# TRAINING AND EXERCISE PLANNING WORKSHOP (TEPW) USER HANDBOOK

OCTOBER 2009

# PREFACE

The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities-based exercise program that provides common exercise policy and program guidance that constitutes a national standard for exercises. The purpose of the program is to build self-sustaining exercise programs and provide a standardized methodology for designing, developing, conducting, and evaluating all exercises. The HSEEP methodology contains exercise program management methodology: the building-block approach to training and exercises.

Exercise program management assists a jurisdiction or agency in sustaining a variety of ongoing preparedness activities and includes multiyear planning, budgeting, grant management, and funding allocation. Program management is cyclical: a Multi-Year Training and Exercise Plan (TEP), developed at the Training and Exercise Planning Workshop (TEPW), is developed in accordance with the jurisdiction or agency's preparedness priorities. Exercise activities are then planned and conducted according to the multiyear plan's schedule.

An annual TEPW provides the opportunity to review the jurisdiction or agency homeland security strategy and develop or update its Multi-Year Training and Exercise Plan. There is a focus on coordination of all training and exercise activities occurring throughout the jurisdiction or agency, including activities sponsored by Federal agencies, States, local governments, and tribal governments. Jurisdictions or agencies must ensure that their training and exercise schedules are coordinated to prevent duplication of efforts, ensure resources are not overextended during training or exercises, and maximize the efficacy of training and exercise appropriations. Moreover, schedule collaboration can present opportunities for jurisdictions and agencies to fulfill multiple grant requirements with a single exercise or training course.

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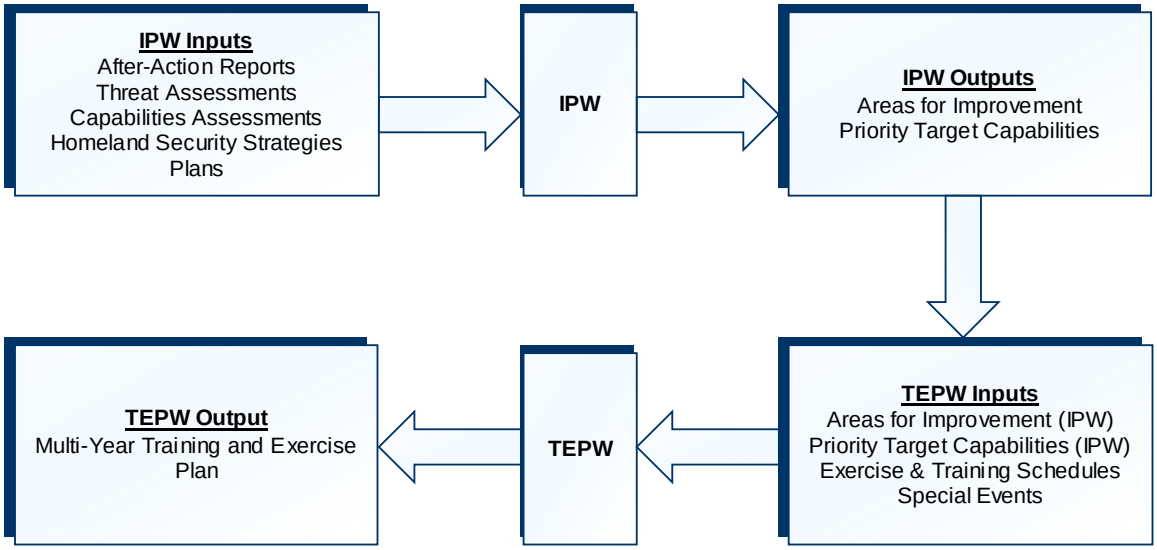
# TRAINING AND EXERCISE PLANNING WORKSHOP (TEPW)

## Purpose

The U.S. Department of Homeland Security (DHS) has developed this *Training and Exercise Planning Workshop (TEPW) User Handbook*, which provides the necessary information and documentation to assist each jurisdiction or agency in conducting an annual TEPW. It has been tailored to include documents appropriate to the needs of each jurisdiction or agency conducting the TEPW, including guidelines, sample documents, timelines, and definitions.

The TEPW is part of a process that begins with the Improvement Planning Workshop (IPW). The IPW provides an opportunity to determine the primary areas for improvement and target capabilities on which the jurisdiction or agency should focus its exercise programs. These areas for improvement and target capabilities constitute the foundation for ongoing development and evolution of the Multi-Year Training and Exercise Plan, which is revised annually at the TEPW. At the TEPW, stakeholders identify training and exercises that will assist the jurisdiction or agency in closing gaps and addressing the priorities identified at the IPW as well as identify target capabilities to focus on for each fiscal year. **Figure 1** illustrates how the IPW ties into the TEPW and highlights the inputs and outputs of each workshop.

**Figure 1. IPW and TEPW Process**




## Preparation

Sponsoring and conducting a TEPW requires a great deal of preparation and coordination. For the TEPW to run smoothly, participants should have sufficient authority to commit their agency to specific actions discussed at the workshop and should be able to make preparedness planning decisions for their respective jurisdiction or agency. Coordinating the attendance of such individuals can take several weeks; invitations should be extended at least 6 weeks before conducting the workshop. Read-ahead materials should be distributed to all TEPW participants

at least 4 weeks before the workshop to enable participants to understand what is expected of them and assist in preparing them to contribute.

## Conduct

### *Overview*

The TEPW should be held at most 1 month after the IPW. That said, holding the TEPW the day after the IPW ensures that the same participants are at each workshop and are familiar with the areas for improvement.

Sponsors should anticipate that the TEPW will require 1 day for conduct. Workshop participants will focus on the following activities:

- **Identify training opportunities.** Identify training opportunities to address the areas for improvement identified during the IPW.
- **Link priority target capabilities to fiscal years.** Identify which priority target capabilities to focus on as a jurisdiction or agency in which fiscal years.
- **Update exercise schedule.** Update the calendar with exercises that meet the definition of a jurisdiction or agency exercise.
- **Identify exercise training opportunities.** Identify training opportunities that will help participants succeed in the exercises.

It is important to provide background information to participants before the activities. Sponsors should invite Federal and State participants to provide a brief on their State or agency's Training and Exercise Plan.

### *Jurisdiction or Agency Point of Contact (POC) Responsibilities*

To ensure the TEPW is effective, a list of basic roles and responsibilities has been developed for the jurisdiction or agency points of contact (POCs). The jurisdiction or agency will provide the structure in which all workshop activities will be conducted (based on the HSEEP framework).

**TEPW Preparation**

- Prepare all documentation and meeting facilitation materials (e.g., agendas, PowerPoint presentations, minutes) in support of the workshop.
- Invite and register all participants for the workshop (see Appendix C for sample invitation letter).
- Set workshop agenda (see Appendix C for sample agenda).
- Ensure that participants review the priority target capabilities and areas for improvement identified during the IPW, the State homeland security strategy, and prerequisite TEPW reading.
- Ensure that participants bring their individual agency training and exercise schedules.

**TEPW Conduct**

- Conduct and facilitate the TEPW.

- If breakout groups are required, provide a facilitator for group discussions who will ensure attendees stay focused on TEPW goals.
- Coordinate recording (note taking) of major points of discussion.

**Post-TEPW**

- Draft TEPW summary, and submit it to the DHS.
- Submit the final Multi-Year Training and Exercise Plan to the DHS Secure Portal. The jurisdiction or agency POC must submit all plans.
- Schedule exercise dates in the National Exercise Schedule (NEXS) System off the Homeland Security Exercise and Evaluation Program (HSEEP) Web site at *https:\\hseep.dhs.gov*, and ensure that you have assigned an exercise POC. The HSEEP User Guide is located at *https://hseep.dhs.gov/pages/1001_Toolk.aspx*.
- Distribute final copies of training and exercise materials to the DHS and the jurisdiction or agency via CD-ROM and hardcopy, as necessary.

**TEPW Checklist**

- Invite all applicable representatives, and include an RSVP deadline.
- Ensure all TEPW invitees are provided with all prerequisite materials.
- Ensure all TEPW invitees understand the requirement to bring their individual agency training and exercise schedules to the TEPW.
- Register all TEPW attendees.
- Prepare all documentation and meeting facilitation materials (e.g., agendas, presentations, copies of the State homeland security strategy, Target Capabilities List [TCL]) in support of the workshop.
- Conduct and facilitate the TEPW. Provide facilitation so attendees stay focused on TEPW goals. Coordinate recording (note taking) of major points for discussion.
- Schedule exercise dates in the National Exercise Schedule (NEXS) System, and ensure that you have assigned an exercise POC.
- Post and maintain all materials in the DHS Secure Portal.
- Review all materials as provided by the jurisdiction or agency.
- Ensure submission of the Multi-Year Training and Exercise Plan to the DHS for final approval. All plans must be submitted by the jurisdiction or agency POC.
- Ensure distribution of all final copies of training and exercise materials to the DHS and the jurisdiction or agency via CD-ROM and hardcopy, as necessary.

## Timeline

| Date | Activity |
|---|---|
| TEPW – 6–8 weeks | Invite stakeholders. |
| TEPW – 3 weeks | Send read-ahead material to TEPW stakeholders. |
| TEPW | Conduct TEPW. |
| TEPW + 2 weeks | Provide draft TEPW summary to stakeholders. |
| TEPW + 3 weeks | Stakeholders review and approve/disapprove TEPW summary. |
| TEPW + 4 weeks | Provide final TEPW summary to stakeholders. |
| TEPW + 6 weeks | Provide draft Multi-Year Training and Exercise Plan to stakeholders. |
| TEPW + 7 weeks | Stakeholders review and approve/disapprove Multi-Year Training and Exercise Plan. |
| TEPW + 60 days | Provide final Multi-Year Training and Exercise Plan to the DHS. |
| TEPW + 8 weeks | Provide final Multi-Year Training and Exercise Plan to stakeholders. |

## Participants

TEPW participants should be aware of their jurisdictional capabilities, homeland security strategy, and training and exercise calendars. They should be prepared to identify training opportunities and exercises that could assist the host jurisdiction or agency in closing the gaps identified at the IPW.

It is recommended that the audience be kept to 50 or fewer participants and that participation includes jurisdictional/agency response and recovery partners. The following is meant as a possible list of invitees and should not be considered an all-inclusive mandatory list. Depending on the jurisdiction or agency, the invitee could be the preparedness officer, training and exercise officer, emergency management representative, homeland security representative, health officer, administrative agent, law enforcement representative, fire representative, and so forth.

- States, UASI entities, tribes, and local governments
- Emergency Support Function (ESF) leads
- Other Federal agencies (e.g., U.S. Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response, Transportation Security Administration, Defense Coordinating Elements)

To prepare for the TEPW, participants should review the following:

- Priority target capabilities and areas for improvement identified during the IPW
- Jurisdiction or agency's Multi-Year Training and Exercise Plan
  - Identify and prepare to discuss exercises that can be nominated for the exercise calendar and training opportunities that align to the areas for improvement identified during the IPW.

## Components

- **Jurisdiction or Agency Homeland Security Strategy.** The current state of preparedness activities, planning, training, equipment, and exercises from all agencies and programs should be discussed. Priorities gleaned from the jurisdiction or agency homeland security strategy should be identified and disseminated to participants before the TEPW.
- **Capabilities-Based Planning.** An overview of capabilities-based planning should be conducted. Jurisdiction or agency priorities should be clearly defined and discussed as they relate to national priorities. If applicable, jurisdiction or agency priorities should be linked to improvement planning efforts. Target capabilities that should be accomplished to attain jurisdiction or agency priorities should then be listed along with training and exercises that will help the jurisdiction or agency obtain those capabilities and achieve those priorities.
- **Multi-Year Training and Exercise Plan.** The Multi-Year Training and Exercise Plan is the roadmap for accomplishing priorities described in the jurisdiction or agency homeland security strategy. Included in the plan should be the training and exercise schedule for the ensuing 3 years.
- **HSEEP.** A brief overview of HSEEP should be conducted, highlighting the program's guidelines, goals, and objectives.
- **Training and Exercise Schedule.** Attendees at the TEPW should develop a training and exercise schedule to be included in the Multi-Year Training and Exercise Plan. The schedule should list the proposed training and exercises to be conducted over the ensuing 3 years. For example, schedules created in 2006 represent training and exercise activities expected to occur from January 1, 2006, to December 31, 2008. In 2007, the jurisdiction or agency should create a 3-year training and exercise schedule that represents training and exercise activities planned for January 1, 2007, to December 31, 2009. The schedule should allow adequate time for a building-block progression of exercises. For exercises held in the first year, approximate dates should be available. For second and third year schedules, tentative dates may be used. The schedule should be submitted to the DHS by the jurisdiction or agency POC as part of the completed Multi-Year Training and Exercise Plan within 30 days of the TEPW. The State POC or SAA should post the exercise schedule to the Centralized Scheduling and Information System (CSIS) on the DHS Secure Portal.

## Homeland Security Exercise and Evaluation Program (HSEEP)

HSEEP was created to provide a consistent methodology for exercise planning, design, development, conduct, evaluation, and improvement planning processes. HSEEP provides the tools and resources such as policy, guidance, training, technology, sample materials, and direct support to promote regional, State, and local exercise expertise, while advancing a standardized means of assessing and improving preparedness across the Nation.

## Capabilities-Based Planning

The National Planning Scenarios and the establishment of the national priorities steered the focus of homeland security toward a capabilities-based planning approach. Capabilities-based planning focuses on uncertainty. Because it can never be determined with 100 percent accuracy what threat or hazard will occur, it is important to build capabilities that can be applied to a wide variety of incidents. The Target Capabilities List (TCL) defines capabilities-based planning as "planning, under uncertainty, to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice." As such, capabilities-based planning is all-hazards planning that identifies a baseline assessment of State or urban area homeland security efforts. An assessment of this kind is necessary to begin any long-term exercise strategy. This determines where current capabilities stand against the Universal Task List (UTL) and TCL and identifies gaps in capabilities. The approach focuses efforts on identifying and developing the capabilities from the TCL to perform the critical tasks from the UTL.

**Evolution of Capabilities-Based Planning**

## Homeland Security Presidential Directive 8 (HSPD-8)

On December 17, 2003, the President issued Homeland Security Presidential Directive 8 (HSPD-8): National Preparedness. Among other actions, HSPD-8 required establishment of a National Preparedness Goal, which establishes measurable priorities, targets, and a common approach to developing capabilities needed to better prepare the Nation as a whole. The National Preparedness Goal uses a capabilities-based planning approach to help answer the following questions:

- How prepared are we?
- How prepared do we need to be?
- How do we prioritize efforts to close the gap?

As a result of HSPD-8 and the National Preparedness Goal, a set of National Planning Scenarios was developed to illustrate the effects and conditions of incidents of national significance for which the Nation should prepare.

## National Preparedness Goal

The National Preparedness Goal is designed to guide Federal departments and agencies; State, territorial, tribal, and local officials; the private sector; nongovernmental organizations (NGOs); and the public in determining how most effectively and efficiently to strengthen preparedness for terrorist attacks, major disasters, and other emergencies.

The following eight national priorities were established by the DHS National Preparedness Goal:

1. Implement the National Incident Management System (NIMS) and National Response Framework (NRF).
2. Expand regional collaboration.
3. Implement the National Infrastructure Preparedness Plan.
4. Strengthen information sharing and collaboration capabilities.
5. Strengthen chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) weapons detection, response, and decontamination capabilities.
6. Strengthen interoperable communications capabilities.
7. Strengthen medical surge and mass prophylaxis capabilities.
8. Strengthen emergency operations planning and citizen protection capabilities.

## National Planning Scenarios

The 15 National Planning Scenarios address all-hazards incidents, which include terrorism, natural disasters, and health emergencies. They represent the minimum number of scenarios necessary to illustrate the range of potential incidents, rather than every possible threat or hazard. The 15 National Planning Scenarios are:

1. Improvised Nuclear Device (IND)
2. Aerosolized Anthrax
3. Pandemic Influenza
4. Plague
5. Blister Agent
6. Toxic Industrial Chemical
7. Nerve Agent
8. Chlorine Tank Explosion
9. Major Earthquake
10. Major Hurricane
11. Radiological Dispersal Device (RDD)
12. Improvised Explosive Device (IED)
13. Food Contamination
14. Foreign Animal Disease (FAD)
15. Cyber

The National Planning Scenarios serve as the basis for identifying tasks that must be performed to prevent, protect against, respond to, and recover from these incidents, as well as the capabilities required to perform the tasks. The 15 scenarios provide for common planning factors in terms of the potential scope, magnitude, and complexity of major events that will help to determine the target levels of capability required and apportion responsibility among all potential partners. Developing appropriate capabilities to address this range of scenarios will best prepare the Nation for terrorist attacks, major disasters, and other emergencies.

## Target Capabilities List (TCL)

The TCL includes 37 goals that will balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required for prevention, response, and recovery. This list is designed to help jurisdictions understand what their

preparedness roles and responsibilities are during a major incident and includes everything from all-hazards planning to worker health and safety.

## Universal Task List (UTL)

The UTL is a list of every unique task that was identified from the list of National Planning Scenarios developed under the leadership of the Homeland Security Council. The UTL is a reference to help plan, organize, equip, train, exercise, and evaluate personnel for the tasks they may need to perform during a major incident.

# APPENDIX A: TARGET CAPABILITIES LIST (TCL)

### *Common Target Capabilities*

- **Communications.** Communications is the fundamental capability within disciplines and jurisdictions that practitioners need to perform the most routine and basic elements of their job functions. Agencies must be operable, meaning they must have sufficient wireless communications to meet their everyday internal and emergency communication requirements before they place value on being interoperable (i.e., able to work with other agencies). Communications interoperability is the ability of public safety agencies (police, fire, emergency medical services [EMS]) and service agencies (public works, transportation, hospitals) to talk within and across agencies and jurisdictions via radio and associated communications systems, exchanging voice, data, and/or video with one another on demand, in real time, when needed, and when authorized. It is essential that public safety has the intra-agency operability it needs and that it builds its systems toward interoperability.
- **Community Preparedness and Participation.** This capability provides that everyone in America is fully aware, trained, and practiced on how to prevent, protect/mitigate, prepare for, and respond to all threats and hazards. This requires a role for citizens in personal preparedness, exercises, ongoing volunteer programs, and surge capacity response. Specific capabilities for universal preparedness—including knowledge of all hazards (technological, natural, and terrorist incidents) and related protective measures, skills, and supplies—will be determined through a collaborative process with emergency responders.
- **Planning.** Planning is the mechanism through which Federal, State, local, and tribal governments, nongovernmental organizations, and the private sector develop, validate, and maintain plans, policies, and procedures describing how they will prioritize, coordinate, manage, and support personnel, information, equipment, and resources to prevent, protect and mitigate against, respond to, and recover from incidents of national significance. Preparedness plans are drafted by a litany of organizations, agencies, and departments at all levels of government and within the private sector. Preparedness plans are not limited to plans drafted by emergency management planners. This capability sets forth many of the activities and tasks undertaken by an emergency management planner when drafting (or updating) emergency management (preparedness) plans.
- **Risk Management.** Risk Management is defined by the Government Accountability Office as "A continuous process of managing—through a series of mitigating actions that permeate an entity's activities—the likelihood of an adverse event and its negative impact." Risk management is founded in the capacity for all levels of government to identify and measure risk before an event, based on threats/hazards, vulnerabilities, and consequences, and to manage the exposure to that risk through prioritization and implementation of risk-reduction strategies. The capability and actions to perform risk management may well vary between levels of government; however, the foundation of risk management is constant.

- **Intelligence/Information Sharing and Dissemination.** This capability provides necessary tools to enable efficient prevention, protection, response, and recovery activities. Intelligence/information sharing and dissemination is the multijurisdictional, multidisciplinary exchange and dissemination of information and intelligence among the Federal, State, local, and tribal layers of government; the private sector; and citizens. The goal of sharing and dissemination is to facilitate distribution of relevant, actionable, timely, and preferably declassified or unclassified information and/or intelligence that is updated frequently to the consumers who need it. More simply, the goal is to get the right information to the right people at the right time. An effective intelligence/information sharing and dissemination system will provide durable, reliable, and effective information exchanges (both horizontally and vertically) between those responsible for gathering information and the analysts and consumers of threat-related information. It will also allow for feedback and other necessary communications in addition to the regular flow of information and intelligence.

### *Prevent Mission Area*

- **CBRNE Detection.** The preventive chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) detection capability provides the ability to detect CBRNE materials at points of manufacture, transportation, and use. It is important to note that the activities and tasks described in this capability will be carried out individually for each specific agent, rather than for all agents at the same time. Therefore, when considering critical tasks and preparedness measures, each task and measure should be applied separately to each CBRNE agent. For example, in considering whether technical support (or "reachback") is available, radiological/nuclear reachback is considerably different from chemical, biological, or explosive reachback. Preparedness in one or more of the CBRNE areas does not equate to preparedness across the entire CBRNE detection spectrum.
- **Information Gathering and Recognition of Indicators and Warnings.** This capability entails the gathering, consolidation, and retention of raw data and information from sources including human sources, observation, technical sources, and open (unclassified) materials. Unlike intelligence collection, information gathering is the continual gathering of only pure, unexamined data, not the targeted collection traditionally conducted by the intelligence community or targeted investigations. Recognition of indicators and warnings is the ability to see in this gathered data the potential trends, indications, and/or warnings of criminal and/or terrorist activities (including planning and surveillance) against U.S. citizens, government entities, critical infrastructure, and/or U.S. allies.
- **Intelligence Analysis and Production.** Intelligence analysis and production is the merging of data and information for the purpose of analyzing, linking, and disseminating timely and actionable intelligence with an emphasis on the larger public safety and homeland security threat picture. This process focuses on the consolidation of analytical products among the intelligence analysis units at the Federal, State, local, and tribal levels for tactical, operational, and strategic use. This capability also includes the examination of raw data to identify threat pictures, recognize potentially harmful patterns, or connect suspicious links to discern potential indications or warnings.

- **Counter-Terror Investigations and Law Enforcement.** This is the capability that includes the broad range of activities undertaken by law enforcement and related entities to detect, examine, probe, investigate, and conduct operations related to potential terrorist activities. Current and emerging investigative techniques are used with an emphasis on training, legal frameworks, recognition of indications and warnings, source development, interdiction, and related issues specific to antiterrorism activities.

### *Protect Mission Area*

- **Critical Infrastructure Protection.** This capability enables public and private entities to identify, assess, prioritize, and protect critical infrastructure and key resources so they can detect, prevent, deter, devalue, and mitigate deliberate efforts to destroy, incapacitate, or exploit the Nation's critical infrastructure and key resources.
- **Epidemiological Surveillance and Investigation.** This capability is the capacity to rapidly conduct epidemiological investigations. It includes exposure and disease (both deliberate release and naturally occurring) detection, rapid implementation of active surveillance, maintenance of ongoing surveillance activities, epidemiological investigation, analysis, and communication with the public and providers about case definitions, disease risk and mitigation, and recommendations for the implementation of control measures.
- **Food and Agriculture Safety and Defense.** This is the capability to prevent, protect against, respond to, and recover from chemical, biological, and radiological contaminants and other hazards that affect the safety of food and agricultural products. This includes timely eradication of outbreaks of crop diseases/pests, assessments of the integrity of the food-producing industry, removal and disposal of potentially compromised materials from the U.S. food supply, and decontamination of affected food manufacturing facilities or retail points of purchase or service. This also includes appropriate laboratory surveillance to detect human foodborne illness or food product contamination. It is accomplished concurrent to protecting public health and maintaining domestic and international confidence in the U.S. commercial food supply. Additionally, the public is provided with accurate and timely notification and instructions related to an event and appropriate steps to follow with regard to disposal of affected food or agricultural products and appropriate decontamination procedures.
- **Public Health Laboratory Testing.** This capability is the ongoing surveillance, rapid detection, confirmatory testing, data reporting, investigative support, and laboratory networking to address potential exposure or exposure to all hazards including chemical, radiological, and biological agents in all matrices including clinical specimens and food and environmental samples (e.g., water, air, soil). Such all-hazard threats include those deliberately released with criminal intent as well as those that may be present as a result of unintentional or natural occurrences.

### *Respond Mission Area*

- **Animal Disease Emergency Support.** This is the capability to protect, prevent, detect, respond to, and recover from threats and incidents that would result in the disruption of

industries related to U.S. livestock, other domestic animals (including companion animals), or wildlife and/or endanger the food supply, public health, or domestic and international trade. It includes the ability to respond to large-scale national and regional emergencies as well as to smaller-scale incidents through rapid determination of the nature of the event, initiation of the appropriate response, containment of the disrupting effects, and facilitation of recovery.

- **Citizen Evacuation and Shelter-in-Place.** This is the capability to prepare for, ensure communication of, and immediately execute the safe and effective sheltering-in-place of an at-risk population (and companion animals) and/or the organized and managed evacuation of the at-risk population (and companion animals) to areas of safe refuge in response to a potentially or actually dangerous environment. In addition, this capability involves the safe reentry of the population where feasible.
- **Critical Resource Logistics and Distribution.** This is the capability to identify, inventory, dispatch, mobilize, transport, recover, and demobilize and to accurately track and record available human and material critical resources throughout all incident management phases. Critical resources are those necessary to preserve life, property, safety, and security.
- **Emergency Operations Center (EOC) Management.** This is the capability to provide multiagency coordination for incident management by activating and operating an EOC for a preplanned or no-notice event. EOC management includes EOC activation, notification, staffing, and deactivation; management, direction, control, and coordination of response and recovery activities; coordination of efforts among neighboring governments at each level and among local, regional, State, and Federal EOCs; coordination of public information and warning; and maintenance of the information and communication necessary for coordinating response and recovery activities. Similar entities may include the National (or Regional) Response Coordination Center (NRCC or RRCC), Joint Field Offices (JFOs), National Operating Center (NOC), Joint Operations Center (JOC), Multi-Agency Coordination Center (MACC), Initial Operating Facility (IOF), etc.
- **Emergency Public Information and Warning.** This capability includes public information, alert/warning, and notification. It involves developing, coordinating, and disseminating information to the public, coordinating officials, incident management personnel, and responders across all jurisdictions and disciplines effectively under all hazard conditions.
- **Emergency Public Safety and Security Response.** This is the capability to reduce the impact and consequences of an incident or major event by securing the affected area, including crime/incident scene preservation issues as appropriate; safely diverting the public from hazards; providing security support to other response operations and properties; and sustaining operations from response through recovery. Public safety and security response requires coordination among officials from law enforcement, fire, and EMS.
- **Emergency Triage and Pre-Hospital Treatment.** This is the capability to appropriately dispatch EMS resources; provide feasible, suitable, and medically acceptable pre-hospital

triage and treatment of patients; provide transport as well as medical care en route to an appropriate receiving facility; and track patients to a treatment facility.

- **Environmental Health.** This is the capability to protect the public from environmental hazards and manage the health effects of an environmental health emergency on the public. The capability minimizes human exposures to environmental public health hazards (e.g., contaminated food, air, water, solid waste/debris, hazardous waste, vegetation, sediments, vectors). The capability provides the expertise to run fate and transport models; design, implement, and interpret the results of environmental field surveys and laboratory sample analyses; develop protective guidance where none exists; and use available data and judgment to recommend appropriate actions for protecting the public and environment. Environmental health identifies environmental hazards in the affected area through rapid needs assessments and comprehensive environmental health and risk assessments. It works closely with the health community and environmental agencies to link exposures with predicted disease outcomes, provides input in the development of Crisis and Emergency Risk Communication (CERC) messages, provides guidance on personal protective measures, and advises on environmental health guidelines.
- **Explosive Device Response Operations.** This is the capability to coordinate, direct, and conduct improvised explosive device (IED) response after initial alert and notification; coordinate intelligence fusion and analysis, information collection, and threat recognition; assess the situation and conduct appropriate render-safe procedures (RSP); conduct searches for additional devices; and coordinate overall efforts to mitigate CBRNE threats to the incident site.
- **Fatality Management.** This is the capability to effectively perform scene documentation; the complete collection and recovery of the dead, victims' personal effects, and items of evidence; decontamination of remains and personal effects (if required); transportation, storage, documentation, and recovery of forensic and physical evidence; determination of the nature and extent of injury; identification of the fatalities using scientific means; certification of the cause and manner of death; processing and returning of human remains and personal effects of the victims to the legally authorized person(s) (if possible); and interaction with and provision of legal, customary, compassionate, and culturally competent required services to the families of deceased within the context of the family assistance center. All activities should be sufficiently documented for admissibility in criminal and civil courts. Fatality management activities also need to be incorporated in the surveillance and intelligence sharing networks to identify sentinel cases of bioterrorism and other public health threats. Fatality management operations are conducted through a unified command structure.
- **Fire Incident Response Support.** This capability provides coordination and implementation of fire suppression operations, which include the following tasks: assessing the scene, assigning resources, establishing an Incident Command System (ICS) consistent with the National Incident Management System (NIMS), communicating the status of the situation, requesting additional resources, establishing a safe perimeter, evacuating persons in danger, rescuing trapped victims, conducting fire suppression,

determining the cause of the fire(s), and ensuring the area is left in a safe condition. This capability further includes support necessary to prepare the community and reduce vulnerabilities in a major event.

- **Isolation and Quarantine.** This is the capability to protect the health of the population through the use of isolation and/or quarantine measures to contain the spread of disease. Isolation of ill individuals may occur in homes, hospitals, designated healthcare facilities, or alternate facilities. Quarantine refers to the separation and restriction of movement of persons who, while not yet ill, have been exposed to an infectious agent and may become infectious. Successful implementation will require that sufficient legal, logistical, and informational support exists to maintain these measures. Most experts expect that isolation and quarantine will not stop the outbreak and that, if used, the focus will be on cases that might introduce the disease into the State or other geographic area.
- **Mass Care (Sheltering, Feeding, and Related Services).** This is the capability to provide immediate shelter, feeding centers, basic first aid, bulk distribution of needed items, and related services to persons affected by a large-scale incident. Mass care is usually provided by nongovernmental organizations (NGOs), such as the American Red Cross, or by local government. The capability also provides for companion animal care/handling through local government and appropriate animal-related organizations.
- **Mass Prophylaxis.** This is the capability to protect the health of the population through the administration of critical interventions in response to a public health emergency in order to prevent the development of disease among those who are exposed or are potentially exposed to public health threats. This capability includes the provision of appropriate followup and monitoring of adverse events as well as risk communication messages to address the concerns of the public.
- **Medical Supplies Management and Distribution.** This is the capability to procure and maintain pharmaceuticals and medical materials before an incident and to transport, distribute, and track these materials during an incident.
- **Medical Surge.** This is the capability to rapidly expand the capacity of the existing healthcare system (long-term care facilities, community health agencies, acute care facilities, alternate care facilities, and public health departments) in order to provide triage and subsequent medical care. This includes providing definitive care to individuals at the appropriate clinical level of care, within sufficient time to achieve recovery and minimize medical complications. The capability applies to an event resulting in a number or type of patients that overwhelm the day-to-day acute-care medical capacity. Planners must consider that medical resources are normally at or near capacity at any given time. Medical surge is defined as rapid expansion of the capacity of the existing healthcare system in response to an event that results in increased need of personnel (clinical and nonclinical), support functions (laboratories and radiological), physical space (beds, alternate care facilities), and logistical support (clinical and nonclinical equipment and supplies).
- **Onsite Incident Management.** This is the capability to effectively direct and control incident activities by using the ICS consistent with the NIMS.

- **Responder Safety and Health.** This is the capability that ensures adequate trained and equipped personnel and resources are available at the time of an incident to protect the safety and health of onscene first responders, hospital/medical facility personnel (first receivers), and skilled support personnel through the creation and maintenance of an effective safety and health program. This program needs to comply with the Occupational Safety and Health Administration's (OSHA's) Hazardous Waste Operations and Emergency Response (HAZWOPER) standard (29 Code of Federal Regulations [CFR] 1910.120, as implemented by the U.S. Environmental Protection Agency [EPA] or State authorities) and any other applicable Federal and State regulations. The program also needs to be integrated into the ICS and include training, exposure monitoring, personal protective equipment, health and safety planning, risk management practices, medical care, decontamination procedures, infection control, vaccinations for preventable diseases, adequate work-schedule relief, psychological support, and followup assessments.
- **Search and Rescue (Land-Based).** This is the capability to coordinate and conduct search and rescue (SAR) response efforts for all hazards, including searching affected areas for victims (human and, to the extent no humans remain endangered, animal) and locating, accessing, medically stabilizing, and extricating victims from the damaged area.
- **Volunteer Management and Donations.** This is the capability to effectively coordinate the use of volunteers and donations in support of domestic incident management.
- **Weapons of Mass Destruction (WMD)/Hazardous Materials (HazMat) Response and Decontamination.** This is the capability to assess and manage the consequences of a HazMat release, either accidental or as part of a terrorist attack. It includes testing and identifying all likely hazardous substances onsite; ensuring that responders have protective clothing and equipment; conducting rescue operations to remove affected victims from the hazardous environment; conducting geographical survey searches of suspected sources or contamination spreads and establishing isolation perimeters; mitigating the effects of HazMat; decontaminating onsite victims, responders, and equipment; coordinating offsite decontamination with relevant agencies; and notifying environmental, health, and law enforcement agencies that have jurisdiction for the incident to begin implementation of their standard evidence collection and investigation procedures.

### *Recover Mission Area*

- **Economic and Community Recovery.** This is the capability to implement short- and long-term recovery and mitigation processes after an incident. This will include identifying the extent of damage caused by an incident, conducting thorough postevent assessments, and determining and providing the support needed for recovery and restoration activities to minimize future loss from a similar event.
- **Restoration of Lifelines.** This is the capability to initiate and sustain restoration activities. This includes facilitating the repair/replacement of infrastructure for oil, gas, electric, telecommunications, drinking water, wastewater, and transportation services.

- **Structural Damage Assessment.** This is the capability to conduct damage and safety assessments of civil, commercial, and residential infrastructure and to perform structural inspections and mitigation activities. The capability includes being able to provide contractor management, construction management, cost estimating, technical assistance, and other engineering services to support and manage response and recovery operations.

# APPENDIX B: EXERCISE TYPES

## Discussion-Based Exercises

Discussion-based exercises are normally used as starting points in the building-block approach to the cycle, mix, and range of exercises. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises typically highlight existing plans, policies, mutual aid agreements (MAAs), and procedures. Thus, they are exceptional tools for familiarizing agencies and personnel with current or expected jurisdictional capabilities. Discussion-based exercises typically focus on strategic policy-oriented issues; operations-based exercises focus more on tactical response-related issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track while meeting the objectives of the exercise.

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

- Informal discussions led by a seminar leader
- Lack of time constraints caused by real-time portrayal of events
- Low-stress environment that uses a number of instruction techniques such as lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, and decision support tools
- Proven effectiveness with both small and large groups

**Workshops.** Workshops represent the second tier of exercises in the Homeland Security Exercise and Evaluation Program (HSEEP) building-block approach. Although similar to seminars, workshops differ in two important aspects: participant interaction is increased, and the focus is on achieving or building a product (such as a plan or a policy). Workshops provide an ideal forum for the following:

- Building teams
- Collecting or sharing information
- Obtaining consensus
- Obtaining new or different perspectives
- Problem solving of complex issues
- Testing new ideas, processes, or procedures
- Training groups in coordinated activities

In conjunction with exercise development, workshops are most useful in achieving specific aspects of exercise design such as the following:

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

A workshop may be used to produce new standard operating procedures (SOPs), emergency operations plans (EOPs), MAAs, Multi-Year Training and Exercise Plans (output of the TEPW),

and improvement plans (IPs). To be effective, workshops must be highly focused on a specific issue, and the desired outcome or goal must be clearly defined.

Potential topics and goals are numerous, but all workshops share the following attributes:

- Effective with both small and large groups
- Facilitated, working breakout sessions
- Goals oriented toward an identifiable product
- Information conveyed through different instructional techniques
- Lack of time constraint from real-time portrayal of events
- Low-stress environment
- No-fault forum
- Plenary discussions led by a workshop leader

**Tabletop Exercises (TTXs).** TTXs involve senior staff members, elected or appointed officials, or other key personnel in an informal setting discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined incident. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving rather than the rapid, spontaneous decisionmaking that occurs under actual or simulated emergency conditions. In contrast to the scale and cost of operations-based exercises and games, TTXs can be cost-effective tools when used in conjunction with more complex exercises. 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.

TTX methods are divided into two categories: basic and advanced. In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the facilitator, problems are discussed as a group, and resolution is generally agreed upon and summarized by the leader. In an advanced TTX, play focuses on delivery of prescripted messages to players that alter the original scenario. The exercise facilitator usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include the following:

- Achieving limited or specific objectives
- Assessing interagency coordination
- Conducting a specific case study
- Examining personnel contingencies
- Familiarizing senior officials with a situation
- Participating in information sharing
- Practicing group problem solving
- Testing group message interpretation

## Operations-Based Exercises

Operations-based exercises are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually over an extended period of time.

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

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

**Functional Exercises (FEs).** An FE, also known as a Command Post Exercise (CPX), is designed to test and evaluate individual capabilities, multiple functions or activities within a function, or interdependent groups of functions. FEs generally focus on exercising the plans, policies, procedures, and staffs of the direction and control nodes of the Incident Command System (ICS), Unified Command, and Emergency Operations Centers (EOCs). Generally, incidents are projected through an exercise scenario with event updates that drive activity at the management level. Movement of personnel and equipment is simulated.

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

- Evaluating the EOC, headquarters, and staff
- Evaluating functions
- Examining interjurisdictional relationships
- Measuring resource adequacy
- Reinforcing established policies and procedures

**Full-Scale Exercises (FSEs).** FSEs are multiagency, multijurisdictional exercises that test many facets of emergency response and recovery. They include many first responders operating under the ICS or Unified Command to effectively and efficiently respond to, and recover from, an incident. An FSE focuses on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. The events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. It is conducted in a real-time, stressful environment that closely mirrors a real incident. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident had occurred (with minor exceptions). An

FSE simulates the reality of operations in multiple functional areas by presenting complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel in a highly stressful environment. Other entities that are not involved in the exercise, but that would be involved in an actual incident, should be instructed not to respond.

An FSE provides an opportunity to execute plans, procedures, and MAAs in response to a simulated live incident in a highly stressful environment. Typical FSE attributes include the following:

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

# APPENDIX C: SAMPLE FORMS

## Sample Invitation Letter

**To:** Homeland Security Exercise and Evaluation Program (HSEEP) Stakeholders

**From:** [Jurisdiction or Agency Representative (e.g., State Administrative Agency [SAA] or Exercise Point of Contact [POC])]

**Date:** [Date]

**Subject:** Training and Exercise Planning Workshop (TEPW)

The [jurisdiction or agency] invites you to attend the [jurisdiction or agency's] Training and Exercise Planning Workshop (TEPW) on [date] at [location]. The workshop will begin at [time] and conclude at [time]; attendee registration will begin at [time].

The TEPW provides the opportunity to update the Multi-Year Training and Exercise Plan and incorporate the target capabilities established at the Improvement Planning Workshop (IPW). The focus of the TEPW is to coordinate all training and exercise activities throughout the [jurisdiction or agency], including activities sponsored by Federal agencies, States, Urban Area Security Initiative (UASI), and tribal entities. The [jurisdiction or agency] should ensure that training and exercise schedules are coordinated to prevent duplication of efforts and overextension of resources. The attached agenda and read-ahead material will provide you an overview of the workshop.

To prepare for the TEPW, please review the following:

- Priority target capabilities and areas for improvement identified during the IPW
- Jurisdiction or Agency's Multi-Year Training and Exercise Plan
  - Identify and prepare to discuss exercises that can be nominated for the exercise calendar and training opportunities that align to the areas for improvement identified during the IPW.

We realize the importance in making preparedness planning decisions and therefore ask that requests for attendees other than yourself or an alternate representative be made through the [jurisdiction or agency].

We look forward to your participation in this workshop.

Attachments:

Registration Form
Agenda

## Sample TEPW Agenda

| | |
|---|---|
| 8:30 a.m. | Registration |
| 9:00 a.m. | Welcome and Introductions |
| 9:15 a.m. | Training and Exercise Planning Workshop (TEPW) Overview |
| 9:30 a.m. | Review of Improvement Planning Workshop (IPW) Priorities |
| 9:45 a.m. | Training and Exercise Plan Briefs |
| 11:00 a.m. | Break |
| 11:15 a.m. | Activity 1: Identify Training Opportunities |
| 12:45 p.m. | Lunch |
| 1:45 p.m. | Activity 2: Link Priority Target Capabilities to Fiscal Years |
| 2:15 p.m. | Break |
| 2:30 p.m. | Activity 3: Update Exercise Schedule |
| 4:00 p.m. | Activity 4: Identify Exercise Training Opportunities |
| 5:00 p.m. | Hot Wash |
| 5:15 p.m. | Adjourn |

## Sample Participant List

### *State and Local Representatives*

- Airport operations representative
- Board of animal health
- Citizen corps
- Emergency management
- Local or regional training and exercise coordinator(s)
- Medical/hospitals
- National Guard
- Ports authority
- Private sector (e.g., utilities, plants, and industry)
- Public health
- Public safety (e.g., law enforcement, fire, emergency medical services [EMS], medical examiner's office)
- Public works
- School district representative
- State Administrative Agency (SAA)
- State homeland security
- State-appointed exercise point of contact (POC)
- State-appointed training POC
- Transit authority
- Tribal liaison
- Urban Area Security Initiative (UASI) representative

### *Federal Partners*

- Centers for Disease Control and Prevention (CDC)
- Environmental Protection Agency (EPA)
- Federal Aviation Administration (FAA) regional representative
- Federal Bureau of Investigation (FBI)
- Federal Emergency Management Agency (FEMA) regional representative
- Protective Security Advisor – Infrastructure Protection
- Transportation Security Administration (TSA) Transportation Readiness Division
- U.S. Coast Guard (USCG)
- U.S. Department of Agriculture
- U.S. Department of Defense
- U.S. Department of Energy
- U.S. Department of Health and Human Services (HHS) regional emergency coordinator
- U.S. Department of Transportation (DOT)