



HOMELAND SECURITY EXERCISE AND EVALUATION PROGRAM

Volume I: Overview and Doctrine

U.S. Department of Homeland Security

U.S. Department of Homeland Security

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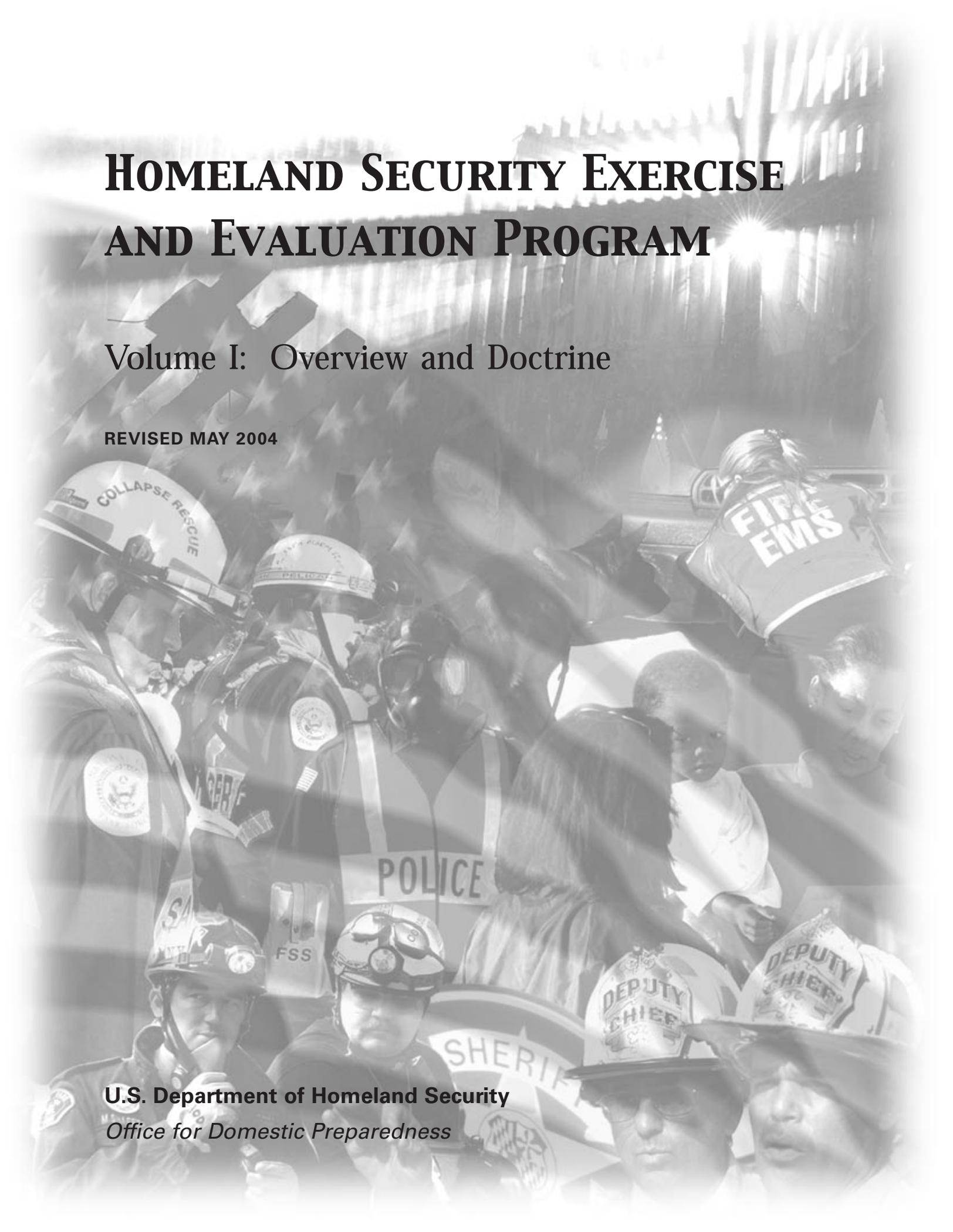
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U.S. Department of Homeland Security
Office for Domestic Preparedness



P R E F A C E

The National Strategy for Homeland Security and the Homeland Security Act of 2002 identify the “prevention of terrorist attacks within the United States” and “the reduction of vulnerability of the United States to terrorism” as national priorities, and call on first responders to “minimize the damage and assist in the recovery from terrorist attacks that do occur within the United States.” The Homeland Security Act also transferred the Office for Domestic Preparedness (ODP) from the U.S. Department of Justice (DOJ) to the U.S. Department of Homeland Security (DHS), and assigned ODP “the primary responsibility within the executive branch of government to build and sustain the preparedness of the United States to reduce vulnerabilities, prevent, respond to, and recover from acts of terrorism.”

Although effective approaches to planning, training, and exercises have been developed to mitigate the effects of natural and manmade disasters, homeland security professionals at all levels of government and in all types of communities must prepare to prevent and respond to new threats to public safety from terrorism involving the use of chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons or cyber or agricultural hostility.

DHS/ODP has designed its programs to address the delta between the “all hazards” emergency response requirements needed for natural disasters and the specialized requirements related to terrorism. Under the Homeland Security Grant Program (HSGP), U.S. States and territories and the District of Columbia have conducted risk and needs assessments and developed homeland security strategies. DHS/ODP provides grant funds and direct support to help address the equipment, training, and exercise needs identified in these strategies.

The Homeland Security Exercise and Evaluation Program (HSEEP) reference manuals deliver an exercise program that helps address identified planning, training, and equipment needs and provides homeland security professionals with the tools to plan, conduct, and evaluate exercises to improve overall preparedness.

This manual, *HSEEP Volume I: Overview and Doctrine*, provides a synopsis of DHS/ODP’s overall preparedness activities as well as its exercise program and the planning and evaluation process. This document is the first in a series of HSEEP resources that includes three additional volumes to help State and local jurisdictions establish exercise programs and design, develop, conduct, and evaluate exercises. The HSEEP resource documents include the following manuals, available at the DHS/ODP Web site (<http://www.ojp.usdoj.gov/odp/docs/hseep.htm>):

HSEEP Volume I: Overview and Doctrine provides requirements and guidance for the establishment and maintenance of a homeland security exercise program.

HSEEP Volume II: Exercise Evaluation and Improvement offers proven methodology for evaluating homeland security exercises and implementing an improvement program.

HSEEP Volume III: Exercise Program Management and Exercise Planning Process helps planners establish an exercise program and outlines a standardized design, development, conduct, and evaluation process adaptable to any type of exercise.

HSEEP Volume IV: Sample Exercise Documents and Formats provides sample exercise materials referenced in HSEEP Volumes I–III. These materials are available on a secure Web-based portal discussed in further detail in chapter 2 under “Resources to Implement HSEEP.”

Developing and implementing a comprehensive exercise program is a continually evolving process. This manual describes current requirements and assistance available from DHS/ODP. As homeland security strategies, policies, and plans change, future revisions will be issued to incorporate necessary updates.

TABLE OF CONTENTS

Introduction	1
Background	1
Purpose and Scope	2
For Official Use Only (FOUO)/Sensitive Information	2
Chapter 1: Homeland Security Program	3
DHS/ODP Program Management	3
Grants Management and Planning	3
State Homeland Security Strategy	4
Scheduling	4
Technical Assistance Program	5
Equipment Acquisition	5
Training Support	6
State-Level Training	6
Annual Training and Exercise Conference	7
Exercise Support	7
National Exercise Program	7
TOPOFF National Exercise Series	8
National Special Security Event Exercises	8
Senior Officials Exercises	9
Annual Evaluated Exercise and Exercise Credit	9
State and Local Exercises	9
Chapter 2: Homeland Security Exercise and Evaluation Program	11
Definition	11
Doctrine	11
State Homeland Security Exercise and Evaluation Program	12
State Strategies	12
Threat-Based Scenarios	13
Performance of Plans, Policies, and Procedures	13
Prevention Exercises	13
Response and Recovery Exercises	14
Interagency/Interjurisdictional Exercises	14
Private-Sector Coordination	14
Regional/International Exercises	15
Resources To Implement HSEEP	15
Grant Funds	15
Exercise Funding	15
Direct Exercise Support	16
Secure Web-Based Portal	16
Exercise Toolkit	16
Lessons Learned and Best Practices	16

Chapter 3: Exercise Types	19
Discussion-Based Exercises	19
Seminars	19
Workshops	19
Tabletop Exercises	20
Games	20
Operations-Based Exercises	21
Drills	21
Functional Exercises	21
Full-Scale Exercises	22
Chapter 4: Exercise Program Management and Planning Process	23
Exercise Program Management	23
Roles and Responsibilities	23
U.S. Department of Homeland Security, Office for Domestic Preparedness	23
State Administrative Agencies	23
Local Jurisdictions	24
Exercise Plan Workshop	24
Cycle, Mix, and Range of Exercises	24
Exercise Data Reporting	25
Exercise Planning Process	25
Foundation	25
Exercise Planning Timelines	25
Exercise Planning Team	25
Exercise Planning Conferences	26
Design and Development	26
Objectives	26
Scenario	26
Documentation	27
Policies	27
Exercise Conduct	28
Setup	28
Presentations/Briefings	28
Facilitation/Control/Evaluation	28
Players	29
Actors/Simulators	29
Evaluation	29
Debrief/Hot Wash	29
After Action Analysis and Report	29
Improvement Planning	30
Improvement Plan	30
Improvement Tracking and Planning	30
Notes	31
Appendix A: Other Major DHS Exercise Programs	A-1
Appendix B: Acronyms	B-1

INTRODUCTION

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

—National Strategy for Homeland Security,
July 2002

The U.S. Department of Homeland Security (DHS), Office for Domestic Preparedness (ODP), is implementing the Homeland Security Exercise and Evaluation Program (HSEEP) to enhance and assess terrorism prevention, response, and recovery capabilities at the Federal, State, and local levels. HSEEP is a threat- and performance-based exercise program that provides doctrine and policy for planning, conducting, and evaluating exercises.

The above reference reflects current direction related to exercise programs and requirements derived from the National Strategy for Homeland Security, the Homeland Security Act of 2002, Homeland Security Presidential Directives, and other related documents. The National Strategy directs DHS to develop a National Training and Evaluation System and establish a National Exercise Program (NEP). HSEEP, as defined by the supporting doctrine in this document, is an essential element of this national program. Because HSEEP is a part of a larger program to enhance the capacity of State and local governments to prevent and respond to terrorist attacks, it is important to understand both the scope of the entire program and HSEEP's role.

DHS/ODP achieves its mission to develop and implement a national program to enhance the capacity of State and local governments to

prevent and respond to terrorism through a fully integrated program of assistance to State and local homeland security professionals. This program includes funds to purchase specialized equipment, develop robust training programs, obtain technical assistance, and plan and conduct exercises. In addition, DHS/ODP designs and implements national-level programs that support State and local preparedness efforts and facilitate coordination and cooperation among Federal, State, and local response agencies. DHS/ODP has established NEP, which includes the Top Officials (TOPOFF) National Exercise Series, Senior Officials Exercises (SOEs), and exercise support to National Special Security Events (NSSEs). Additional programs will be designed to implement DHS/ODP's broader mission and address the needs of DHS's expanded constituency groups.

Background

There have been several exercises of national and international prominence that demonstrate DHS/ODP's commitment to enhance local, State, and national preparedness. In addition to several State and regional efforts, those efforts include exercises to prepare for NSSEs such as the Winter Olympic Games (Salt Lake City, Utah, 2002) and Super Bowl XXXVII (San Diego, California, 2003). DHS/ODP is also responsible for the TOPOFF series of exercises, including TOPOFF 2000 with epicenters in Denver, Colorado, and Portsmouth, New Hampshire, and TOPOFF 2 with epicenters in Vancouver, British Columbia, Canada; Seattle, Washington; and Chicago, Illinois.

At the local level, DHS/ODP sponsored the Nunn-Lugar-Domenici Domestic Preparedness Program (NLD-DPP), which provided training, exercises, and equipment support to enhance the capacity of local homeland security professionals and agencies to respond to terrorist incidents involving weapons of mass destruction (WMD) from 1997 until its completion in 2003.

The U.S. Department of Defense (DoD) initiated NLD–DPP by identifying 120 of the Nation’s most populous cities for participation in the program, and in 2000, the President transferred program responsibility to DHS/ODP. Prior to the program’s transfer, DoD completed delivery of all program elements to 68 of the 120 cities and initiated activities in another 37 cities.

Under NLD–DPP, DHS/ODP supported the planning and conduct of three exercises for each of the 52 participating communities that had not received all program elements: a chemical weapons tabletop exercise (TTX), a biological weapons TTX, and a chemical weapons full-scale exercise (FSE). These exercises allowed participants to test their knowledge and training and increased the overall preparedness of homeland security professionals across local jurisdictions. All NLD–DPP exercise activities were completed by December 2003.

Purpose and Scope

HSEEP is being disseminated on behalf of DHS. In an attempt to standardize the language and concepts that have been adopted and used by various agencies and organizations in the exercise planning process, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP. HSEEP, however, does not take the place of existing exercise programs, particularly those that are regulated (e.g., Chemical Stockpile Emergency Preparedness Program [CSEPP], Radiological Emergency Preparedness [REP] Program, and U.S. Coast Guard National Preparedness for Response Exercise Program [PREP]).

Exercises that are supported by DHS/ODP grant funding¹ must be threat based and scenarios must be based on terrorism-related events.² Whereas the focus of DHS/ODP-sponsored exercises is on terrorism/WMD, the HSEEP series of reference volumes also can be adapted to a variety of scenarios and events (e.g., natural disasters, terrorism, technological calamities). The intent of HSEEP is to provide a common process, consistent terminology, and a program that is practical and flexible enough for all

exercise planners, whatever their sponsoring agency or organization may be.

Recognizing that HSEEP users’ range of experience with exercise design and development may vary widely, *Volume I: Overview and Doctrine* presents a standardized and straightforward process, adaptable to a wide range of exercise types, scenarios, and resources.

This document provides:

- ◆ An overview of DHS/ODP programs
- ◆ DHS/ODP exercise and evaluation doctrine
- ◆ A uniform approach to exercise design, development, conduct, and evaluation

It is organized as follows:

Chapter 1: Homeland Security Program

Chapter 2: Homeland Security Exercise and Evaluation Program

Chapter 3: Exercise Types

Chapter 4: Exercise Program Management and Planning Process

Appendix A: Other Major DHS Exercise Programs

Appendix B: Acronyms

For Official Use Only (FOUO)/Sensitive Information

The information contained in this HSEEP series of documents is not considered sensitive in nature. However, some materials (e.g., scenario examples), particularly those in Volume IV, may necessitate confidential restrictions. Exercise materials that are produced in accordance with HSEEP guidance and are deemed sensitive should be designated as “For Official Use Only” (FOUO). FOUO is not a classification but it does make clear to participants that the material is sensitive and should be handled with care. Examples of materials that may require FOUO designation include the After Action Report (AAR), Improvement Plan (IP), Master Scenario Event List (MSEL), and scenario information.

CHAPTER 1

Homeland Security Program

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

—National Strategy for Homeland Security,
July 2002

The Office for Domestic Preparedness (ODP) is the principal component of the U.S. Department of Homeland Security (DHS) responsible for preparing the United States for acts of terrorism. In carrying out its mission, DHS/ODP is the primary office that provides training, funds for the purchase of equipment, support for the planning and execution of exercises, technical assistance, and other support to all U.S. States and territories and the District of Columbia (hereafter referred to as “the States”³), tribal governments, and local jurisdictions to prevent, plan for, and respond to acts of terrorism.

DHS/ODP Program Management

DHS/ODP programs are designed to equip, train, and exercise homeland security professionals who may be called on to prevent or respond to disaster situations. These programs, which are described in this chapter, consist of a State formula grant program, direct assistance to local jurisdictions, and activities of regional and national scope. DHS/ODP staff members are dedicated to the development and delivery of the four main components of assistance available to State and local governments: 1) grants management and planning, 2) equipment acquisition, 3) training support, and 4) exercise support.

The DHS/ODP program management function encompasses monetary assistance as well as support of statewide risk and needs assessments; strategy development; management of DHS/ODP resources in planning, equipment, training, and exercises; and Federal agency coordination. Each State’s preparedness program management is the responsibility of a State Administrative Agency (SAA) designated by the Governor.

A DHS/ODP Preparedness Officer has been assigned to each State to serve as the primary contact for ODP assistance. The Preparedness Officer’s role is to:

- ◆ Conduct a formal strategy review and assist each State in preparing and identifying the resources to implement a State Homeland Security Strategy
- ◆ Review grant applications, prepare award documents, and administer grant programs
- ◆ Assist States and designated urban areas with strategy implementation, including working with other Federal agencies to coordinate assistance (e.g., Homeland Defense Equipment Reuse [HDER] Program, which provides surplus U.S. Department of Energy (DOE) radiological detection equipment and support to State and local homeland security agencies)
- ◆ Coordinate DHS/ODP resources for equipment funding, training courses, and exercise programs

Grants Management and Planning

DHS/ODP provides State formula grant funds to assist with implementation of State Homeland Security Strategies. Eighty percent of funds must be obligated to local units of government, and all funds must be allocated in support of State

and/or Urban Areas Security Initiative (UASI) homeland strategic goals and objectives. Additionally, funds for specific urban areas provided through the UASI are coordinated by the SAA.

All funds provided to the State are awarded to an SAA. The SAA is appointed by the Governor to apply and administer the various DHS/ODP grant funds. The SAA in turn subawards to State agencies and local governments for implementation. States use State Homeland Security Strategies to more effectively fill the gaps between needs and existing capabilities, and to determine how they will allocate their funding. The funds may be used for planning, purchasing equipment, supporting terrorism exercises, training, and/or management and administration.

Specific funding has been allocated for use in high-threat, high-density urban areas. The UASI program was developed to address the unique needs of urban areas; it will significantly enhance the ability of urban areas to prevent, deter, respond to, and recover from threats and incidents of terrorism. These cities were determined by a formula using a combination of current threat estimates, critical assets within an urban area, and population density. Urban areas selected for funding must approach the development and implementation of the UASI program regionally by involving core cities, core counties, contiguous jurisdictions, mutual aid partners, and State agencies in an Urban Area Working Group (UAWG). Funding is guided by UASI homeland security strategies drafted by the UAWGs.

DHS/ODP provides funding to a variety of grant programs, some of which are tailored to specific initiatives as indicated above. For more information on grant programs administered by DHS/ODP, go to <http://www.ojp.usdoj.gov/fundopps.htm>.

State Homeland Security Strategy

To implement a program that addresses State and local needs, States are required to conduct vulnerability, risk, and needs assessments and to develop a State Homeland Security Strategy. The assessments are conducted at the State and

local levels using an Assessment and Strategy Development Toolkit developed by DHS/ODP in cooperation with the Federal Bureau of Investigation (FBI) and the Centers for Disease Control and Prevention (CDC), and are used to guide the development of State Homeland Security Strategies by the State and local agencies responsible for responding to a terrorism incident. The assessment is prepared by the State's planning team; it outlines the State's goals for enhancing prevention, response, and recovery capabilities, and lists specific objectives and implementation steps for the use of planning, training, equipment, and exercise resources in attaining these objectives. The enhanced assessment tool includes an agricultural vulnerability assessment process developed in conjunction with the U.S. Department of Agriculture (USDA).

Many States have adopted a regional approach to the distribution and sharing of resources. Numerous mutual aid agreements and emergency management assistance compacts have been executed, and coordination and cooperation have been enhanced among homeland security professionals at different levels of government and across disciplines. Strategy analysis has also provided DHS/ODP with a comprehensive picture of planning, equipment, training, exercise, and technical assistance needs across the Nation.

Scheduling

The DHS/ODP Centralized Scheduling and Information Desk (CSID) is a comprehensive coordination, management, information, and scheduling tool developed by DHS/ODP for homeland security preparedness activities. CSID is a "one-stop shop" for information on homeland security preparedness events for the Federal, State, and local communities. In addition, CSID schedules DHS/ODP training for the emergency responder community and maintains interagency exercise schedules. CSID helps Federal agencies coordinate, consolidate, and monitor Federal homeland security terrorism preparedness events in the United States.

CSID provides custom reports on a multitude of homeland security events to identified Federal,

State, local, and private partners. CSID also creates informational reports (including comprehensive city and State reports) on the status of homeland security terrorism preparedness training, exercises, and grants. These reports are used for auditing and archiving purposes as well as for congressional hearings.

CSID comprises three components: a master calendar, a database, and an onsite call desk/help line. These components facilitate information sharing and allow CSID to respond to inquiries in a timely manner. The CSID toll-free number is (800) 368-6498. The onsite call desk is staffed weekdays from 8 a.m. to 7 p.m., eastern time. On weekends, holidays, and after business hours, callers can leave a voice mail message. CSID support is also accessible via e-mail to askcsd@ojp.usdoj.gov.

Technical Assistance Program

The DHS/ODP Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to State and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of weapons of mass destruction (WMD) terrorism. Specifically, TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.

TA programs in place or currently under development within DHS/ODP include:

- ◆ **Homeland Security Assessment and Strategy Technical Assistance:** This program helps States and local jurisdictions with the assessment process, the ability to conduct assessments, and the development of a comprehensive homeland security strategy.
- ◆ **Domestic Preparedness Equipment Technical Assistance Program (DPETAP):** DPETAP provides equipment-specific training on WMD detection, decontamination, and personal protective equipment (PPE).
- ◆ **Terrorism Early Warning Group Replication:** This project replicates

programs that enhance capabilities for analyzing the strategic and operational information needed to respond to terrorism and protect critical infrastructure.

- ◆ **Interoperable Communication Technical Assistance Program (ICTAP):** ICTAP enhances the interoperability of public safety communications with regard to WMD terrorism threats.
- ◆ **Port and Mass Transit Planning Technical Assistance:** This program assesses the needs of port/mass transit agencies in preparing for and countering post-9/11 terrorist threats.
- ◆ **Rapid Assistance Team (RAT) Technical Assistance:** This project deploys teams on short notice to support targeted projects such as identifying equipment needs or equipment procurement plans.
- ◆ **General Technical Assistance:** This program provides specialized assistance to enhance State and local strategies to prevent, respond to, and recover from WMD terrorism.
- ◆ **Prevention Technical Assistance:** This new initiative facilitates terrorism prevention efforts such as collaboration, information sharing, risk management, threat recognition, and intervention.
- ◆ **Plans and Planning Synchronization Technical Assistance:** This program offers planning support for multijurisdictional terrorism response using innovative software tools.

Equipment Acquisition

DHS/ODP provides assistance to State and local agencies with specialized response equipment programs. Applicant assistance services include the following:

- ◆ **DPETAP:** DPETAP is a comprehensive national technical assistance program operated in partnership with the U.S. Army's Pine Bluff Arsenal. DPETAP

personnel provide training on the use and maintenance of specialized equipment that can be procured through the Homeland Security Grant Program (HSGP). This training is provided onsite at no cost through the use of mobile training teams.

- ◆ **Prepositioned Equipment Program (PEP):** PEP consists of standardized equipment pods that are prepositioned in selected geographic areas to allow rapid deployment to States and localities that are coping with a major chemical, biological, radiological, nuclear, or explosive (CBRNE) event. Eleven operational PEP sites will be phased in by the end of fiscal year (FY) 2004.
- ◆ **HDER:** HDER gives responder agencies across the Nation access to a substantial inventory of radiological detection instrumentation and other equipment that is no longer needed by the Federal Government. This equipment is rehabilitated and provided at no cost to the recipient.
- ◆ **RAT:** RAT provides telephone and onsite assistance to SAAs to identify statewide and/or local equipment needs, develop State and/or local equipment procurement plans, prepare grant application documents (e.g., program narratives, budgets), and offer other related support.
- ◆ **Equipment Purchase Assistance Program:** This program provides HSGP recipients with access to Federal purchasing programs through agreements with the Defense Logistics Agency and the Marine Corps Systems Command. Advantages include streamlined procurement as well as guaranteed product warranties and delivery timelines.
- ◆ **Grant Assistance Program (GAP):** GAP provides jurisdictions with training and technical assistance to expedite grant expenditures and ensure compliance with DHS/ODP grant programs.
- ◆ **ICTAP:** ICTAP brings Space and Naval Warfare Systems Center–San Diego (SSC

San Diego) expertise and experience to State and local jurisdictions throughout the country to address interoperable communications needs regarding terrorism prevention, response, and recovery by helping State and local agencies develop engineering solutions to achieve communications interoperability.

For the most current information on equipment authorized to be purchased with DHS/ODP grant funds, please consult the HSGP application available at <http://www.ojp.usdoj.gov/fundops.htm>.

Training Support

State-Level Training

DHS/ODP offers more than 40 specialized courses ranging from basic awareness-level and operations training to advanced, hands-on technical and command courses. Courses are delivered to first responders nationwide, both onsite via mobile training teams and at state-of-the-art training facilities. All DHS/ODP-sponsored training delivered under the State Homeland Security Strategy is scheduled through the SAA's training point of contact (POC).

In addition to accessing specialized and advanced training from DHS/ODP-sponsored training centers and providers, States may use grant funds to support CBRNE training activities within existing training academies, universities, or junior colleges, or attendance at approved CBRNE classes. The goal of affording States the opportunity to deliver training locally is to enhance the capabilities of State and local homeland security professionals through the development of State homeland security training programs that institutionalize awareness-level training within the State.

Training Preparedness Officers are available to assist States in understanding and prioritizing their training resources. The role of a Training Preparedness Officer is to:

- ◆ Develop new training courses and conduct periodic reviews and enhancement

of existing courses, with input by subject matter experts and practitioners

- ◆ Incorporate lessons learned and best practices from analysis of exercise findings into existing training and/or develop new courses to address gaps in training, and develop and maintain a compendium of homeland security lessons learned
- ◆ Review State Homeland Security Strategies and, based on identified needs, allocate training resources to the States through the SAAs
- ◆ Respond to requests for technical assistance from State and local agencies for help with conducting assessments and developing strategies, using and maintaining equipment, and other site-specific needs.

For information on the full range of DHS/ODP-sponsored training or to obtain a copy of the *ODP Weapons of Mass Destruction Training Programs* course catalog, contact CSID at (800) 368-6498 or visit the DHS/ODP Web site at <http://www.ojp.usdoj.gov/odp>.

Annual Training and Exercise Conference

DHS/ODP will host an annual conference for State training and exercise POCs, DHS/ODP regional training and exercise staff, and DHS/ODP national training and exercise staff. Conferences will include Federal partner agencies that either have direct or indirect involvement in DHS/ODP training or exercises, or that maintain training or exercise programs of their own.

The typical agenda for the multiday event will address State and local concerns, issues, and accomplishments, and provide overviews and updates of DHS/ODP programs. The environment will foster the sharing and showcasing of best practices in training, exercises, evaluations, and Improvement Plans (IPs). Special events, regional and breakout sessions, and guest speakers will round out the conference agenda.

Costs associated with conference attendance are allowable expenses under HSGP.

Exercise Support

DHS/ODP-funded exercises are supported by two programs, the National Exercise Program (NEP) and the Homeland Security Exercise and Evaluation Program (HSEEP). NEP trains national leaders and departmental and agency staff, and facilitates collaboration among partners at all levels of government for assigned homeland security missions. HSEEP provides the overall doctrine and policy according to which all DHS/ODP-funded exercises will be designed, developed, conducted, and evaluated.

National Exercise Program

The National Strategy for Homeland Security directed DHS to establish NEP. The Secretary of Homeland Security tasked DHS/ODP with developing this program and ensuring that it serves the broadest community of learning. NEP is complementary to HSEEP and all NEP exercises will be conducted in accordance with HSEEP doctrine. NEP will serve as the Department's primary vehicle for training national leaders and Department and agency staff members, and for promoting collaboration among partners at all levels of government for assigned homeland security missions. National-level exercises provide the means to conduct full-scale, full-system tests of collective preparedness, improve interoperability, build strong teams across all levels of government and the private sector, and develop and strengthen international partnerships. The program also incorporates experiments, test beds, and concept development initiatives to identify the implications of changes to homeland security strategies, plans, technologies, policies, and procedures.

Exercises designated as national will be managed at the national level to effectively and efficiently use the limited resources and funding available for such efforts. These exercises generally involve national leaders and staffs, entities of two or more Federal agencies, and interaction with multiple regions and States. Such exercises may be congressionally mandated and may have particular political significance, or may be likely to receive national media attention. Efforts are

made to include international and/or private-sector participation. The cornerstone of national performance-based exercises will be the Top Officials (TOPOFF) National Exercise Series, a biennial program that includes a functional exercise (FE) in year one and a full-scale exercise (FSE) in year two, with continuity provided by a series of seminars.

The strategic goals of NEP are:

- ◆ To meet the requirements of the National Strategy for Homeland Security, applicable Presidential Directives, the Homeland Security Act of 2002, and various legislative requirements
- ◆ To provide periodic training and exercises for national leaders and their staffs, and the organizations and systems they lead
- ◆ To provide the processes and systems for collaboration among homeland security partners at all levels of government by training and exercising their leaders and department and agency components and staffs with assigned homeland security missions
- ◆ To achieve and sustain national preparedness by ensuring that proficiency can be measured against consensus performance standards, and performance-based assessments can be made across all levels of government, against a range of hazards and threats that pose the greatest risk to homeland security
- ◆ To ensure that programs at all levels of government are synchronized and to administer the programs within the established framework of the National Incident Management System (NIMS) when finalized

The establishment of NEP will include development of tools that will be useful to exercise planners at all levels of government. A Web-based system comprising a suite of applications and a centralized database will be developed to provide automated support for homeland security training and exercise programs. The system will provide the means to conduct collaborative

management and scheduling and will support reuse of exercise scenarios, documentation, tools, and other exercise investments; it will support activities throughout the cycle of design, planning, preparation, execution, evaluation, reporting, and improvement actions. DHS/ODP's goal is to have this system available for use during FY 2005.

DHS/ODP also develops and manages several national-level programs that focus on the Federal Government's coordination of Federal, State, and local resources to prevent and respond to terrorist attacks. Most of these programs involve designing and conducting exercises that are broad in scope and simulate a coordinated response by participants from a range of disciplines and multiple levels of government, including international participants.

TOPOFF National Exercise Series

TOPOFF is a congressionally mandated, national, biennial exercise series designed to assess the Nation's capability to prevent, respond to, and recover from acts of terrorism. It examines relationships among Federal, State, and local jurisdictions in response to a challenging series of integrated, geographically dispersed terrorist threats and acts. Participation in TOPOFF is by application and subsequent invitation. DHS/ODP manages the design, planning, conduct, and evaluation of the exercises. This exercise series is typically codirected by DHS/ODP and other Federal agencies or departments. TOPOFF 2000 was codirected by DHS/ODP and the Federal Emergency Management Agency (FEMA). TOPOFF 2, completed in May 2003, was codirected by DHS/ODP and the U.S. Department of State.

National Special Security Event Exercises

The Federal Government designates certain events as requiring special security because of their high visibility and potential attractiveness to threat elements. DHS/ODP provides support for designing, planning, conducting, and evaluating exercises in preparation for designated National Special Security Events (NSSEs) such as the 2002 Winter Olympic Games in Salt Lake

City. These exercises provide a forum to practice the coordination and response to specific challenges that could arise if a terrorist incident occurred during the event.

Senior Officials Exercises

A Senior Officials Exercise (SOE) is designed to validate policies or procedures, develop concepts or focus issues, or rehearse for specific events, at the policy level. (The policy level may include principals, deputies, senior department/agency management, or combinations thereof.) DHS/ODP will design and logically execute SOEs as deemed necessary by senior leaders at DHS, the Homeland Security Council (HSC), or other agencies.

The focus for content development of an SOE will be the agency whose mission is primarily affected by the events to be exercised. The exercise scenario will be synchronized with ongoing events and preparedness activities and will include sufficient, appropriate preparatory events to align staff efforts. The SOE evaluation process will be structured around input from external subject matter experts. The resultant After Action Reports(AARs)/IPs will outline issues discovered during the exercise and recommendations for resolution. The agency responsible for each recommendation will provide periodic status updates on issue progress to HSC, the Homeland Security Deputies Committee, and the DHS Secretary's Office for input and approval.

Annual Evaluated Exercise and Exercise Credit

The National Strategy for Homeland Security delineates a requirement for conducting annual exercises: "The Department [of Homeland Security] would [will] establish a national exercise program designed to educate and evaluate civilian response personnel at all levels of government. It would require individuals and government bodies to complete successfully at least one exercise every year. The Department would [will] use these exercises to measure performance and allocate future resources."

In accordance with this national strategy, NEP will require each State to perform an annual evaluated terrorism exercise, which may be conducted as either a local, regional, State, or multijurisdictional exercise. In the future, the program will identify the performance measures to be evaluated.

Once operational, NEP will provide stipulations for exercise credit for certain prevention, response, and recovery actions during real-world incidents that fulfill the criteria of the appropriate performance measures. This will also include results from non-terrorism exercises.

This requirement will be effective beginning in FY 2006 and further guidelines will be provided at that time. Until the requirement takes effect, it is recommended that States conduct at least one annual full-scale evaluated terrorism exercise.

State and Local Exercises

State and local agencies and responders are at the core of preparedness efforts. DHS/ODP is one of several Federal agencies that make preparedness resources available to States and local jurisdictions. These resources include assistance with conducting counterterrorism exercises, which may range in scope from single-agency efforts to multijurisdictional conglomerations to the inclusion of Federal partners.

Exercises funded by DHS/ODP (possibly through HSGP or UASI) must be conducted in accordance with the HSEEP doctrine described in chapter 2 of this manual. To ensure accordance with HSEEP, a DHS/ODP Exercise Manager is assigned to work with each State and its jurisdictions. As the HSGP grant application states, "State and local units of government should consider their DHS/ODP Exercise Manager as their point of contact for questions and concerns regarding implementation of HSEEP."

The role of the DHS/ODP Exercise Manager is to:

- ◆ Coordinate exercise activities for States and jurisdictions

- ◆ Review State Homeland Security Strategies and coordinate with DHS/ODP Preparedness Officers to allocate resources and identify needs based on each strategy
- ◆ Work in partnership with the State to conduct an Exercise Plan Workshop (EPW) designed to review and update the current Exercise Plan and schedule
- ◆ Assist each State with the development of a Multiyear Exercise Plan⁴ that defines exercise goals, establishes a cycle of exercises, and sets priorities for conducting exercises within the State
- ◆ Help each State implement a State Homeland Security Exercise and Evaluation Program (SHSEEP)
- ◆ Assist States and local jurisdictions with designing, developing, conducting, and evaluating exercises
- ◆ Aid States and local jurisdictions in obtaining exercise participation from Federal departments and agencies
- ◆ Coordinate and direct the delivery of direct exercise contractor support when requested and approved. Under the direction of DHS/ODP's Exercise Manager,

contractor teams will assist States and jurisdictions with the following tasks:

- Develop homeland security exercise programs
- Develop specific exercise objectives
- Prepare detailed exercise planning and execution timelines
- Coordinate and conduct exercise planning conferences
- Develop a full range of exercise documentation for each type of exercise
- Prepare an exercise control and evaluation methodology and assist in actual exercise control and evaluation
- Prepare postexercise reports and conduct critiques
- ◆ Design and conduct national, special event, and regional exercises and share lessons learned and best practices with Federal, State, and local agencies
- ◆ Ensure accordance with HSEEP doctrine and policy by attending planning conferences, reviewing exercise documentation, and observing exercises

CHAPTER 2

Homeland Security Exercise and Evaluation Program

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

—National Strategy for Homeland Security,
July 2002

Definition

The Homeland Security Exercise and Evaluation Program (HSEEP) consists of both doctrine and policy for designing, developing, conducting, and evaluating exercises. HSEEP is a threat- and performance-based exercise program that includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction. HSEEP is also a program of financial and direct support designed to assist State and local governments with the development and implementation of a State exercise and evaluation program to assess and enhance domestic preparedness.

Exercises are an instrument to train for and practice prevention, vulnerability reduction, response, and recovery capabilities in a risk-free environment. They also can be used to assess and improve performance. Exercises are also an excellent way to demonstrate community resolve to prepare for disastrous events. The U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP), has a goal of helping jurisdictions gain an objective assessment of their capacity to prevent or respond to,

and recover from, a disaster so that jurisdictions can make modifications or improvements prior to the occurrence of a real incident. Well-designed and executed exercises are the most effective means of:

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

Doctrine

All entities conducting exercises using DHS/ODP funds are subject to the following HSEEP requirements:

- ◆ States will conduct an annual Exercise Plan Workshop (EPW) to examine the progress and effectiveness of the current exercise strategy and program.
- ◆ A Multiyear Exercise Plan will be produced from the EPW and submitted to DHS/ODP. This Exercise Plan will include guidelines for the establishment of a State Homeland Security Exercise and Evaluation Program (SHSEEP) and a multi-year exercise schedule (to be updated annually).
- ◆ The Exercise Plan will employ a cycle of activity that includes exercises of increasing levels of complexity.
- ◆ The scenarios used in exercises will be terrorism related⁵ and threat based.

- ◆ All tabletop exercises (TTXs), drills, functional exercises (FEs), and full-scale exercises (FSEs) will be evaluated and performance based.
- ◆ An After Action Report (AAR) will be prepared and submitted to DHS/ODP following every TTX, drill, FE, and FSE.
- ◆ An IP will be developed, submitted to DHS/ODP, and implemented to address findings and recommendations identified in the AAR.
- ◆ Periodic exercise scheduling and improvement implementation data will be reported to DHS/ODP.

The remainder of this volume, as well as HSEEP Volumes II and III, contains further explanation of these requirements and also guidance and recommendations for designing, developing, conducting, and evaluating exercises. All jurisdictions that implement an exercise with grant funds and/or direct support from DHS/ODP should use the processes outlined in HSEEP to enhance and standardize their existing exercise programs.

State Homeland Security Exercise and Evaluation Program

The Multiyear Exercise Plan submitted to DHS/ODP includes guidelines for establishing a SHSEEP. The plan will address the State and local exercise requirements (consistent with the State Homeland Security Strategy) and should define exercise goals, establish a cycle of exercises, and set priorities for conducting exercises within the State.

Using this plan as a foundation, the State should build its own exercise and evaluation program by incorporating requirements and guidance consistent with the national HSEEP model. For a State program to be consistent with HSEEP, each State should ensure that the exercise program addresses the following elements:

- ◆ Obtains grants and funding (annually)
- ◆ Identifies roles and responsibilities (e.g., hire full- or part-time staff or consultants for exercise program development and management)
- ◆ Develops and maintains the State's Multiyear Exercise Plan and its schedule and timeline
- ◆ Develops the State's own means of monitoring exercises conducted throughout the State's jurisdictions and ensures compliance with HSEEP requirements
- ◆ Designates an agency or organization that will serve as a clearinghouse for all exercises occurring throughout the State
- ◆ Establishes a means of monitoring and compliance to ensure exercise program requirements are being met (e.g., submitting receipts, applying for grants, submitting documentation, scheduling planning conferences and exercise conduct)
- ◆ Conducts annual activities to review the program, ensures that the State's objectives are being met, revises or updates existing Multiyear Exercise Plans, and conducts EPWs
- ◆ Meets Federal reporting requirements
- ◆ Meets internal State reporting and briefing requirements

State Strategies

The State Homeland Security Strategy development process begins in the assessment phase when States and jurisdictions conduct vulnerability, risk, and needs assessments. Using the knowledge gained in this phase, the State proceeds to develop plans and procedures and analyze planning, equipment, training, and exercise requirements. The results of this analysis are used to form the State Homeland Security Strategy.

After the strategy is distributed and all agencies have familiarized themselves with it, local communities work with the State to conduct EPWs. An EPW translates strategic goals and priorities into specific objectives and exercise activities and develops a multiyear timeline for conducting realistic and threat-based scenario exercises. These exercises are evaluated to identify and validate State and community preparedness. AARs are written after each exercise to document results and are then used to develop a jurisdiction's IP, which uses lessons learned and best practices to revise and update the State Homeland Security Strategy. Lessons learned also may dictate immediate special attention to areas with deficiencies.

Threat-Based Scenarios

Attacks by international and domestic terrorists have demonstrated that no location is immune to attack. All exercises conducted with Homeland Security Grant Program (HSGP) or Urban Areas Security Initiative (UASI) grant funds must focus on terrorism threats. The exercise scenario should be appropriate to national threat conditions and the assessed threat for the jurisdictions involved in the exercise. This will enhance the exercise's training value and provide an opportunity to assess the jurisdiction's vulnerability in light of likely prevention or response actions. Exercise planners should review the jurisdiction's threat assessment (conducted as part of the State strategy development process) and develop an exercise scenario that is credible in terms of the means of attack, the target, and the likely opposing force. To assist State and local agencies, an interagency team of subject matter experts has developed a suite of common scenarios that provide the necessary conditions and stimuli to perform essential tasks and cover a range of threat probabilities. These scenarios will be validated by intelligence and law enforcement and will be periodically reviewed and updated. Once finalized, these scenarios will be provided to State and local agencies as a component of strategic planning

guidance that will help with operational planning, training, exercises, evaluations, and assessments.

Performance of Plans, Policies, and Procedures

Exercises conducted under HSEEP should be performance based and require demonstration, practical application, and evaluation of proficiency for the discrete, essential tasks that enable a homeland security mission or function to be successfully accomplished. Discussion-based exercises such as seminars, workshops, TTXs, and games provide a forum for reviewing the adequacy of plans, policies, functions, and interagency/interjurisdictional agreements, whereas operations-based exercises such as drills, FEs, and FSEs are designed to validate personnel and equipment performance in achieving critical tasks and homeland security missions.

The exercise evaluation methodology, defined in *HSEEP Volume II: Exercise Evaluation and Improvement*, is designed to analyze performance at three levels, depending on the complexity of the exercise. For discussion-based exercises, the evaluation focuses on the adequacy of and familiarity with the jurisdiction's plans, policies, procedures, resources, and interagency/interjurisdictional relationships. For operations-based exercises, evaluators observe and assess actual performance in preventing or responding to a simulated terrorist attack.

Prevention Exercises

The importance of prevention is made clear in the executive summary of the National Strategy for Homeland Security. The strategic objectives of homeland security in order of priority are to:

- ◆ Prevent terrorist attacks within the United States
- ◆ Reduce U.S. vulnerability to terrorism
- ◆ Minimize damage and facilitate recovery from attacks that may occur

State and local jurisdictions should try to incorporate as many preventive exercises into their programs as possible. These exercises can be either discussion or operations based and may focus on issues pertaining to:

- ◆ Information and intelligence sharing
- ◆ Credible threats
- ◆ Surveillance
- ◆ Opposing/adversary force or “red team” activity (described below)

The National Strategy for Homeland Security identifies a requirement to employ red team techniques to practice detecting terrorist activity before it manifests itself in an attack, with a goal of allowing proper preemptive, preventive, and protective actions to be taken. The red team mission is to apply knowledge of terrorists’ motivations, organization, targeting, tactics, techniques, procedures, weapons, and equipment and assess Federal, State, and local governments’ ability to deter, detect, and defend against and defeat terrorist attacks.

DHS/ODP employs strategic and tactical red team techniques in the National Exercise Program (NEP) and has targeted resources available to provide such an enhancement to specific State and local exercises conducted in accordance with HSEEP. States will be able to request an opportunity to employ a red team and/or universal adversary force in their State and local exercises. Such requests will be considered and granted based both on the availability of resources and scheduling and on the State’s level of demonstrated exercise competency.

Response and Recovery Exercises

Although the prevention and deterrence of attacks are paramount, it remains probable that incidents will occur. Therefore, exercises should also include the response and recovery aspects of an event in addition to prevention. Response and recovery issues in an exercise may include notification, communication, command and

control, remediation, return to normalcy, and continuity of government and business.

Interagency/Interjurisdictional Exercises

Because the prevention of and/or response to a crisis situation will require resources and expertise from various agencies and disciplines throughout the Federal, State, and local government structures, an exercise should assess the capacity of multiple organizations and the effectiveness of interagency cooperation and interoperable communication. The organizations involved in an exercise may be public or private, from any level of government, and from disciplines ranging from public health to fire, as long as they reflect the type of exercise and scenario. Jurisdictions that would rely heavily on mutual aid assistance for response should include participants from the agencies with which they have agreements and compacts. It is also beneficial to conduct regional exercises that include participants from multiple agencies and jurisdictions, because such a scenario would likely reflect actual response to an event.

Private-Sector Coordination

Exercise scenarios mimic actual response to the greatest extent possible; therefore, local and State government agencies are encouraged to incorporate the private sector. The range of terrorist targets is not limited to civilian populations or government facilities. The private sector can be a target of terrorism because it is often viewed as a symbol of American economic, social, and military power or as an extension of the U.S. Government. The private sector includes commercial, business, and industrial facilities, tourist attractions, and special events. It also includes the personnel, source material (if a production entity), and support systems (for example, transportation capabilities) of such entities.

Private-sector preparedness and response activities often mirror those of the surrounding communities. Recognizing this need, DHS/ODP

supports States' efforts to incorporate major community businesses and facilities into their SHSEEPs. For example, in one realistic scenario, a California community held its chemical FSE at a major industrial plant and used plant employees as victim actors. Another example of private-sector involvement is the DHS/ODP initiative to exercise the evacuation plans of Major League Baseball stadiums.

Private response capabilities, such as fire brigades, security forces, and medical staff, can augment local response capabilities and remove a significant burden from limited local resources during critical situations. In a real incident, these resources and activities should be available for mutual aid, and they should be exercised as such. Other examples of exercise contributions available from private industry include railroad lines, factory and other facilities, personal protective equipment (PPE), hazardous materials (HazMat) control and other content expertise, and personnel to serve as controllers, evaluators, or logistical support. Furthermore, in a real incident, private industry would be included in the Incident Command System (ICS) structure in the form of public works, hospitals, and other response entities.

Regional/International Exercises

Participation in regional and international exercises is a crucial aspect of emergency preparedness for many communities across the country. From Seattle and Vancouver to San Diego and Tijuana, communities need to plan with their neighbors for emergencies that cross State or national borders. Terrorist incidents do not stop at political borders, and neither should preparedness activities. Interstate and international resources should be incorporated into plans and used as appropriate. In some locales, such as in the Pacific Islands, international assistance is the closest available mutual aid. Communities should familiarize themselves with the resources available from potential regional and international partners and share their response concepts and standard/emergency operating procedures (SOPs/EOPs) with these groups.

DHS/ODP supports regional planning and exercise efforts and has conducted exercises with numerous international partners. The Urban Areas Security Initiative (UASI) grant program requires the formation of an Urban Area Working Group (UAWG) to collaborate on assessment and planning for urban areas and their surrounding communities and stakeholders; thus, many related exercises will be conducted on the regional level. During the Top Officials (TOPOFF 2) National Exercise Series, Canadian agencies participated as if real-world incidents had occurred in Seattle or Chicago. Plans to involve international partners in future national exercises and bordering State-sponsored exercises are currently in review.

Resources To Implement HSEEP

DHS/ODP provides a range of assistance under HSEEP to aid State and local jurisdictions with implementation of effective exercises. Types of assistance are described below.

Grant Funds

States receive an annual allocation of grant funds from DHS/ODP and may use a portion of the funds to enhance the prevention and response capabilities of States and local jurisdictions through terrorism exercises. These grant funds, which must be used in accordance with the State Homeland Security Strategy, are described in more detail in chapter 1. For information on all DHS/ODP-sponsored funding, please visit <http://www.ojp.usdoj.gov/fundopps.htm>.

Exercise Funding

As part of their formula grant awards, States and urban areas receive exercise funding from DHS/ODP. These funds may be used for the following purposes:

- ◆ Expenses related to convening a statewide EPW
- ◆ Hiring of full- or part-time staff or contractors/consultants to support exercise activities

- ◆ Overtime for first responder/exercise management personnel involved in planning and conducting exercises
- ◆ Travel associated with planning and conducting exercises
- ◆ Supplies consumed during the course of planning and conducting exercises
- ◆ Costs related to HSEEP implementation, including reporting of scheduled exercises and tracking and reporting of AARs and IPs from exercises
- ◆ Other costs related to planning and conducting exercise activities

Direct Exercise Support

DHS/ODP has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to States and local jurisdictions in accordance with State Homeland Security Strategies and HSEEP. Contract support is available to help States develop a Multiyear Exercise Plan and build or enhance the capacity of States and local jurisdictions to design, develop, conduct, and evaluate effective exercises. If a State decides to hire a private contractor, the State must ensure the contractor will follow HSEEP requirements and guidance.

Secure Web-Based Portal

All HSEEP reference manuals and materials are available through DHS/ODP's secure Web-based portal, which provides an environment in which sensitive documents and materials can be posted and continually updated or enhanced. The exercise portion of the portal contains a library of sample exercise materials (e.g., HSEEP Volume IV) as well as the text of HSEEP Volumes I, II, and III. The portal also includes an exercise scheduler and reporting system that allows States and local jurisdictions to schedule exercises, submit AAR/IPs, and report exercise data.

Access to the portal will be granted through the State Administrative Agency (SAA) or its designated exercise or training coordinators. A jurisdiction that would like access to the portal

should contact its respective State agency, which will send out invitations through e-mail. Once invited, the user will need to register on the following Web site: <https://odp.esportals.com>.

Further information on the secure portal and HSEEP Volume IV can be found in appendix A of HSEEP Volume III.

Exercise Toolkit

DHS/ODP is developing an Exercise Planning Toolkit that will provide exercise planners with an interactive computer-based tool to help design, develop, and execute viable and effective exercises. The toolkit will help standardize the methods used to plan and conduct exercises and evaluate results.

Lessons Learned and Best Practices

Exercises and the resultant AARs/IPs not only provide lessons for exercise participants, they also offer a valuable source of information that can be analyzed at the national level to identify lessons learned and best practices that can be shared to enhance preparedness across the country. Lessons learned should encompass knowledge and experience (positive and negative) derived from observations and historical study of actual operations, training, and exercises. Best practices should encompass peer-validated techniques, procedures, and solutions that work and are solidly grounded in actual experience in operations, training, and exercises. Exercise AARs should identify lessons and highlight exemplary practices, and should be submitted to DHS/ODP for inclusion in the lessons learned/best practices Web portal (www.llis.gov), which will serve as a national network for generating, validating, and disseminating lessons learned and best practices.

With support and oversight from DHS/ODP, the National Memorial Institute for the Prevention of Terrorism (MIPT) in Oklahoma City has developed this secure Web-based network of peer-validated best practices and lessons learned. This network, known as Lessons Learned

Information Sharing (LLIS), is designed to help emergency responders, homeland security officials, and healthcare professionals learn from each other and share information. LLIS offers access to a wide variety of original best practices and lessons learned, developed in consultation with frontline emergency responders and

validated by emergency response and homeland security professionals. In addition to providing original best practices and lessons learned, the system also serves as a clearinghouse for domestic preparedness documents, exercises, events, and news.

CHAPTER 3

Exercise Types

This chapter describes the types of exercises sponsored and approved by the U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP). The type of exercise that best meets a jurisdiction's requirements is identified through analysis of the stated exercise purpose, proposed objectives, experience, operations, historical precedence, and recommended levels of participation.

A specified planning process from concept development through conduct and evaluation has been defined for each type of exercise. *HSEEP Volume III: Exercise Program Management and Exercise Planning Process* describes the key meetings and exercise documents generated during the exercise planning cycle. Materials described in the HSEEP series are provided in *Volume IV: Sample Exercise Documents and Formats*.

Discussion-Based Exercises

Discussion-based exercises are normally used as a starting point 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, 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, and operations-based exercises tend to 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 employed to orient participants to, or provide an overview of,

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

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

Workshops

Workshops represent the second tier of exercises in the 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:

- ◆ Collecting or sharing information
- ◆ Obtaining new or different perspectives
- ◆ Testing new ideas, processes, or procedures
- ◆ Training groups in coordinated activities
- ◆ Problemsolving of complex issues
- ◆ Obtaining consensus
- ◆ Team building

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

- ◆ Determining program or exercise objectives

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

A workshop may be used to produce new standard/emergency operating procedures (SOPs/EOPs), mutual aid agreements, Multiyear Exercise Plans, 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 relevant topics and goals are numerous, but all workshops share the following common attributes:

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

Tabletop Exercises

TTXs involve senior staff, 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 event. TTXs typically are aimed at facilitating understanding of concepts, identifying of strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problemsolving 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 a cost-effective tool 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 the leader/moderator, problems are discussed as a group, and resolution is generally agreed on and summarized by the leader. In an advanced TTX, play revolves around delivery of prescribed messages to players that alter the original scenario. The exercise controller (moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include:

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

Games

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

Players are commonly presented with scenarios and asked to perform a task associated with the scenario episode. As each episode moves to the next level of detail or complexity, it takes into account players' earlier decisions; thus, the decisions made by participants determine the flow of the game. The goal is to explore decision-making processes and the consequences of those decisions. In a game, the same situation can be examined from various perspectives by changing the variables and parameters that guide player actions. Large-scale games can be multijurisdictional and include active participation from Federal, State, and local governments. Games stress the importance of planners' and players' understanding and comprehension of interrelated processes.

With the evolving complexity and sophistication of current simulations, opportunities to provide enhanced realism for game participants have increased. Computer-generated scenarios and simulations can provide a more realistic and time-sensitive method of introducing situations for analysis. Planner decisions can be input and models run to show the effect of decisions made during a game. Distributed games (available via the Internet) offer many additional benefits, such as saving participants' time and travel expenses, offering more frequent training opportunities, and taking less time away from primary functions. They also provide a collaborative environment that reflects realistic occurrences. Games are excellent vehicles for the following:

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

DHS/ODP conducts ongoing analysis of commercial- and government-sector models, games, and simulations to identify those of value for exercise use. Although models, games, and simulations are not a substitute for full-scale exercises (FSEs), they are an increasingly more sophisticated and useful component of exercise programs. DHS/ODP has issued a list of government and commercially developed models, games, and simulations that have been evaluated

against its training and exercise requirements for the enhancement of homeland security preparedness. These reports can be found at <http://www.ojp.usdoj.gov/odp/exercises.htm>. Please consult these reports before deciding which games, models or simulations to employ in the State's exercise program.

Operations-Based Exercises

Operations-based exercises represent the next iteration of the exercise cycle; they are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and 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 employed 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:

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

Functional Exercises

The 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 are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of Incident

Command (IC) and Unified Command (UC). Generally, events 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 the 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:

- ◆ Evaluating functions
- ◆ Evaluating Emergency Operations Centers (EOCs), headquarters, and staff
- ◆ Reinforcing established policies and procedures
- ◆ Measuring resource adequacy
- ◆ Examining interjurisdictional relationships

Full-Scale Exercises

The FSE is the most complex step in the exercise cycle. FSEs are multiagency, multijurisdictional exercises that test many facets of emergency response and recovery. They include many first responders operating under the Incident Command System (ICS) or Unified Command System (UCS) 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 event. 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). The FSE simulates the reality of operations in multiple functional areas by presenting

complex and realistic problems requiring critical thinking, rapid problemsolving, and effective responses by trained personnel in a highly stressful environment. Other entities that are not involved in the exercise, but who would be involved in an actual event, should be instructed not to respond.

An FSE provides an opportunity to execute plans, procedures, and cooperative (mutual aid) agreements in response to a simulated live event in a highly stressful environment. Typical FSE attributes include:

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

The level of support needed to conduct an FSE is greater than needed during other types of exercises. The exercise site is usually extensive with complex site logistics. Food and water must be supplied to participants and volunteers. Safety issues, including those surrounding the use of props and special effects, must be monitored.

FSE controllers ensure that participants' behavior remains within predefined boundaries. Simulation Cell (SIMCELL) controllers continuously inject scenario elements to simulate real events. Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable). Safety controllers ensure all activity is executed within a safe environment.

CHAPTER 4

Exercise Program Management and Planning Process

This chapter provides a brief overview of exercise program management and the process of designing, developing, conducting, and evaluating exercises. Detailed guidance and further descriptions of many of the exercise concepts and materials addressed in this section are contained in *HSEEP Volume II: Exercise Evaluation and Improvement* and *HSEEP Volume III: Exercise Program Management and Exercise Planning Process*. Examples of many of these materials are contained in *HSEEP Volume IV: Sample Exercise Documents and Formats*.

Exercise Program Management

Program management functions in a cyclical way, much as exercise planning does, in that it starts with a plan, a budget, or a funding request; moves on to exercise execution; and finally completes a full cycle with improvement planning. Program management involves several elements including project management, budgeting, grant management, staff hiring, funding allocation, exercise planning, exercise conduct, reporting, improvement tracking, and expenditure tracking.

Roles and Responsibilities

State and local governments have direct responsibility for the training and exercising of their homeland security professionals. The U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP) and other Federal agencies administer national-level programs that support training and exercise activities for agencies at all levels of government and their private-sector and international partners. Responsibilities for these tasks are complementary and require that all relevant parties collaborate to successfully administer exercises. The following section defines the roles and responsibilities of, and the relationships between,

DHS/ODP and the State Administrative Agencies (SAAs) and local governments in implementing the Homeland Security Exercise and Evaluation Program (HSEEP).

U.S. Department of Homeland Security, Office for Domestic Preparedness

DHS/ODP is responsible for helping State and local governments enhance their capacity to prevent and respond to terrorist attacks. DHS/ODP's major roles and responsibilities, including program management, grant management, equipment, training, and exercises, are outlined in chapter 1.

State Administrative Agencies

HSEEP incorporates input developed at the State level, primarily through the development of State Homeland Security Strategies. The SAA holding the primary responsibility within each State should appoint a staff member to serve as an exercise coordinator. This person will oversee the implementation and management of the State's exercise program and the exercise design and development process. Other SAA responsibilities are to:

- ◆ Conduct risk, vulnerability, and needs assessments of each selected jurisdiction using the DHS/ODP Assessment and Strategy Development Toolkit
- ◆ Prepare the exercise needs portion of the State Homeland Security Strategy
- ◆ Conduct an annual Exercise Plan Workshop (EPW), as described below
- ◆ Submit a schedule of exercises to DHS/ODP and provide regular updates on changes to the plan/schedule
- ◆ Identify and prioritize jurisdictions within the State for participation in the program and receipt of resources

- ◆ Administer planning, equipment, training, and exercise grants
- ◆ Develop and implement a Multiyear Exercise Plan
- ◆ Develop and implement a State Homeland Security Exercise and Evaluation Program (SHSEEP)
- ◆ Support the design, conduct, and evaluation of State and local exercises in accordance with the principles and guidance defined in the HSEEP manuals
- ◆ Ensure that After Action Reports (AARs) and Improvement Plans (IPs) are prepared and submitted to DHS/ODP
- ◆ Establish a mechanism for tracking IP implementation
- ◆ Incorporate lessons learned and prevention and response needs identified through exercises into the strategy planning and evaluation process

Local Jurisdictions

The responsibilities of local jurisdictions identified to receive exercise support are to:

- ◆ Coordinate preparedness activities with the SAA
- ◆ Ensure local plans and procedures are developed and updated
- ◆ Identify goals and objectives within the community that are aligned with the local risk, vulnerability, and needs assessments and the jurisdictional and State Homeland Security Strategies
- ◆ Design, develop, conduct, and evaluate exercises that conform to HSEEP
- ◆ Provide information and personnel to aid in designing, developing, conducting, and evaluating exercises
- ◆ Prepare an IP that addresses the recommendations in the exercise AAR

Exercise Plan Workshop

The purpose of an EPW is to provide State and local leadership with an opportunity to review and update the current Multiyear Exercise Plan and schedule. HSEEP requires that States receiving DHS/ODP grant funds conduct an annual EPW to review program accomplishments to date, necessary modifications to the plan, and the exercise schedule.

The EPW product, or the Exercise Plan, comprises four major sections:

- ◆ Current program status (e.g., State Homeland Security Strategy, current exercise activities)
- ◆ Program goals and objectives
- ◆ Program exercise methodology (e.g., exercise activity cycle, building block approach)
- ◆ Multiyear exercise timeline/schedule (2-year plans for designated urban areas, 3-year plans for States)

EPWs will be held annually, preferably in the early portion of the calendar year. Appropriate State and local officials participating in the exercise or planning program should attend, but the number of attendees should remain manageable.

The purpose of the EPW and the Exercise Plan is to coordinate all exercise activities occurring throughout the State, including activities sponsored by other Federal agencies. A coordinated and integrated HSEEP should eliminate the possibility of States and local jurisdictions conducting numerous exercises and putting forth duplicative efforts. DHS/ODP funds can be used to supplement other exercise programs.

Cycle, Mix, and Range of Exercises

The Multiyear Exercise Plan should define a cycle of exercise activity that employs increasing degrees of complexity. Linkage to the State Homeland Security Strategy and the relative risks, experience, and preparedness levels of the State and its various targeted jurisdictions will

enable planners to identify the appropriate exercise type and timeline for events. The schedule for personnel training and equipment acquisition should also be considered in determining exercise priorities. An effective exercise program uses a combination of exercise types to effectively accomplish exercise-specific objectives and program goals. Although each exercise type can be executed as a single activity, greater benefits can be achieved through a building block approach that exposes program participants to gradually increasing exercise complexity. For example, a series of exercises may begin with an executive-level seminar followed by a tabletop exercise (TTX) to address the strategic coordination of multiple agencies and levels of government. The TTX is followed by a period of refining plans based on discussions and the exercise AAR/IP. Various agencies would then perform a series of drills with specific functions to validate each new plan. A final full-scale exercise (FSE) incorporates all levels of government; activation of State, county, and/or local Emergency Operations Centers (EOCs); and participation from hospitals and victim actors.

Exercise Data Reporting

Reporting of data for local exercises designated to receive funding from the State begins at the annual EPW with submission of a final Multiyear Exercise Plan. At minimum, information should include jurisdiction name, exercise type, scenario, exercise date, and date of Initial Planning Conference (IPC). Exercise data will be reported to DHS/ODP by State and local jurisdictions for all exercises that use DHS/ODP funds. Every effort will be made to eliminate redundant data reporting by identifying reporting dates and requirements for each report.

Exercise Planning Process

The exercise planning process involves considerable coordination among participating agencies and officials. The planning process includes managing the project, convening a planning team, conducting planning conferences, identifying exercise design objectives,

developing the scenario and documentation, assigning logistical tasks, and identifying the evaluation methodology.

Foundation

To establish a foundation for designing, developing, conducting, and evaluating an exercise, project management is essential and involves the following tasks: developing a project management timeline and establishing milestones, identifying a planning team, and scheduling planning conferences.

Exercise Planning Timelines

Timelines for workshops and seminars will generally be shorter than for a TTX whereas the timelines for complex or multijurisdictional FSEs could be longer than those for drills.

Exercise Planning Team

The exercise planning team is responsible for designing, developing, conducting, and evaluating all aspects of an exercise. The planning team determines exercise design objectives, tailors the scenario to jurisdictional needs, and develops documents used in exercise evaluation, control, and simulation. Planning team members also help with developing and distributing pre-exercise materials and conducting exercise briefings and training sessions. Due to this high level of involvement, planning team members are ideal selections for controller and evaluator positions during the exercise itself.

The exercise planning team is managed by a Lead Exercise Planner (also referred to as the Exercise Director, Exercise Planning Team Leader, or point of contact [POC]). The team should be a manageable size and include a representative from each major participating jurisdiction and response agency. The membership of an exercise planning team should be modified to fit the type or scope of an exercise. For example, an operations-based exercise may require more logistical coordination than a discussion-based exercise.

A successful exercise planning team uses an Incident Command System (ICS) structure;

employs project management principles; clearly defines roles, responsibilities, and functional area skills; highlights leadership and team work; follows a standardized exercise design/development process; and calls on the support of senior officials.

Exercise Planning Conferences

This section describes the types of planning conferences that have been found to be the most useful in exercise design and development. The scope, type (operations or discussion based), and complexity of an exercise should determine the number of meetings necessary to successfully conduct an exercise. Planning conferences are listed in typical chronological order.

- ◆ **Concept and Objectives (C&O)**

Meeting: Used to identify the type, scope, objectives, and purpose of the exercise. Typically attended by the sponsoring agency, lead exercise planner, and senior officials.

- ◆ **IPC:** Lays the foundation for exercise development; used to gather input from the exercise planning team on the scope, design, objectives, and scenario variables (e.g., hazard selection, venue). The IPC obtains the planning team's input on exercise location, schedule, duration, and other details required to develop exercise documentation. Planning team members should be assigned responsibility for the tasks outlined in the meeting.

- ◆ **Mid-Term Planning Conference**

(MPC): Typically employed for operations-based exercises (e.g., drills, functional exercises (FEs), and FSEs), the MPC presents an additional opportunity in the planning timeline to settle logistical and organizational issues that arise during planning such as staffing concepts, scenario and timeline development, scheduling, logistics, administrative requirements, and reviewing draft documentation. A Master Scenario Events List (MSEL) Conference can be held in conjunction

with or separate from the MPC to review the scenario timeline for the exercise.

- ◆ **Final Planning Conference (FPC):** A forum to review the process and procedures for conducting the exercise, final drafts of all exercise materials, and all logistical requirements. There should be no major changes made to either the design or the scope of the exercise or to any supporting documentation.

Design and Development

Building on the exercise foundation, the design and development process should focus on identifying objectives, designing the scenario, creating documentation, coordinating logistics, planning exercise conduct, and selecting an evaluation and improvement methodology.

Objectives

Exercise objectives define specific goals, provide a framework for scenario development, guide individual organizational objective development, and provide exercise evaluation criteria. Generally, planners will limit the number of exercise objectives to enable timely execution, facilitate design of a reasonable scenario, and adequately support successful completion of exercise goals.

Scenario

A scenario provides the backdrop and storyline that drive an exercise. The first step in designing the scenario is determining the type of threat/hazard (e.g., chemical, biological, radiological, nuclear, explosive, cyber, or other). All exercises funded by DHS/ODP must employ a terrorism scenario. Thought should be given to creating a scenario that involves local incidents and local facilities and is based on exercise objectives derived from the jurisdiction's risk and vulnerability assessment. For example, if the risk and vulnerability assessment identified a critical infrastructure at a local facility (such as a refinery or chemical plant) as a vulnerable target, the scenario could describe a terrorist event at that facility. Each type of hazard presents its own strengths and weaknesses for evaluating

different aspects of prevention, response, and recovery, and is applicable to different exercise objectives.

The next step is to determine the venue (facility or site) that the scenario will affect. Venue selection should be based on the type of hazard used. For example, if a nonpersistent chemical agent (e.g., sarin) is selected, the venue should not be an open-air facility (e.g., stadium, park) because of the agent's dissipating characteristics.

Documentation

The list below briefly describes typical exercise products. Documentation materials such as meeting minutes, presentations, agendas, and media releases have been omitted because these documents typically are created while developing the primary products and are discussed in more detail in *HSEEP Volume II: Exercise Evaluation and Improvement* and *HSEEP Volume III: Exercise Program Management and Exercise Planning Process*.

- ◆ A **Situation Manual (SITMAN)** is a participant handbook for discussion-based exercises, particularly TTXs. It provides background information on the exercise scope, schedule, and objectives. It also presents the scenario narrative that will drive participant discussions during the exercise. The SITMAN should mirror the multimedia briefing, supporting the scenario narrative and allowing participants to read along while watching events unfold.
- ◆ The **Exercise Plan (EXPLAN)**, typically used for operations-based exercises, provides an exercise synopsis and is published and distributed prior to the start of the exercise. In addition to addressing exercise objectives and scope, the EXPLAN assigns tasks and responsibilities for successful exercise execution. The EXPLAN should not contain detailed scenario information, such as the hazard to be employed. This document is generally intended for exercise players and observers.
- ◆ The **Controller and Evaluator (C/E) Handbook** supplements the EXPLAN, containing more detailed information about the exercise scenario and describing exercise controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it should be distributed only to those individuals specifically designated as controllers or evaluators. Larger, more complex exercises may use **Control Staff Instructions (COSIN)** and an **Evaluation Plan (EVALPLAN)** in place of, or to supplement, the C/E Handbook.
- ◆ The **MSEL** is a chronological timeline of expected actions and scripted events to be injected into exercise play by controllers to generate or prompt player activity. It ensures necessary events happen so that all objectives are met. Larger, more complex exercises may also employ a **Procedural Flow (PROFLOW)**, which differs from the MSEL in that it only contains expected player actions or events.
- ◆ DHS/ODP has developed **Exercise Evaluation Guides (EEGs)** to help with exercise evaluation. These guides incorporate the critical tasks that should be completed in an exercise. The EEGs have been developed for use by experienced exercise evaluators, as well as by practitioners who are subject-matter experts but have little or no exercise evaluation experience. EEGs provide evaluators with information on what they should expect to see, space to record observations, and questions to address after the exercise as a first step in the analysis process.

Policies

Exercise policies are developed to provide guidance or parameters of acceptable practices for designing, developing, conducting, and evaluating exercises. They are designed to prevent, or at a minimum mitigate, the impact of an action that may cause bodily harm to participants,

destruction of property, or embarrassment to the State or local community or DHS/ODP. State and local jurisdictions should develop policies appropriate to the type of exercise that address safety, media, cancellation, and weather.

At a minimum, DHS/ODP requires establishing and using a weapons safety policy for rendering safe and marking/replacing weapons normally carried to an incident site by participants.

Exercise Conduct

After design and development tasks are complete, the exercise takes place. Exercise conduct details include setup, briefings, facilitation/control/evaluation, and wrapup activities.

Setup

The planning team should visit the exercise site on the day prior to the event to set up the site. On the day of the exercise, planning team members should arrive several hours before the scheduled start to handle any remaining logistical or administrative items pertaining to setup and to arrange for registration.

The room layout for a discussion-based exercise is of particular importance. The facility should be large enough to accommodate all participants, observers, and facilitators/presenters, with enough tables and chairs available. Table arrangement varies according to exercise type. For a TTX, the number of tables should be based on the number of participating functional areas. The layout should allow for as much participant and facilitator interaction as possible. Facilities should be reserved solely for exercise purposes and should be free from distractions.

In the setup for an operations-based exercise, planners must consider the assembly area, response route, response operations area, parking, registration, observer/media accommodations, and a possible Simulation Cell (SIMCELL) facility. Restrooms and water should be available to all participants, observers, and actors. All individuals permitted at the exercise site should wear some form of identification. Perimeter security and site safety during setup and conduct are essential.

Presentations/Briefings

Presentations and briefings are important tools for delivering information. A discussion-based exercise generally includes a multimedia presentation to present the scenario and accompany the SITMAN. An operations-based exercise may include briefings for controllers/evaluators, hospitals, actors, players, and observers/media. A briefing and/or presentation is an opportune time to distribute exercise documentation, provide necessary instructions and administrative information, and answer any outstanding questions.

Facilitation/Control/Evaluation

In both discussion- and operations-based exercises, facilitators and controllers guide exercise play. During a discussion-based exercise, the facilitator is responsible for keeping participant discussions on track with the exercise design objectives and making sure all issues and objectives are explored as thoroughly as possible despite operating under time constraints.

In an operations-based exercise, controllers plan and manage exercise play, set up and operate the exercise incident site, and possibly take the roles of response individuals and agencies not actually participating in the exercise. Controllers give key data to players and may prompt or initiate certain player actions (as listed in the MSEL/PROFLOW) to ensure that objectives are met and the exercise maintains continuity. Controllers are the only participants who should provide information or direction to the players. All controllers should be accountable to one senior controller. If conducting an exercise requires more controllers or evaluators than are available, a controller may serve as an evaluator; however, this typically is discouraged.

Evaluators are selected from various agencies to evaluate and comment on designated functional areas of the exercise. Evaluators are chosen based on their expertise in the functional areas they will review. Evaluators have a passive role in the exercise and only note the actions/decisions of players; they do not interfere with exercise flow. Evaluators should use EEGs to record observations and notes.

Players

Players have an active role in responding to an incident by either discussing (in a discussion-based exercise) or performing (in operations-based exercises) their regular roles and responsibilities.

Actors/Simulators

Actors are volunteer victims who simulate specific roles, including injuries from a disaster, to add realism to an exercise. Simulators act on behalf of an agency or organization that is not participating in the exercise.

Evaluation

As evaluated practice activities, exercises provide a process for continuous improvement. Evaluation is the cornerstone of exercises; it documents strengths and opportunities for improvement in a jurisdiction's preparedness and is the first step in the improvement process. To meet the intent of both Congress and the President's National Strategy for Homeland Security that investments in State and local preparedness result in demonstrable improvements in the Nation's ability to prevent and respond to terrorism incidents, DHS/ODP has established a comprehensive exercise evaluation program, described in *HSEEP Volume II: Exercise Evaluation and Improvement*.

The evaluation process for all exercises includes a formal exercise evaluation, integrated analysis, and an AAR/IP that should begin with exercise planning and end when improvements have been implemented and validated through subsequent exercises.

Debrief/Hot Wash

A debrief (for facilitators or controllers/evaluators) and/or hot wash (for players) should occur following both discussion- and operations-based exercises.

The debrief is a forum for planners, facilitators, controllers, and evaluators to review and provide feedback on the exercise. It should be a facilitated discussion that allows each person

an opportunity to provide an overview of the functional area they observed and document both strengths and areas for improvement. The debrief should be facilitated by the Lead Exercise Planner or the Exercise Director; results should be captured for inclusion in the AAR. Other sessions, such as a separate debrief for hospitals (during an operations-based exercise), may be held as necessary.

A hot wash occurs immediately following an operations-based exercise and allows players/responders the opportunity to provide immediate feedback. It enables controllers and evaluators to capture events while they remain fresh in players' minds and to ascertain players' level of satisfaction with the exercise and determine any issues or concerns and proposed improvement items. Each functional area (e.g., fire, law enforcement, medical) should conduct a hot wash, which should be facilitated by the lead controller for that area.

The debrief and/or hot wash provides an ideal time for facilitators, controllers, evaluators, and players to complete and submit their completed EEGs and feedback forms. Information from these forms should be included in the AAR/IP.

After Action Analysis and Report

The AAR is used to provide feedback to participating jurisdictions on their performance during the exercise. The AAR summarizes what happened and analyzes performance of the tasks identified through the planning process as critical and the demonstrated capacity to accomplish the overall exercise goal. The AAR includes recommendations for improvements based on the analysis, which will be addressed in the IP.

An AAR should be prepared for each TTX, game, drill, FE, and FSE conducted under HSEEP; a Summary Report should be produced for workshops and seminars.

To prepare the report, the exercise evaluation team will analyze data collected from the hot wash and/or debrief, participant feedback forms, and other sources (e.g., plans, procedures) and compare the actual results with the intended outcome. The level of detail in an AAR reflects

the exercise type and size. AARs describe the exercise scenario, player activities, preliminary observations, major issues, and recommendations for improvement.

Improvement Planning

Postexercise activities are essential to garnering the benefits of an exercise. Careful analysis and prioritization should go into developing the AAR recommendations and the IP content.

Improvement Plan

The IP converts lessons learned from the exercise into concrete, measurable steps that result in improved response capabilities. It is developed by the jurisdiction and specifically details the actions that will be taken to address each recommendation presented in the draft AAR, who or what agency will be responsible for

taking the action, and the timeline for completion. This information should be derived from an After Action Conference conducted after the draft AAR is completed.

Improvement Tracking and Planning

Once the IP has identified recommendations and action items and responsibility and due dates have been assigned, the jurisdiction and/or organization/agency should ensure that each action item is tracked to completion. Each State should review all exercise evaluation feedback and resulting IPs to assess progress on enhancing preparedness and incorporate the information into its planning process. This review process may identify needs for additional equipment, training, exercises, coordination, plans, and procedures that can be addressed through the State Homeland Security Strategy or Multiyear Exercise Plan.

NOTES

1. Refers to U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP), funding through either the Urban Areas Security Initiative (UASI) or the DHS/ODP State funding program, known in FY 2004 as the Homeland Security Grant Program (HSGP).

2. Approved scenarios may include chemical, biological, radiological, nuclear, explosive, agricultural, or cyberterrorism-related events.

3. The word “State” as mentioned throughout this document refers to the State Administrative Agency (SAA) or its designated agency responsible for exercise administration and coordination.

While ODP administers UASI, the State is ultimately responsible for meeting the requirements outlined in the Homeland Security Exercise and Evaluation Program (HSEEP) and ensuring its urban areas and local jurisdictions are in compliance with this doctrine.

4. Under UASI, designated urban areas will submit a 2-year Exercise Plan. Under HSGP, States will submit a 3-year Exercise Plan.

5. Approved scenarios may include chemical, biological, radiological, nuclear, explosive, agricultural, or cyberterrorism-related events.

APPENDIX A

Other Major DHS Exercise Programs

Border and Transportation Security

Transportation Security Administration

The Aviation and Transportation Security Act, Pub. L. 107-71, gave the Transportation Security Administration (TSA) the responsibility for security across all modes of transportation. TSA is responsible for intermodal transportation security planning, prevention/protection measures, and preparedness initiatives. TSA, through regulatory development, intends to implement a National Intermodal Transportation Security Exercise and Evaluation Program (NITSEEP) as a mechanism to evaluate the effectiveness of the transportation industry's security plans and to ensure the national transportation system's preparedness to withstand or respond to a terrorist attack. TSA recognizes the U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP) HSEEP program as an effective tool for the transportation industry to use to meet the intent of TSA regulations. Therefore, TSA recommends that an owner or operator subject to its regulations follow the guidelines set forth in HSEEP to fulfill the requirements. Currently, there is no direct HSEEP-related funding for owners and operators subject to TSA exercise requirements; however, those owners and operators who participate in a DHS/ODP-sponsored exercise will receive credit for a TSA-mandated exercise.

Emergency Preparedness and Response

Federal Emergency Management Agency Chemical Stockpile Emergency Preparedness Program

The Chemical Stockpile Emergency Preparedness Program (CSEPP) is a partnership between the Federal Emergency Management Agency (FEMA) and the U.S. Army that intends to help communities surrounding the eight U.S. chemical stockpile sites enhance their abilities to respond in the unlikely event of a chemical agent emergency. CSEPP exercises focus on partnerships among Federal, State, and local jurisdictions involved in the program, which is administered through the States.

CSEPP communities have been recognized nationally for their abilities to respond to emergencies of all kinds. Many of the lessons learned in CSEPP are used in industry and CSEPP employs partnerships with other public safety organizations to ensure that the knowledge gained has the greatest benefit for the most people.

CSEPP activities include:

- ◆ Improving public warning capabilities
- ◆ Building and upgrading state-of-the-art Emergency Operations Centers (EOCs)
- ◆ Training emergency managers and first responders
- ◆ Including functional exercises (FEs) that improve readiness
- ◆ Increasing public knowledge and understanding of protective actions
- ◆ Overpressurizing schools to ensure children's safety

- ◆ Studying emergency response options to determine the best way to protect communities
- ◆ Training doctors and nurses to treat victims of chemical agent exposure

Radiological Emergency Preparedness Program

The mission of the Radiological Emergency Preparedness (REP) program is to enhance planning, preparedness, and response for all types of peacetime radiological emergencies among all Federal, State, and local governments and the private sector, and to ensure that adequate offsite emergency plans and preparedness are in place and can be implemented by State and local governments. Emergency plans must protect the health and safety of the public living in the vicinity of commercial nuclear power plants and must be evaluated through biennial exercises.

Master Exercise Practitioner Program

The FEMA Emergency Management Institute (EMI) Master Exercise Practitioner Program (MEPP) is a performance-based curriculum focusing on the competencies required to plan, develop, design, conduct, and evaluate jurisdiction-specific exercises. The Resident MEPP consists of three resident courses and eight proficiency demonstration activities and the Nonresident MEPP requires the completion of several independent study courses and several additional courses administered by the appropriate State Emergency Management Agency. A Nonresident MEPP candidate may complete the training and proficiency demonstration requirements by enrolling in the exercise practicum, a unique self-directed and -negotiated series of 11 proficiency demonstrations. The MEPP candidate is challenged to apply the knowledge, skills, and abilities acquired through participation in Comprehensive Exercise Curriculum (CEC) courses to emergency management exercises. Additional information is available at <http://training.fema.gov/EMIWeb>.

Metropolitan Medical Response System

The primary focus of the Metropolitan Medical Response System (MMRS) program is to develop or enhance existing emergency preparedness systems to effectively respond to a public health crisis, especially a weapons of mass destruction (WMD) event. Through preparation and coordination, local law enforcement, fire, hazardous materials (HazMat), emergency medical services (EMS), hospital, public health, and other first-responder personnel plan how to more effectively respond in the first 48 hours of a public health crisis.

Strategic National Stockpile Exercises

An act of terrorism (or a large-scale natural disaster) targeting the U.S. civilian population will require rapid access to large quantities of pharmaceuticals and medical supplies; such quantities may not be readily available unless special stockpiles are created. No one can anticipate exactly where a terrorist will strike and few State or local governments have the resources to create sufficient stockpiles on their own. Therefore, a national stockpile has been created as a resource for all.

The Homeland Security Act of 2002 tasked DHS with defining the goals and performance requirements of the Strategic National Stockpile (SNS) program (formerly the National Pharmaceutical Stockpile) as well as managing the actual deployment of its assets. The SNS program is managed jointly by DHS and the U.S. Department of Health and Human Services (HHS) and works with governmental and non-governmental partners to upgrade the Nation's response capacity. Ensuring capacity is developed at the Federal, State, and local levels to receive, stage, and dispense SNS assets is critical to the success of this initiative.

The SNS program is committed to participating in one external (defined as involving an actual deployment of personnel and material) exercise each month. The SNS Exercise Life Cycle formalizes the process the SNS program uses to receive, process, and approve requests for exercise participation. The SNS Exercise Life Cycle

spans more than 10 months, 9 prior to and 1 after the date of the exercise. Requests for SNS exercise support should be submitted a minimum of 9 months prior to an exercise; SNS exercise support is in high demand and may exceed the program's current capability. The SNS program also needs recovery time to refit specialized cargo containers and prepare them for shipment to the next exercise. The program prioritizes requests based on the order of receipt, the educational value of the request, previous opportunities provided to the requesting agency, resource requirements, and the exercise's proposed goals, objectives, and plans. Only the office of the director has the authority to commit SNS program participation in an exercise.

U.S. Coast Guard

National Preparedness for Response Exercise Program

The U.S. Coast Guard (USCG) National Preparedness for Response Exercise Program (PREP) establishes an exercise program that meets the intent of section 4202(a) of the Oil Pollution Act of 1990 (OPA 90), amending section 311(j) of the Federal Water Pollution Control Act (FWPCA).

As described in the National Oil and Hazardous Substances Pollution Contingency plan (NCP 40 CFR 300), PREP focuses on exercise and evaluation government area contingency plans and industry spill response plans (oil and hazardous substance). PREP is a coordinated effort of the four Federal agencies with responsibility for oversight of private-sector oil and hazardous substance pollution response preparedness: USCG, the U.S. Environmental Protection Agency (EPA), the U.S. Department of Transportation's Research and Special Programs Administration (RSPA), and the U.S. Department of the Interior's Minerals Management Service (MMS). These agencies worked with Federal, State, and local governments, the oil and marine transportation industry, cleanup contractors, and the general public to develop the program. PREP meets the OPA mandate for exercises and represents minimum guidelines for ensuring overall preparedness

within the response community. It also recognizes the economic and operational constraints faced by those affected by the exercise requirements. The guidelines, which are reviewed periodically through a public workshop process, outline an exercise program that satisfies the exercise requirements of the four Federal regulatory agencies.

PREP requires each industry response plan holder and government area contingency plan holder to engage in a series of exercises aimed at assessing the entire plan over the course of a 3-year cycle. Most of these exercises are conducted wholly within the plan holder's organization each year, including:

- ◆ Quarterly notification exercise to assess internal communications and coordination
- ◆ Quarterly emergency procedures exercise to assess initial actions of facility or vessel personnel in the event of a spill emergency
- ◆ Equipment deployment exercise to assess capability of response personnel and equipment in executing response strategies contained in the plan (semiannually if owned, annually if contracted)
- ◆ Annual spill management team exercise to assess plan holder's spill response management organization and its ability to implement and manage response plan strategies and resources
- ◆ Unannounced exercise using one or more of the above exercise types to assess ongoing readiness to respond quickly in an emergency (at least annually)
- ◆ Government and industry plan holders also interact in external exercises:
 - The government initiated a maximum of four unannounced exercises in each contingency planning area, in which the government oversight agency requires an industry plan holder to initiate response to a small discharge, including equipment mobilization and deployment.

- Once every 3 years each USCG and EPA contingency planning area holds an area exercise involving major joint government and industry plan holders to assess cooperation, compatibility, and adequacy of strategies. It must include both the spill management team and equipment deployment exercises.

Spill of National Significance Exercise Program

A Spill of National Significance (SONS) is a rare catastrophic oil or hazardous substance spill event that captures national attention and requires the coordinated response of multiple Federal and State agencies over an extended period of time.

The USCG SONS Exercise Program increases awareness of USCG response protocols in place for responding to a catastrophic spill event. The exercise allows senior administration officials at both the regional and national levels to practice emergency interaction with Congress, the States, and industry in a nonemergency environment. The program's major objectives are:

- ◆ Increase national preparedness for a SONS scenario by engaging all levels of spill management in a coordinated response

- ◆ Improve, through practice, the ability of the National Incident Commander (NIC) organization to manage a SONS incident
- ◆ Maintain awareness by agency heads and lawmakers in Washington, D.C., of their role during a SONS response

A SONS exercise typically consists of field, regional, and headquarters components all connected by a common scenario. The field-level exercise is a full-scale exercise (FSE) that tests the area contingency plan for one or more port areas. The NIC-level exercise tests a regional contingency plan and internal USCG policy directives and their ability (as they relate to the NIC) to effectively manage a SONS, and supports the field and headquarters components. The headquarters-level exercise brings together senior agency officials and industry representatives to discuss interagency issues and responsibilities. It tests the national contingency plan and appropriate USCG policy as they relate to a SONS response.

SONS exercises are conducted approximately every 2 to 3 years, alternating among East Coast, Gulf Coast, West Coast, and Great Lakes scenarios.

APPENDIX B

Acronyms

AAR	After Action Report	EPW	Exercise Plan Workshop
C&O	Concept and Objectives	EVALPLAN	Evaluation Plan
C/E Handbook	Controller and Evaluator Handbook	EXPLAN	Exercise Plan
CEC	Comprehensive Exercise Curriculum	FBI	Federal Bureau of Investigation
CBRNE	Chemical, biological, radiological, nuclear, or explosive	FE	Functional exercise
CDC	Centers for Disease Control and Prevention	FEMA	Federal Emergency Management Agency
COSIN	Control Staff Instructions	FOUO	For Official Use Only
CPX	Command post exercise	FPC	Final Planning Conference
CSEPP	Chemical Stockpile Emergency Preparedness Program	FSE	Full-scale exercise
CSID	Centralized Scheduling and Information Desk	FWPCA	Federal Water Pollution Control Act
DHS	U.S. Department of Homeland Security	GAP	Grant Assistance Program
DoD	U.S. Department of Defense	HazMat	Hazardous materials
DOJ	U.S. Department of Justice	HDER	Homeland Defense Equipment Reuse program
DPETAP	Domestic Preparedness Equipment Technical Assistance Program	HHS	U.S. Department of Health and Human Services
EEG	Exercise Evaluation Guide	HSC	Homeland Security Council
EMI	Emergency Management Institute	HSEEP	Homeland Security Exercise and Evaluation Program
EMS	Emergency medical services	HSGP	Homeland Security Grant Program
EOC	Emergency Operations Center	IC	Incident Command
EOP	Emergency operating procedure	ICS	Incident Command System
EPA	U.S. Environmental Protection Agency	ICTAP	Interoperable Communication Technical Assistance Program
		IP	Improvement Plan
		IPC	Initial Planning Conference
		LLIS	Lessons Learned Information Sharing

MEPP	Master Exercise Practitioner Program	REP	Radiological Emergency Preparedness
MIPT	National Memorial Institute for the Prevention of Terrorism	RSPA	U.S. Department of Transportation, Research and Special Programs Administration
MMRS	Metropolitan Medical Response System	SAA	State Administrative Agency
MOU	Memorandum of understanding	SHSEEP	State Homeland Security Exercise and Evaluation Program
MPC	Mid-Term Planning Conference	SIMCELL	Simulation Cell
MSEL	Master Scenario Events List	SITMAN	Situation Manual
NEP	National Exercise Program	SNS	Strategic National Stockpile
NIC	National Incident Commander	SOE	Senior Officials Exercise
NIMS	National Incident Management System	SONS	Spill of National Significance
NITSEEP	National Intermodal Transportation Security Exercise and Evaluation Program	SOP	Standard operating procedure
NLD–DPP	Nunn-Lugar-Domenici Domestic Preparedness Program	SSC San Diego	Space and Naval Warfare Center-San Diego
NSSE	National Special Security Event	TA	Homeland Security Preparedness Technical Assistance Program
ODP	Office for Domestic Preparedness	TOPOFF	Top Officials National Exercise Series
OPA 90	Oil Pollution Act of 1990	TSA	Transportation Security Administration
PEP	Prepositioned Equipment Program	TTX	Tabletop exercise
POC	Point of contact	UASI	Urban Areas Security Initiative
PPE	Personal protective equipment	UAWG	Urban Area Working Group
PREP	U.S. Coast Guard National Preparedness for Response Exercise Program	UC	Unified Command
PROFLOW	Procedural Flow	UCS	United Command System
RAT	Rapid Assistance Team	USCG	U.S. Coast Guard
		USDA	U.S. Department of Agriculture
		WMD	Weapons of mass destruction

