many changes in the local emergency services departments, with both the fire and police departments seeking mutual-aid partnerships with neighboring jurisdictions. There has been some reluctance within the community to enter into these agreements because of the sovereign status of the Nation.
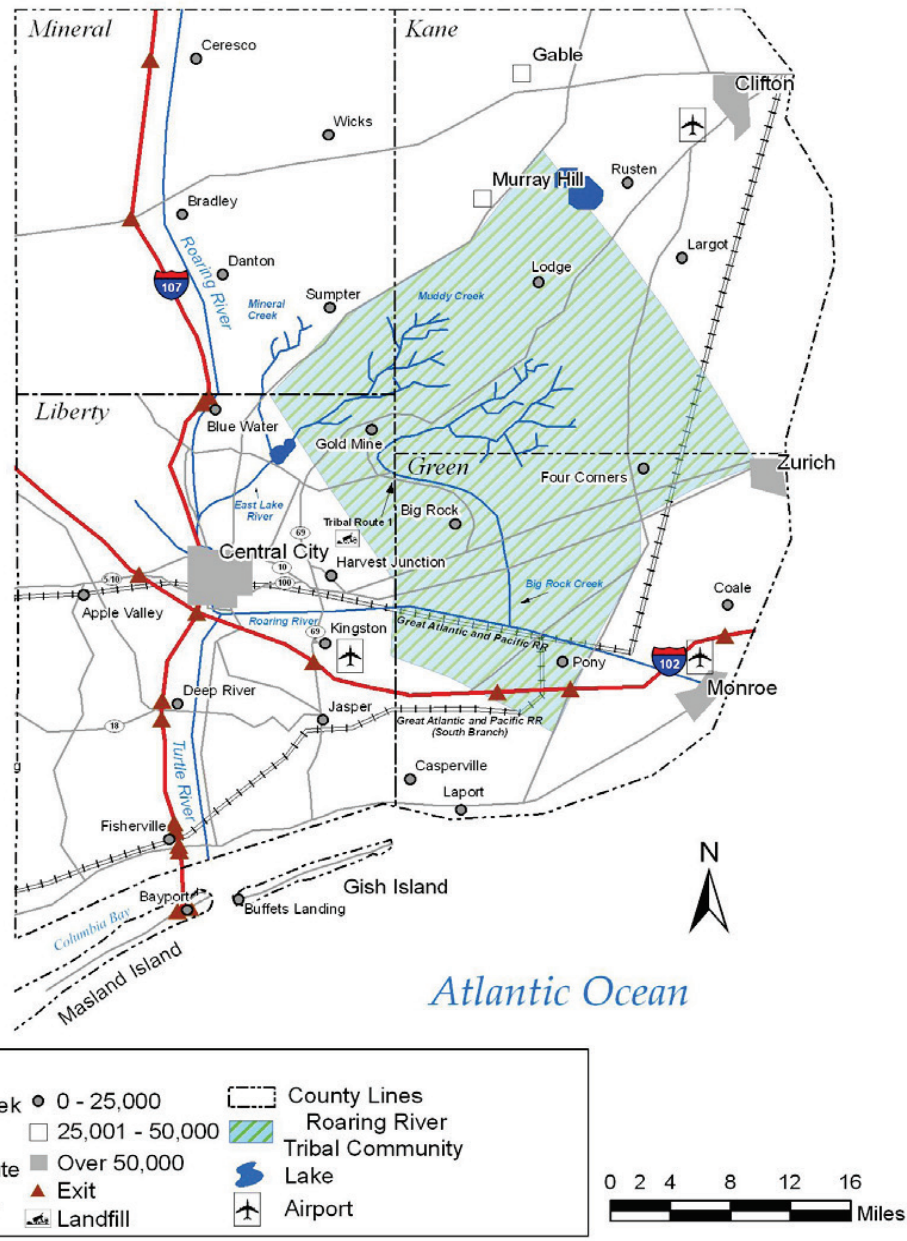
Since the flood, there has been a focus on all hazards planning for emergencies on tribal lands. All significant emergency response equipment outside the usual fire suppression systems must be brought into the area based on Memorandums of Understanding (MOUs) from the counties surrounding the tribal land. Communication systems between first responders on the tribal lands and the counties are currently incompatible, and there has never been an incident that would require tribal leaders to ask for mutual aid from their neighboring governments.

Training and Exercises

A limited budget was set up for exercises within the tribal lands after the flood, which killed 8 residents. The exercises have focused on mass evacuations and warning techniques, as well as an awareness campaign and swift water rescue training for the fire department and volunteer staff.

Roaring River Tribal Community

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