# Homeland Security Exercise and Evaluation Program (HSEEP)

## Volume I: HSEEP Overview and Exercise Program Management

*February 2007*

Homeland Security

# Homeland Security Exercise and Evaluation Program

## Volume I: HSEEP Overview and Exercise Program Management

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# Preface

Homeland Security Exercise and Evaluation Program (HSEEP) Volume I was initially published in 2002 and provided an overview of the exercise design, development, conduct, evaluation, and improvement planning process as well as doctrine for U.S. Department of Homeland Security (DHS) exercises. Subsequent volumes (II–IV) provided more detailed descriptions of the planning and evaluation process as well as sample exercise materials.

Since the initial versions of the HSEEP volumes were published, the homeland security community has experienced numerous changes, including the building of a new and cohesive Federal agency and the release and adoption of the National Response Plan (NRP), National Incident Management System (NIMS), National Preparedness Goal, Universal Task List (UTL), and Target Capabilities List (TCL). This 2007 release of the HSEEP volumes represents an exercise policy and program reflective of these changes.

The following changes have been made:

- The volumes have been made more user-friendly and concise.
- New policies have been incorporated (e.g., NIMS, NRP, National Preparedness Goal, UTL, TCL).
- References to DHS-specific doctrinal or grant-related requirements, such as the need for terrorism-related scenarios, have been eliminated.
- Comments from the Federal Interagency, as well as several State and local stakeholders, have been incorporated so the HSEEP Policy and Guidance is more applicable to all exercises, regardless of scope, scale, scenario, or sponsoring agency.
- The order of Volumes II and III has been reversed to follow the natural progression of exercise design, development, conduct, evaluation, and improvement planning.

It is important to note that the fundamentals of the exercise design, development, planning, evaluation, and improvement planning methodologies have not changed with these volume revisions.

Developing and implementing comprehensive exercise policies is a continually evolving process. As strategies, policies, and plans evolve, future revisions will be issued.

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# Introduction

## Homeland Security Exercise and Evaluation Program

Following the domestic terrorist attacks in 1993, 1995, and 2001 and the establishment of the U.S. Department of Homeland Security (DHS) in 2002, officials at all levels of government and in all types of communities have worked to prepare for, prevent, respond to, and recover from a variety of threats to public safety. Exercises play a crucial role in preparedness, providing opportunities for emergency responders and officials to practice and assess their collective capabilities.

### *Purpose*

The purpose of the Homeland Security Exercise and Evaluation Program (HSEEP) is to provide common exercise policy and program guidance that constitutes a national standard for exercises. HSEEP includes consistent terminology that can be used by all exercise planners, regardless of the nature and composition of their sponsoring agency or organization. The volumes also provide tools to help exercise managers plan, conduct, and evaluate exercises to improve overall preparedness.

HSEEP reflects lessons learned and best practices from existing exercise programs and can be adapted to the full spectrum of hazardous scenarios and incidents (e.g., natural disasters, terrorism, technological disasters). The HSEEP reference volumes integrate language and concepts from the National Response Plan (NRP), the National Incident Management System (NIMS), the National Preparedness Goal, the Universal Task List (UTL), the Target Capabilities List (TCL), existing exercise programs, and prevention and response protocols from all levels of government. In the spirit of NIMS, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP.

### *Organization*

This document is the first of five HSEEP volumes, all of which are available at the HSEEP website (http://hseep.dhs.gov). The volumes are organized as follows:

> *HSEEP Volume I: HSEEP Overview and Exercise Program Management* provides guidance for building and maintaining an effective exercise program and summarizes the planning and evaluation process described in further detail in Volumes II through V.
>
> *HSEEP Volume II: Exercise Planning and Conduct* helps planners outline a standardized foundation, design, development, and conduct process adaptable to any type of exercise.
>
> *HSEEP Volume III: Exercise Evaluation and Improvement Planning* offers proven methodology for evaluating and documenting exercises and implementing an Improvement Plan (IP).
>
> *HSEEP Volume IV: Sample Exercise Documents and Formats* provides sample exercise materials referenced in HSEEP Volumes I, II, III, and V. Readers with Internet connectivity may click on exercise materials referenced in this volume to link to HSEEP Volume IV.
>
> *HSEEP Volume V: Prevention Exercises (Draft)* contains guidance consistent with the HSEEP model to assist entities in designing and evaluating exercises that validate pre-incident capabilities such as intelligence analysis and information sharing.

This volume, *HSEEP Volume I: HSEEP Overview and Exercise Program Management*, which provides an overview of HSEEP and guidance on exercise program management, is organized as follows:

**Chapter 1:** Homeland Security Exercise and Evaluation Program Overview

## HSEEP Volume I

**Chapter 2:** Exercise Program Management

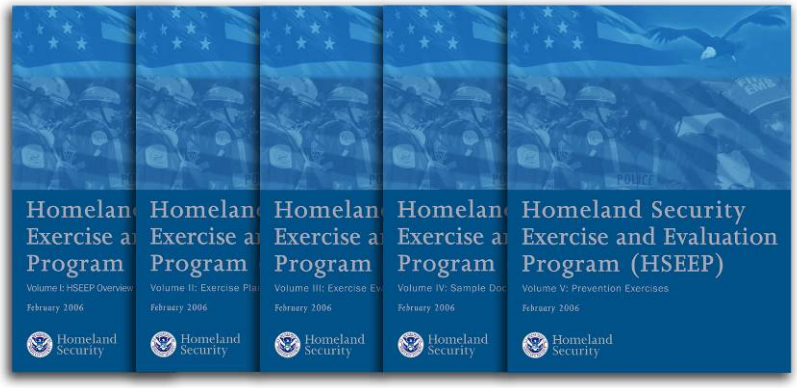
**Chapter 3:** Exercise Project Management Overview

**Chapter 4:** Capabilities-Based Exercises and Program Management

**Appendix A:** Exercise Programs and Resources

**Appendix B:** Glossary

**Appendix C:** Exercise Planning Timelines




# Security Guidance

While most of the content found in HSEEP is not sensitive or classified, some HSEEP materials (e.g., scenario examples), particularly those in Volume IV, may necessitate restrictions on distribution. Exercise materials that are produced in accordance with HSEEP guidance and are deemed sensitive should be designated as *For Official Use Only* (FOUO). FOUO identifies unclassified information of a sensitive nature, not otherwise categorized by statute or regulations, of which the unauthorized disclosure could adversely impact a person's privacy or welfare, the conduct of Federal programs, or programs or operations essential to national interest. Examples of materials that may require FOUO designation include scenario information, the Master Scenario Events List (MSEL), and the After Action Report / Improvement Plan (AAR/IP). Access to FOUO information is on a need-to-know basis. FOUO information may be shared with other agencies; Federal, State, local, or tribal government; appropriate private sector representatives; and law enforcement officials, provided a specific need-to-know has been established and the information is shared in furtherance of a coordinated and official governmental activity.

Certain exercise-related information from private sector partners may require or be eligible for additional protections under the Protective Critical Infrastructure Information (PCII) Program. Established pursuant to the Critical Infrastructure Information (CII) Act of 2002, the PCII Program is an information-protection tool that enables members of the private sector to submit proprietary, confidential, or sensitive infrastructure information to DHS with the assurance that the information will be protected from public disclosure. Under the PCII Program, information that satisfies the requirements of the CII Act of 2002 is protected from public disclosure under the Freedom of Information Act (FOIA), State and local disclosure laws, and use in civil litigation. DHS and other Federal, State, and local analysts use PCII in pursuit of a more secure homeland, focusing primarily on analyzing and securing critical infrastructure and protected systems, identifying vulnerabilities and developing risk assessments, and enhancing recovery preparedness measures.

# Chapter 1: Homeland Security Exercise and Evaluation Program Overview

> *Building on the existing NEP [National Exercise Program], DHS [U.S. Department of Homeland Security] should coordinate the establishment of a NEEP [National Exercise and Evaluation Program] for homeland security related exercises . . . The NEEP should designate HSEEP as the common exercise methodology across all levels of government, so all exercises are using the same doctrine.*
>
> ─ The Federal Response to Hurricane Katrina Lessons Learned, February 2006

Exercises allow personnel, from first responders to senior officials, to validate training and practice strategic and tactical prevention, protection, response, and recovery capabilities in a risk-reduced environment. Exercises are the primary tool for assessing preparedness and identifying areas for improvement, while demonstrating community resolve to prepare for major incidents. Exercises aim to help entities within the community gain objective assessments of their capabilities so that gaps, deficiencies, and vulnerabilities are addressed prior to a real incident.

Well-designed and well-executed exercises are the most effective means of:

- assessing and validating policies, plans, procedures, training, equipment, assumptions, and interagency agreements;
- clarifying roles and responsibilities;
- improving interagency coordination and communications;
- identifying gaps in resources;
- measuring performance; and
- identifying opportunities for improvement.

The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities- and performance-based[1] exercise program that provides a standardized policy, methodology, and terminology for exercise design, development, conduct, evaluation, and improvement planning. HSEEP also provides tools and resources to facilitate the management of self-sustaining exercise programs.

In accordance with Homeland Security Presidential Directive 8 (HSPD-8) and the National Preparedness Goal, HSEEP uses a capabilities-based approach to individual exercises and exercise program management. In the spirit of the National Incident Management System (NIMS), HSEEP promulgates standardized policies and terminology usable by officials and emergency responders at all levels of government.

HSEEP has been accepted as the standardized policy and methodology for the execution of the National Exercise Program (NEP). The NEP is the Nation's overarching exercise program formulated by the National Security Council / Homeland Security Council (NSC/HSC), and executed by the Federal Interagency. All interagency partners have adopted HSEEP as the methodology for all exercises that will be conducted as part of the NEP.

[1] Capabilities- and performance-based exercises are further defined beginning on page 20.

## The Preparedness Cycle

NIMS defines the *preparedness cycle* as "planning, training, equipping, exercising, evaluating, and taking action to correct and mitigate." Exercises play an important role in this broad preparedness cycle.

Exercises provide opportunities for Federal, State, local, and tribal leaders; department and agency officials; private sector partners; and emergency responders to practice and test capabilities that have been built up through a coordinated process of planning, training, and making equipment purchases. Plans, training, and equipment, and the capabilities they represent, are validated through exercises. Exercise evaluation informs preparedness priorities by highlighting potential preparedness shortfalls in the areas of planning, organization, training, and equipment prior to real-world incidents. Subsequently, these priorities inform resource allocation, including training and equipment purchases, which enhance readiness, influence policy or program decisions, and become the basis for future exercises.

The overarching framework provided by *HSPD-8: National Preparedness* guides preparedness cycle activities. Issued on December 17, 2003, HSPD-8 establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by:

- requiring a National Preparedness Goal that establishes measurable priorities and targets;
- establishing mechanisms to improve delivery of Federal preparedness assistance to State, local, and tribal governments; and
- outlining actions to strengthen preparedness capabilities of Federal, State, local, and tribal governments and their private sector partners.

HSPD-8 complements and supports the earlier *HSPD-5: Incident Management*, which required the U.S. Department of Homeland Security (DHS) to coordinate with other Federal departments and agencies—as well as State, local, and tribal governments and the private sector—to establish the National Response Plan (NRP) and NIMS. The NRP defines what needs to be done to manage a major incident, while NIMS defines how it needs to be done, using a standardized, consistent incident management system.

DHS—in coordination with the heads of other Federal departments and agencies and in consultation with State, local, and tribal governments, non-governmental organizations, and private sector entities—developed the all-hazards National Preparedness Goal. The vision for the National Preparedness Goal is to:

> *…engage Federal, State, local, and tribal entities; their private and non-governmental partners; and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major incidents in order to minimize the impact on lives, property, and the economy.*

This goal is met by building and maintaining capabilities to prevent, protect against, respond to, and recover from major incidents, both natural and man-made. The ability of the homeland security community to achieve and sustain these capabilities requires engaging in *capabilities-based planning* by orienting the aforementioned preparedness cycle activities (planning, training, equipping, exercising, evaluating, and improvement planning) to achieve target levels of capability.

HSPD-8 further directs that DHS, in coordination with other appropriate Federal departments and agencies, establish a "national program and a multi-year planning system to conduct homeland security preparedness-related exercises that reinforces identified training standards, provides for evaluation of readiness, and supports the National Preparedness Goal." HSEEP provides the program structure, multi-year planning system, tools, and guidance necessary for entities to build and sustain exercise

programs that enhance homeland security capabilities and, ultimately, preparedness.

For more on HSEEP's role in the preparedness cycle, see *Chapter 4: Capabilities-Based Exercises and Program Management*.

## Exercise Program Management

Exercise program management consists of the functions required for an entity (e.g., State, region, county, city, department, agency, private company, or other organization) to sustain a variety of exercises, targeted toward preparedness priorities, on an ongoing basis. It includes project management, multi-year planning, budgeting, grant management, staff hiring, funding allocation, and expenditure tracking.

The basis of effective exercise program management is a Multi-Year Training and Exercise Plan. A Training and Exercise Plan Workshop (T&EPW) is usually conducted in order to create a Multi-Year Training and Exercise Plan. During the workshop, participants review priority preparedness capabilities and coordinate exercise and training activities that can improve and validate those capabilities. As a result of the workshop, the Multi-Year Training and Exercise Plan outlines a multi-year schedule and milestones for execution of specific training and exercise activities.

Program management functions cyclically. First, a Multi-Year Training and Exercise Plan is developed in consideration of an entity's preparedness priorities. Next, specific exercise activities are planned and conducted according to the multi-year plan's schedule. Finally, exercise planners consider post-exercise After Action Reports / Improvement Plans (AARs/IPs) when developing priorities for the next multi-year plan, as well as updating plans and procedures, acquiring new equipment, and conducting additional training.

For more on exercise program management, see *Chapter 2: Exercise Program Management*.

## Exercise Project Management

Exercise project management is a component of exercise program management used to carry out the activities needed to execute an individual exercise. Exercise project management involves five phases, which are collectively known as the *exercise cycle*. Exercises conducted in accordance with the phases of the exercise cycle lead to tangible preparedness improvements.

The five phases of the exercise cycle are as follows:

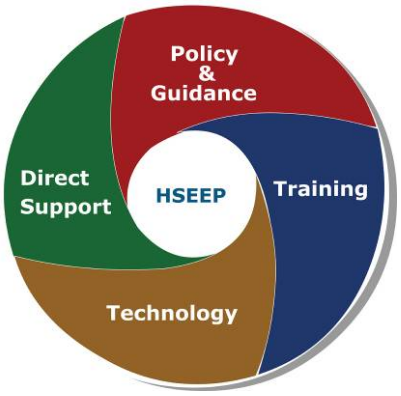
1. **Foundation:** The following activities must be accomplished to provide the foundation for an effective exercise: create a base of support (i.e., establish buy-in from the appropriate entities and/or senior officials); develop a project management timeline and establish milestones; identify an exercise planning team; and schedule planning conferences.
2. **Design and Development:** Building on the exercise foundation, the design and development process focuses on identifying objectives, designing the scenario, creating documentation, coordinating logistics, planning exercise conduct, and selecting an evaluation and improvement methodology.
3. **Conduct:** After the design and development steps are complete, the exercise takes place. Exercise conduct steps include setup, briefings, facilitation/control/evaluation, and wrap-up activities.
4. **Evaluation:** The evaluation phase for all exercises includes a formal exercise evaluation, an integrated analysis, and an AAR/IP that identifies strengths and areas for improvement in an entity's preparedness, as observed during the exercise. Recommendations related to areas for

improvement are identified to help develop corrective actions to be tracked throughout the improvement planning phase.

5. **Improvement Planning:** During improvement planning, the corrective actions identified in the evaluation phase are assigned, with due dates, to responsible parties; tracked to implementation; and then validated during subsequent exercises.

For more on exercise project management, see *Chapter 3: Exercise Project Management Overview*.

## The HSEEP Blended Approach




In addition to providing a standardized policy, guidance, methodology, and language for exercise program and project management, HSEEP facilitates the creation of self-sustaining exercise programs by providing resources such as policy and guidance (i.e., HSEEP Volumes); training (i.e., HSEEP Mobile Course and online courses); technology (i.e., HSEEP Toolkit); and direct support (i.e., vendor assistance with planning and conducting exercises).

HSEEP policy and guidance for exercises is based on established best practices. By employing a blended approach that also includes training, technology, and direct support, HSEEP ensures that entities at all levels of government have the tools they need to successfully implement its policy and guidance.

# Chapter 2: Exercise Program Management

This chapter describes important concepts and best practices in exercise program management. Detailed guidance and further descriptions of any exercise planning, conduct, and evaluation concepts addressed in this chapter are contained in *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Planning and Conduct* and *HSEEP Volume III: Exercise Evaluation and Improvement Planning*.

Effective program management involves a collaborative approach that integrates the different resources of various agencies, organizations, and individuals from both the public and private sectors. Exercise program management is directed toward achieving the objectives established during the multi-year planning process, as described in an entity's Multi-Year Training and Exercise Plan. In the context of multi-year planning, this chapter provides guidance on engaging program stakeholders, managing program resources, and assigning areas of responsibility for exercise program management.

Specific exercise program requirements for State, local, and tribal governments using U.S. Department of Homeland Security (DHS) funds to support exercises can be found in the *Homeland Security Grant Program Guidance*.

## Multi-Year Planning

As mentioned in Chapter 1, the foundational document guiding a successful exercise program is a Multi-Year Training and Exercise Plan. The Multi-Year Training and Exercise Plan identifies an entity's priorities as articulated in the entity's strategy, and identifies the capabilities that are most relevant to achieving those priorities. It then outlines a multi-year schedule of training and exercises that an entity will undertake to enhance and validate its capabilities. It also graphically illustrates a multi-year schedule for training and exercise activities that support those priorities.

A multi-year plan employs a building-block approach in which training and exercise activities focus on specific capabilities in a cycle of escalating complexity. See Figure 2-1 for a depiction of the building-block approach. For more on how a Multi-Year Training and Exercise Plan can be aligned with other activities to support an entity's preparedness priorities, see *Chapter 4: Capabilities-Based Exercises and Program Management*.

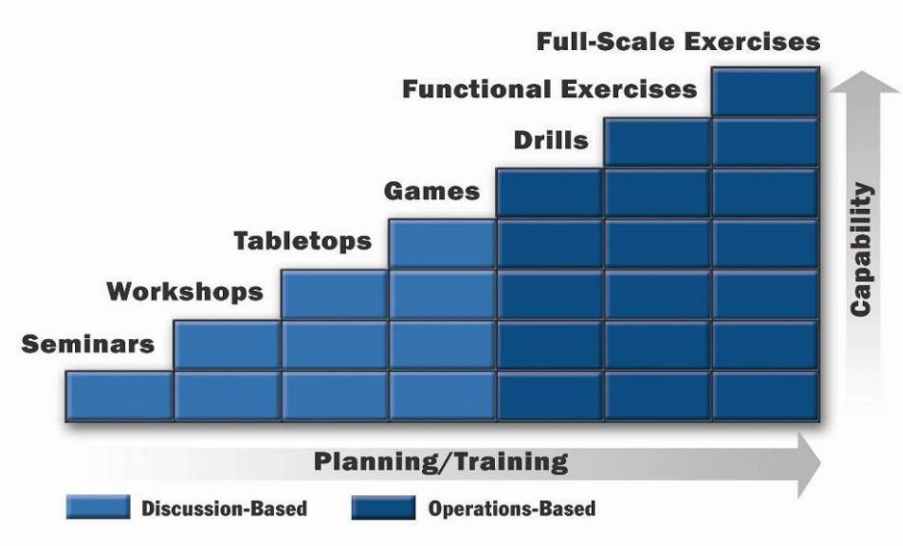


**Figure 2-1:** *Improvement planning in the preparedness cycle*

### *Training and Exercise Plan Workshop*

An annual Training and Exercise Plan Workshop (T&EPW) provides an opportunity to develop, review, or update an entity's Multi-Year Training and Exercise Plan. The T&EPW also provides a forum for determining how an entity will execute its multi-year plan in a given year. The purpose of the T&EPW and the Multi-Year Training and Exercise Plan is to translate strategic goals and priorities into specific training and exercise activities, and to coordinate and de-conflict all training and exercise activities on a schedule.

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, multi-year plans gradually build capabilities by employing a building-block approach of linked training and exercise activities that escalate in complexity, as illustrated in Figure 2-1. Because exercises are part of a broader preparedness cycle that also involves planning, equipment purchases, and training activities, multi-year plans should not schedule exercises without taking into consideration other issues—exercise scheduling should complement the full range of preparedness efforts and priorities being undertaken by a given entity.

T&EPWs include representatives from the entire spectrum of an exercise program's stakeholders, such as law enforcement, public health and medical community, and emergency management. Participants must be knowledgeable and have the authority to commit personnel and resources toward the activities scheduled in the multi-year plan.

Entities conducting exercises may receive funds from a number of different Federal, State, local, or private sector programs, and many of these programs have associated exercise requirements. Some programs, such as the Chemical Stockpile Emergency Preparedness Program (CSEPP) and Radiological Emergency Preparedness (REP) program are mandated by public law, various U.S. Army regulations, and/or Nuclear Regulatory Commission (NRC) regulations affecting exercise conduct and reporting. Faced with various exercise requirements, organizations (e.g., law enforcement, health departments, Emergency Operations Centers [EOCs], citizen groups, transit agencies, power plants) with limited resources are encouraged to use T&EPWs to coordinate schedules at the State, regional, and local levels. A coordinated and integrated exercise program will eliminate duplicative efforts and therefore reduce the burden of conducting numerous exercises.

Expanded regional collaboration is identified in the National Preparedness Goal as a national priority. Exercise program managers should strive to include neighboring jurisdictions (e.g., counties, States, cities) in their T&EPWs in order to facilitate the execution of multi-function, multi-disciplinary exercises that involve cooperation among a region's various jurisdictions.

### *Corrective Action Program*

After execution of an exercise, an evaluation team produces an After Action Report / Improvement Plan (AAR/IP), which defines specific corrective actions that must be taken to remedy issues observed during exercise evaluation. An AAR/IP assigns all corrective actions to a responsible person or organization, and includes incremental benchmarks and deadlines for completion. An exercise program manager should track progress on all resulting corrective actions identified in the AAR/IP, and should release periodic reports that document progress toward all corrective actions and highlight corrective actions that are incomplete or behind schedule. Such reports help communicate the concrete preparedness benefits generated by exercise activity, while also providing accountability for corrective action implementation.

## Engaging Program Stakeholders

Broad participation from all stakeholders is important for ensuring that training and exercises meet a wide range of preparedness needs. Broad stakeholder participation also helps ensure that exercises will be more realistic, encompassing the full spectrum of response disciplines.

### *Identifying Exercise Stakeholders*

Exercise program managers should identify as wide a range of stakeholders as possible, and seek to create a database cataloging stakeholder points of contact (POCs). This database lists each POC's contact information, areas of expertise, and prior exercise experience.

When identifying stakeholders, exercise program managers should consider individuals and organizations who would be involved in an actual incident or event, including:

- individuals with administrative responsibility relevant to exercise conduct (e.g., Federal, State, local, and tribal agency and private sector procurement officers);
- representatives from all first responder disciplines to be included in exercises;
- representatives from volunteer or non-governmental organizations, such as Citizen Corps Councils and the American Red Cross;
- representatives from important private sector entities; and
- Federal, State, local, tribal, private, and non-government officials who impact or are affected by exercise activities.

Once a comprehensive set of stakeholders has been identified, exercise program managers can help to integrate them into the exercise program by having them annually participate in the T&EPW, as previoulsy discussed. If program managers are attempting to build a new exercise program, they can begin by hosting an exercise working group involving representatives from all stakeholder entities. Stakeholders should be trained in HSEEP guidance and policy so that they can take advantage of the benefits of HSEEP's standardized methodology and terminology.

### *Communicating with Exercise Stakeholders*

In order to engage stakeholders and secure their buy-in for exercise activities, exercise program managers should develop a stakeholder communications plan. This plan contains clearly defined communications objectives (e.g., to coordinate exercise efforts, to solicit feedback) and details timeframes and methods for regular communication. An entity's Federal and/or State reporting obligations can also be addressed as part of an effective communications plan.

## Resource Management

An effective exercise program must efficiently utilize available financial, personnel, and non-monetary resources.

### *Exercise Budget Management*

Effective budget management is essential to the success of an exercise program, and it is important for exercise managers to maintain awareness of their available resources and expected expenditures. Preliminary budgets should be developed in advance of funding allocations on the basis of worst-case scenarios, using previous-year budgets to help create estimates. Budgets should reflect an exercise program's priorities as captured in the Multi-Year Training and Exercise Plan, and should be maintained in order to meet reporting requirements of Federal and State agencies, as well as other grant providers. Program managers with budgetary responsibility should work with procurement officers, accountants,

auditors, and grant administrators to identify financial management requirements. At the very least, a program budget should track:

- POCs responsible for managing funds;
- amounts of funding awards;
- sources of funding awards;
- allowable funding expenditures;
- conditions or restrictions on expenditures; and
- expenditures and draw down against the funding source (i.e., procurement).

Exercise programs should define monitoring and reporting requirements that meet all relevant legal and grant-related standards.

### *Program Staffing*

Staffing needs are determined largely by the activities mandated in the Multi-Year Training and Exercise Plan. Program managers identify the administrative and operational staff needed to implement the exercise program, including appropriate personnel to monitor grant expenditures. They assess their current staff availability, including full-time and detailed staff, part-time staff, and contractual support. Program managers also identify gaps between staffing availability and staffing needs, and communicate these gaps through the appropriate chain of command to program administrators to determine if funding is available for staffing. For cases in which direct funding cannot be procured, program managers should consider alternative means of procuring staff, such as using Federal and State grants, detailing stakeholder personnel, and adding volunteers or interns. Program managers must consider whether or not security clearances are required for program staff.

### *Non-Monetary Resources*

Exercise program managers should identify non-monetary resources and promising practices that can support exercises. Such resources include equipment (e.g., smoke machines); exercise training courses (e.g., Emergency Management Institute [EMI]); guidance (e.g., HSEEP); materials from previous exercises; mutual aid agreements (MAAs); technical assistance; and information technology (e.g., HSEEP Toolkit). A number of organizations—such as the National Emergency Management Agency (NEMA), National Governors' Association (NGA), and Lessons Learned Information Sharing (LLIS.gov)—may be able to communicate promising practices that will facilitate exercise activities. When appropriate, information about these resources should be distributed to exercise stakeholders.

## Exercise Phases

Multi-year planning, stakeholder engagement, and resource management are essential ongoing processes that provide the basis for the planning, conduct, and evaluation of individual exercises. The success of individual exercises relies on the execution of five distinct phases, which are collectively known as the exercise cycle: foundation, design and development, conduct, evaluation, and improvement planning.

Exercise foundation, design and development, conduct, evaluation, and improvement planning are all discussed in detail in *Chapter 3: Exercise Project Management Overview*. For the purpose of exercise program management, it is

important to assign clear roles and responsibilities for each of these phases, and establish mechanisms of monitoring and reporting to ensure that the steps are carried out in accordance with the priorities and schedule of the exercising entity's Multi-Year Training and Exercise Plan.

## Exercise Types

The HSEEP methodology is defined and implemented using seven exercise types, as shown in Table 2-1. The type of exercise that best meets an entity's requirements is identified through analysis of the capabilities the entity is attempting to validate; the training and exercises it has already conducted; and the resources available for exercise planning, conduct, and evaluation. A detailed exercise planning process has been defined for each type of exercise and can be found in HSEEP Volume II.

| Utility/Purpose | | Type of Player Action | Duration | Real-Time Play? | Scope |
|---|---|---|---|---|---|
| Discussion-Based Exercises | Familiarize players with current plans, policies, agreements, and procedures; develop new plans, policies, agreements, and procedures | Notional; player actions are imaginary or hypothetical | Rarely exceeding 8 hours | No | Varies |
| Seminar | Provide overview of new or current plans, resources, strategies, concepts or ideas | N/A | 2-5 hours | No | Multi- or Single-agency |
| Workshop | Achieve specific goal or build product (e.g., exercise objectives, SOPs, policies, plans) | N/A | 3-8 hours | No | Multi-agency/ Single function |
| Tabletop Exercise (TTX) | Validate plans and procedures by utilizing a hypothetical scenario to drive participant discussions | Notional | 4-8 hours | No | Multi-agency/ Multiple functions |
| Game | Explore decision-making process and examine consequences of those decisions | Notional | 2-5 hours | No (though some simulations provide real- or near-real-time play) | Multi-agency/ Multiple functions |
| Operations-Based Exercises | Validate plans, policies, agreements, and procedures; clarify roles and responsibilities; identify resource gaps | Actual; player action mimics reaction, response, mobilization, and commitment of personnel and resources | May be hours, days, or weeks, depending on purpose, type, and scope of the exercise | Yes | Varies |
| Drill | Validate a single operation or function of an agency | Actual | 2-4 hours | Yes | Single agency/ Single function |
| Functional Exercise (FE) | Evaluate capabilities, functions, plans, and staffs of Incident Command, Unified Command, intelligence centers, or other multi-agency coordination centers (e.g., EOCs) | Command staff actions are actual; movement of other personnel, equipment, or adversaries is simulated | 4-8 hours or several days or weeks | Yes | Multiple functional areas/ Multiple functions |
| Full-Scale Exercise (FSE) | Validate plans, policies, procedures, and cooperative agreements developed in previous exercises through their actual implementation and execution during a simulated scenario; includes actual mobilization of resources, conduct of operations, and integrated elements of functional exercise play (e.g., EOCs, command posts) | Actual | One full day or several days or weeks | Yes | Multi-agency/ Multiple functions |

**Table 2-1:** *Properties of the seven HSEEP exercise types*

Exercise program managers should take advantage of the full range of exercise types, consistent with the building-block approach, when scheduling exercise activities in their entity's multi-year plan.

### *Discussion-Based Exercises*

Discussion-based exercises are normally used as a starting point in the building-block approach of escalating exercise complexity. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games. These types of exercises typically highlight existing plans, policies, interagency/inter-jurisdictional agreements, and procedures. Discussion-based exercises are valuable tools for familiarizing agencies and personnel with current or expected capabilities of an entity. Discussion-based exercises typically focus on strategic, policy-oriented issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.

#### Seminars

Seminars are informal discussions, unconstrained by real-time portrayal of events and led by a presenter. They are generally employed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, and/or concepts and ideas. Seminars provide a good starting point for entities that are developing or making major changes to their plans and procedures.

#### Workshops

After seminars, workshops represent the second tier of exercises in the HSEEP building-block approach. They differ from seminars in two important respects: participant interaction is increased, and the focus is on achieving or building a product (such as a draft plan or policy). Workshops are often employed in conjunction with exercise development to determine objectives, develop scenarios, and define evaluation criteria.

A workshop may also be used to produce new standard operating procedures (SOPs), emergency operations plans (EOPs), MAAs, multi-year plans, or improvement plans. To be effective, workshops must be highly focused on a specific issue, and the desired outcome or goal must be clearly defined.

#### Tabletop Exercises

TTXs involve key personnel discussing hypothetical scenarios in an informal setting. This type of exercise can be used to assess plans, policies, and procedures or to assess the systems needed to guide the prevention of, response to, and recovery from a defined incident. TTXs typically are aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and achieving changes in the approach to a particular situation. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving, rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions. 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 situation established by the scenario materials remains constant. It describes an event or emergency incident (i.e., scenario) and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the leader/moderator; problems are discussed as a group; and the leader generally agrees on and summarizes the resolutions.

In an advanced TTX, play revolves around delivery of pre-scripted messages to players that alter the original scenario. The exercise controller (or 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 simulated problem, applying appropriate plans and procedures.

TTXs are effective for evaluating group problem solving, personnel contingencies, group message interpretation, information sharing, interagency coordination, and achievement of specific objectives.

**Games**

A game is a simulation of operations that often involves two or more teams and uses rules, data, and procedures to depict an actual or assumed real-life situation. The goal of a game is to explore decision-making processes and the consequences of those decisions. A game does not require use of actual resources, and the sequence of events affects, and is in turn affected by, decisions made by players.

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 into realistic models to show the effects of decisions made during a game. Internet-based, multi-player games offer many additional benefits, such as saving money by reducing travel time, offering more frequent training opportunities, and taking less time away from primary functions. They also provide a collaborative environment that reflects realistic occurrences.

### *Operations-Based Exercises*

Operations-based exercises represent the next level 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 full-scale exercises (FSEs). They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual reaction to simulated intelligence; response to emergency conditions; mobilization of apparatus, resources, and/or networks; and commitment of personnel, usually over an extended period of time.

**Drills**

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

- a narrow focus, measured against established standards;
- immediate feedback;
- a realistic environment; and
- performance in isolation.

**Functional Exercises**

An FE is designed to validate and evaluate individual capabilities, multiple functions, activities within a function, or interdependent groups of functions. Events are projected through an exercise scenario with event updates that drive activity at the management level. 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, time-constrained environment.

Response- and recovery-focused FEs generally concentrate on exercising the plans, policies, procedures, and staffs of the direction and control branches of Incident Command (IC), Unified Command (UC), and/or multi-agency coordination centers (e.g., EOCs). Movement of personnel and equipment is simulated.

Prevention-focused FEs usually concentrate on exercising the plans, policies, procedures, agreements, networks, and staffs of fusion centers or law enforcement agencies with counterterrorism missions. Adversary actions are largely simulated and delivered in the form of shared intelligence; however, some of these actions may be carried out by simulated adversaries, or Red Teams, in a separate but coordinated category of exercise play. See *HSEEP Volume V: Prevention Exercises* for more information on prevention-focused exercises.

**Full-Scale Exercises**

The FSE is the most complex type of exercise. FSEs are multi-agency, multi-jurisdictional, multi-organizational exercises that validate many facets of preparedness. They focus on implementing and analyzing the plans, policies, procedures, and cooperative agreements developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. In FSEs, the reality of operations in multiple functional areas presents complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel. During FSEs, events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. FSEs are conducted in real time, creating a stressful, time-constrained environment that closely mirrors real events. The level of support needed to conduct an FSE is greater than that needed during other types of exercises.

Response-focused FSEs include many first responders operating under the principles of the National Incident Management System (NIMS) to effectively and efficiently respond to an incident. Personnel and resources are mobilized and deployed to the scene where they conduct their activities as if a real incident had occurred (with minor exceptions). An FSE also may include functional play from participants not located at the exercise incident response site, such as multi-agency coordination centers (MACCs), EOCs, or hospitals.

# Chapter 3: Exercise Project Management Overview

This chapter provides a brief overview of the process of planning, conducting, and evaluating exercises. Detailed guidance and further descriptions of many of the exercise concepts and materials addressed in this section are contained in *Homeland Security Exercise and Evaluation Program (HSEEP) Volume II: Exercise Planning and Conduct* and *HSEEP Volume III: Exercise Evaluation and Improvement Planning.* Examples of the referenced materials are contained in *HSEEP Volume IV: Sample Exercise Documents and Formats.*

Successfully conducting an exercise involves considerable coordination among participating agencies and officials. The HSEEP methodology divides individual exercises into five overarching phases: foundation, design and development, conduct, evaluation, and improvement planning.

## Phase 1: Foundation

Establishing a foundation for a successful exercise involves the following steps: developing an exercise planning timeline with milestones, selecting participants for an exercise planning team, and scheduling planning conferences. Project management skills are essential during the foundation phase of the exercise process.

### *Exercise Planning Timelines*

Exercise planning timelines establish target timeframes for attaining significant, exercise-related milestones, such as planning conferences, training, exercise conduct, after-action reporting, and improvement planning. These timelines should be consistent with the scheduling component of the entity's Multi-Year Training and Exercise Plan.

Timelines will vary based on exercise scope and complexity. For example, exercise planners generally employ longer timelines for tabletop exercises (TTXs) than for workshops and seminars, and even longer timelines for complex or multi-jurisdictional full-scale exercises (FSEs). Timelines also may vary based on the entity's experience in conducting exercises, available resources, and exercise planning team size. Examples of exercise planning timelines containing milestones are available in *Appendix C: Exercise Planning Timelines* and in HSEEP Volume IV.

### *Exercise Planning Team*

The exercise planning team is responsible for the successful execution of all aspects of an exercise, including exercise planning, conduct, and evaluation. The planning team determines exercise objectives; tailors the scenario to the entity's needs; and develops documents used in exercise simulation, control, and evaluation. While each exercise has its own planning team, personnel may carry over from one exercise to the next, and entities may find it advantageous to include team members with previous exercise planning experience.

The exercise planning team should seek to incorporate representatives from each major participating entity, but should be kept to a manageable size. The membership of an exercise planning team can be modified to fit the type or scope of an exercise. For example, an FSE may require more logistical coordination—and therefore more operational personnel on the planning team—than a discussion-based exercise.

An exercise planning team leader manages the exercise planning team. The team can most effectively be structured using Incident Command System (ICS) principles, as stated in the National Incident Management System (NIMS). The team's project management principles should reflect NIMS, with

clearly defined roles and responsibilities and a manageable span of control. Figure 3-1 depicts this type of exercise planning team organization.

Planning team members also help develop and distribute pre-exercise materials and conduct exercise briefings and training sessions. Due to this high level of involvement, planning team members are ideal selections for facilitator, controller, and/or evaluator positions during the exercise. However, the advanced scenario and events knowledge gained by exercise planning team members renders them ineligible to participate in the exercise as players. Planning team members are therefore asked to be "trusted agents" who should not release scenario-related information to players prior to an exercise.

**Figure 3-1:** *Depiction of an ICS-based exercise planning team*

### *Exercise Planning Conferences*

Table 3-1 provides an overview of the types of planning conferences—in typical chronological order—that have been found to be the most useful in the next phase in the exercise cycle, exercise design and development. Exercise scope, type, and complexity determine the number of meetings necessary to successfully carry out the planning process. See *Appendix C: Exercise Planning Timelines* for more detailed guidance on exercise planning timelines.

| Exercise Planning Conferences | Description | Exercise Type | Timing Prior to Exercise |
|---|---|---|---|
| Concept and Objectives (C&O) Meeting | ▪ Identifies the type, scope, objectives, and purpose of the exercise<br>▪ Is typically attended by the sponsoring agency, lead exercise planner, and senior officials | Large-scale, high profile or series of exercises | Prior to, or concurrently with, IPC |
| Initial Planning Conference (IPC) | ▪ Lays the foundation for exercise development<br>▪ Gathers input from exercise planning team on the scope, design, objectives, scenario, exercise location, schedule, duration, and other details required to develop exercise documentation<br>▪ Assigns responsibility to planning team members | All | Discussion-based: 3 months<br>Operations-based: 6 months |
| Mid-Term Planning Conference (MPC) | ▪ Resolves logistical and organizational issues that arise during planning such as staffing, scenario and time-line development, scheduling, logistics, administrative requirements, and draft documentation review<br>▪ May be held separately or in conjunction with a Master Scenario Events List (MSEL) Conference | Operations-based | 3 months |
| Final Planning Conference (FPC) | ▪ Uses a forum to review the process and procedures for exercise conduct, final drafts of exercise material, and logistical requirements<br>▪ Ensures there are no major changes made to the design or scope of the exercise or to any supporting documentation | All | Discussion-based: 6 weeks<br>Operations-based: 6 weeks |

**Table 3-1:** *Exercise Planning Conferences*

## Phase 2: Design and Development

The design and development process builds on exercise foundation and focuses on identifying objectives, designing the scenario, creating documentation, coordinating logistics, planning exercise conduct, and selecting a focus for evaluation and improvement planning. Each of these elements is discussed in more

detail in HSEEP Volume II and HSEEP Volume III. Templates for all documents can be found in HSEEP Volume IV.

### *Capabilities, Tasks, and Objectives*

Exercise capabilities, tasks, and objectives are the cornerstone of design and development. The exercise planning team must consider all of the capabilities being evaluated. Each capability has specific tasks associated with it that should be performed and validated during the exercise. These capabilities and tasks, derived from the Target Capabilities List (TCL) and Universal Task List (UTL), should be used to formulate exercise objectives that reflect the exercising entity's specific needs, environment, plans, and procedures. Exercise Evaluation Guides (EEGs), described in further under *Documentation*, contain these capabilities and critical tasks, which can be used to build objectives specific to the exercising entity.

Well-defined objectives provide a framework for scenario development, guide individual organizations' objective development, inform exercise evaluation criteria, and synchronize various agencies' efforts towards common goals to prevent duplication of effort and focus support on exercise priorities. The validation of capabilities is often accomplished by exercising and evaluating the agency plans or procedures that relate to the performance of the identified capabilities and tasks. HSEEP advocates the use of objectives that are simple, measurable, achievable, realistic, and task-oriented (SMART). Exercise planners should limit the number of exercise objectives to enable timely execution and to facilitate design of a realistic scenario.

### *Scenario*

A scenario provides the storyline that drives an exercise. The first step in designing a scenario is determining the type of threat/hazard (e.g., chemical, explosive, cyber, natural disaster) to be used in an exercise. The hazards selected for an exercise should realistically stress the resources an entity is attempting to improve through its exercise program. The scenario should also be a realistic representation of potential threats and hazards faced by the exercising entity.

The next step in designing a scenario is to determine the venue (i.e., facility or site) in which exercise play will take place. Venue selection should reflect the hazard selected, allowing for realistic, exercise-based simulation of the hazard.

### *Documentation*

The list below briefly describes the important document types associated with most exercises. The types of documentation described here are discussed in more detail in HSEEP Volume II.

- A **Situation Manual (SitMan)** is a participant handbook for discussion-based exercises, particularly TTXs. It provides background information on exercise scope, schedule, and objectives. It also presents the scenario narrative that will drive participant discussions during the exercise.
- An **Exercise Plan (ExPlan)**, typically used for operations-based exercises, provides an exercise synopsis and is published and distributed to players and observers prior to the start of the exercise. The ExPlan addresses exercise objectives and scope, and assigns roles and responsibilities that must be carried out for successful exercise execution. The ExPlan does not contain detailed scenario information, such as the hazard to be employed.
- A **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 is distributed only to those individuals specifically

designated as controllers or evaluators.

- A **Master Scenario Events List (MSEL)** is a chronological timeline of expected actions and scripted events (i.e., injects) to be inserted into exercise play by controllers in order to generate or prompt player activity. It ensures necessary events happen so that all exercise objectives are met.
- A **Player Handout** is a 1–2 page document, usually handed out the morning of an operations-based exercise, that provides a quick reference for exercise players on safety procedures, logistical considerations, exercise schedule, and other essential information.
- **EEGs** help evaluators collect and interpret relevant exercise observations. EEGs provide evaluators with information on what tasks they should expect to see accomplished or discussed during an exercise, space to record observations, and questions to address after the exercise as a first step in the analysis process and development of the After Action Report / Improvement Plan (AAR/IP). In order to assist entities in exercise evaluation, standardized EEGs have been created that reflect capabilities-based planning tools, such as the TCL and UTL. EEGs are not report cards—rather, they are intended to guide an evaluator's observations so that the evaluator focuses on capabilities and tasks relevant to exercise objectives to support development of the AAR/IP.
- Exercise **policies** are implemented 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 entity conducting the exercise.

### *Logistics*

Logistical details are important (but often overlooked) aspects of an exercise. They can make the difference between a smooth, seamless exercise and one that is confusing and ineffective. Discussion-based exercises require attention to logistical details, such as the availability of appropriately sized and comfortable meeting and briefing rooms, food and refreshments, audiovisual equipment, facilitation and note-taking supplies, badges and table tents, registration assistance, and direction signs. Operations-based exercises require badge/role identification, access to restrooms, food and water, on-site communications, arrangement of videotaping, props, site security, adherence to the weapons check policy, and observation of safety precautions.

## Phase 3: Exercise Conduct

After design and development activities are complete, the exercise takes place. Prominent steps in exercise conduct include setup; briefings; management of facilitators, controllers, evaluators, players, and actors; and wrap-up activities.

### *Setup*

The exercise planning team should visit the exercise site at least 1 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.

For a discussion-based exercise, room layout is particularly important. When setting up 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 must be available to all participants, observers, and actors. All individuals permitted at the exercise site must 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 necessary exercise-related information to participants. 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, actors, players, and observers/media. Briefings and presentations are opportune times to distribute exercise documentation, provide necessary instructions and administrative information, and answer any outstanding questions.

### *Personnel*

In both discussion-based and operations-based exercises, **facilitators** and **controllers** guide exercise play. During a discussion-based exercise, the facilitator is responsible for ensuring that participant discussions remain focused on the exercise objectives and making sure all issues and objectives are explored as thoroughly as possible within the available time. In an operations-based exercise, controllers plan and manage exercise play, set up and operate the exercise incident site, give key data to players, and may prompt or initiate certain player actions. All controllers are accountable to one senior controller.

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

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

**Actors** are volunteers who simulate specific roles, such as disaster casualty victims, in order to add realism to an exercise.

**Simulators**, generally controllers, perform the roles of individuals, agencies, or organizations that are not actually participating in the exercise in order to drive realistic exercise play.

## Phase 4: Evaluation

Evaluation is the cornerstone of exercises; it documents strengths and areas for improvement in an entity's preparedness. The analytical outputs of the evaluation phase feed improvement planning activities. Evaluation takes place using pre-developed EEGs, such as the standardized EEGs provided in HSEEP Volume III.

The evaluation process for all exercises includes a formal exercise evaluation, integrated analysis, and drafting of an AAR/IP.

### *Hot Wash and Debrief*

Both hot washes (for exercise players) and debriefs (for facilitators, or controllers and evaluators) follow discussion- and operations-based exercises.

A hot wash is conducted in each functional area by that functional area's controller or evaluator immediately following an exercise, and it allows players the opportunity to provide immediate feedback. A hot wash enables controllers and evaluators to capture events while they remain fresh in players' minds in order to ascertain players' level of satisfaction with the exercise and identify any issues, concerns, or proposed improvements. The information gathered during a hot wash can be used during the AAR/IP

process, and exercise-specific suggestions can be used to improve future exercises. Hot washes also provide opportunities to distribute Participant Feedback Forms, which solicit suggestions and constructive criticism geared toward enhancing future exercises.

A debrief is a more formal forum for planners, facilitators, controllers, and evaluators to review and provide feedback on the exercise. It may be held immediately after or within a few days following the exercise. The exercise planning team leader facilitates discussion and allows each person an opportunity to provide an overview of the functional area observed. Discussions are recorded, and identified strengths and areas for improvement are analyzed for inclusion in the AAR/IP.

### *After Action Report / Improvement Plan*

An AAR/IP is used to provide feedback to participating entities on their performance during the exercise. The AAR/IP summarizes exercise events and analyzes performance of the tasks identified as important during the planning process. It also evaluates achievement of the selected exercise objectives and demonstration of the overall capabilities being validated. The IP portion of the AAR/IP includes corrective actions for improvement, along with timelines for their implementation and assignment to responsible parties.

To prepare the AAR/IP, exercise evaluators analyze data collected from the hot wash, debrief, Participant Feedback Forms, EEGs, and other sources (e.g., plans, procedures) and compare actual results with the intended outcome. The level of detail in an AAR/IP is based on the exercise type and scope. AAR/IP conclusions are discussed and validated at an After Action Conference that occurs within several weeks after the exercise is conducted.

## Phase 5: Improvement Planning

During improvement planning, corrective actions from the AAR/IP—such as additional training, planning, and/or equipment acquisition—are assigned, with due dates, to responsible parties. They are then tracked to completion, ensuring that exercises result in tangible benefits to preparedness.

### *Improvement Plan*

The IP portion of an AAR/IP converts lessons learned from the exercise into concrete, measurable steps that result in improved response capabilities. It specifically details the actions that the participating entity will take to address each recommendation presented in the draft AAR/IP, who or what agency will be responsible for taking the action, and the timeline for completion.

### *Improvement Tracking and Planning*

Once recommendations, corrective actions, responsibilities, and due dates are clearly identified in the IP, the exercising entity ensures that each corrective action is tracked to completion. Exercising entities review all exercise evaluation feedback and resulting IPs to assess progress on enhancing preparedness. This analysis and information is incorporated into the capabilities-based planning process because it may identify needs for additional equipment, training, exercises, coordination, plans, and/or procedures that can be validated through future exercises. Continual IP tracking and implementation should be part of a corrective action program within each participating entity. A corrective action program ensures IPs are living, breathing documents that are continually monitored and implemented, and that they are part of the larger cycle of improving preparedness.

# Chapter 4: Capabilities-Based Exercises and Program Management

To meet the requirements of Homeland Security Presidential Directive 8 (HSPD-8), the Homeland Security Exercise and Evaluation Program (HSEEP) has adopted a capabilities-based approach to exercise program management, foundation, design, development, conduct, evaluation, and improvement planning. Capabilities-based planning is defined as planning, under uncertainty, to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. Capabilities-based planning addresses uncertainty by analyzing a wide range of realistic scenarios to identify required capabilities, and is the basis for guidance such as the National Preparedness Goal, Target Capabilities List (TCL), and Universal Task List (UTL). Capabilities-based planning should be incorporated throughout the cycle of preparedness, to include plans, training, equipment, as well as exercises.

## Capabilities-Based Exercise Program Management

Entities should use a wide range of scenarios to exercise their capabilities to prevent, protect against, respond to, and recover from incidents involving varying threats, hazards, or sets of conditions. Capabilities-based planning provides the foundation for developing exercise program objectives, identifying sets of capabilities to exercise, and determining the conditions and scenarios that should be included and addressed in exercises. Rather than continually trying to predict the next threat or hazard that an entity may face, a capabilities-based approach to exercising allows exercise program managers and planners to focus on the capabilities (e.g., evacuation, mass care) that are inherent to a variety of scenarios (e.g., hurricanes, improvised nuclear devices).

Several tools are available to support the capabilities-based planning process and assist in aligning preparedness activities, including exercises, under the National Preparedness Goal. This chapter discusses these tools and provides guidance on how exercise program managers and planners can use capabilities-based planning to optimize their exercises.

### *Background*

HSPD-8 required the creation of a National Preparedness Goal. On March 31, 2005, the U.S. Department of Homeland Security (DHS) issued the Interim National Preparedness Goal. It enables the Nation to answer the following three fundamental questions:

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

In order to answer the first question, DHS developed the TCL, which identifies the capabilities the Nation needs to prepare for, prevent, respond to, and recover from incidents of national significance, including terrorism or natural disasters. The TCL is designed to assist entities in understanding what their preparedness roles and responsibilities are during a major incident.

While the TCL describes the capabilities the Nation must build, the UTL, a companion document, describes the specific tasks that might be performed during an incident. The TCL also specifically enumerates *critical tasks*, which have been derived from the UTL and are defined as tasks that "must be performed during a major event to prevent (re)occurrence, reduce loss of life or serious injuries, or

mitigate significant property damage, or are essential to the success of a homeland security mission." The UTL describes what tasks need to be performed. Federal, State, local, and tribal entities and the private sector reserve the flexibility to determine who performs the tasks and how to perform them. No single entity is expected to perform all of the tasks; therefore, tasks are chosen based on entities' specific roles, missions, and functions. Entities at all levels of government use the UTL as a reference to help them plan, organize, equip, train, exercise, and evaluate personnel and organizations for the tasks they may need to perform before, during, and after major incidents. Both the UTL and TCL are considered "living" documents that will continue to be refined over time.

This chapter provides guidance on how to manage an exercise program in accordance with the principles of capabilities-based planning. It also provides examples of how capabilities-based planning can help the design, conduct, and evaluation of specific exercises. Many of these concepts are further defined or described in *Chapter 3: Exercise Program Management Overview*, and in HSEEP Volumes II and III.

### *Capabilities-Based Planning Tools in Exercise Program Management*

The creation of capabilities-based exercise programs begins with a Multi-Year Training and Exercise Plan. The Multi-Year Training and Exercise Plan identifies an entity's priorities as articulated in the entity's strategy, and identifies the capabilities that are most relevant to achieving those priorities. It then outlines a multi-year schedule of training and exercise activities that an entity will undertake to enhance and validate its capabilities (See Figure 4-1).

**2005**

| Jurisdiction | Q1 | Q2 | Q3 | | Q4 |
|---|---|---|---|---|---|
| Region 1 | Training: NIMS | NIMS TTX | Training: Interoperable Communications | Joint Interoperable Comms TTX | Joint Interoperable Communications Full-Scale Exercise |
| Region 2 | Training: Interoperable Communications | Interoperable Communications TTX | Training: Interoperable Communications | | |
| Region 3 | Training: NIMS | Training: Interoperable Communications | NRP TTX | | |

Exercises Training

**Table 4-1:** *National multi-year training and exercise schedule*

A Multi-Year Training and Exercise Plan is developed in the context of a broader cycle of preparedness, which also includes equipment purchases; staffing decisions; and the development of plans, policies, and procedures. Training and exercise programs are most effective when the entire cycle of preparedness is aligned toward the development of specific capabilities.

For example, if a region conducted several exercises in a given year, and found that the most prominent recommendation from exercise After Action Reports / Improvement Plans (AARs/IPs) was to improve interoperable communications for responding agencies, then that region would focus its preparedness cycle activities on capabilities directly related to interoperable communications. It would begin by updating its communications standard operating procedures (SOPs) and purchasing new equipment to enhance interoperability. Next, the region would conduct a Training and Exercise Plan Workshop

(T&EPW), and from that workshop, develop a Multi-Year Training and Exercise Plan to target training and exercise activities toward strengthening and validating capabilities relevant to interoperable communications. The key steps in creating a Multi-Year Training and Exercise Plan are as follows:

1. **Identify preparedness priorities.** Such priorities are derived from National Preparedness Goal priorities, previous AAR/IPs, an entity's risk and vulnerability assessments, and/or existing capabilities that need to be validated.

   *In the example, the region would identify interoperable communications as a priority by referencing previous AARs/IPs, as well as the National Preparedness Goal's National Preparedness Priorities, which include "Strengthen Interoperable Communications Capabilities."*

2. **Identify capabilities relevant to priorities.** An entity selects capabilities for which to train and validate through the use of exercises. Entities use the TCL to identify capabilities relevant to their priorities, and they select a range of priorities for which they can realistically train and exercise.

   *In the example, the region would select the TCL's Interoperable Communications Capability for improvement through training, then validate it through exercises.*

3. **Schedule training and exercises that enhance and validate identified capabilities.** Entities employ a building-block approach, depicted in Figure 2-1, for training courses and exercises, with training and exercise activities gradually increasing in difficulty and complexity. Training courses are scheduled strategically to prepare responders for scheduled exercises.

   *In the example, the region would begin its Multi-Year Training and Exercise Plan schedule with training activities focusing on interoperable communications or multi-agency coordination, such as National Incident Management System (NIMS) training courses. Training would be followed by a series of exercises, of increasing complexity, focused on validating the plans, equipment, and training relevant to interoperable communications capabilities. The scenario employed for the exercises would be based on the region's threat/vulnerability analysis as well as a scenario best suited to validate the interoperable communications capability. The sequence for the Multi-Year Training and Exercise Plan could be to:*

   - *begin with a seminar to review and discuss the revised communications SOPs;*
   - *continue with tabletop exercises (TTXs) in which representatives from various response disciplines discuss the communications challenges posed by a potential improvised explosive device (IED) incident, and validate their planned response procedures;*
   - *continue with multiple functional exercises (FEs) focused on interoperable communications among different jurisdictions and agencies at various stages of response to an IED incident; and*
   - *culminate in a full-scale exercise (FSE) that validates the effectiveness of existing communications plans and resources throughout all phases of IED response and recovery.*

For more information about the different types of exercises and/or the Multi-Year Training and Exercise Plan, see *Chapter 3: Exercise Program Management Overview*.

## Planning, Conducting, and Evaluating Capabilities-Based Exercises

Once a Multi-Year Training and Exercise Plan is developed, it is executed and implemented in accordance with the schedule. Successfully executing each exercise activity scheduled in an entity's

multi-year plan relies on completion of an exercise cycle consisting of the five phases described in Chapter 1 (foundation, design and development, conduct, evaluation, and improvement planning).

The requirements for each phase of the exercise cycle are described in detail in *Chapter 3: Exercise Project Management Overview*. The sections that follow discuss how to incorporate capabilities-based planning into each of the five phases.

### *Foundation*

The foundation of individual exercises is a group of planning activities that ensures success. These planning activities consist of:

- establishing a base of support from the appropriate entities, and/or senior officials;
- forming an exercise planning team;
- scheduling planning conferences; and
- creating a detailed project management timeline.

These activities should be undertaken with an awareness of the targeted evaluation and improvement capabilities. For a detailed discussion of these foundational activities, see HSEEP Volume II.

### *Design and Development*

The capabilities identified in an entity's Multi-Year Training and Exercise Plan are the starting point for exercise design and development. Exercises are designed to measure and validate performance of these capabilities.

Creating exercise objectives that reflect an entity’s capabilities, and the critical tasks associated with those capabilities, is crucial to successful exercise design, development, and evaluation. The Exercise Evaluation Guides (EEGs), described in further detail below, are derived from the TCL and UTL to provide a baseline for exercise evaluation. Once capabilities, activities, and tasks are identified, exercise objectives can be designed based on the entity’s particular plans, policies, and procedures. Exercise objectives should be simple, measurable, achievable, realistic, and task-oriented (SMART).

*In the example, for the Joint Interoperable Communications FSE, the region might select the following tasks from the Interoperable Communications EEG: implement response communications interoperability plans and protocols; establish an Incident Command Post (ICP) in a location that is safe and appropriate to facilitate communications; and designate a communications unit leader (COML), as appropriate, and announce to all relevant personnel who will carry out COML responsibilities. Based on these tasks, the region may design the following objective based on a participating jurisdiction’s SOPs and emergency operations plans (EOPs): Examine the ability of Jones County Emergency Medical Service (EMS) to communicate directly with the Jones County Emergency Operations Center (EOC) using the 800-megahertz (MHz) system.*

**Figure 4-1:** *Referencing capabilities and tasks to create exercise objectives and scenarios*

The National Planning Scenarios, which were developed by a Federal Interagency working group and contain 15 scenarios illustrating a current range of threats and hazards the Nation faces, can provide a useful tool in exercise scenario design. However, while exercise planners may use the National Planning Scenarios as a reference or model for their exercise's scenario, *exercising entities are not expected to replicate the National Planning Scenarios in their exercises.* The National Planning Scenarios were used as a tool to derive the TCL and UTL. Now that the TCL and UTL exist, planners should develop scenarios capable of validating their capabilities, tasks, and objectives, while providing a vehicle for exercise play that realistically reflects the hazards and threats their jurisdictions or organizations face (i.e., risk/vulnerability analysis).

The design and development phase of the exercise cycle also includes creating documentation, performing logistical planning, and selecting EEGs that match the capabilities, tasks, and objectives that will be validated during the exercise.

### *Conduct*

Exercise conduct validates the performance of objectives based on capabilities and tasks through effective execution of the scenario as well as pre-developed and ad-hoc injects. If used, injects are designed to stress the level of capability that already exists, without overwhelming participants.

### *Evaluation*

Exercises should be performance-based and require demonstration, practical application, and evaluation of proficiency in the discrete, essential tasks that enable a mission to be successfully accomplished. Discussion-based exercises—seminars, workshops, TTXs, and games—provide forums for reviewing the adequacy of plans, policies, functions, and interagency/inter-jurisdictional agreements. During these exercises, evaluators observe discussions to assess the adequacy of and familiarity participants have with plans, resources, and relationships. Operations-based exercises—drills, FEs, and FSEs—are designed to validate personnel training and equipment performance in meeting critical tasks, capability outcomes, and missions. During these exercises, evaluators observe and assess actual performance in preventing or responding to a simulated disaster.

Exercises are evaluated against the relevant activities and tasks that are linked to each capability in the TCL. This can be done through the use of EEGs, which are mapped to the TCL and UTL.

Entities may prepare briefings to familiarize evaluators with personnel, resources, and technical issues pertaining to the performance of priority capabilities and associated critical tasks, while providing a clear framework for critical task performance evaluation. Evaluators are then strategically positioned to observe and record successes or shortcomings in performance of priority capabilities and critical tasks.

Exercises are immediately followed by a hot wash (for players) and/or debrief (for controllers, moderators, and evaluators), during which issues and observations arising from the exercise are discussed.

During these events, moderators or discussion leaders center discussions largely on the capabilities and critical tasks on which the exercise is focused. Issues and observations recorded during the exercise, as well as those recorded during post-exercise discussions, are captured in an AAR/IP. Once the AAR/IP is drafted, exercise planners may schedule an After Action Conference to specifically address AAR recommendations in the IP. Overall, the AAR/IP focuses on results in meeting TCL activities for priority capabilities and critical tasks.

*Continuing with the example of the regional Joint Interoperable Communications FSE, an evaluator assigned to evaluate ICP operations might observe and record the following critical tasks being performed: implement response communications interoperability plans and protocols; establish an ICP in a location that is safe and appropriate to facilitate communications; and designate a COML, as appropriate, and announce to all relevant personnel who will carry out COML responsibilities. These observations, when coupled with those of other evaluators and information gathered during the hot wash and debrief, might then result in the determination that the region had fully demonstrated the Interoperable Communications capability that was the focus of the exercise.*

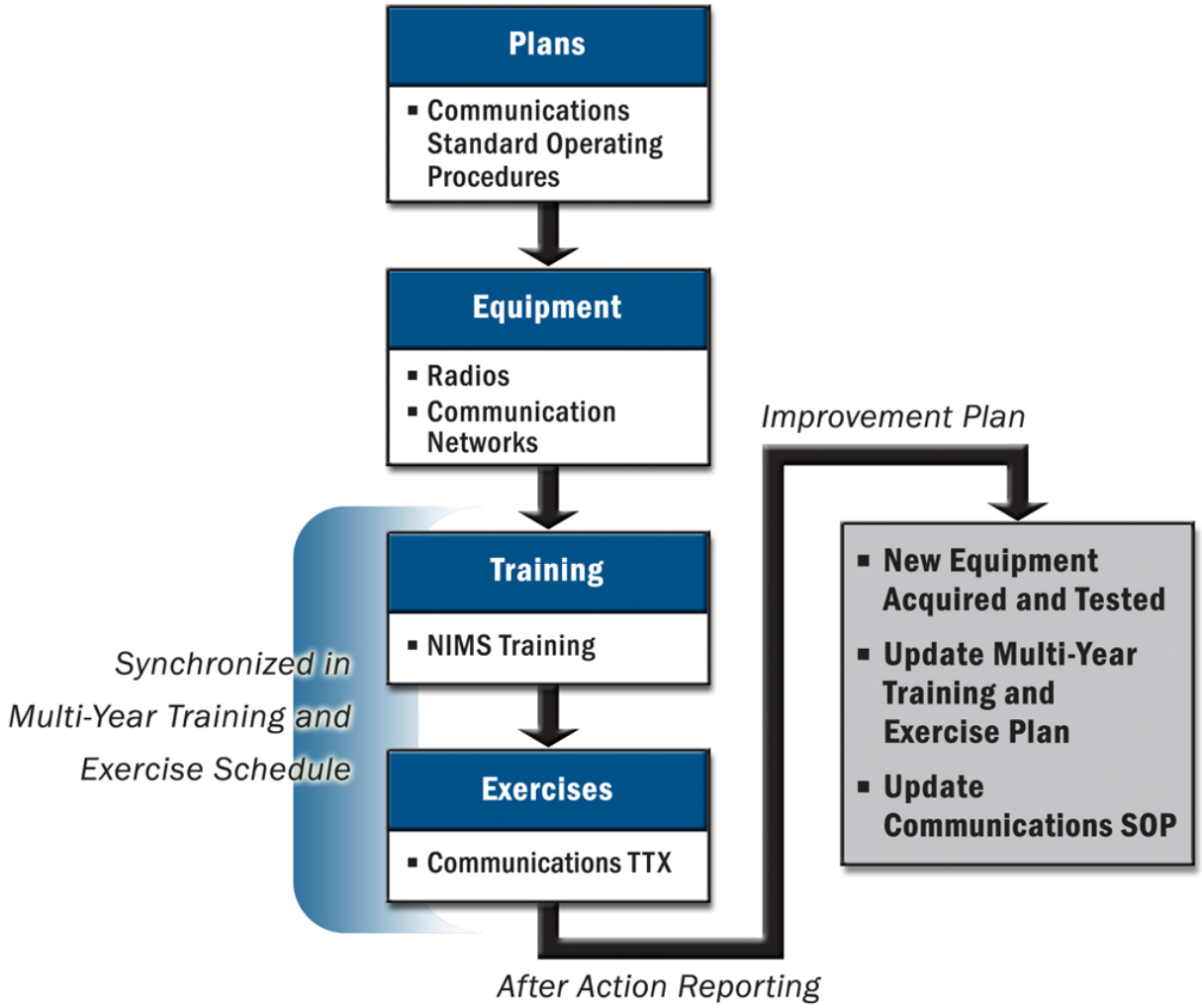



**Figure 4-2:** *Improvement planning in the preparedness cycle*

### *Improvement Planning*

Once recommendations have been documented in the AAR/IP and discussed at the After Action Conference, it is necessary to identify corrective actions for improvement and to pursue their implementation by assigning responsibility and due dates. Once corrective actions are finalized, program managers prioritize, track, and analyze them as part of a continuous Corrective Action Program (CAP). The corrective actions identified in the previous year's exercise IPs should be reflected in the following year's Multi-Year Training and Exercise Plan and schedule. Once completed, these corrective actions should be implemented and validated through subsequent exercises or real-world events through the CAP, which drives the exercise program management cycle. This concept is illustrated in Figure 4-3.

*Following the regional example described earlier in this chapter, if a post-exercise evaluation concluded that the region's emergency response personnel needed to create standardized terminology for evacuation procedures, then the region's next Multi-Year Training and Exercise Plan would address this issue by scheduling of drills or exercises designed to test whether or not a standard terminology had been introduced and successfully incorporated into SOPs and EOPs.*

By tying all phases of an exercise—from foundation to improvement planning—to the TCL and other capabilities-based planning guidance, exercise managers can ensure that their exercise activities effectively practice, evaluate, and improve the preparedness capabilities that are identified as priorities at Federal, State, local, and tribal levels and within the private sector.

# Appendix A: Exercise Programs and Resources

## Department of Homeland Security

The U.S. Department of Homeland Security (DHS) provides a range of assistance to assist entities with implementing effective exercises. Types of DHS assistance are described in this section.

### *Grant Funds*

States receive an annual allocation of grant funds from DHS and may use a portion of the funds to enhance their State and local prevention and response capabilities through terrorism exercises. These grant funds, which must be used in accordance with the State Homeland Security Strategy, are described in more detail in the Homeland Security Grant Program application for the most recent fiscal year, available at http://www.dhs.gov. Grant funds can be combined with funds from other agencies to support a single exercise or set of exercises.

### *Exercise Training*

#### Independent Study

The Federal Emergency Management Agency's (FEMA's) Emergency Management Institute (EMI) is working to incorporate Homeland Security Exercise and Evaluation Program (HSEEP) guidance and methodology into a variety of its existing exercise training courses. Periodic EMI newsletters describe course content and availability. Additional information is available at http://training.fema.gov/EMIWeb.

#### HSEEP Mobile Course

This scalable, modular course walks students through the full spectrum of exercise program management, foundation, design, development, conduct, evaluation, and improvement planning. It is intended for use by exercise program managers, planners, controllers, evaluators, and elected officials at the Federal, State, and local level.

The course is 3 days in length with a class size of approximately 50 students. Throughout the course, students are grouped into teams and complete 17 activities that apply the knowledge learned in the modules. It also covers new initiatives and updated policy including the HSEEP Toolkit, Target Capabilities List (TCL), and Universal Task List (UTL).

#### Master Exercise Practitioner Program

The 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 students to complete 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 self-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 courses to emergency management exercises. Additional information is available at http://training.fema.gov/EMIWeb.

### State-Provided Exercise Training

Many States offer exercise design, conduct, evaluation, and program management courses through State-run training centers or in conjunction with Federal agencies. For example, the California Office of Emergency Services' Readiness Program includes several exercise-related training courses for members of the California homeland security community. New Jersey and New York engage responders in and provide credit for participation in the FEMA Professional Development Series and Advanced Professional Series, each of which involve exercise design and management courses. Numerous States, such as Florida, provide regular HSEEP evaluation methodology training for exercise planners statewide.

## *Technical Assistance*

DHS provides technical assistance (TA) to help jurisdictions and organizations resolve problems and/or create innovative approaches to preparedness. TA is available to conduct workshops; address the findings of After Action Reports / Improvement Plans (AARs/IPs); prepare entities to conduct prevention exercises; guide the use of capabilities-based planning tools; and assist with other program-focused activities.

## *Technology*

### HSEEP Website

All HSEEP reference manuals and materials are available through the HSEEP website (http://hseep.dhs.gov), which contains links to all of the HSEEP volumes, as well as other HSEEP-related initiatives (i.e., HSEEP Toolkit, HSEEP training, and other exercise resources)

### HSEEP Toolkit

The HSEEP Toolkit is an interactive, online tool for exercise scheduling, design, development, conduct, evaluation, and improvement planning. The HSEEP Toolkit can be accessed from the HSEEP website, and includes the following sub-component systems:

- The National Exercise Schedule (NEXS) System is the Nation's online comprehensive tool that facilitates scheduling, de-confliction, and synchronization of all national-level, Federal, State, and local exercises.
- The Design and Development System (DDS) is a project management tool and comprehensive tutorial for the design, development, conduct, and evaluation of exercises. The DDS provides users with the appropriate templates and guidance for developing timelines, planning teams, and exercise documentation (e.g., Situation Manuals [SitMans], Exercise Plans [ExPlans]).
- The Corrective Action Program (CAP) System is a web-based application that enables Federal, State, and local officials to identify, prioritize, track, and analyze the recommendations and IPs developed from exercises and real-world incidents. Features of the CAP System include IP creation and maintenance, corrective action assignment and tracking, and reporting and analysis. The CAP System is the technological backbone for the improvement planning process described in *HSEEP Volume III: Exercise Evaluation and Improvement Planning*.

### Lessons Learned Information Sharing

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 nationwide. Lessons learned encompass knowledge and experience (positive and negative) derived from observations and historical study of actual operations, training, and exercises. Best practices encompass peer-validated techniques,

procedures, and solutions that work and are solidly grounded in actual operation, training, and exercise experience. Exercise AARs should identify lessons learned and highlight exemplary practices, and they may be submitted for inclusion in the Lessons Learned Information Sharing (LLIS) database, located at http://www.llis.gov, which serves as a national network for generating, validating, and disseminating lessons learned and best practices.

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 preparedness documents, exercises, events, and news.

### *Direct Exercise Support*

DHS has engaged multiple contractors with significant experience in designing, conducting, and evaluating exercises to provide support to State, local, and tribal entities in accordance with State Homeland Security Strategies and HSEEP. Contract support is available to help States develop a Multi-Year Training and Exercise Plan and build or enhance the capacity of State, local, and tribal entities to design, develop, conduct, and evaluate effective exercises while simultaneously aligning the exercises with NEXS. Exercises conducted using direct support can help State, local, and tribal governments and their Federal interagency counterparts build self-sustaining exercise programs, demonstrate compliance with HSEEP, and provide best practices for future exercises.

### *Chemical Stockpile Emergency Preparedness Program*

The Chemical Stockpile Emergency Preparedness Program (CSEPP) is a partnership between DHS's Office of the Chemical and Nuclear Preparedness and Protection Division (CNPPD) and the U.S. Army that aims to assist communities surrounding the seven U.S. chemical stockpile sites to enhance their abilities to respond to a chemical agent emergency. CSEPP is a federally mandated program and is governed by Public Laws (P.L.) 99-145, 104-201, and 105-262; various Army Regulations; and memoranda of understanding (MOUs) between DHS/FEMA and the U.S. Army. The U.S. Army provides funding through DHS/CNPPD to the participating States and counties via negotiated Cooperative Agreements (CAs). CSEPP exercises focus on partnerships among Federal, State, tribal, and local entities involved in the program. The States administer CSEPP.

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 enjoys partnerships with other public safety organizations to ensure that the knowledge gained has the greatest benefit for the most people. Specifically, CSEPP:

- conducts full-scale exercises (FSEs), functional exercises (FEs), drills, and tabletop exercises (TTXs) that improve readiness and employ peer evaluations;
- improves public warning and communication capabilities;
- builds and upgrades state-of-the-art Emergency Operations Centers (EOCs);
- trains emergency managers and first responders;
- provides collective protection to special facilities to ensure the safety of vulnerable populations;
- studies emergency response options to determine the best way to protect communities;
- trains doctors, nurses, and other first responders how to treat victims of chemical agent exposure;

- uses the Integrated Process Team (IPT) at both the community level and national level to resolve issues and develop program guidance;
- conducts aggressive, community-based public outreach and training programs to train emergency planners and responders, residents of the communities, and special populations in all aspects of the chemical threat and potential protective actions; and
- develops and distributes a series of *Emergency Planners Companion* Internet and compact-disc (CD)-based courses; a series of digital video discs (DVDs) addressing *Shelter in Place*, *Evacuation*, and *Exposure and Contamination* to chemical and biological agents; and a medical curriculum addressing chemical, biological, and radiological threats.

### *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.

### *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) incident. Through preparation and coordination, local law enforcement, fire, hazardous materials (HazMat), Emergency Medical Service (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.

### *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 Code of Federal Regulations (CFR) 300, PREP focuses on exercising and evaluating Government-area contingency plans and industry-spill response plans (for oil and hazardous substances). PREP is a coordinated effort of the following 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 (DOT's) Research and Special Programs Administration (RSPA), and the U.S. Department of the Interior's (DOI'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 three-year cycle.

Most of these exercises are conducted wholly within the plan holder's organization each year and include the following:

- 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 (conducted semi-annually if owned, annually if contracted)
- An annual spill management team exercise to assess plan holders' spill response management organization and its ability to implement and manage response plan strategies and resources
- An unannounced exercise using one or more of the above exercise types to assess ongoing readiness to respond quickly in an emergency (conducted at least annually)

Government and industry plan holders also interact in external exercises. For example, once every three 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 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. 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 non-emergency environment. The program's major objectives are as follows:

- 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 of agency heads and lawmakers in Washington, D.C., regarding their role during a SONS response

A SONS exercise typically consists of field, regional, and headquarters personnel and resources all connected by a common scenario. The field-level exercise is an 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; it also 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.

## Department of Health and Human Services

### *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.

In the Homeland Security Act of 2002, DHS defines the goals and performance requirements of the Strategic National Stockpile (SNS)—formerly the National Pharmaceutical Stockpile (NPS)—program, and DHS also manages the deployment of its assets. In 2004, management of the program was returned to the U.S. Department of Health and Human Services (HHS). HHS works with DHS and other governmental and nongovernmental 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 exercise—defined as an exercise that involves deployment of personnel and material—each month. The SNS Exercise Life Cycle is comprised of the receipt, processing, and approval of requests for exercise participation. The SNS Exercise Life Cycle spans more than 10 months—9 months prior to the exercise and 1 month after the date of the exercise. Requests for SNS exercise support to exercising States or local jurisdictions 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.

# Appendix B: Glossary

| Term | Acronym | Definition |
|---|---|---|
| Actor | | Actors are typically volunteer personnel responsible for simulating a specific role in an exercise. Actors are vital to creating a realistic scenario and can play a variety of roles. For example, actors can simulate victims of a disaster, be civilians receiving prophylaxis, or friends and family of victims. |
| Actor Briefing | | An actor briefing is generally conducted the morning of the exercise and provides *actors* with an overview of the exercise (e.g., schedule, safety information, actual emergency instructions, role and responsibilities, and acting instructions). Identification badges and/or *symptomology cards* should be distributed before or during this briefing. If *moulage* is to be applied to actors, it should be completed before the briefing. Actor instructions or identification tags tell volunteers about any special considerations about the exercise. |
| After Action Conference | | As soon as possible after completion of the draft *After Action Report (AAR)*, the *lead evaluator*, members of the *evaluation team*, and other members of the *exercise planning team* should conduct an After Action Conference to present, discuss, and refine the draft AAR, and to develop an Improvement Plan (IP). This conference is a chance to present the AAR to *participating* entities in order to solicit feedback and make necessary changes. A list of corrective actions should be generated identifying what will be done to address the *recommendations*, who (what agency or person) is responsible, and the timeframe for implementation. |

| Term | Acronym | Definition |
|---|---|---|
| After Action Report / Improvement Plan | AAR/IP | The main product of the evaluation and improvement planning process is the AAR/IP. The AAR/IP has two components: an AAR, which captures observations of an exercise and makes *recommendations* for post-exercise improvements; and an IP, which identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion. The *lead evaluator* and the *exercise planning team* draft the AAR and submit it to conference participants prior to the After Action Conference. The draft AAR is completed first and distributed to conference participants for review no more than 30 days after exercise conduct. The final AAR/IP is an outcome of the After Action Conference and should be disseminated to participants no more than 60 days after exercise conduct. Even though the AAR and IP are developed through different processes and perform distinct functions, the final AAR and IP should always be printed and distributed jointly as a single AAR/IP following an exercise. |
| Agent Fact Sheet | | The Agent/Source Fact Sheet contains specific information regarding the *scenario* agent or radiological source (e.g., anthrax, smallpox, cesium) used in an exercise. Fact sheets might include properties, symptoms, effects, lethality, transmissibility, decontamination, or prophylaxis methods. (Note: In a radiological scenario, it is not an agent, it is a “source.”) |

| Term | Acronym | Definition |
|---|---|---|
| Analysis | | **Exercise Data Analysis** is consolidated and transformed into narratives that address the course of exercise play, demonstrated strengths, areas for improvement, and performance ratings appropriate for inclusion in the AAR/IP. Because *operations-based* exercises yield greater amounts of data, operations-based exercises require more thorough and involved data analysis than do *discussion-based* exercises.<br><br>**Capability-Level Analysis** assesses if the *participants*, as a whole, achieved the expected *capability* outcomes.<br><br>**Integrated Timeline Analysis** is the reconstruction of the activities that occurred during the exercise. *Participants* use the timeline to identify discrepancies between what happened and what was supposed to happen and to develop *recommendations* to address those gaps.<br><br>**Root-Cause Analysis** of the integrated timeline focuses on identifying the most basic causal factor for why an expected action did not occur or was not performed as expected.<br><br>**Task-Level Analysis** examines the ability of individual players or functional areas to perform a required task during an exercise. Task-level analysis can help identify the shortcomings or errors preventing demonstration of a *capability*. Task-level analysis is useful for entities to analyze shortcomings and target planning, equipment, and training resources optimally to improve their capabilities.<br><br>**Task-Level Performance Analysis** describes the ability of individual players or teams to perform a required task during an exercise. It answers the question, “Did the individuals or team carry out the task in the way that you expected and in a way that achieved the function goal?”<br><br>**Mission-Level Performance Analysis** assesses the ability of the intergovernmental community as a whole (i.e., across disciplines and jurisdictions) to achieve the expected outcomes in responding to an incident. It answers the question, “How prepared is the community to prevent or respond to and recover from a terrorist attack or natural disaster?” |
| Analytical Red Teaming | | In *prevention* exercises, analytical red teaming is a *discussion-based* technique used to employ an adversary’s perspective to advance security by providing an alternative view of threats, vulnerabilities, and countermeasures. |

| Term | Acronym | Definition |
|---|---|---|
| Assembly Area | | The assembly area is the gathering place for deployable resources (e.g., fire engines, police cars) before the start of an *operations-based* exercise. The assembly area simulates each department or agency's home station or office. The assembly area provides a safer and more controlled environment than deploying apparatus from each agency's home station. In order to realistically simulate the response from the agency's home station or office, response times should be collected for each unit, so units can be appropriately released from the assembly area after they have been dispatched. The assembly area should *not* be confused with the staging area established by Incident Command during exercise play. |
| Assembly Area Controller | | The assembly area controller is responsible for the logistical organization of the *assembly area,* including placement locations for units and coordination of exiting patterns for dispatched units. |
| Attack Tree | | The attack tree is a tool used during *prevention* exercises that provides the *exercise planning team* with a visual representation of the anticipated and potential paths an adversary can take to execute an attack. It is useful for both planning and evaluating exercises. |
| Base of Support | | Base of support is a concept of support or "buy-in" from the appropriate senior officials and/or private sector executive-level for the conduct of an exercise or execution of an exercise program. Establishing this base of support indicates that an exercise's *purpose* and *objectives* are concurrent with strategic and organizational goals and objectives. |
| Best Practices | | Best practices are peer-validated techniques, procedures, and solutions that prove successful and are solidly grounded in actual experience in operations, training, and exercises. AAR/IPs should identify *lessons learned* and highlight *best practices*. Many of these can be found on www.llis.gov, the U.S. Department of Homeland Security's (DHS's) lessons learned / best practices portal. |
| Blue Team | | In *prevention* exercises, the Blue Team consists of briefed players and other organizations and agencies participating in a prevention-focused exercise that are not part of the *Red Team*. [See also *friendly force*.] |

| Term | Acronym | Definition |
|---|---|---|
| Building-Block Approach | | The building-block approach focuses on exposing participants to a cycle of training and exercises that escalates in complexity, with each exercise designed to build upon the last, in terms of scale and subject matter. For example, a building-block series of exercises may include a *seminar*, which leads to a *tabletop exercise (TTX)*, which leads to a *full-scale exercise (FSE)*. |
| Capabilities-Based Planning | | Capabilities-based planning is defined as planning, under uncertainty, to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. It addresses uncertainty by analyzing a wide range of realistic *scenarios* to identify required *capabilities*, and it is the basis for guidance such as the *National Preparedness Goal*, *Target Capabilities List (TCL)*, and *Universal Task List (UTL)*. |
| Capability | | A capability may be delivered with any combination of properly planned, organized, equipped, trained, and exercised personnel who achieve the intended outcome. Descriptions of these combinations can be found in the *TCL* for each capability. This combination of resources provides the means to accomplish one or more *tasks* under specific conditions and meet specific performance standards. |
| Chemical Stockpile Emergency Preparedness Program | CSEPP | CSEPP was developed to safeguard against increased hazards associated with critical infrastructure and hazardous materials. It contributed to the development of the *Homeland Security Exercise and Evaluation Program (HSEEP)* evaluation methodology. |
| Concept and Objectives Meeting | C&O Meeting | The C&O Meeting is the formal beginning of the exercise planning process. It is held to ensure that exercise planners agree upon the already-identified type, *scope*, *capabilities*, *objectives*, and *purpose* of the exercise. For less complex exercises and for entities with limited resources, the C&O Meeting can be conducted in conjunction with the *Initial Planning Conference (IPC)*; however, when exercise scope dictates, the C&O Meeting is held first. Representatives from the sponsoring agency or organization, the *exercise planning team leader*, and senior officials typically attend the C&O Meeting to identify an overall exercise goal, develop rough drafts of exercise capabilities and objectives, and identify *exercise planning team* members. |

| Term | Acronym | Definition |
|---|---|---|
| Control Staff Instructions | COSIN | The COSIN, typically only used in larger, more complex exercises (e.g., *TOPOFF*) contains guidance that *controllers* may need concerning procedures and responsibilities for exercise control, simulation, and support. The COSIN is designed to help exercise controllers understand their roles and responsibilities in exercise execution in order to conduct an effective exercise. For most exercises, however, the COSIN can be combined with an *Evaluation Plan (Evalplan)* to produce a *Controller and Evaluator (C/E) Handbook*. |
| Controller and Evaluator Briefing | C/E briefing | The C/E briefing is a pre-exercise overview for *controllers*, *evaluators*, and exercise administrative staff. The briefing summarizes the *C/E Handbook* (or the *COSIN* and *EvalPlan*) and focuses on explaining the roles and responsibilities of controllers and evaluators. This is the time to address any changes in the exercise and answer final questions. It is generally 1–2 hours in length and is conducted the day before an *operations-based* exercise. |
| Controller and Evaluator Debrief | C/E debrief | The C/E debriefing provides each *controller* and *evaluator* with an opportunity to provide an overview of the functional area they observed, and to discuss strengths and areas for improvement. The *lead evaluator* should assign one or more members of the *evaluation team* to take detailed notes of the C/E debriefing discussion. |
| Controller and Evaluator Handbook | C/E Handbook | The C/E Handbook is an exercise overview and instructional manual for *controllers* and *evaluators*. A supplement to the *Exercise Plan* (*ExPlan*), it contains more detailed information about the *scenario*, and describes 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 a separate *COSIN* and *EvalPlan* in place of the C/E Handbook. |

| Term | Acronym | Definition |
|---|---|---|
| Controllers | | 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 individuals and agencies not actually participating in the exercise (i.e., in the *Simulation Cell* [*SimCell*]). Controllers direct the pace of exercise play and routinely include members from the *exercise planning team*, provide key data to players, and may prompt or initiate certain player actions and injects to the players as described in the *Master Scenario Event List (MSEL)* to ensure exercise continuity. The individual *controllers* issue exercise materials to *players* as required, monitor the exercise timeline, and monitor the safety of all exercise *participants*. Controllers are the only participants who should provide information or direction to players. All controllers should be accountable to one senior controller. (Note: If conducting an exercise requires more controllers or evaluators than are available, a controller may serve as an *evaluator*; however, this typically is discouraged.) |
| Corrective Action | | Corrective actions are the concrete, actionable steps outlined in IPs that are intended to resolve preparedness gaps and shortcomings experienced in exercises or real-world events. |
| Corrective Action Program | CAP | A CAP is an element of improvement planning through which corrective actions from the AAR/IP are prioritized, tracked, and analyzed continuously until they have been fully implemented and validated. |
| Critical Path | | This exercise planning and evaluation tool is the map of both the expected and actual *Blue Team* and *Red Team* moves and countermoves throughout the course of a *prevention* exercise. |
| Critical Task | | Critical tasks are defined as those *prevention*, *protection*, *response*, and *recovery tasks* that require coordination among an appropriate combination of Federal, State, local, tribal, private sector, and non-governmental entities during a major incident in order to minimize the impact on lives, property, and the economy. Participants must perfrom critical tasks in order to prevent occurrence of a major incident; respond and reduce loss of life or serious injuries; or mitigate significant property damage, all of which are essential to the success of a homeland security mission. |

| Term | Acronym | Definition |
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| Debrief | | A debriefing is a forum for planners, *facilitators*, *controllers*, and *evaluators* to review and provide feedback after the exercise is held. It should be a facilitated discussion that allows each person an opportunity to provide an overview of the functional area they observed and document strengths and areas for improvement. The *exercise planning team* leader or the *exercise program manager* facilitate debriefs, and results are captured for inclusion in the *AAR/IP*. (Note: Other sessions, such as a separate debrief for hospitals during an *operations-based* exercise, may be held as necessary.) A debriefing is different from a *hot wash*, in that a hot wash is intended for players to provide feedback. |
| Design and Development | | Building on the exercise *foundation*, the design and development process should consist of identifying *capabilities*, *tasks*, and *objectives*; designing the *scenario*; creating documentation; coordinating logistics; planning exercise conduct; and selecting an evaluation and improvement methodology. |
| Discussion-Based Exercise | | 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*, *TTXs*, and *games*. These types of exercises typically highlight existing plans, policies, mutual aid agreements (MAAs), and procedures, and are exceptional tools to familiarize agencies and personnel with an entity's current or expected *capabilities*. Discussion-based exercises typically focus on strategic, policy-oriented issues, whereas *operations-based* exercises tend to focus more on tactical, response-related issues. *Facilitators* and/or presenters usually lead the discussion and keep *participants* on track to meet exercise *objectives*. |
| Drill | | A drill, a type of *operations-based* exercise, 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. |
| Evaluation | | One of the five phases of the exercise process, evaluation is the cornerstone of exercises; it documents strengths and opportunities for improvement in an entity's preparedness and is the first step in the improvement process. Under the *HSEEP*, evaluations are conducted through *player* observation and the use of *Exercise Evaluation Guides (EEGs)*, which outline exercise performance measures expected from *players*. |

| Term | Acronym | Definition |
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| Evaluation Plan | EvalPlan | The EvalPlan is typically used for *operations-based* exercises of a large *scope* and scale; this document provides specific guidance to exercise *evaluators*. The EvalPlan is designed to help exercise evaluators understand their roles and responsibilities in exercise data collection and evaluation in order to conduct an effective *analysis* of the exercise and produce a comprehensive *AAR/IP*. For most exercises, however, the EvalPlan can be combined with a *COSIN* to produce a *C/E Handbook*. |
| Evaluation Team | | The evaluation team consists of evaluators trained to observe and record *player* actions. These individuals should be familiar with the exercising entity's plans, policies, procedures, and agreements. |
| Evaluator | | Evaluators, selected from participating agencies, are chosen based on their expertise in the functional areas they will observe. Evaluators use *EEGs* to measure and assess performance, capture unresolved issues, and *analyze* exercise results. Evaluators passively assess and document players' performance against established emergency plans and exercise evaluation criteria, in accordance with *HSEEP* standards. Evaluators have a passive role in the exercise and only note the actions/decisions of players without interfering with exercise flow. |
| Event | | Within the *MSEL*, an event is an expected action that is expected to take place during an exercise. |
| Exercise | | An exercise is an instrument to train for, assess, practice, and improve performance in *prevention*, *protection*, *response*, and *recovery capabilities* in a risk-free environment. Exercises can be used for: 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; and identifying opportunities for improvement. (Note: An exercise is also an excellent way to demonstrate community resolve to prepare for disastrous events). |

| Term | Acronym | Definition |
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| Exercise Director | | The exercise director oversees all exercise functions during exercise conduct; oversees and remains in contact with *controllers* and *evaluators*; *debriefs* controllers and evaluators following the exercise; and oversees setup and cleanup of the exercise as well as positioning of controllers and evaluators. |
| Exercise Evaluation Guide | EEG | EEGs are *HSEEP* documents that support the exercise *evaluation* process by providing evaluators with consistent standards for observation, *analysis*, and *AAR/IP* development. Each EEG is linked to a *target capability* and provides standard activities, performance measures, and tasks to be evaluated based on the exercise *objectives*. Additionally, an EEG contains a Capability Narrative section, in which evaluators provide a general chronological narrative of exercise events associated with the capability; and an Evaluator Observations section in which *evaluators* provide specific strengths and areas of improvement linked to the capability.<br><br>The consistent guidelines provided in EEGs facilitate creation of AAR/IPs resulting in actionable IPs that target specific personnel, planning, organization, equipment, and training needs within capabilities. |
| Exercise Plan | ExPlan | ExPlans are general information documents that help *operations-based* exercises run smoothly. They are published and distributed prior to the start of exercise and provide a synopsis of the exercise. In addition to addressing exercise *objectives* and *scope*, ExPlans assign activities and responsibilities for successful exercise execution. They enable *participants* to understand their roles and responsibilities in *exercise planning*, execution, and *evaluation*. The ExPlan is intended for use by exercise *players* and *observers*—therefore, it does not contain detailed *scenario* information that may reduce the realism of the *tasks* to be performed. Players and observers should review all elements of the ExPlan prior to exercise participation. |

| Term | Acronym | Definition |
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| Exercise Planning Team | | The exercise planning team is responsible for all aspects of an exercise, including *exercise planning*, conduct, and *evaluation*. The planning team determines exercise *capabilities*, *tasks,* and *objectives*; tailors the scenario to the entity's needs; and develops documents used in exercise simulation, control, and evaluation. The exercise planning team should be comprised of representatives from each major participating jurisdiction and agency, but be kept to a manageable size. While entities may find it advantageous to include team members with previous exercise planning experience, membership can be modified to fit the type or *scope* of an exercise. Planning team members are ideal selections for *controller* and *evaluator* positions during the exercise because advanced scenario knowledge renders them ineligible to participate as players. An *exercise planning team leader* manages the exercise planning team, which can be structured using the principles of the Incident Command System (ICS), with the following sections:<br><br>The **Command Staff** is responsible for coordinating all exercise planning activities. Within this group is the exercise planning team leader, who assigns exercise activities and responsibilities, provides guidance, establishes timelines, and monitors the development process. The safety controller and the liaison coordinator report directly to the exercise planning team leader.<br><br>The **Planning Section** is responsible for compiling and developing all exercise documentation. To accomplish this effectively, the Planning Section also collects and reviews policies, plans, and procedures that will be validated during the exercise. During the exercise, the Planning Section may be responsible for developing simulated actions by agencies not participating in the exercise and setting up a *SimCell* for exercises that necessitate one (such as *FEs*).<br><br>The **Logistics Section** provides the supplies, materials, facilities, and services that enable the exercise to function smoothly without outside interference or disruption. This group consists of two subsections: service and support. The service section provides transportation, barricading, signage, food and drinks, real-life medical capability, and exercise-site perimeter security. The support section provides communications, purchasing, general supplies, very important personnel (VIP)/*observer* processing, and recruitment/management of *actors*.<br><br>The **Administration/Finance Section** provides grant management and administrative support throughout exercise development. This group is also responsible for the registration process and coordinates schedules for the exercise planning team, the exercise planning team leader, participating agencies, and the host community or communities. |

| Term | Acronym | Definition |
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| Exercise Planning Team (continued) | | The **Operations Section** provides most of the technical or functional expertise for the participating entities. This group develops *scenarios*, selects evaluation tools, and has personnel with the expertise necessary to serve as evaluators. |
| Exercise Planning Team Leader | | The exercise planning team leader oversees the *exercise planning team*; develops the exercise *project management timeline* and the exercise project management assignment list; assigns exercise responsibilities; provides overall guidance; and monitors the development process. |
| Exercise Play Area | | The exercise play area is the site or facility where the bulk of tactical player activities and *tasks* are demonstrated during an *operations-based* exercise. |
| Exercise Play Rules | | Exercise play rules are the parameters that exercise participants follow during the exercise. Exercise play rules describe appropriate exercise behavior, particularly in the case of real-world emergencies. |
| Exercise Program Management | | Exercise program management consists of the functions required for an entity to sustain a variety of exercises targeted toward preparedness priorities, on an ongoing basis. It includes project management, budgeting, grant management, staff hiring, funding allocation, and expenditure tracking. Program management functions cyclically. First, a *Multi-Year Training and Exercise Plan* is developed in consideration of an entity's preparedness priorities. Next, specific exercises are carried out according to the multi-year plan's timelines and milestones. Finally, IP corrective actions identified in exercises are taken into account when developing priorities for the next multi-year plan. Responsibilities for these *tasks* are complementary and require that all relevant parties collaborate to successfully administer exercises. |
| Exercise Program Manager | | The exercise program manager develops a self-sustaining *HSEEP* through program budget management oversight, exercise conduct, and improvement tracking monitoring and reporting. |
| Exercise Series | | This cycle includes exercises held at increasing levels of complexity and annual reviews of program objectives to ensure objectives are met. Multiple exercises are designed in sequence using the *building-block approach*, aimed at achieving a greater capability (e.g., a seminar that leads to a *TTX*, which leads to an *FE*). |

| Term | Acronym | Definition |
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| Exercise Setup | | Exercise setup involves the pre-staging and dispersal of exercise materials. It includes registration materials, documentation, signage, and other equipment, as appropriate. |
| Facilitated Discussion | | During a *discussion-based* exercise, a facilitated discussion is a focused discussion of specific issues using a *facilitator* with functional area or subject matter expertise. Facilitated group discussions occur at individual tables organized by discipline or agency/organization. Facilitated discussions take place before moderated discussions. |
| Facilitator | | 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 within time constraints. |
| Final Planning Conference | FPC | The FPC is the final forum for the *exercise planning team* to review the process and procedures for exercise conduct, final drafts of all exercise materials, and all logistical requirements. During the FPC, there should be no major changes made to either the design or the *scope* of the exercise, nor to any supporting documentation. The FPC ensures all logistical requirements have been arranged, all outstanding issues have been identified and resolved, and all exercise products are ready for printing. |
| For Official Use Only | FOUO | FOUO is the term used within DHS to identify unclassified information of a sensitive nature, not otherwise categorized by statute or regulation, the unauthorized disclosure of which could adversely impact a person's privacy or welfare, the conduct of Federal programs, or other programs or operations essential to national interest. Information impacting the National Security of the United States and classified Confidential, Secret, or Top Secret under Executive Order 12958, "Classified National Security Information," as amended, or its predecessor or successor orders, is not to be considered FOUO. FOUO is not to be considered classified information. (From http://www.fas.org/sgp/othergov/dhs-sbu.html) |
| Foundation | | Foundation is the first stage in the exercise process, preceding *Design and Development*. The Foundation stage focuses on developing a project management timeline, establishing milestones, identifying an *exercise planning team*, and scheduling planning conferences. |

| Term | Acronym | Definition |
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| Friendly Force | | In prevention exercises, all State and local law enforcement, and other non-*red-team* designated organizations and agencies (e.g., security forces assigned to key targets) are considered *friendly forces* or *Blue Team*. |
| Full-Scale Exercise | FSE | An FSE is a multi-agency, multi-jurisdictional activity involving actual deployment of resources in a coordinated response as if a real incident had occurred. An FSE tests many components of one or more capabilities within emergency response and recovery, and is typically used to assess plans, procedures, and coordinated response under crisis conditions. Characteristics of an FSE include mobilized units, personnel, and equipment; a stressful, realistic environment; and scripted exercise scenarios. |
| Functional Exercise | FE | An FE is a single or multi-agency activity designed to evaluate capabilities and multiple functions using a simulated response. An FE is typically used to: evaluate the management of Emergency Operations Centers (EOCs), command posts, and headquarters; and assess the adequacy of response plans and resources. Characteristics of an FE include simulated deployment of resources and personnel, rapid problem solving, and a highly stressful environment. |
| Game | | A game is a simulation of operations using rules, data, and procedures designed to depict an actual or assumed real-life situation. A game is typically used to: explore the processes and consequences of decision making; conduct “what if” analyses of existing plans; and develop new plans. In general, games use rules, data, and procedures; are designed to depict an actual or assumed real-life situation; often involve two or more teams usually in a competitive environment; and increasingly include models and simulations. Games do not involve the use of actual resources. Games are *discussion-based* exercises. |
| Ground Truth | | Ground Truth is a component of prevention exercise documentation comprised of the detailed elements of the *scenario* that must remain consistent during exercise development and be conducted to ensure that realism is maintained and *objectives* are met in the unscripted move-countermove exercise environment. |

| Term | Acronym | Definition |
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| Ground Truth Advisor | | In *prevention* exercises, the Ground Truth advisor tracks how the moves and countermoves of the adversary (notional and *Red Team*) and players (e.g., law enforcement, intelligence analysts, private industry) change the fabric of the exercise environment, potentially creating additional elements of the Ground Truth, but never detracting from it. |
| Homeland Security Exercise and Evaluation Program | HSEEP | HSEEP is a *capabilities*- and performance-based exercise program that provides standardized policy, doctrine, and terminology for the *design, development*, conduct, and *evaluation* of homeland security exercises. HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs. |
| Homeland Security Presidential Directive-5 | HSPD-5 | HSPD-5, an Executive-Branch-issued policy, required DHS to coordinate with other Federal departments and agencies, as well as State, local, and tribal governments to establish the National Response Plan (NRP) and the *National Incident Management System (NIMS)*. |
| Homeland Security Presidential Directive-8 | HSPD-8 | HSPD-8, an Executive-Branch-issued policy, was drafted to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards *preparedness* goal; establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments; and outlining actions to improve the capabilities of Federal, State, and local entities. |
| Hot Wash | | A hot wash is a *facilitated discussion* held immediately following an exercise among exercise *players* from each functional area. It is designed to capture feedback about any issues, concerns, or proposed improvements players may have about the exercise. The hot wash is an opportunity for players to voice their opinions on the exercise and their own performance. This facilitated meeting allows players to participate in a self-assessment of the exercise play and provides a general assessment of how the entity performed in the exercise. At this time, evaluators can also seek clarification on certain actions and what prompted players to take them. Evaluators should take notes during the hot wash and include these observations in their analysis. The hot wash should last no more than 30 minutes. |

| Term | Acronym | Definition |
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| HSEEP Toolkit | | The HSEEP Toolkit is an interactive, online system for exercise scheduling, design, development, conduct, evaluation, and improvement planning. The HSEEP Toolkit includes the National Exercise Schedule (NEXS) System, Design and Development System (DDS), and Corrective Action Program (CAP) System.<br><br>The **NEXS System** is the Nation's online comprehensive tool that facilitates scheduling, de-confliction, and synchronization of all national-Level, Federal, State, and local exercises.<br><br>The **Design and Development System (DDS)** is a project management tool and comprehensive tutorial for the design, development, conduct, and evaluation of exercises. The DDS provides users with the appropriate templates and guidance from the HSEEP volumes for developing timelines, planning teams, and exercise documentation (e.g., Situation Manuals [SitMans], ExPlans, exercise planning conference materials). The DDS is the technological backbone for the planning process described in *HSEEP Volume II: Exercise Planning and Conduct*.<br><br>The **Corrective Action Program (CAP) System** is a web-based application that enables users to prioritize, track, and analyze improvement plans developed from exercises and real-world events. Features of the CAP System include IP creation and maintenance, corrective action assignment and tracking, and reporting and analysis. CAP System functionality is based on the process described in *HSEEP Volume III: Exercise Evaluation and Improvement Planning*. The CAP System supports the process by which exercise and real-world events can inform and improve exercise programs and other preparedness components. |
| Improvement Plan | IP | For each task, the IP lists the corrective actions that will be taken, the responsible party or agency, and the expected completion date. The IP is included at the end of the AAR. |

| Term | Acronym | Definition |
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| Information Sharing Environment Analysis | ISEA | Prior to a prevention exercise, entities can use this process to identify, describe, and depict their State or local information-sharing environment as it pertains to standard operating procedures (SOPs), policies, and systems. |
| Initial Planning Conference | IPC | The IPC is typically the first step in the planning process and lays the *foundation* for the exercise (unless a *C&O Meeting* is held). Its purpose is to gather input from the exercise planning team on the *scope*; design requirements and conditions (such as assumptions and artificialities); *objectives*; level of participation; and *scenario* variables (e.g., location, threat/hazard selection), and *MSEL*. During the IPC, the exercise planning team decides 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 conference. |
| Inject | | Injects are *MSEL* entries that *controllers* must simulate—including directives, instructions, and decisions. Exercise controllers provide injects to exercise *players* to drive exercise play towards the achievement of *objectives*. Injects can be written, oral, televised, and/or transmitted via any means (e.g., fax, phone, e-mail, voice, radio, or sign). Injects can be contextual or contingency.<br><br>A controller introduces a **contextual inject** to a player to help build the exercise operating environment. For example, if the exercise is designed to test information-sharing capabilities, a MSEL inject can be developed to direct a controller to select an *actor* to portray a suspect. The inject could then instruct the controller to prompt another actor to approach a law enforcement officer and inform him/her that this person was behaving suspiciously.<br><br>A controller verbally introduces a **contingency inject** to a player if players are not performing the actions needed to sustain exercise play. This ensures that play moves forward, as needed, to adequately test performance of activities. For example, if a simulated secondary device is placed at an incident scene during a terrorism response exercise, but is not discovered, a controller may want to prompt an actor to approach a player to say that he/she witnessed suspicious activity close to the device location. This should prompt the responder's discovery of the device, and result in subsequent execution of the desired notification procedures. |
| Integrated Timeline | | The integrated timeline provides a retrospective timeline of exercise events created during exercise analysis. |

| Term | Acronym | Definition |
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| Lead Evaluator | | The lead evaluator should participate fully as a member of the *exercise planning team*, and should be a senior-level individual familiar with: *prevention*, *protection*, *response*, and/or *recovery* issues associated with the exercise; plans, policies, and procedures of the exercising entity; Incident Command and decision-making processes of the exercising entity; and interagency and/or inter-jurisdictional coordination issues relevant to the exercise. The lead evaluator must have the management skills needed to oversee a team of *evaluators* over an extended process, as well as the knowledge and analytical skills to undertake a thorough and accurate *analysis* of all *capabilities* being tested during an exercise. |
| Lessons Learned | | Lessons learned are knowledge and experience (both positive and negative) derived from observations and historical study of actual operations, training, and exercises. Exercise AAR/IPs should identify lessons learned and highlight *best practices*, and should be submitted to DHS for inclusion in the lessons learned / best practices web portal, www.llis.gov, which serves as a national network for generating, validating, and disseminating lessons learned and best practices. |
| Master Scenario Events List | MSEL | The MSEL is a chronological timeline of expected actions and scripted events that *controllers* inject into exercise play 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*.<br><br>The MSEL links simulation to action, enhances exercise experience for players, and reflects an incident or activity meant to prompt *players* to action. Each MSEL record contains a designated *scenario* time; an *event* synopsis; the name of the *controller* responsible for delivering the inject; and, if applicable, special delivery instructions, the *task* and *objective* to be demonstrated, the expected action, the intended player, and a note-taking section. |
| Master Scenario Events List Conference | MSEL Conference | The MSEL Conference may be held in preparation for more complex, *operations-based* exercises, specifically to review the *scenario* timeline and focus on *MSEL* development. |
| Media Personnel | | Some media personnel may be present as *observers*, pending approval by exercise personnel and exercise support team members. The SimCell may simulate media interaction in order to enhance realism and to meet related exercise *objectives*. A dedicated group of exercise *controllers* should be assigned to manage these groups. |

| Term | Acronym | Definition |
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| Media Policy | | The agency/organization sponsoring the exercise decides whether or not to invite the media. If invited, the media should have an opportunity prior to the exercise to conduct interviews with key planners and *participants.* At *discussion-based* exercises, the media should not be present during the discussion of SOPs, emergency operations plans (EOPs), or any other potentially sensitive information. If the media would like video footage of exercise proceedings and participants, they should be allowed to film from the back of the room until *scenario* discussions begin. This allows participants to speak freely and openly during the exercise without outside distractions or intimidation. During *operations-based* exercises, media may be allowed to film certain activities but should be cautioned not to interfere with exercise play. Unless media are invited to participate in the exercise, a guide—typically a public information officer (PIO) or designee—should escort media at all times. Media policies can prevent public confusion on the day of the exercise and assure the public that the community is working to prepare for real-world incidents. |
| Mid-Term Planning Conference | MPC | The MPC, an *operations-based* exercise planning conference, is used to discuss exercise organization and staffing concepts; *scenario* and timeline development; and scheduling, logistics, and administrative requirements. It is also a session to review draft documentation (e.g., scenario, *ExPlan*, *C/E Handbook*, *MSEL*). (Note: A *MSEL Conference* can be held in conjunction with or separate from the MPC to review the scenario timeline for the exercise.) |
| Mission | | There are four homeland security missions: (1) *prevent*, (2) *protect* against, (3) *respond* to, and (4) *recover* from acts of terrorism, natural disasters, and other emergencies. Within the missions are the *capabilities* to be achieved and the tasks required to achieve them. |
| Moderated Discussion | | A moderated discussion is a *facilitated*, *discussion-based* forum in which a representative from each functional area breakout presents *participants* with a summary and results from a group's earlier *facilitated discussion*. During moderated discussions, spokespersons summarize the facilitated discussion, present key findings and issues, and discuss any unresolved issues or questions. At the end of the moderated discussion period, the floor is open for questions. |

| Term | Acronym | Definition |
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| Moulage | | Moulage is the makeup applied to *actors* to add realism to an exercise. It includes fake blood, plastic bones, and any other makeup that enables actors to emulate the signs and symptoms on his/her *symptomology card*. Although not required, moulage is encouraged at all *operations-based* exercises. (Note: School drama clubs, military units, community theaters, the American Red Cross, and morticians are common resources for moulage staff.) |
| Multi-Year Training and Exercise Plan | | The Multi-Year Training and Exercise Plan is the foundational document guiding a successful exercise program. The multi-year plan provides a mechanism for long-term coordination of training and exercise activities toward an entity's *preparedness* goals. This plan describes the program's training and exercise priorities and associated *capabilities*, and aids in employing the *building-block approach* for training and exercise activities. Within the Multi-Year Training and Exercise Plan, the multi-year schedule graphically illustrates training and exercise activities that support the identified priorities. The schedule is color-coded by priority and presents a multi-year outlook for task and priority achievement. As training and exercises are completed, the document can be annually updated, modified, and revised to reflect changes to the priorities and new capabilities that need to be assessed. The Multi-year Training and Exercise Plan and schedule is produced through the work completed at the *Training and Exercise Plan Workshop (T&EPW)*. The T&EPW focuses on discussion of *capabilities-based planning*, overview of the National Priorities, review of the entity's priorities, and analysis of previous training and exercises. After this information is synthesized, *participants* develop the plan and schedule for their entity. |
| National Exercise Schedule | NEXS | NEXS is a compilation of all national-level, Federal, State, and local exercises. NEXS provides basic information on each planned exercise including the exercise name, location, date, major *participants*, and points of contact. It also serves as a management tool and reference document for *exercise planning* and enables exercise visibility to planners and leadership. |
| National Incident Management System | NIMS | The NIMS standard was designed to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive system for incident management. It is a system mandated by *HSPD-5* that provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and non-governmental organizations to work effectively and efficiently together to *prepare* for, *respond* to, and *recover* from domestic incidents, regardless of cause, size, or complexity. |

| Term | Acronym | Definition |
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| National Planning Scenarios | NPS | The 15 National Planning Scenarios require a wide range of *prevention*, *protection*, *response*, and *recovery tasks* to effectively manage the incidents they describe. They represent a range of potential incidents and were used to develop the *UTL* and the *TCL*. |
| National Preparedness Goal | | The National Preparedness Goal was set to achieve and sustain *capabilities* that enable the Nation to successfully *prevent* terrorist attacks on the homeland and rapidly and effectively *respond* to and recover from any terrorist attack, major disaster, or other emergency that does occur in order to minimize the impact on lives, property, and the economy. This state of national *preparedness* will be achieved by reaching risk-based target levels of capability and sustained by measuring readiness and directing resources to areas of greatest risk and need. |
| National Strategy for Homeland Security | | The purpose of the National Strategy for Homeland Security is to mobilize and organize the homeland from terrorist attacks. This complex mission requires coordinated and focused effort from Federal, State, and local governments; the private sector; and the American people. The strategic objectives of homeland security, in order of priority, are to:<br>• *prevent* terrorist attacks within the United States;<br>• reduce America's vulnerability to terrorism; and<br>• minimize the damage and *recover* from attacks that do occur. |
| Nunn-Lugar-Domenici Domestic Preparedness Program | NLD DPP | The NLD DPP initiative was designed to enhance the *response capability* of designated cities to respond to acts of terrorism involving weapons of mass destruction (WMD). Much of the *HSEEP design and development* methodology is derived from NLD-DPP. |
| Objectives | | Exercise objectives must be established for every exercise. Well-defined objectives provide a framework for *scenario* development, guide individual organizations' objective development, and inform exercise *evaluation* criteria. Entities should frame exercise objectives with the aim of attaining *capabilities* established as priorities at the Federal, State, and local level, as captured in the entity's *Multi-Year Training and Exercise Plan* and schedule. Objectives should reflect specific capabilities that the exercising entity establishes as priorities, and the *tasks* associated with those capabilities. Objectives should be *simple, measurable, achievable, realistic, and task-oriented* (*SMART*). Planners should limit the number of exercise objectives to enable timely execution and to facilitate design of a realistic scenario. |

| Term | Acronym | Definition |
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| Observer Briefing | | An observer briefing is a pre-exercise overview given by one or more members of the *exercise planning team* to educate *observer*s about program background, *scenario*, schedule of *events*, observer limitations, and any other miscellaneous information. (Note: Many times, observers are unfamiliar with public safety procedures and have questions about the activities they see. Designating someone to answer questions, such as a response agency PIO, will prevent observers from asking questions of *players*, *controllers*, or *evaluators*). |
| Observer/Media Area | | The Observer/Media Area is a designated exercise area that provides *observers* and media representatives with a view of exercise play without the potential to interfere. It should be adjacent to the exercise site, but should not allow interference with response routes or egress points. (Note: Because many entities prefer to keep operations of groups such as Special Weapons and Tactics [SWAT] teams, bomb squads, and explosive ordnance disposal [EOD] teams confidential, these activities could take place some distance from the Observer/Media Area.) |
| Observers | | Observers do not directly participate in the exercise; rather, they observe selected segments of the exercise as it unfolds, while remaining separated from player activities. Observers view the exercise from a designated observation area and are asked to remain within the observation area during the exercise. A dedicated group of exercise controllers should be assigned to manage these groups. In a *discussion-based* exercise, observers may support the development of player responses to the situation during the discussion by delivering messages or citing references. |
| Operations-Based Exercise | | Operations-based exercises are a category of exercises characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually held over an extended period of time. Operations-based exercises can be used to validate plans, policies, agreements, and procedures. They include *drills*, *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. (Note: These exercises often follow after, and validate, the lessons learned from discussion-based exercises.) |
| Participants | | Participants are the overarching group that includes all *players*, *controllers*, *evaluators*, and staff involved in conducting an exercise. |

| Term | Acronym | Definition |
|---|---|---|
| Participant Feedback Form | | Participant Feedback Forms are used to obtain information on perceptions of the exercise and how well each *participant* thought his/her unit performed. This information can provide insight into why events happened the way they did or why some expected actions did not take place. Participant Feedback Forms are distributed before a *hot wash* and collected at the end, and the *evaluation* team reviews them in order to capture any useful information. Participant Feedback Forms also serve to solicit general feedback on exercise quality, which can be provided to the *exercise planning team* to help implement improvements in future exercises because this contributes to several portions of the *AAR/IP*. |
| Planning Conferences | | The *exercise planning team* holds planning conferences as forums to *design and develop* exercises. The *scope*, type, and complexity of an exercise determines the number of conferences necessary to successfully conduct an exercise. These milestones of the exercise planning process are typically comprised of the *IPC*, the *MPC*, and the *FPC*. Potential additional exercise planning conferences include the *C&O Meeting*, the *MSEL Conference*, and the *Red Team Planning Conference*. *Discussion-based* exercises usually convene IPCs and FPCs, whereas *operations-based* exercises may call for an IPC, MPC, FPC, as well as a MSEL Conference. |
| Player | | Players have an active role in *preventing*, *responding* to, or *recovering* from the risks and hazards presented in the exercise *scenario*, by either discussing (in a discussion-based exercise) or performing (in an *operations-based* exercise) their regular roles and responsibilities. *Players* initiate actions that will respond to and/or mitigate the simulated emergency. |
| Player Briefing | | The player briefing, held immediately prior to an *operations-based* exercise, addresses individual roles and responsibilities, exercise parameters, safety, badges, and any other logistical items. For a *drill* or *FSE*, player briefings typically take place in the *assembly area*. |

| Term | Acronym | Definition |
|---|---|---|
| Preparedness | | The Preparedness mission is the range of deliberate, *critical tasks*, and activities necessary to build, sustain, and improve the operational *capability* to *prevent*, *protect* against, *respond* to, and *recover* from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private sector and non-governmental organizations to identify threats, determine vulnerabilities, and identify required resources. It is also the existence of plans, procedures, policies, training, and equipment necessary at the Federal, State, and local level to maximize the ability to prevent, respond to, and recover from major incidents. The term "readiness" is used interchangeably with preparedness. |
| Presentations | | Presentations typically start with brief remarks from representatives of the *exercise planning team* or sponsoring entity, and/or senior officials from the governing jurisdiction. After the opening remarks, the presentation moves into a brief introductory and explanatory phase led by a moderator. During this phase, attendees are introduced to *facilitators* and *evaluators*, given background on the exercise process, and advised about their individual roles and responsibilities. |
| Press Release | | A press release is developed and disseminated before an exercise and given to media representatives, the public, *observers*, and VIPs. Press releases typically include an introduction, purpose, *scope*, duration, general *scenario*, and participating agencies. |
| Prevention | | The Prevention mission area encompasses activities that serve to detect and disrupt terrorist threats or actions against the United States and its interests. They are actions taken to avoid an incident or to intervene to stop an incident from occurring, and involve actions taken to prevent the loss of lives and property. Prevention involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice. Prevention also includes activities undertaken by the first responder community during the early stages of an incident to reduce the likelihood or consequences of threatened or actual terrorist attacks. |

| Term | Acronym | Definition |
|---|---|---|
| Prevention Exercises | | Prevention exercises can be either *discussion*- or *operations-based* and may focus on issues that pertain to information and intelligence sharing, credible threats, surveillance, and/or opposing force or *Red Team* activity. |
| Procedural Flow | ProFlow | The ProFlow is an exercise document that outlines a sequential flow of actions anticipated from participating organizations in response to a hypothetical situation. The ProFlow allows *controllers* and *evaluators* to track and monitor expected actions to ensure their completion at designated times. (Note: The ProFlow differs from the *MSEL* in that it contains only expected player actions such as establishing decontamination, triage, treatment, and transport.) Typically, ProFlows are only produced for large-scale, complex exercises. |
| Project Management | | Effective exercise project management ensures identification, development, and management of critical and supportive activities; frequent communication about project status; and use of management plans and timelines (e.g., project management timeline, scheduling software, Gantt charts). |
| Project Management Timeline | | The Project Management Timeline is a tool that lists key dates and milestones, as well as critical exercise planning responsibilities, upon which the *exercise planning team* agrees. |
| Props | | Props are non-functional replications of objects. The presence or discovery of props requires certain actions by exercise *players*. Examples of props include simulated bombs, bomb blast debris (i.e., shrapnel), mannequins or body parts, and foam bricks and beams. Simulants that mimic the effects of chemical or radiological hazards or that cause a positive reading of an actual detection device are also considered props. |
| Protection | | The Protection mission area includes actions to reduce the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks, major disasters, and other emergencies. Protection focuses on deterrence, mitigation, and *response*-oriented activities to prevent an attack from occurring, whereas prevention centers on the recognition of threats via information sharing and intelligence analysis. |

| Term | Acronym | Definition |
|---|---|---|
| Public Announcement | PA | A public announcement is given to the public before any *operations-based* exercise to alleviate confusion for passing motorists and pedestrians and help the public avoid congestion near the exercise site by providing suggestions for alternate routes. Announcements can be made on local television or radio, in local newspapers, through mass mailings or pamphlets, and/or on signs near the exercise site. |
| Purpose | | The purpose is a broad statement of the reason the exercise is being conducted. The purpose should explain what elements are to be assessed, evaluated, or measured. |
| Radiological Emergency Preparedness Program | REP Program | The Federal Emergency Management Agency (FEMA) established the REP Program to ensure the public health and safety of citizens living around commercial nuclear power plants by protecting them in the event of a nuclear power station accident and informing and educating the public about radiological emergency preparedness. It contributed to *HSEEP* methodology. |
| Recommendation(s) | | Recommendations, based on *root-cause analysis*, are listed in all *AAR/IPs*. Recommendations are the identification of areas for improvement as noted during an exercise. |
| Recovery | | The Recovery mission area is the development, coordination, and execution of service- and site-restoration plans for impacted communities and the reconstitution of government operations and services through individual, private-sector, non-governmental, and public assistance programs that: identify needs and define resources; provide housing and promote restoration; address long-term care and treatment of affected persons; implement additional measures for community restoration; incorporate mitigation measures and techniques, as feasible; evaluate the incident to identify *lessons learned*; and develop initiatives to mitigate the effects of future incidents. |
| Red Team | | The Red Team is a group of subject matter experts (SMEs) of various appropriate disciplinary backgrounds who provide an independent peer review of plans and processes; act as the adversary's advocate; and knowledgeably role-play the adversary, using a controlled, realistic, interactive process during operations planning, training, and exercising.<br><br>In *prevention* exercises, this group of operators adapt to player decisions and actions according to the prescribed adversary's motivations and tactics, which often provide players with instant feedback. |

| Term | Acronym | Definition |
|---|---|---|
| Red Team Handbook | | The Red Team Handbook is used solely *in operations-based prevention* exercises that employ *Red Teams*. This document aids Red Team operators, *safety controllers*, and *evaluators* in the conduct of safe and valid Red Team exercise activity. It also provides essential information (not included in any other exercise documents) to Red Team operators, which enables them to understand their roles in exercise execution. |
| Red Team Operators | | Red Team operators portray the physical entity of the adversary in an *operations-based prevention* exercise. Also called the opposition force (OPFOR). |
| Red Team Planning Conference | | The Red Team Planning Conference, conducted in preparation for a *prevention* exercise, is held to confirm safety redundancies, rules of exercise play, operational plans, and the exercise timeline. |
| Registration Area | | The registration area is where *participants* sign-in and receive exercise identification, such as badges or hats. |
| Response | | The Response mission area focuses on activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of EOPs and incident mitigation activities designed to limit loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include: applying intelligence and other information to lessen the effects or consequences of an incident; increasing security operations; continuing investigations into the nature and source of the threat; conducting ongoing public health and agricultural surveillance and testing processes; performing immunizations, isolation, or quarantine; and conducting specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice. |
| Response Area | | The response area is a large space where operations occur (e.g., decontamination, triage, treatment). |
| Response Route | | The response route is the path that responding emergency units follow from an assembly area to a simulated incident. |

| Term | Acronym | Definition |
|---|---|---|
| Risk-Based Scenario | | Risk-based scenarios are *scenarios* that accurately represent risks facing the exercising entity (including both natural and man-made threats). Exercises that use risk-based scenarios enable evaluation of the *capabilities* associated with countering that scenario. |
| Rules of Exercise Play | ROEP | In *prevention* exercises, ROEP is a comprehensive list of rules that provides specific guidance for the behavior of all exercise *participants*. These rules define the boundaries for exercise play; establish limits on *Red Team* activity; ensure that useful information is gathered; and most importantly, ensure participant safety. |
| Safety Controller | | The safety controller is responsible for monitoring exercise safety during exercise setup, conduct, and cleanup. All exercise *controllers* assist the safety controller by reporting any safety concerns. The safety controller should not be confused with the safety officer, who is identified by the incident commander during exercise play. |
| Scenario | | A scenario provides the backdrop and storyline that drive an exercise. The first step in designing a scenario is determining the type of threat/hazard (e.g., chemical, explosive, cyber, natural disaster) to be used in an exercise. The hazards selected for an exercise should realistically stress the capabilities an entity is attempting to improve through its exercise programs. A hazard should also be a realistic representation of potential threats faced by the exercising entity. For *discussion-based* exercises, a scenario provides the backdrop that drives *participant* discussion. For *operations-based* exercises, the scenario should provide background information on the incident catalyst of the exercise. For *prevention* exercises, the scenario should include the *Ground Truth*. |
| Scope | | Scope is an indicator of the level of government or private sector participation in exercise play, regardless of *participant* size. Scope levels include: local, multi-local, regional (within a State), State, multi-State, Federal, national, international, and private sector. |
| Seminar | | Seminars orient *participants* to authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and/or ideas. Seminars provide a good starting point for entities that are developing or making major changes to their plans and procedures. |

| Term | Acronym | Definition |
|---|---|---|
| Senior Controller | | The senior controller is responsible for the overall organization of the exercise. The senior controller monitors exercise progress and coordinates decisions regarding deviations or significant changes to the *scenario* caused by unexpected developments during play. The senior controller monitors actions by individual *controllers* and ensures they implement all designated and modified actions at the appropriate time. The senior controller *debriefs controllers* and *evaluators* after the exercise and oversees the setup and takedown of the exercise. |
| Simulation | | (1) An electronic simulation is a method for predicting the results of implementing a model over time.<br>(2) Simulation of non-participating personnel and agencies is a technique for increasing realism in exercises. |
| Simulation Cell | SimCell | The SimCell is an exercise area where *controllers* generate and deliver *injects*, and receive player responses to non-participating organizations, agencies, and individuals who would likely participate actively in an actual incident. Physically, the SimCell is a working location for a number of qualified professionals who portray representatives of non-participating organizations, agencies, and individuals who would likely participate during an actual incident. |
| Simulators | | Simulators are control staff personnel who role-play as non-participating organizations or individuals. They most often operate out of the *SimCell*, but may occasionally have face-to-face contact with players. Simulators function semi-independently under the supervision of SimCell *controllers*, enacting roles (e.g., as media reporters or next-of-kin) in accordance with instructions provided in the *MSEL*. All simulators are ultimately accountable to the exercise director and *senior controller*. |
| Situation Manual | SitMan | The SitMan is a handbook provided to all *participants* in *discussion-based* exercises, particularly *TTXs*. The SitMan provides background information on the exercise *scope*, schedule, and *objectives*. It also presents the *scenario* narrative that will drive participant discussions during the exercise. (Note: The SitMan should mirror the exercise briefing, support the scenario narrative, and allow participants to read along while watching events unfold). |

| Term | Acronym | Definition |
|---|---|---|
| Simple, Measurable, Achievable, Realistic, Task-Oriented | SMART | SMART is a set of guidelines for developing viable exercise *objectives*. |
| Special Effects | | Special effects are technical, mechanical, or electronic *scenario* enhancements. Special effects typically require trained and licensed personnel, special permission for use, and additional safety and/or security precautions. Examples include the employment of pyrotechnics or explosives. |
| Sponsor | | The sponsor is the primary funding organization for an exercise. |
| Subject Matter Expert | SME | SMEs add functional knowledge and expertise in a specific area or in performing a specialized job, task, or skill to the *exercise planning team*. They help to make the *scenario* realistic and plausible, and ensure entities have the appropriate *capabilities* to respond. |
| Support Staff | | Exercise support staff includes individuals who are assigned administrative and logistical support tasks during the exercise (e.g., registration, catering). |
| Symptomology Card | | Symptomology cards are provided to each *actor* used in a *response*-focused exercise. Each card is unique, containing the signs and symptoms the actor will portray, as well as information for medical providers. The actors are instructed to keep these cards with them at all times during the exercise, and to not step out of character except in the event of a real emergency. At a minimum, symptomology cards should include: vital signs; symptoms; trauma injuries; acting instructions (e.g., disorientation, emotional distress); and special needs (e.g., language barriers, physical limitations). |

| Term | Acronym | Definition |
|---|---|---|
| Tabletop Exercise | TTX | TTXs are intended to stimulate discussion of various issues regarding a hypothetical situation. They can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the *prevention* of, *response* to, or *recovery* from a defined incident. During a TTX, senior staff, elected or appointed officials, or other key personnel meet in an informal setting to discuss simulated situations. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or achieving a change in attitude. *Participants* are encouraged to discuss issues in depth and develop decisions through slow-paced problem-solving rather than the rapid, spontaneous decision-making that occurs under actual or simulated emergency conditions. TTXs can be breakout (i.e., groups split into functional areas) or plenary (i.e., one large group). |
| Target Capabilities List | TCL | The TCL is a list of *capabilities* that provides guidance on the specific capabilities that Federal, State, tribal, and local entities are expected to develop and maintain to *prevent*, *protect* against, *respond* to, and *recover* from incidents of national significance, including terrorism or natural disasters, in order to maintain the level of preparedness set forth in the *National Preparedness Goal*. |
| Tasks | | Tasks are specific, discrete actions that individuals or groups must complete or discuss during an exercise to successfully carry out an activity. Successful execution of performance measures and tasks, either sequentially or in parallel, is the foundation for activities, which are, in turn, the *foundation* of *capabilities*. |
| Terrorism Prevention Exercise Program | TPEP | TPEP is dedicated to providing participants at the Federal, State, tribal, and local levels the tools needed to demonstrate, evaluate, and improve the capability to prevent terrorism through information- and intelligence-based exercises. TPEP uses *HSEEP* methodology, but focuses on pre-incident operations. |
| Training and Exercise Plan Workshop | T&EPW | A T&EPW is usually conducted in order to create a *Multi-Year Training and Exercise Plan*. During the *workshop*, *participants* review priority *preparedness capabilities* and coordinate exercise and training activities that can improve those capabilities. As a result of the workshop, the Multi-Year Training and Exercise Plan outlines multi-year timelines and milestones for execution of specific training and exercise activities. |

| Term | Acronym | Definition |
|---|---|---|
| Trusted Agent | | Trusted agents are the individuals on the *exercise planning team* who are trusted not to reveal scenario details to players prior to exercise conduct. |
| Universal Adversary | UA | UA, a fictional adversary, is an exercise tool created by compiling known terrorist motivations, doctrine, tactics, techniques, and procedures (TTPs) in live, virtual, and constructive simulations. A UA is employed to build the *Ground Truth* and anticipated countermoves for *prevention*-focused exercises. |
| Universal Adversary Advisor | UA Advisor | In prevention exercises, the *UA* advisor is responsible for providing the *MSEL* and *Red Team* developers with realistic *scenario* and timeline guidance based on expertise in the given UA threat category or local threat environment. |
| Universal Adversary Profile | UA Profile | The UA Profile provides detailed background information on the threat category being portrayed, including the typology, ideology, motivation, tactics, capability, objective, and individuals associated with the fictional group. |
| Universal Task List | UTL | The UTL is a comprehensive menu of *tasks* derived from all tasks that may be performed in major incidents as illustrated by the National Planning Scenarios. Entities at all levels of government should use the UTL as a reference to help them develop proficiency through training and exercises to perform their assigned missions and *tasks* during major incidents. |
| Venue | | A venue is the primary location of exercise conduct. In *operations-based* exercises, this is typically the facility or site the *scenario* will affect. For example, if a non-persistent chemical agent (e.g., Sarin) is selected as the threat/hazard, the venue should not be an open-air facility (e.g., stadium, park) because of the agent's dissipating characteristics. (Note: The venue used to conduct the exercise does not necessarily have to be the same venue described in the exercise scenario. For example, a stadium parking lot may be used to simulate an airport runway). |

| Term | Acronym | Definition |
|---|---|---|
| Workshop | | The workshop, a type of *discussion-based* exercise, represents the second tier of exercises in the *building-block approach*. Although similar to *seminars*, workshops differ in two important aspects: increased *participant* interaction, and a focus on achieving or building a product (e.g., plans, policies). A workshop is typically used to: test new ideas, processes, or procedures; train groups in coordinated activities; and obtain consensus. Workshops often use breakout sessions to explore parts of an issue with smaller groups. |

# Appendix C: Exercise Planning Timelines

## Discussion-Based Exercise Planning Timeline

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Exercise Foundation** | Develop exercise budget | • Sponsor agency's budget format | 5 months before exercise |
| | Identify exercise planning team members | • Exercise planning team organizational chart | 5 months before exercise |
| **Initial Planning Conference (IPC)** | Develop IPC materials | • IPC Presentation<br>• Agenda<br>• Sign-in sheets<br>• Invitations<br>• Read-ahead packet<br>• Participating agency list | 3–4 weeks before IPC |
| | Send IPC Invitations and read-ahead packet to exercise planning team | • Invitations<br>• Read-ahead packet | 2–3 weeks before IPC |
| | Finalize IPC materials | • IPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline | 3 days before IPC |
| | Conduct IPC | • IPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline | 3 months before exercise |
| | Provide IPC minutes to exercise planning team | • IPC minutes | 7–9 days after IPC |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Final Planning Conference (FPC)** | Develop draft Situation Manual (SitMan) | • Draft SitMan | 2 weeks before FPC |
| | Finalize FPC materials | • FPC Presentation<br>• Agenda<br>• Project management timeline<br>• Sign-in sheet<br>• Draft SitMan | 1 week before FPC |
| | Conduct FPC | • FPC Presentation<br>• Agenda<br>• Project management timeline<br>• Sign-in sheet<br>• Draft SitMan | 6 weeks prior to exercise |
| | Conduct walkthrough of exercise site facilities | • None | Following conclusion of FPC |
| | Provide FPC minutes to exercise planning team | • FPC minutes | 7–9 days after FPC |
| **Exercise Conduct** | Finalize SitMan and exercise presentation | • SitMan<br>• Presentation | 10 days before exercise |
| | Setup facility / review presentation | • Presentation<br>• Room layout | 1 day before exercise |
| | Conduct Exercise | • All exercise documents<br>• Sign-in sheets<br>• Badges | Day of exercise |
| | Conduct hot wash / debrief | • Participant Feedback Forms | Immediately after exercise |
| **After Action Report / Improvement Plan (AAR/IP)** | Develop draft AAR/IP | • Hot wash minutes<br>• Participant Feedback Forms<br>• Draft AAR/IP | 3 weeks after exercise |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **AAR/IP** *(continued)* | Send draft AAR/IP to sponsor agency and exercise planning team | • Draft AAR/IP | 4 weeks after exercise |
| **After Action Conference** | Conduct After Action Conference | • Presentation<br>• Agenda<br>• Sign-in sheets<br>• Draft AAR/IP | 5 weeks after exercise |
| **Final AAR/IP** | Finalize AAR/IP and distribute to sponsor agency and exercise planning team | • Final AAR/IP | 2 months after exercise |
| | Share lessons learned, areas for improvement, best practices, and successes identified in final AAR/IP | • Final AAR/IP | 2 months after exercise |

# Operations-Based Exercise Planning Timeline

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Exercise Foundation** | Develop exercise budget | • Sponsor agency's budget format | Minimum 7 months before exercise |
| | Identify exercise planning team members | • Exercise planning team organizational chart | Minimum 7 months before exercise |
| **Initial Planning Conference (IPC)** | Develop IPC materials | • IPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Sample objectives<br>• Participating agency list | 3–4 weeks before IPC |
| | Send IPC invitations and read-ahead packet to exercise planning team | • Invitations<br>• Read-ahead packet | 2–3 weeks before IPC |
| | Finalize IPC materials | • IPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline<br>• Sample objectives<br>• Participating agency list | 3 days before IPC |
| | Conduct IPC | • IPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline<br>• Sample objectives<br>• Participating agency list | Minimum 6 months before exercise |
| | Provide IPC minutes to exercise planning team | • IPC minutes | 11 days after IPC |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Mid-Term Planning Conference (MPC)** | Develop draft Exercise Plan (ExPlan) | • Draft ExPlan | 30 days before MPC |
| | Develop draft Master Scenario Events List (MSEL) | • Draft MSEL | Minimum 5 days before MPC |
| | Finalize MPC materials | • Draft ExPlan<br>• Draft MSEL<br>• MPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline | 5 days before MPC |
| | Conduct MPC | • 4–6 hours | Minimum 3 months before exercise |
| | Conduct exercise site walkthrough | • None | Following conclusion of MPC |
| | Provide MPC minutes to exercise planning team | • MPC minutes | 14 days after MPC |
| **Final Planning Conference (FPC)** | Finalize ExPlan | • ExPlan | Minimum 75 days before FPC |
| | Develop draft Controller and Evaluator (C/E) Handbook | • Draft C/E Handbook | Minimum 10 days before FPC |
| | Develop media / public information documentation | • Media / public information documentation | Minimum 10 days before FPC |
| | Develop draft communications plan | • Draft communications plan | Minimum 10 days before FPC |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **FPC** *(continued)* | Finalize FPC materials | • Media / public information documentation<br>• Draft C/E Handbook<br>• Draft communications plan<br>• Draft MSEL<br>• ExPlan<br>• FPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline | Minimum 5 days before FPC |
| | Conduct FPC | • Media / public information documentation<br>• Draft C/E Handbook<br>• Draft communications plan<br>• Draft MSEL<br>• ExPlan<br>• FPC presentation<br>• Agenda<br>• Sign-in sheets<br>• Project management timeline | Minimum 6 weeks before exercise |
| | Finalize C/E assignments | • C/E assignments | Prior to conclusion of FPC |
| | Finalize assembly area handout | • Assembly area handout | Prior to conclusion of FPC |
| | Provide FPC minutes to exercise planning team | • FPC minutes | 2 days after FPC |
| **Exercise Conduct** | Distribute ExPlan to participating agencies and/or organizations | • ExPlan | 25 days before exercise |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Exercise Conduct** *(continued)* | Conduct C/E training/briefing and distribute Controller Packet and Evaluator Packet | • Presentation<br>• Controller Packet and Evaluator Packet (C/E Handbook, MSEL, communications plan, C/E assignments) | Minimum 1 day before exercise |
| | Set up facility | • None | 1 day before exercise |
| | Conduct exercise participant briefings (and moulage, if applicable) | • Actor brief<br>• Actor waiver forms<br>• Sign-in sheets<br>• Badges<br>• Triage/symptom tags<br>• Player brief<br>• Media/observer brief | Just prior to start of exercise |
| | Conduct exercise | • All exercise documents | Day of exercise |
| | Conduct hot wash | • Participant Feedback Forms | Maximum 2 hours after exercise |
| | Conduct C/E debrief | • C/E debrief presentation | Maximum 1 day after exercise |
| | Provide hot wash minutes, C/E debrief minutes, and Participant Feedback Forms to exercise planning team | • Hot wash minutes<br>• C/E debrief minutes<br>• Participant Feedback Forms | 3–4 days after exercise |
| **After Action Report / Improvement Plan (AAR/IP)** | Develop draft AAR/IP | • Draft AAR/IP | 2–3 weeks after exercise |
| | Provide draft AAR/IP to sponsor agency and exercise planning team | • Draft AAR/IP | 4 weeks after exercise |
| **After Action Conference** | Conduct After Action Conference | • After Action Conference Presentation<br>• Agenda<br>• Sign-in sheets<br>• Draft AAR/IP | 5 weeks after exercise |

| Phase | Activity | Associated Materials | Estimated Workdays/Week |
|---|---|---|---|
| **Final AAR/IP** | Finalize AAR/IP and distribute to sponsor agency and exercise planning team | • Final AAR/IP | 60 days after exercise |
| | Share lessons learned, areas for improvement, best practices, and successes identified in final AAR/IP | • Final AAR/IP | 60 days after exercise |
| | Track improvements | • Final AAR/IP | Continuous, with annual reviews |

# Homeland Security Exercise and Evaluation Program (HSEEP)

## Volume II: Exercise Planning and Conduct

*February 2007*

Homeland Security

# Homeland Security Exercise and Evaluation Program

## Volume II: Exercise Planning and Conduct

Revised February 2007

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# Preface

Homeland Security Exercise and Evaluation Program (HSEEP) Volume I was initially published in 2002 and provided an overview of the exercise design, development, conduct, evaluation, and improvement planning process as well as doctrine for U.S. Department of Homeland Security (DHS) exercises. Subsequent volumes (II–IV) provided more detailed descriptions of the planning and evaluation process as well as sample exercise materials.

Since the initial versions of the HSEEP volumes were published, the homeland security community has experienced numerous changes, including the building of a new and cohesive Federal agency and the release and adoption of the National Response Plan (NRP), National Incident Management System (NIMS), National Preparedness Goal, Universal Task List (UTL), and Target Capabilities List (TCL). This 2007 release of the HSEEP volumes represents an exercise policy and program reflective of these changes.

The following changes have been made:

- The volumes have been made more user-friendly and concise.
- New policies have been incorporated (e.g., NIMS, NRP, National Preparedness Goal, UTL, TCL).
- References to DHS-specific doctrinal or grant-related requirements, such as the need for terrorism-related scenarios, have been eliminated.
- Comments from the Federal Interagency, as well as several State and local stakeholders, have been incorporated so the HSEEP Policy and Guidance is more applicable to all exercises, regardless of scope, scale, scenario, or sponsoring agency.
- The order of Volumes II and III has been reversed to follow the natural progression of exercise design, development, conduct, evaluation, and improvement planning.

It is important to note that the fundamentals of the exercise design, development, planning, evaluation, and improvement planning methodologies have not changed with these volume revisions.

Developing and implementing comprehensive exercise policies is a continually evolving process. As strategies, policies, and plans evolve, future revisions will be issued.

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# Introduction

## Homeland Security Exercise and Evaluation Program

Following the domestic terrorist attacks in 1993, 1995, and 2001 and the establishment of the U.S. Department of Homeland Security (DHS) in 2002, officials at all levels of government and in all types of communities have worked to prepare for, prevent, respond to, and recover from a variety of threats to public safety. Exercises play a crucial role in preparedness, providing opportunities for emergency responders and officials to practice and assess their collective capabilities.

### *Purpose*

The purpose of the Homeland Security Exercise and Evaluation Program (HSEEP) is to provide common exercise policy and program guidance that constitutes a national standard for exercises. HSEEP includes consistent terminology that can be used by all exercise planners, regardless of the nature and composition of their sponsoring agency or organization. The volumes also provide tools to help exercise managers plan, conduct, and evaluate exercises to improve overall preparedness.

HSEEP reflects lessons learned and best practices from existing exercise programs and can be adapted to the full spectrum of hazardous scenarios and incidents (e.g., natural disasters, terrorism, technological disasters). The HSEEP reference volumes integrate language and concepts from the National Response Plan (NRP), the National Incident Management System (NIMS), the National Preparedness Goal, the Universal Task List (UTL), the Target Capabilities List (TCL), existing exercise programs, and prevention and response protocols from all levels of government. In accordance with NIMS, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP.

### *Organization*

This document is the second of five HSEEP volumes, all of which are available at the HSEEP website (http://hseep.dhs.gov). The volumes are organized as follows:

> *HSEEP Volume I: HSEEP Overview and Exercise Program Management* provides guidance for building and maintaining an effective exercise program and summarizes the planning and evaluation process described in further detail in Volumes II through V.
>
> *HSEEP Volume II: Exercise Planning and Conduct* helps planners outline a standardized foundation, design, development, and conduct process adaptable to any type of exercise.
>
> *HSEEP Volume III: Exercise Evaluation and Improvement Planning* offers proven methodology for evaluating and documenting exercises and implementing an Improvement Plan (IP).
>
> *HSEEP Volume IV: Sample Exercise Documents and Formats* provides sample exercise materials referenced in HSEEP Volumes I, II, III, and V. Readers with Internet connectivity may click on exercise materials referenced in this volume to link to HSEEP Volume IV.
>
> *HSEEP Volume V: Prevention Exercises (Draft)* contains guidance consistent with the HSEEP model to assist entities in designing and evaluating exercises that validate pre-incident capabilities such as intelligence analysis and information sharing.

## HSEEP Volume II

This volume, *HSEEP Volume II: Exercise Planning and Conduct*, is organized as follows:

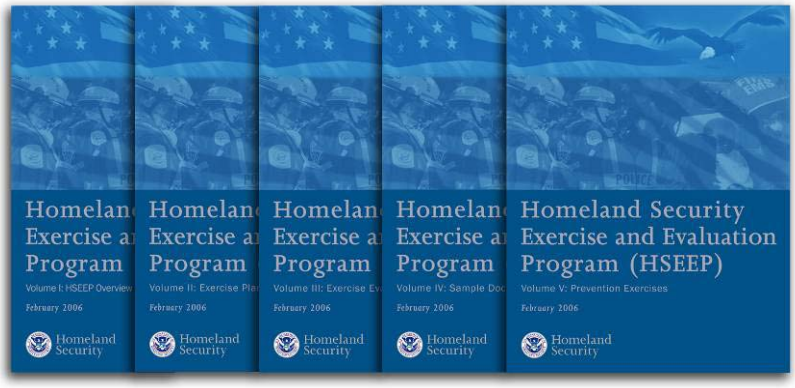
**Chapter 1:** Foundation

**Chapter 2:** Design and Development

**Chapter 3:** Conduct

**Appendix A:** HSEEP Volume IV Overview

**Appendix B:** Acronyms




# Security Guidance

While most of the content found in HSEEP is not sensitive or classified, some HSEEP materials (e.g., scenario examples), particularly those in Volume IV, may necessitate restrictions on distribution. Exercise materials that are produced in accordance with HSEEP guidance and are deemed sensitive should be designated as *For Official Use Only* (FOUO). FOUO identifies unclassified information of a sensitive nature, not otherwise categorized by statute or regulations, of which the unauthorized disclosure could adversely impact a person's privacy or welfare, the conduct of Federal programs, or programs or operations essential to national interest. Examples of materials that may require FOUO designation include scenario information, the Master Scenario Events List (MSEL), and the After Action Report / Improvement Plan (AAR/IP). Access to FOUO information is on a need-to-know basis. FOUO information may be shared with other agencies; Federal, State, local, or tribal government; appropriate private sector representatives; and law enforcement officials, provided a specific need-to-know has been established and the information is shared in furtherance of a coordinated and official governmental activity.

Certain exercise-related information from private sector partners may require or be eligible for additional protections under the Protective Critical Infrastructure Information (PCII) Program. Established pursuant to the Critical Infrastructure Information (CII) Act of 2002, the PCII Program is an information-protection tool that enables members of the private sector to submit proprietary, confidential or sensitive infrastructure information to DHS with the assurance that the information will be protected from public disclosure. Under the PCII Program, information that satisfies the requirements of the CII Act of 2002 is protected from public disclosure under the Freedom of Information Act (FOIA), State and local disclosure laws, and use in civil litigation. DHS and other Federal, State, and local analysts use PCII in pursuit of a more secure homeland, focusing primarily on analyzing and securing critical infrastructure and protected systems, identifying vulnerabilities and developing risk assessments, and enhancing recovery preparedness measures.

# Chapter 1: Foundation

It is important to establish a foundation for designing, developing, conducting, and evaluating an exercise. The exercise planning process is based on a group of planning activities that result in successful exercises. In order to build an exercise foundation, exercising entities (i.e., States, regions, counties, cities, departments, agencies, private companies, and other organizations) must:

- create a base of support;
- identify an exercise planning team;
- develop a project management timeline and establish milestones; and
- schedule planning conferences.

These activities may differ, depending on exercise type. Homeland Security Exercise and Evaluation Program (HSEEP) exercises fall into two categories: discussion-based and operations-based. Discussion-based exercises involve only notional player actions in a low-stress environment. Operations-based exercises entail actual player actions and mobilization of personnel and resources.

## Base of Support

Before government agencies sponsor an exercise, the appropriate senior officials should be briefed to gain their support. Likewise, executive-level buy-in is essential for private sector entities to conduct successful exercises. Establishing this base of support indicates that the exercise purpose and objectives are concurrent with strategic and organizational goals and objectives. Additionally, senior officials often have the ability to garner participation from potential exercise players and planning team members.

## Exercise Planning Team

One of the most important factors for a successful exercise is skilled planning and conduct by the exercise planning team. The exercise planning team oversees, and is ultimately responsible for, exercise foundation, design, development, conduct, and evaluation. The team determines exercise objectives, tailors the scenario to meet the exercising entity's needs, and develops documentation used in evaluation, control, and simulation. Planning team members also help with developing and distributing pre-exercise materials and conducting exercise planning conferences, briefings, and training sessions. Because planning team members are highly involved in the exercise, they are ideal selections for exercise facilitator, controller, and/or evaluator positions.

The exercise planning team should be of manageable size yet represent the full range of participating entities, as well as other relevant stakeholder organizations. For example, in a single-jurisdiction exercise, planning team members should represent each participating key agency, department, and stakeholder organization within that jurisdiction. For a larger, multi-jurisdictional exercise, planning team members should include representatives from each jurisdiction and participating functional area (e.g., fire and rescue, law enforcement, public works, public health, Citizen Corp Council, private sector). An exercise planning team leader manages the planning team.

The membership of an exercise planning team should be modified to fit the type or scope of an exercise, which varies depending on exercise type. An operations-based exercise may require more logistical coordination than a discussion-based exercise, and therefore would include more personnel on the exercise planning team.

Exercise planning teams use a combination of common principles, including the following:

- **Organized Structure:** Exercise planning teams are most efficient and effective when they adhere to an organized structure, similar to the Incident Command System (ICS), as defined in the National Incident Management System (NIMS). This structure has many benefits, including a distinct chain of command and an accountability system that ends with the exercise planning team leader.
- **Project Management:** Effective project management ensures identification, development, and management of critical and supportive activities; frequent communication about project status; and use of management plans and timelines (e.g., project management timeline, scheduling software, Gantt charts).
- **Clearly Defined Roles and Responsibilities:** Exercise planning team members are aware of their individual responsibilities as well as those of the team. Activities should be identified and assigned to the appropriate planning team members, and clear deadlines should be established.
- **Functional Area Skills:** Subject matter experts (SMEs) should be used during the planning process to ensure that a realistic and challenging scenario is chosen and that the exercising entity has the appropriate capabilities to manage such an incident. For example, in planning a biological terrorism response scenario, public health departments and hospitals will have larger roles than special weapons and tactics teams, and a special needs populations SME might be used to ensure the exercise reflects those unique concerns.
- **Leadership:** Exercise planning team members follow appropriate leadership principles, including mentoring, motivation, discipline, personnel management, and time management. Exercise planning team leaders and members should delegate responsibilities as necessary.
- **Teamwork:** Exercise planning team members strive toward group and common goals, using all available expertise while fostering creativity. Maintaining open communications within the exercise planning team by allowing all team members to present ideas is the key to developing a successful exercise.
- **Standardized Exercise Design / Development Process:** Exercise planning team members implement standardized processes—such as incorporating responsibility, time, and project management—into exercise design and development. Exercise planning conferences should be scheduled to develop and review activities (e.g., reserving planning conference space) and outputs (e.g., exercise documentation).

Generally, planning team members are not exercise players. However, for cases in which resources are limited—for example, in smaller organizations or less populated jurisdictions—exercise planning team members who act as both planners and players should be especially careful not to divulge exercise information in advance. In most instances, planning team members are asked to be "trusted agents" who must not release scenario-related information to players prior to an exercise.

### *Exercise Planning Team Position Descriptions*

The exercise planning team leader provides exercise planning team members with clearly stated roles and responsibilities, specific activity assignments, and completion timelines to ensure that activities are not overlooked, forgotten, or identified at the last minute.

Regardless of the scale and complexity of an exercise, certain core groups with specifically assigned responsibilities must be formed because they provide the basis of an exercise planning team. This structure is derived from ICS, as defined in NIMS, and can be scaled to reflect the scope of the exercise. The planning team structure includes the following:

- **Command Section:** The Command Section is responsible for coordinating all exercise planning activities. Within the Command Section is the exercise planning team leader, who assigns exercise activities and responsibilities, provides guidance, establishes timelines, and monitors the development process. The safety controller and the liaison coordinator report directly to the exercise planning team leader.
- **Operations Section:** The Operations Section provides most of the technical or functional expertise for the participating entities. This group provides scenario expertise and has personnel with the expertise necessary to serve as evaluators.
- **Planning Section:** The Planning Section is responsible for compiling and developing all exercise documentation. To accomplish this effectively, the Planning Section also collects and reviews policies, plans, and procedures that will be validated in the exercise. This group is also responsible for planning exercise evaluation. During the exercise, the Planning Section may be responsible for developing simulated actions by agencies not participating in the exercise and setting up a Simulation Cell (SimCell) for exercises that necessitate one (such as functional exercises).
- **Logistics Section:** The Logistics Section provides the supplies, materials, facilities, and services that enable the exercise to function smoothly without outside interference or disruption. This group consists of two subsections: service and support. The service section provides transportation, barricading, signage, food and drinks, real-life medical capability, and exercise-site perimeter security. The support section provides communications, purchasing, general supplies, very important personnel (VIP)/observer processing, and recruitment/management of victim actors. For more information on logistics, see *Chapter 2: Exercise Design and Development* of this volume.
- **Administration/Finance Section:** The Administration/Finance Section provides grant management and administrative support throughout exercise development. This group is also responsible for the registration process and coordinates schedules for the planning team, the exercise planning team leader, participating agencies, and the host community or communities.

Although exercise planning team size may be contracted or expanded depending on personnel availability, the project management timeline for a given type and scope of exercise tends to remain constant in terms of the number and types of planning activities. For smaller, less complicated exercises, planning teams can begin with a core group of four or five people.

A small team may require a member or section leader to assume additional roles. For example, early in the planning process, a logistics section leader may perform the few activities that normally the food/vendor, transportation, or security coordinators would handle because those requirements spread out over the 6-month exercise planning process. However, care should be taken not to overwhelm team members by understaffing the exercise. When a task reaches a level that requires an individual's dedicated attention, that task position should be assigned to another team member in order to avoid any oversight due to multiple task performance. Position descriptions can be provided to help individuals who must perform activities associated with multiple roles.

Oftentimes during the planning process, particularly for more complicated exercises, the exercise planning team grows as activities increase in frequency and complexity. For example, it may be necessary

to expand positions to include several SMEs (e.g., representatives from law enforcement, fire and rescue, private sector, or public health) in the Operations Group as well as additional logistical support or service staff (e.g., representatives from public works, representatives from communications, victim actor coordinators). Many large, complex, or multi-jurisdictional exercises may start with a planning team that fills most, if not all, of the sample organizational structure depicted in Figure 1-1. In these cases, planning leaders must be prepared to delegate responsibility.

**Figure 1-1:** *Sample exercise planning team*

## Timeline and Milestones

Discussion-based exercises require some attention to logistical details. The exercise planning team should establish a timeline that identifies key planning meeting dates and milestones, as well as critical responsibilities and activities, no later than by the conclusion of the Initial Planning Conference (IPC), which is discussed in more detail in this chapter under *Planning Conferences*. Responsibility for these tasks may be assigned and tracked on a project management timeline. If the exercise planning team leader institutes a project management timeline, it is most effective for the planning team to follow it exactly. Any changes must be justified to the exercise planning team leader, and the entire team should be subsequently notified to avoid any confusion.

Operations-based exercises require a much more detailed and organized planning process than discussion-based exercises in order to ensure a high-quality product. In addition to a project management timeline, exercise planners may find it necessary to employ more detailed project management tools, such as assignment checklists or Gantt charts, for operations-based exercises. Examples of exercise planning timelines containing milestones are available in Appendix C of HSEEP Volume I.

## Planning Conferences

This section describes the types of planning conferences most useful in exercise design and development. The exercise planning team leader and exercise planning team members decide the number of meetings

needed to successfully plan a given exercise. In preparation for the first planning conference, the exercise program manager (described in HSEEP Volume I) should provide the exercise planning team leader with information on the exercise program, its objectives, and its flexibilities and limitations.

The following section provides descriptions of each type of exercise planning conference and its outcome, along with information on tools (e.g., agendas, draft documents, checklists, presentations) used to assist the exercise planning team in designing, developing, and conducting an exercise.

Providing advance information to planning team members significantly enhances the efficiency of a planning conference. Materials may be provided to team members in a read-ahead packet that typically includes, but is not limited to, proposed agenda items; relevant background information (e.g., rationale for conducting the exercise); and expected conference outcomes. Ideally delivered a week in advance of the planning conference, a read-ahead packet provides literature on the relevancy and importance of the conference, and allows for better informed attendees.

Planning conference details for both discussion-based and operations-based exercises are described in the following section. Suggested timetables for planning conferences and associated tasks can be found in Appendix C of HSEEP Volume I.

### *Concept and Objectives Meeting*

**Primary Focus**

A Concept and Objectives (C&O) Meeting is the formal beginning of the planning process. It is held to identify the type, scope, objectives, and purpose of the exercise. For less complex exercises and for entities with limited resources, the C&O Meeting can be conducted in conjunction with the IPC; however, when exercise scope dictates, the C&O Meeting is held first. For example, the C&O Meeting is held before the IPC for large-scale exercises, complex full-scale exercises (FSEs), or any high-profile exercise that necessitates a high level of support from executives or authorities.

Representatives from the sponsoring agency or organization, representatives from potentially participating organizations, the exercise planning team leader, and senior officials typically attend the C&O Meeting. The C&O Meeting helps planners identify the capabilities and tasks that are going to be validated, design objectives based on those capabilities and tasks, and exercise planning team members.

**Length**

Depending on the scope of the exercise, the C&O Meeting can range from 2 to 4 hours.

**Location**

The exercise planning team leader determines the location of the meeting in consideration of the senior officials in attendance.

**Discussion Points**

Possible topics or issues for a C&O Meeting include the following:

- Exercise purpose
- Proposed exercise scenario, capabilities, tasks, and objectives
- Available exercise resources
- Proposed exercise location, date, and duration
- Exercise planning team and exercise participants
- Exercise assumptions and artificialities

- Exercise control and evaluation
- Exercise security organization and structure
- Local issues, concerns, and sensitivities
- Exercise logistics

**Tools**

The primary tools for the C&O Meeting are the read-ahead packet, the agenda, and background/rationale for conducting the exercise. Briefings are useful for presenting the exercise background/rationale as well as the proposed exercise methodology for those unfamiliar with HSEEP.

**Outcomes**

The following outcomes are expected from the C&O Meeting:

- Agreement regarding exercise type, scenario, capabilities, tasks, and objectives
- Consensus regarding the target exercise timeframe and the date and time of the next planning conference
- Identification of participating entities

**Follow-up**

C&O Meeting minutes should be prepared and disseminated to attendees and other potential planning team members within 4 working days of the meeting's conclusion. During the period between the C&O Meeting and the IPC, the exercise planning team leader ensures that the exercise planning team has sufficient representation from participating agencies and organizations.

### *Initial Planning Conference*

**Primary Focus**

The IPC marks the beginning of the exercise development phase. Unless a separate C&O Meeting is conducted, the IPC is typically the first official step in the planning process. Its purpose is to determine exercise scope by gathering: input from the exercise planning team; design requirements and conditions (e.g., assumptions and artificialities); objectives; extent of play; and scenario variables (e.g., time, location, hazard selection). The IPC is also used to develop exercise documentation by obtaining the planning team's input on exercise location, schedule, duration, and other relevant details.

During the IPC, exercise planning team members are assigned responsibility for activities associated with designing and developing exercise documents—such as the Master Scenario Events List (MSEL) and the Situation Manual (SitMan), which are described later in this volume—and logistics, such as scene management and personnel. In addition to conducting the conference, the exercise planning team gathers appropriate photographs and audio recordings to enhance the realism and informational value of the final document(s) and/or multimedia presentation(s) presented during the exercise.

**Length**

Depending on the scope of the exercise, the IPC can range from 3 to 6 hours.

**Location**

The exercise planning team leader determines the location for the IPC. Facilities should be accessible to all participants and conducive to discussing and accomplishing work.

**Discussion Points**

Possible topics or issues for an IPC include the following:

- Understanding the rationale for exercise development
- Ensuring clearly defined and measurable capabilities, tasks, and objectives
- Incorporating community emergency operations plans (EOPs), memoranda of agreement (MOA), participating agency standard operating procedures (SOPs), and/or other relevant policy into the exercise design
- Identifying local issues, concerns, or sensitivities
- Determining the extent of play for each participating entity by establishing what each entity will demonstrate and be evaluated on at the exercise, allowing for appropriate logistical needs to be arranged in order to support those activities
- Ensuring that exercise planners consider themselves trusted agents and understand that, in most cases, they will participate as facilitators, controllers, or evaluators (rather than as players)
- Choosing subjects for photographs and/or audio/visual (A/V) recordings to incorporate into exercise documents and multimedia presentations (to enhance realism)
- Deciding whether or not to record exercise proceedings (audio or video)
- Determining the optimum duration of the exercise
- Ensuring that exercise planners understand that the exercise is conducted in a no-fault environment intended to validate plans and procedures and identify problems and potential solutions
- Selecting or customizing the appropriate Exercise Evaluation Guides (EEGs) to determine whether or not exercise capabilities, tasks, and objectives were achieved and to allow participants to provide feedback
- Reaching a consensus regarding the date, time, and location for the next conference

**Tools**

The primary tools for the IPC are the read-ahead packet; the agenda; capabilities and tasks from the EEGs; hazard information (if applicable); a proposed room layout (for discussion-based exercises); and the project management timeline. A briefing is useful for presenting an overview of the exercise to the planning team.

**Outcomes**

The following outcomes are expected from the IPC:

- A planning schedule
- Clearly defined, obtainable, and measurable capabilities, tasks, and objectives
- Identified exercise scenario variables (e.g., threat scenario, scope of hazard, venue, conditions)

- A list of exercise participants
- Identification and availability of SMEs and presenters, as necessary, for scenario vetting and/or expert evaluation
- Determination of the best communication method among exercise planning team members
- A list of which exercise documents and presentations must be employed, and assignments for drafting each
- Availability of all source documents (e.g., policies, plans, procedures) needed to draft exercise documents and presentations
- Clearly identified and assigned responsibility for exercise logistical issues (e.g., registration, badges, invitations)
- A list of established dates for completion of corrective actions and responsibilities
- A list of critical activities for the next planning conference
- An agreed upon date, time, and location for the next conference and the actual exercise

**Follow-up**

IPC minutes are prepared and disseminated to exercise planning team members within 4 working days of the conference's conclusion. All members of the exercise planning team remain in direct contact regarding outstanding issues and the logistics for conducting additional planning conferences and the exercise.

During the period between the IPC and the next conference, exercise planning team members prepare their assigned draft exercise documents and presentations. If possible, these materials are provided to planning team members at least 5 days in advance of the next conference.

### *Mid-Term Planning Conference*

Mid-Term Planning Conferences (MPCs) are typically used in more complex, operations-based exercises such as functional exercises (FEs) and FSEs. MPCs provide additional opportunities to settle logistical and organizational issues that may arise during planning.

**Primary Focus**

The MPC is a working session to discuss exercise organization and staffing concepts, scenario and timeline development, scheduling, logistics, and administrative requirements. It is also a session to review draft documentation (e.g., scenario, Exercise Plan [ExPlan], Controller and Evaluator [C/E] Handbook, MSEL). At the conclusion of the MPC, selected planners should conduct a walkthrough of the proposed exercise site. If only three planning conferences are scheduled (i.e., the IPC, MPC, and Final Planning Conference [FPC]), the second half of the MPC should be devoted to developing the MSEL. See the next section, *Master Scenario Events List Conference*, for more information.

**Length**

Depending on the agenda, the MPC is generally a full-day conference (especially if no MSEL planning conference is scheduled). The exercise planning team should allow sufficient time to conduct a walkthrough of the exercise site and gather supporting pictures, maps, and other visual aids.

**Location**

The MPC should be held at, or near, the intended exercise site to facilitate the walkthrough.

**Discussion Points**

Possible topics or issues for an MPC include the following:

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

**Tools**

MPC tools include, but are not limited to, an agenda; IPC minutes; a draft scenario timeline; draft documentation (e.g., ExPlan, C/E Handbook); and other selected documentation needed to illustrate exercise concepts and provide planning guidance.

**Outcomes**

The following outcomes are expected from the MPC:

- Agreement on final ExPlan details
- A fully reviewed exercise scenario timeline, usually the MSEL
- Fully reviewed exercise documentation (e.g., ExPlan, C/E Handbook)
- Well-developed scenario injects (imperative if no additional conferences are scheduled)
- Agreement on the exercise site
- Finalization of date, time, and location of the FPC

**Follow-up**

MPC minutes are prepared and distributed to the exercise planning team within 4 working days of the conference's conclusion. The time between the MPC and the FPC is used to finalize the ExPlan, scenario timeline, and any remaining exercise documentation (as determined at the IPC).

### *Master Scenario Events List Conference*

For more complex, operations-based exercises, one or two additional planning conferences—or MSEL conferences—may be held specifically to review the scenario timeline. If not held separately, MSEL conferences are incorporated into the MPC and FPC.

**Primary Focus**

The MSEL Conference focuses on developing the MSEL. The MSEL is a chronological list that supplements the exercise scenario with event synopses; expected participant responses; capabilities, tasks, and objectives to be addressed; and responsible personnel. It includes specific scenario events (or *injects*) that prompt players to implement the plans, policies, and procedures that require testing during the exercise, as identified in the capabilities-based planning process. It also records the methods that will be used to provide the injects (e.g., phone call, facsimile, radio call, e-mail). For more information on MSELs, see *Chapter 3: Exercise Conduct*.

**Length**

The length of a MSEL Conference varies according to the scope of the exercise and variability of the injects. The exercise planning team allows 4 to 8 hours to conduct a MSEL Conference and assigns a person to be responsible for incorporating suggestions and constructing the MSEL after the conference.

**Location**

A MSEL Conference takes place in a convenient location accessible to all participants that facilitates a working environment.

**Discussion Points**

In developing a MSEL, the exercise planning team must first consider the tasks, conditions, and standards set forth by each exercise objective. As described in Chapter 4 of HSEEP Volume I, completing a task is one step toward demonstrating a capability. A *condition* is the environment in which a task is performed—it can be provided by the scenario or through the MSEL.

If scenario conditions do not stimulate performance of the appropriate task, the exercise planning team must develop a MSEL entry to simulate the desired situation. A well-written entry considers the following questions:

- Is the event key (i.e., is it directly related to meeting an exercise objective)?
- What is the desired task? Who will demonstrate the task?
- What will stimulate the behavior (e.g., course of play, phone call, actor, video)?
- Who originates the stimulant? Who receives it and how?
- What action is the player expected to complete?
- Should a contingency entry be developed for injection into the exercise in case the players fail to demonstrate the task?

**Tools**

MSEL Conference tools include, but are not limited to, previous planning conference minutes, draft exercise documentation, and an agreed-upon MSEL template. See HSEEP Volume IV for MSEL templates and examples.

**Outcomes**

Following a MSEL Conference, the status of the MSEL's completion may vary. At a minimum, key events and the time of their delivery are identified, and responsibility for constructing the remaining events is assigned.

**Follow-up**

Once the MSEL is drafted, the exercise planning team coordinates and sequences entries and resolves any conflicts between events, thus forming a credible and challenging MSEL that will enhance the exercise experience for players.

### *Final Planning Conference*

**Primary Focus**

The FPC is the final forum for reviewing exercise processes and procedures. Prior to the FPC, the exercise planning team receives final drafts of all exercise materials. No major changes to the design or scope of the exercise, or its supporting documentation, should take place at the FPC. The FPC ensures

that all logistical requirements have been met, all outstanding issues have been identified and resolved, and all exercise products are ready for printing.

**Length**

Generally, the FPC is a half-day conference for discussion-based exercises and a full day for operations-based exercises.

**Location**

The FPC should be located in close proximity to the planned exercise site to allow a final walkthrough. The facility should be accessible to all participants and conducive to discussing and accomplishing work.

**Discussion Points**

The following items are addressed during the FPC:

- Resolve any open issues related to exercise planning and identify last-minute concerns that may arise
- Review all exercise logistical activities (e.g., schedule, registration, attire, special needs)
- Conduct a comprehensive, final review of—and approve—all exercise documents (e.g., SitMan, ExPlan, MSEL, C/E Handbook) and presentation materials

**Tools**

The primary tools for the FPC include IPC and/or MPC minutes, an agenda, and final draft exercise documents. If possible, these materials should be delivered to planning team members 5 days prior to the FPC.

**Outcomes**

The FPC should not generate any significant changes or surprises. The following outcomes are expected:

- Attendees have a clear understanding of—and give final approval for—exercise processes and procedures.
- Exercise documents and materials for production are approved.
- Last-minute issues are identified and resolved.
- Logistical elements, including A/V equipment, room configuration and setup, refreshments, and schedule, are confirmed.

**Follow-up**

FPC minutes are prepared and disseminated to exercise planning team members within 4 working days of the conference's conclusion. Direct communication is maintained among exercise planning team members regarding any outstanding issues, especially exercise conduct logistics. The exercise planning team finalizes all publications, prepares all supporting materials, rehearses presentations and briefings, and prepares to conduct the exercise. Prior to the exercise, documentation and any additional instructions should be disseminated to the appropriate personnel (e.g., presenters, facilitators, controllers, evaluators, simulators).

# Chapter 2: Design and Development

Building on the exercise foundation, the design and development process consists of identifying capabilities, tasks, and objectives; designing the scenario; developing documentation; coordinating logistics; planning exercise conduct; and selecting an evaluation and improvement methodology.

## Capabilities, Tasks, and Objectives

Exercise capabilities, tasks, and objectives are the cornerstone of design and development. The exercise planning team determines exercise capabilities, tasks, and objectives with input from the overall exercise program, as described in Homeland Security Exercise and Evaluation Program (HSEEP) Volume I. An entity's Multi-Year Training and Exercise Plan, also discussed in HSEEP Volume I, should dictate the specific capabilities to be evaluated by the current exercise.

The exercise planning team must consider all of the capabilities being evaluated. Each capability has specific tasks associated with it that should be performed and validated during the exercise. These capabilities and tasks, derived from the Target Capabilities List (TCL) and Universal Task List (UTL), should be used to formulate objectives that reflect the exercising entity's specific needs, environment, plans, and procedures. Exercise Evaluation Guides (EEGs), described in further detail below, contain these capabilities and tasks that can be used to build objectives specific to the exercising entity.

Objectives help address general exercise program goals, provide a framework for scenario development, guide development of individual organizational objectives, and supply evaluation criteria. Planners should create objectives that are simple, measurable, attainable, realistic, and task-oriented (SMART).

For example, if an entity identified the need to validate its interoperable communications in its Multi-Year Training and Exercise Plan, when it comes time to execute that plan and design and develop an individual exercise, the exercise planning team would first select the Interoperable Communications capability EEG. Within this EEG, several tasks are associated with this capability, including: implement response communications interoperability plans and protocols; establish an Incident Command Post (ICP) in a location that is safe and appropriate to facilitate communications; and designate a communications unit leader (COML), as appropriate, and announce to all relevant personnel who will carry out COML responsibilities. Based on this capability and associated tasks, the entity may want to design the following SMART objective based on its particular standard operating procedure (SOP): *Examine the ability of Jones County Emergency Medical Service (EMS) to communicate directly with Jones County Emergency Operations Center (EOC) using the 800-megahertz (MHz) system.*

Generally, planners should limit the number of exercise objectives to enable timely exercise conduct, facilitate reasonable scenario design, and support successful completion of exercise goals. Capabilities, tasks, and objectives are initially prepared during a Concept and Objectives (C&O) Meeting or Initial Planning Conference (IPC). For a discussion-based exercise, they typically focus on strategic, policy-oriented issues; whereas for an operations-based exercise, they typically focus on tactical issues.

**Figure 2-1:** *Referencing capabilities and tasks to create exercise objectives and scenarios*

## Scenario

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

Exercise planners should select and develop scenarios that enable an exercise to meet its capabilities, tasks, and objectives. There are a number of factors that should be taken into consideration when developing a scenario, including level of realism, type of threat/hazard, site selection, weather variables, and optimal date and time for exercise conduct. All scenarios should be realistic, plausible, and challenging; however, designers must ensure the scenario is not so complicated that it overwhelms players. Scenario development should also take into account the capabilities and tasks that an exercise seeks to validate.

A scenario consists of three basic elements: (1) the general context or comprehensive story; (2) the conditions that allow players to demonstrate proficiency and competency in meeting the exercise capabilities, tasks, and objectives; and (3) the technical details necessary to accurately depict scenario conditions and events. The exercise planning team ensures that the design effort is not characterized by a fixation on scenario development—rather, the scenario facilitates achievement of exercise capabilities, tasks, and objectives, which are the foundation of exercise design. Furthermore, scenarios should be constructed to avoid any sensitivities that may arise, such as the use of real names of terrorist groups or sensitive venues (e.g., a school or private company).

### *Realism*

Exercise scenarios reflect a range of probable threats faced by the exercising entity. They must be credible enough for players to suspend their inherent disbelief in hypothetical situations.

Findings from an entity's threat/vulnerability analyses can contribute to scenario development. For example, if a certain area is known to be susceptible to earthquakes, the scenario could feature a high-magnitude, high-intensity quake affecting that location. Exercise planning team members should also consider previous real-world incidents and existing plans that have been developed for popular local attractions or large venues.

The level of detail provided in a scenario should reflect real-world uncertainty. Inclusion of superfluous information, or "white noise," is a variable that should be discussed and agreed upon by the exercise planning team.

### *Threat/Hazard*

The first step in designing a scenario is determining the type of threat/hazard on which the exercise will focus. Each type of emergency has its own strengths and weaknesses when it comes to evaluating different aspects of prevention, protection, response, and recovery. The exercise planning team should choose a threat/hazard that best validates the capabilities, tasks, and objectives on which the exercise will focus. For example, if the entity wants to validate its evacuation capabilities, it might design a hurricane scenario.

The identification of this threat/hazard scenario should be based on the entity's threat and vulnerability analysis. For example, in a highly populated, high-profile community, the threat of chemical, biological, or radiological terrorism may be considered more of a risk than in predominately rural areas, where agricultural assets may be more vulnerable to acts of terrorism. Likewise, the threat of hurricanes is far greater in the Southeastern United States, whereas wildfires are a concern in the West.

### *Venue*

The venue is the facility or site where the scenario will take place. Venue selection should be based on the identified threat or hazard. For example, if a terrorist attack using a non-persistent chemical hazard (e.g., the nerve agent sarin) is selected, the venue should not be an open-air facility (e.g., stadium, park) because of that hazard's dissipating characteristics. When appropriate, the selected venue described in the scenario should be based on previous threat/vulnerability analyses as well as the objectives.

For an operations-based exercise, the site used to conduct the exercise does not necessarily have to be the same venue described in the exercise scenario. For example, a stadium parking lot may be used to simulate an airport runway. Regardless of the exercise site, venue employees (e.g., stadium concessionaires, security guards) may participate as planning team members, players, or support staff during exercise conduct to cost-effectively practice internal procedures such as notification and evacuation.

When selecting an appropriate site for an operations-based exercise, planners should consider the need for the following:

- A large area for tactical operations during the exercise
- A designated area (either at or near the site) large enough to accommodate the pre-staging or assembly area (described in the section *Exercise Logistics*) for apparatus and equipment
- Minimal disruption from normal, everyday services such as traffic, public activities, and construction
- A designated area or room for victim actors to receive instructions before the exercise and, in some instances, to be moulaged (i.e., apply mold or makeup to simulate real injuries during an exercise)
- A designated area for media, observers, and very important personnel (VIPs) to view the exercise without interfering with exercise play
- Adequate parking for control staff, media, observers, victim actors, and support staff

### *Weather*

For operations-based exercises, especially those conducted outdoors, exercise planners must decide whether to use real-world weather conditions at the time of the exercise or simulated weather conditions to prompt a certain chain of events. Wind direction and speed are typical examples of conditions that are simulated so that exercise play can be more easily controlled (e.g., in order to more readily disperse a chemical agent). If weather elements will be simulated, that information should be provided in the

Exercise Plan (ExPlan) and player briefing, which are described in more detail in the *Exercise Documentation* section.

Real-world weather conditions may pose a safety issue for exercise controllers at outdoor exercises. High heat or severe cold may produce dangerous exercise conditions that put exercise players at risk for injury if not properly planned for and mitigated. For example, players conducting exercise activities with personal protective equipment (PPE) are at increased risk for heat stress on hot days, so their condition must be monitored closely. This safety issue is addressed further in the *Exercise Logistics* section.

### *Date and Time*

For all scenarios, the date and time affect exercise play. Many communities have different population demographics on weekdays, weekends, and holidays, as well as at night and during special events. These changes may affect players' expected actions and can be incorporated into the scenario. For example, when a major sporting event is held at a stadium, it may temporarily increase a community's population and change traffic patterns—evacuation routes or response times may be affected. In fact, exercise planners may consider conducting an exercise on a weekend or during night hours to test off-hour resource levels and to minimize disruption to traffic and ongoing operations.

## Exercise Documentation

This section describes the various types of exercise documents, which are also summarized in Table 2-1. Discussion-based exercises generally do not use as many different types of documents as operations-based exercises.

### *Exercise Evaluation Guides*

The HSEEP series of tools includes EEGs to help evaluators collect and interpret relevant exercise observations. These sets of documents outline and provide guidance on assessing the tasks and activities to be accomplished for each capability being validated by an exercise. EEGs were developed for use by experienced exercise evaluators and by practitioners who are subject matter experts (SMEs). Each EEG provides evaluators with information on what they should expect to see demonstrated or hear discussed, space to record their observations, and criteria to consider after the exercise (as the first step in the analysis process).

Each EEG can be used by an individual evaluator or by groups assigned to observe specific activities. During the analysis phase, evaluators combine their observations with those of other evaluators. They reconstruct events and analyze outcomes and interactions across agencies, organizations, disciplines, and jurisdictions to achieve broad capability outcomes.

EEGs can also be a valuable tool during the exercise planning process since they link tasks to capabilities, making it easier to determine what should be exercised. Relevant EEGs should be selected early in the planning process because they aid design of the exercise objectives and scenario.

| Document Title | Exercise Usage | Distribution Audience | Key Document Features |
|---|---|---|---|
| Exercise Evaluation Guides (EEGs) | All evaluated exercises | Limited: Evaluators | Helps evaluators assess performance of capabilities, tasks, and objectives during an exercise |
| Situation Manual (SitMan) | Discussion-based | Not limited: All exercise participants | Textual background for multimedia, facilitated exercise<br>Includes administrative information as well as scenario details |
| Multimedia Presentation | Discussion-based | Not limited: All exercise participants | Supports SitMan, concisely summarizing written information<br>Enhances exercise realism with audio/ visual depiction of the scenario<br>Focuses and drives exercise |
| Controller and Evaluator (C/E) Handbook | Operations-based | Limited: Controllers, evaluators | Supplements ExPlan with exercise administration information and scenario details |
| Exercise Plan (ExPlan) | Operations-based | Not limited: Players, observers | Includes general exercise information but does not contain scenario details<br>Enables players to understand their roles and responsibilities in the exercise |
| Master Scenario Events List (MSEL) | Operations-based | Limited: Controllers, evaluators, simulators | A chronological listing of the events and injects that drive exercise play<br>Produced in both short (i.e. quick reference) and long (i.e. all-encompassing) formats |

**Table 2-1:** *Exercise documents*

### *Situation Manual*

SitMans are usually provided for discussion-based exercises, especially tabletop exercises (TTXs), as the core documentation that provides the textual background for a multimedia, facilitated exercise. The SitMan supports the scenario narrative and allows participants to read along while watching the multimedia events unfold. All participants (i.e., players, facilitators, evaluators, and observers) should receive SitMans at the beginning of the exercise. Consideration should be given to the accessibility of presentations and documents, such as making information available in alternative formats (i.e., large prints, compact disk [CD], Braille), closed captioning or another form of text display, or the provision of sign language interpreters.

The SitMan's introduction provides an overview of the exercise—including scope, capabilities, tasks and objectives, structure, rules, and conduct—as well as an exercise agenda. The next section of the SitMan is the scenario itself, which is divided up into distinct modules. Modules provide the basic structure of the exercise and are chronologically sequenced. Each module represents a specific time segment of the overall scenario—pre-incident warning, notification, response, or recovery—selected based on exercise

objectives and scenario requirements. For example, pandemic disease exercises typically contain an incubation module, whereas chemical or explosive terrorism scenarios offer planners the opportunity to include a warning phase and initial response modules.

Each module is followed by discussion questions, usually divided up by organizational group (e.g., public safety, emergency management, public affairs). Responses to the modules' discussion questions are the focus of the exercise, and reviewing them provides the basis for evaluating exercise results. These discussion questions can be derived from tasks and capabilities contained within each EEG (see Volume III for more information on evaluating discussion-based exercises).

The SitMan contains greater detail than the discussion-based exercise's multimedia presentation and generally includes the following information:

- Introduction
- Schedule of events
- Exercise purpose, scope, capabilities, tasks, and objectives
- Exercise structure (i.e., order of the modules)
- Instructions for exercise facilitators, players, and observers
- Exercise assumptions and artificialities
- Exercise rules
- Exercise scenario background (including scenario location information)
- Discussion questions and key issues
- Reference appendices with relevant supporting information, which may include, but not be limited to:
  - entity- and threat-specific information;
  - Material Safety Data Sheet (MSDS) or agent fact sheet, when applicable;
  - relevant documents regarding plans, SOPs, etc.; and
  - a list of reference terms.

### *Multimedia Presentation*

Multimedia presentations are often used for discussion-based exercises to provide the general scenario. They are given at the start of the exercise (StartEx) and support (both visually and with audio) the written documentation, the SitMan. Participants read the written material while watching or listening to the presentation. The presentation itself should concisely summarize information contained in the written documentation. Like the SitMan, the multimedia presentation is also divided into distinct, chronologically segmented modules that, when combined, create the entire scenario.

This presentation typically contains, at a minimum, the following information:

- Introduction
- Background/history on the threat and the scenario
- Exercise capabilities, tasks, and objectives
- Exercise play rules and administrative information

- Modules that describe the scenario

These presentations are intended to help focus and drive the exercise as well as add realism. Audio/visual (A/V) enhancements to a presentation include video or sounds that convey information to exercise participants. For example, presentations can include sound bites and video clips that have local interest. A video clip of the local mayor conducting a press conference and a sound bite of a 9-1-1 call are common examples. Obtaining recordings from the officials who participate in a real incident is a good way to add realism to the presentation.

### *Exercise Plan*

ExPlans are general information documents that help operations-based exercises run smoothly. They are published and distributed prior to StartEx and provide a synopsis of the exercise. In addition to addressing exercise objectives and scope, ExPlans assign activities and responsibilities for successful exercise conduct. They enable participants to understand their roles and responsibilities in exercise planning, conduct, and evaluation. The ExPlan is intended for use by exercise players and observers—therefore, it does not contain detailed scenario information that may reduce the realism of the tasks to be performed. Players and observers should review all elements of the ExPlan prior to exercise participation.

An ExPlan typically contains the following sections:

- Administrative handling instructions / security designation
- Purpose, scope, and objectives
- Duration, date, and time of exercise and schedule of events
- Exercise planning team / control staff organization description
- Roles and responsibilities
- Rules of conduct
- Safety issues, notably real emergency codes/phrases, safety controller responsibilities, and prohibited activities
- Logistics
- Security of and access to the exercise site
- Communications (e.g., radio frequencies/channels)
- Maps and directions

### *Extent of Play Agreements*

Extent of Play Agreements (XPAs) can be used during the development of exercise objectives to determine what will be exercised and what will be evaluated. These binding agreements are formed between exercise participants and can be vital to the planning of an exercise, the recruitment of evaluators, and the development of support requirements.

### *Controller and Evaluator Handbook*

The C/E Handbook, also used in operations-based exercises, specifically describes the roles and responsibilities of exercise controllers and evaluators and the procedures they must follow. Because the C/E Handbook contains information about the scenario and about exercise administration, it is distributed to only those individuals specifically designated as controllers or evaluators. The C/E Handbook supplements the ExPlan and contains more detailed information about the scenario. It points readers to the

ExPlan for more general exercise information, such as participant lists, activity schedules, required briefings, and the roles and responsibilities of specific participants.

The C/E Handbook usually contains the following sections:

- Detailed scenario information
- Assignments, roles, and responsibilities of group or individual controllers and evaluators
- Exercise safety plan
- Controller communications plan (e.g., a phone list, a call-down tree, instructions for the use of radio channels)
- Evaluation instructions

For larger, more complex exercises, planners may develop a written Evaluation Plan (EvalPlan) in lieu of, or in addition to, a C/E Handbook. Like the C/E Handbook, an EvalPlan supplements the ExPlan by providing evaluation staff with guidance and instructions on evaluation or observation methodology to be used as well as essential materials required to execute their specific functions. The EvalPlan is a limited distribution document. Evaluators use it in conjunction with the ExPlan and the MSEL, and some controllers may use it as well. More information on the EvalPlan and the evaluation process can be found in HSEEP Volume III.

Likewise, Control Staff Instructions (COSIN) may be employed in lieu of a C/E Handbook for larger, more complex exercises that require more coordination among control staff. A COSIN contains guidance that controllers, simulators, and evaluators need concerning procedures and responsibilities for exercise control, simulation, and support. In addition to the functions of a C/E Handbook, a COSIN provides guidelines for control and simulation support and establishes a management structure for these activities.

### *Controller and Evaluator Packets*

While C/E Handbooks contain detailed information that should be read and understood well in advance of the exercise, Controller and Evaluator Packets are provided to controllers and evaluators immediately prior to an exercise. Unlike C/E Handbooks, which are provided identically to all controllers and evaluators, Controller and Evaluator Packets are given out individually—controllers receive Controller Packets and evaluators receive Evaluator Packets. The packets contain key information from the C/E Handbook and additional information specific to the functional area in which the given controller or evaluator will be working. This information is needed on-hand during exercise play in order to carry out control and evaluation responsibilities.

Both Controller Packets and Evaluator Packets should contain the following:

- Essential C/E Handbook information
- The MSEL, including injects and events for each responsible controller/evaluator
- Appropriate EEGs
- Maps/directions

### *Master Scenario Events List*

A MSEL (pronounced *mee-zul*) is typically used in operations-based exercises and contains a chronological listing of the events that drive exercise play. The MSEL links simulation to action and reflects each inject or event that will prompt players to implement the policy or procedure being validated. MSEL entries that controllers must simulate are called *injects*. Entries that represent expected player actions are called *expected action events*. Oftentimes, injects and expected action events are

referred to simply as *events*. Each MSEL entry contains the following:

- Designated scenario time
- Event synopsis
- Controller responsible for delivering the inject, with controller/evaluator special instructions (if applicable)
- Expected action (i.e., player response expected after a MSEL inject is delivered)
- Intended player (i.e., agency or individual player for whom the MSEL event is intended)
- Capability, task, or objective to be demonstrated (if applicable)
- Notes section (for controllers and evaluators to track actual events against those listed in the MSEL, with special instructions for individual controllers and evaluators)

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

Controllers delivering MSEL injects will either be co-located with players in the venue of play, or they will reside in a Simulation Cell (SimCell). A SimCell is a location from which controllers deliver telephone calls, radio messages, facsimiles, and other types of messages—these messages represent actions, activities, and conversations of an individual, agency, or organization that is not participating in the exercise but would likely be actively involved during a real incident. Prior to StartEx, the mechanisms for introducing injects into exercise play should be tested, especially when injects are input through various communications systems. This ensures that controllers are aware of the procedures for delivering MSEL injects, and that any systems that will be used to deliver them are functioning properly as planned. The setup of a SimCell is described in the *Exercise Logistics* section.

The three types of events that comprise a MSEL are as follows:

1. **Contextual injects** are introduced to a player by a controller to help build the exercise operating environment. For example, if the exercise is designed to test information-sharing capabilities, a MSEL inject can be developed to direct a controller to select an actor to portray a suspect. The inject could then instruct the controller to prompt another actor to approach a law enforcement officer and inform him/her that this person was behaving suspiciously.
2. **Expected action events** reserve a place in the MSEL timeline and notify controllers of when a response action would typically take place. For example, during an full-scale exercise (FSE) involving a chemical agent, establishing decontamination is an expected action.
3. **Contingency injects** are events that a controller verbally indicates to a player if they do not physically take place. This ensures that play moves forward, as needed, to adequately evaluate performance of activities. For example, if a simulated secondary device is placed at an incident scene during a terrorism response exercise, but is not discovered, a controller may want to prompt an actor to approach a player to say that he/she witnessed suspicious activity close to the device location. This should prompt the responder to discover the device, and result in subsequent execution of the desired notification procedures.

MSELs are typically produced in long formats, short formats, or both. Short MSELs list contextual injects and a delivery time for each; they provide a short description, the responsible controller, and a player to receive the inject. These can be used as a quick-reference guide during exercise play. Long MSELs are

used when greater detail is necessary; they include more detailed descriptions, exact quotes and formats for SimCell injects, and descriptions of expected actions.

### *Media / Public Information Documentation*

Members of the media have the unique ability to fulfill an important function before, during, and after an exercise. Prior to an exercise, they inform the public that an exercise will place, and they make the public aware that the community is preparing for disasters. During an exercise, they can facilitate the validation of public information plans and procedures. Following an exercise, the media may release details to the host community on the state of its preparedness, if the exercise planning team leader provides such information.

**Press Release**

Prior to an exercise, the exercise planning team should develop a written press release to be disseminated to media outlets. This release informs the media and the public about general exercise information. Additionally, this information can be distributed to observers, senior officials, and other VIPs. This release should *not* contain detailed scenario information, such as the type of threat/hazard or venue, nor should it contain information that might hinder exercise outcomes if a participant were to see it.

Typically, the contents of a media / public information release for an exercise include the following:

- Introduction, including sponsor and exercise program information
- Purpose and expected outcomes
- Scope and duration
- General scenario information (e.g., site/venue, goals, objectives)
- Participating agencies or disciplines

**Public Announcement**

Public announcements should be made prior to any operations-based exercise. This precaution helps alleviate any confusion on the part of passing motorists or pedestrians. It will also help the public avoid congestion near the exercise site by providing suggestions for alternate routes. Announcements can be made on local television or radio, in local newspapers, through mass mailings or pamphlets, and/or on signs near the exercise site.

**Media Policy**

Exercise planners may wish to notify the media about an exercise before it takes place. This notification can prevent public confusion on the day of the exercise and assure the public that the community is working to prepare for real-world incidents. The agency/organization sponsoring the exercise should decide whether to invite the media. If invited, the media should have an opportunity prior to the exercise to conduct interviews with key planners and participants.

At discussion-based exercises, the media should not be present during the discussion of any potentially sensitive information. If the media would like video footage of exercise proceedings and participants, they should be allowed to film from the back of the room until scenario discussions begin. This allows participants to speak freely and openly during the exercise without outside distractions or intimidation.

During operations-based exercises, media may be allowed to film certain activities but should be cautioned not to interfere with exercise play. Unless media are invited to participate in the exercise, a guide—typically a public information officer (PIO) or designee—should escort media at all times. If mock media—exercise controllers simulating the real-world media—are employed during an exercise in

order to test public affairs training, they should be kept completely separate from any real-world media that may be observing the exercise.

## Exercise Logistics

Logistical details are important, but often overlooked, aspects of an exercise. They can make the difference between a smooth, seamless exercise and one that is confusing.

### *Discussion-Based Exercises*

#### Facility and Room

Meetings, briefings, and discussion-based exercises are conducted in facilities that are appropriate for exercise scope and attendance. Conference rooms and banquet halls are ideal examples. Facilities should be reserved solely for exercise purposes and should be accessible to all and free from distractions.

Enough tables and chairs should be available for every player, observer, facilitator, and presenter; varying table arrangements should be used for different types of exercises. For example, for a conference (during which input is needed from all parties), a U-shaped layout is most conducive to facilitation and participant interaction. For a seminar, during which there is little participant interaction and information is presented to the audience, chairs and/or tables face the front of the room. For a workshop, the ideal facility permits breakout sessions in separate rooms. For a TTX, the number of tables is based on the number of participating functional areas (e.g., one table for the medical community, one table for Federal representatives). Table arrangements for a TTX should allow for as much participant and facilitator interaction as possible.

When selecting a facility, room acoustics are paramount. Carpeting and low ceilings are effective room elements that help dampen the effect of simultaneous conversation. Planners may limit players to 12 to 15 per table during a TTX to avoid excessive crowding and noise levels. Facilitators and presenters should control the noise in the room by discouraging side conversations, ensuring cellular phones are turned off or made silent, and controlling group dynamics.

The facility should have accessible parking for all participants. Readily available and accessible restroom facilities and room to move during breaks are also priority considerations when selecting a facility.

#### Food and Refreshments

Food and refreshments should be provided to participants and observers, especially during prolonged exercises. For discussion-based exercises that exceed 4 hours, it is often beneficial to have a working lunch provided; a working lunch keeps exercise disruption to a minimum.

#### Audio/Visual Requirements

The multimedia presentation is a key aspect of a discussion-based exercise because it adds realism. A/V requirements should be identified well in advance, and specific responsibilities should be assigned to ensure proper equipment functioning. Examples of A/V equipment include, but are not limited to, projection display screens, video and/or computer projectors, speakers, and microphones (lapel/lavaliere, handheld, or podium). Advance consideration should also be given to the accessibility of presentations and documents, such as making information available in alternative formats (i.e., large prints, CDs, Braille), closed captioning or another form of text display, or the provision of sign language interpreters.

#### Supplies

Exercise planners should not assume participants will bring necessary supplies with them. Writing utensils, notepads, easels, copies of plans and procedures to be discussed, name badges, and any other

equipment deemed necessary should be procured prior to exercise conduct and provided to participants.

**Badges, Name Tents, and Table Tents**

Badges are used to clearly identify each exercise participant by name and agency or organization. Name tents are placed on tables prior to StartEx to ensure proper seating arrangements. Additionally, each table has a table tent identifying the functional area seated at that table.

**Registration and Table/Breakout Identification**

Participants register upon arrival, for both identification and security reasons. Each participant provides his or her name, organization, telephone/facsimile number, and e-mail address. Table assignments must be predetermined, and last-minute changes are strongly discouraged. The exercise planning team retains copies of the sign-in sheets so that participants can receive follow-up correspondence such as thank you notes, certificates of completion, copies of the After Action Report / Improvement Plan (AAR/IP), and invitations to future planning meetings and exercises.

**Restrooms**

Restrooms should be available to all individuals involved in an exercise, including individuals with physical disabilities.

### *Operations-Based Exercises*

Operations-based exercises have additional logistical items that must be considered. At a minimum, water should be available to all individuals present during exercise conduct. If an exercise exceeds 4 hours in length, a meal, usually a boxed lunch, should be available to victim actors, players, controllers, and evaluators. Restroom facilities should include portable and/or permanent restrooms at the assembly area and the exercise play area. Compliance with accessibility requirements for people with various disabilities should be integral to all logistical considerations. Further logistical considerations unique to operations-based exercises are described in this section.

**Videotaping**

Due to security concerns, it is important for the exercise planning team to determine which parts of an exercise, if any, will be videotaped. Videotaping is a good way to document exercise events for future training, additional evaluator observation, or even public record. If there is a videotaping team, members should be clearly identified with badges, vests, or other forms of identification that allow them free reign in the exercise play area. This team should not be confused with members of the media.

**Props and Devices**

Props and devices are used in operations-based exercises to add realism and test player awareness. See the *Exercise Enhancement* section of this chapter for information on props and devices.

**Site Security**

Due to the sensitive nature of exercises, and because exercises themselves may become targets, it is important for the exercise site to be secure. Local law enforcement should provide site security. Site security personnel are the only individuals involved with the exercise who should remain armed.

**Weapon and Safety Policy**

All exercises must employ a written weapon and safety policy that has been approved by senior officials prior to exercise conduct. Qualified individual(s) must perform a weapons check to clear all inspected weapons, and these weapons must be clearly marked to indicate they are safe for use in exercise play. All players are expected to fully adhere to this policy; however, site security personnel may continue to carry assigned weapons. See HSEEP Volume IV for the HSEEP weapon and safety policy.

**Communications**

Prior to an exercise, a radio frequency or designated exercise channel is identified for player use. The selected frequency should not interfere with normal operations that are outside the scope of the exercise. All radio and/or telephone conversations with players, either at the primary incident site or at an off-site location, should begin with the phrase, *"This is an exercise."*

In addition, a separate radio frequency is assigned for use by controllers when coordinating exercise logistics, updating exercise status, and relaying information on real emergencies, if necessary. When feasible, handheld radios should be provided to all controllers prior to an exercise.

**Safety**

Safety is the most important consideration in planning an operations-based exercise. The following actions must take place to ensure a safe environment:

- Identify safety controller(s) (not to be confused with a safety officer designated by the incident commander as part of the response to the exercise scenario)
- Dedicate advanced life support or basic life support ambulance unit(s) for real-world emergencies only
- Identify real-world emergency procedures with a code word or phrase
- Identify safety requirements and policies
- Consider other safety issues outside the scope of exercise control (e.g., weather, heat stress, hypothermia, fire/pyrotechnics, weapons, animals/K-9s, use of force, use of PPE)

**Badging and Identification**

For security purposes, all exercise participants should wear some form of identification. Although some players may wear their uniforms, all other participants—including controllers, evaluators, actors, observers/VIPs, support staff, and plain-clothes players—should also be clearly identified. This identification is usually accomplished through a color-coded system of badges and hats. Badges and hats should be distributed before conducting the exercise, usually during registration or briefings. Participants should receive information about the forms of identification they will see at the exercise play area and what each color represents.

**Actors**

Volunteer victim actors are an important part of an operations-based exercise. They provide added realism and prompt players to provide simulated victim care. Recruiting victim actors is one of the biggest challenges of any operations-based exercise. As soon as the exercise planning team determines the total number of actors needed, team members should begin recruiting from local sources.

*Sources*

Exercise planning team members can recruit victim actors from local colleges and universities, drama clubs, theaters, civic groups, emergency response academies, medical classes, and Federal/State military units. Consideration should be given to soliciting volunteer victim actors from within the special needs population to provide an opportunity to practice meeting the needs of these individuals in a disaster situation. Potential actors should inform exercise staff of any pre-existing medical conditions, such as pregnancy or diabetes, which may require special care or treatment.

*Waiver Forms*

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

*Actor Instructions*

Volunteers should receive their instructions prior to the day of the exercise. Victim actor instructions include information on when to arrive, where to report, and whether a meal will be provided during or after the exercise. Additional instructions provided include the following:

- Wear old clothing because clothing could possibly get cut, ripped, or wet.
- Eat prior to attending the exercise.
- Expect a long, tiring day.
- Do not wear expensive clothing or jewelry.
- Tell the victim actor coordinator about pre-existing medical conditions.

*Symptomology Cards*

Each victim actor in a response-focused exercise is given a unique symptomology card containing the signs and symptoms the actor will portray, as well as information for medical providers. The victim actor coordinator or his/her staff explains these cards to victim actors before the exercise and answers any questions. Victim actors are instructed to keep these cards with them at all times during the exercise, and to not step out of character except in the event of a real emergency.

At a minimum, symptomology cards should include:

- vital signs;
- symptoms;
- trauma injuries;
- acting instructions (e.g., disorientation, emotional distress); and
- special needs (e.g., language barriers, physical limitations).

*Moulage*

Moulage is a cosmetic mold or makeup applied to victim actors to simulate injuries, adding realism to an exercise. It includes fake blood, plastic bones, and any other makeup that helps a victim actor emulate the signs and symptoms on his or her symptomology card. Although not required, moulage is encouraged at all response-focused, operations-based exercises. School drama clubs, military units, community theaters, the American Red Cross, and morticians are common resources for moulage staff.

*Self-Referrals*

Some hospitals may wish to practice handling self-referred victims or psychosomatic (i.e., worried-well) patients. In such cases, the number of patients each hospital will receive and the method of transport to these hospitals should be predetermined. Victim actors portraying self-referring victims are pre-staged at the appropriate hospital(s) prior to StartEx and must be monitored for safety, food, and water needs.

*Hospital/Victim Breakdown*

For exercises that include hospital participation, identification of which hospitals will receive victim actors is determined prior to the exercise. This breakdown should include:

- the number of actors that will be transported from the primary incident site to each hospital;
- the number of self-referring patients;
- the number of actors that will be pre-staged (generally self-referrals) at each hospital; and
- special considerations.

This breakdown should be considered when making transportation arrangements.

*Water/Food*

Water is provided to all victim actors during operations-based exercises. It is important that victim actors do not become dehydrated. If an exercise exceeds 4 hours, a meal, usually a boxed lunch, is provided. Victim actors receive instructions on how to get water and meals. Ideally, water is placed at designated stations throughout the exercise site, or bottles of water are on-hand for distribution. Local American Red Cross and Salvation Army chapters are excellent sources for canteen supplies (e.g., food and refreshments) as well as blankets for decontaminated actors. Some communities have received donated water and food from private companies (e.g., soda distributors, fast food chains).

*Transportation*

If victim actors are transported offsite, round-trip transportation is coordinated before StartEx. Victims are transported back to their vehicles at the conclusion of the exercise.

**Assembly Area**

The assembly area is an essential element of an operations-based exercise; it is the gathering place for deployable resources prior to StartEx. All deployable units are dispatched from this area; therefore, all personnel, organizations, and resources who are playing and dispatching to the exercise should report to the assembly area. (All participants who are assigned to offsite locations such as hospitals, EOCs, or SimCells should report to the areas designated by their respective organizations.)

More than one assembly area may be established if the exercise involves multiple sites or incidents. In a response-focused, operations-based exercise, actual response times to or from multiple sites can be safely mimicked from an assembly area in close proximity to the exercise. When dispatched, units should not leave the assembly area until directed to do so. Units will be released based on a realistic duration of time from their home stations to the scenario venue. Because personnel may be gathered in the assembly area for a significant amount of time prior to dispatch, it is important to have provisions, such as potable water and restrooms, available.

The assembly area is an exercise-designated area and should not be confused with a staging area, which may be established by Incident Command to stage units before their arrival on the scene.

**Response Route**

The response route is the path traveled by responding emergency units to a simulated incident during a response-focused, operations-based exercise—it leads from the assembly area to the exercise site. This route should be clearly marked and free of traffic that is unrelated to the exercise.

**Operations Area**

The operations area is a large space where tactical operations—such as decontamination, triage, or render-safe procedures (RSP)—take place. Predetermining routes to an operations area will help reduce the

possibility of accidents and liability issues. Directions and maps should be produced and disseminated to players before the exercise.

**Parking**

Established parking areas should be clearly labeled for use by observers, media, actors, controllers, evaluators, and players arriving in personal vehicles. Law enforcement personnel should be available to help direct vehicles to proper parking areas.

**Registration**

No unauthorized personnel are allowed into an operations-based exercise site; everyone associated with the exercise must register. All individuals register immediately upon arrival at the exercise site and receive a badge. If necessary, certain VIPs may be registered and receive their badges in advance or at a separate registration location.

**Observer/Media Area**

If observers and media are invited to an exercise, they are directed to a designated area that provides them with a view of exercise play but prevents them from interfering with exercise play. Because many entities prefer to keep operations of groups—such as Special Weapons and Tactics (SWAT) teams or Explosive Ordnance Disposal (EOD) teams—confidential, these activities take place some distance from the observer/media area.

**Simulation Cell**

A SimCell is used to generate injects and receive player responses for non-participating agencies. For example, if part of an exercise requires the police department to request closure of specific air space, the SimCell would receive the call rather than the Federal Aviation Administration (FAA), assuming the FAA is not playing in the exercise. The SimCell also provides information in place of a non-participating agency. For example, if the Federal Bureau of Investigation (FBI) is not participating, the SimCell may be used to simulate communication to and from the FBI Strategic Information Operations Center (SIOC).

Physically, the SimCell is a working location for a number of qualified professionals who portray non-participating organizations, agencies, and individuals who would likely participate actively if exercise events were real. These professionals are knowledgeable of the agencies and organizations they are portraying, and they deliver MSEL injects in a dramatic and realistic tone of voice. Depending on the type of exercise, the SimCell may require a telephone, fax machine, computer, e-mail account, or other means of communication.

## Exercise Enhancement

Enhanced exercises provide a realistic scenario or field environment and add an increased level of learning potential for participants. Enhancements can range from using scenarios based on detailed research on a specific hazard to providing props such as explosion debris, mannequins, smoke, or moulaged victims. The following paragraphs detail some operations-based exercise enhancements.

### *Props*

Props are nonfunctional replicas of objects, the presence or discovery of which prompt certain actions by exercise players. Examples include simulated bombs, bomb blast debris (i.e., shrapnel), mannequins or body parts, and foam bricks and beams. Simulations that mimic the effects of chemical hazards or that cause a positive reading of an actual detection device are also considered props. Providing prop written materials is a suitable method of delivering detailed, scripted information. For example, providing a prop copy of a local newspaper that includes a scripted article related to the exercise scenario is an effective

way to enhance what might otherwise be a bland message.

### *Equipment*

When feasible, using real equipment is more desirable than using simulated props. Using real equipment has the added effect of familiarizing personnel with the tools of the trade. For example, emergency medical technician (EMT) staff will benefit more from completing medical triage tags than from stating what they would do if they had triage tags. However, when players treat victim actors, they must use noninvasive equipment.

### *Personnel*

Using actual team members and victim actors is essential for exercise realism. Teams that consistently train and practice together tend to respond more effectively and cohesively. Every effort should be made to incorporate existing teams into the exercise as players. For example, include hazardous materials (HazMat) teams and bomb squads; disaster medical assistance teams; and evidence response, special reaction, and hostage negotiation teams. Using actors as victims enhances realism for all response staff that interacts directly with them. Soliciting volunteers from the local jurisdiction (e.g., city, county) helps develop a sense of community and assures community members that their first responders are well-trained.

### *Special Effects*

A special effect is a technical enhancement that typically requires trained and licensed personnel, special permission for use, and additional safety and/or security precautions. Examples include the employment of pyrotechnics or explosives, or the use of makeup specialists.

### *Red Teams*

Composed of experienced role-players, Red Teams are a physical representation of the adversary whom the players are seeking to prevent or deter from perpetrating an attack during a prevention-focused, operations-based exercise. Numerous personnel, logistics, and safety considerations are associated with employment of Red Teams. See HSEEP Volume V for more information on prevention-focused exercises.

## Evaluation Planning

As part of the exercise design and development process, the exercise planning team will use the exercise capabilities, tasks, and objectives to determine what data should be collected, which peer experts will collect it, and how it will be collected. Early in the design and development process, it is important to define evaluation requirements. Exercise scope and objectives, and the tasks assigned to participating agencies, will help determine such requirements. Next, the planning team selects evaluation tools, generally the EEGs related to the capabilities to be evaluated during the exercise. Finally, it is helpful to recruit, assign, and train evaluators well in advance of the exercise start date. For more information on evaluation planning, see HSEEP Volume III.

# Chapter 3: Conduct

Exercise conduct includes setup and wrap-up activities. For a discussion-based exercise, conduct also entails presentation, facilitation, and discussion. For an operations-based exercise, conduct encompasses all operations occurring between the designated start of the exercise (StartEx) and end of the exercise (EndEx).

## Discussion-Based Exercise Types

### *Seminars*

Seminars generally orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas. They also provide a good starting point for entities that are developing or making major changes to existing plans or procedures. Seminars are also useful when attempting to gain awareness of, or assess, the capabilities of interagency or inter-jurisdictional operations. Seminars are useful whenever there is a need to provide a common framework of understanding. Seminars are the basic building block of exercise development.

Seminars can be used to deliver a wide range of topics. Although the topics may vary, all seminars share the following common attributes:

- They are conducted in a low-stress environment.
- Information is conveyed through different instructional techniques, which may include lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, decision support tools, or any combination thereof.
- Informal discussions are led by a seminar leader.
- There are no real-time “clock” constraints.
- They are effective for both small and large groups.

Prior to participating in a seminar, participants should have a clear understanding of exercise objectives, which can range from developing new standard operating procedures (SOPs) to attaining priority capabilities. Seminars are typically conducted in a lecture-based format with limited feedback or interaction from participants. They may feature one speaker or a series of speakers from different entities. Lecture content can vary, but often includes the following:

- Current resources
- Current or proposed mutual aid agreements (MAAs)
- Existing plans, policies, or procedures
- Real-world incident or exercise experiences and lessons learned
- Entity directions and goals

Seminars do not typically result in a formal, comprehensive After Action Report / Improvement Plan

(AAR/IPs); however, a final report, or Summary Report, should be developed to capture the discussions conducted; issues raised; and, when appropriate, corrective actions that will address these issues.

### *Workshops*

Although similar to seminars, workshops differ in two important aspects: participant interaction is increased and the focus is placed on achieving or building a product. Workshops provide an ideal forum for:

- collecting or sharing information;
- obtaining new or different perspectives;
- testing new ideas, processes, or procedures;
- training groups to perform coordinated activities;
- problem-solving complex issues;
- obtaining consensus; and/or
- building teams.

Products produced from a workshop include new SOPs, emergency operations plans (EOPs), continuity of operations (COOP) plans, MAAs, Multi-Year Training and Exercise Plans, and IPs that address specific issues and recommendations from a given AAR. To be effective, workshops must focus on a specific issue, and the desired outcome, product, or goal must be clearly defined. It should be noted that these products are distinct from the resulting workshop Summary Report.

The following are examples of workshop objectives:

- Identify issues that may arise when developing a cooperative plan for use by entities that have not previously worked together.
- Define new regional boundaries.
- Determine program or plan objectives.
- Develop an exercise scenario.
- Determine evaluation elements or performance standards.

Potential topics and goals relevant to workshops are numerous; however, all workshops share the following attributes:

- They are conducted in a low-stress environment.
- They use a no-fault forum.
- Information is conveyed using a number of different instructional techniques, including lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, decision support tools, or any combination thereof.
- They use facilitated, working breakout sessions.
- Plenum discussions are led by a workshop leader.
- Goal-oriented discussions take place with an identifiable product in mind.
- There are no real-time “clock” constraints.

- They are effective for both small and large groups.

Typically, workshops begin with a presentation or briefing, during which the background and rationale for the workshop are conveyed, and specific activities and expected outcomes are delineated.

The presentation is typically followed by facilitated breakout sessions, in which workshop participants break into groups for focused discussions of specific issues. Breakout sessions are used to increase participant interaction regarding the issues most relevant to their functional areas. For example, if a workshop's objectives address inter-jurisdictional disaster plans, it would have breakout sessions for law enforcement, fire and rescue, and emergency management personnel, among others.

Ideally, breakout sessions are facilitated by someone with both subject matter knowledge and facilitation experience. If this is not possible, it is more important to have a good facilitator who can keep the discussion on track than to have subject matter knowledge. During breakout sessions, facilitators should be aware of time constraints, notify participants about progress, and warn them when time is about to expire. Following breakout group discussions, the groups reconvene in a plenum session to present outcomes.

For workshops, planners should reserve one large room in which all participants can see a screen and see all other participants. For breakout sessions, individual rooms (such as classrooms) are ideal.

### *Tabletop Exercises*

Key staff, decision makers, and elected and appointed officials are typical participants in a tabletop exercise (TTX). This type of exercise is generally held in an informal setting intended to generate discussion of various issues regarding a hypothetical, simulated emergency incident. TTXs can be used to enhance general awareness, validate plans and procedures, and/or assess the types of systems needed to guide prevention of, protection from, response to, and recovery from a defined incident. Generally, TTXs are aimed at facilitating concept understanding, identifying strengths and weaknesses, and/or achieving changes in attitudes.

During a TTX, players are encouraged to discuss issues in depth, and the environment allows them to develop decisions through slow-paced problem solving rather than the rapid, spontaneous decision making that occurs under actual incident conditions. 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 basic and advanced categories. In a basic TTX, the scenario is presented and remains constant—it describes an emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the facilitator or moderator; problems are discussed as a group; and resolution is reached and documented for later analysis.

In an advanced TTX, play advances as players receive pre-scripted messages that alter the original scenario. The moderator usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Players discuss the issues raised by each problem, using appropriate plans and procedures. Player decisions are incorporated as the scenario continues to unfold.

TTXs may be conducted using either breakout or plenary formats. The breakout format uses several breakout groups, which can vary in size but may include as many as 10 to 15 players each, seated at different tables. Common interests or responsibilities determine table assignments. Although the scenario is usually presented to all groups simultaneously, individual breakout groups consider their own probable actions based on plans, policies, and procedures. Each group reports to the re-assembled plenary at the

conclusion of each exercise module.

The plenary format groups players in a large room or hall according to function or responsibility. In a plenary TTX, no periods are set aside for small or subgroup discussions. This type of exercise requires active facilitation, sometimes by a team of facilitators. Use of facilitators generally allows more control over discussion direction; facilitators can draw information from players to present a clear picture of issues and objectives. Active facilitation also ensures that the discussion remains focused on issues and policies. A plenary format is useful for exercises involving agencies/organizations that do not have a tradition of coordinated operations. It is also the preferred format if most participants are new to TTXs. This format ensures that everyone hears everything that is said and all players have an opportunity to comment.

All types of TTXs are usually constructed with the following common features:

- They incorporate group problem solving.
- Senior officials become familiar with critical issues related to their responsibilities.
- They employ the conditions of a specific scenario.
- Personnel contingencies are examined.
- Group message interpretation is examined.
- Participants share information.
- Interagency/inter-organization coordination is assessed.
- Limited or specific objectives are achieved.
- They prepare participants for more complex exercises.

All participants should be encouraged to contribute to the discussion. They should be reminded they are making decisions in a no-fault environment. Facilitators should encourage interaction between groups.

During TTX conduct, exercise planning team personnel give a multimedia presentation, facilitate discussions during caucus periods, and moderate ensuing discussion or report-back sessions. At the conclusion of the TTX, the exercise planning team leader provides an overview of the day's activities, followed by comments or closing remarks by members of the exercise planning team.

TTXs require a room in which all participants can view a screen and participants at individual tables can discuss issues without disruption. For this reason, it is ideal to reserve one large room and several smaller rooms (similar to workshop breakout rooms).

### *Games*

Games are hypothetical situations steered by player actions. Force-on-force games are used for exercises and have specific rules, using controllers to enforce game parameters. Game players may come from the same or different functional areas or entities, depending on exercise objectives.

Games explore the consequences of player decisions and actions and are used to consider appropriate behavior or behavioral guidelines for the future. Therefore, they are excellent tools to use when validating or reinforcing plans and procedures, or evaluating resource requirements.

During game play, decision making may be either slow and considered, or rapid and more stressful, depending on the exercise design and objectives. In a game, the outcomes of player actions are highly dependent on a controller's interpretation of the rules, whereas in computerized simulations (described in the next section), rules are interpreted more strictly. The controller's role is to process the information that

is received. Player decisions, subsequent actions, and outcomes rely on the controller's subject matter knowledge and understanding of game rules. The open, decision-based format of a game can incorporate "what if" questions that expand exercise benefits.

Games have the following common characteristics:

- Play unfolds contingent on player decisions.
- They encourage a competitive environment.
- They provide rapid feedback.
- They improve teamwork.
- They foster an environment to practice group problem solving.
- Group message interpretation is tested.
- Interagency coordination is assessed.
- Senior officials become familiar with individual responsibilities.
- Players explore potential future scenarios.
- Consequences of player actions are demonstrated.

A major variable in games is whether consequences of player actions are scripted or random. After each player action or move, the controller presents the outcome. Depending on the game's design, this outcome can be either pre-scripted or decided after play. Identifying critical decision-making points is a major factor in the success of games because players make their evaluated moves at these crucial points. The controller, guided by the rules, determines the outcomes produced by player actions. Therefore, time must be allotted for game rules to be thoroughly tested prior to game play. If either the critical decision-making opportunities or the rules are deficient, then objectives will not be properly tested.

Generally, attendance at a game is dictated by game objectives, design, and concepts. Due to the usual limitation on number of players, planners are encouraged to open the exercise to observers, if possible. Observers are asked not to participate in discussions and strategy sessions, but can be tasked to make notes and report back to controllers with feedback.

The exercise planning team begins the game. Interaction among players or teams is encouraged; however, conversations and associations should emulate what is found in the real world.

Controllers must be aware of pre-established rules and procedures of the game. The game may have only one controller or, if there are teams, there may be a controller for every team (under the guidance of a lead controller). The controller presents the outcome of each action and ensures that player actions take place within game rules and timeframe.

All controllers and evaluators make and compile notes relevant to their team's actions. Immediately after the game, a short hot wash is conducted with the exercise planning team to determine the level of satisfaction with the exercise, issues or concerns, and proposed improvements. In addition, players can provide immediate feedback throughout the exercise, and capture events as they occur. The planning team should collect game attendance lists and capture notes from the hot wash for inclusion in the AAR/IP.

### *Models and Simulations*

Models and simulations are valuable tools that use game-like formats to guide players to conceptualize threats to national security and work through lengthy scenarios. Models and simulations can provide immediate feedback to players within the context of a given scenario. Although live exercises are an

irreplaceable component of any preparedness program, simulations are a cost effective way to understand the resources available within the homeland security community and the challenges of prioritizing their use. When used to complement live exercises, models and simulations can perform systematic data collection and analysis instead of requiring exercise controllers and evaluators to rely on personal expertise to estimate the effects of the simulated threat or disaster.

**Model**

A model is a physical, mathematical, or otherwise logical representation of a system, entity, phenomenon, or process. Models allow responders to visualize a specific procedure or plan component without physically demonstrating a full capability.

**Simulation**

A simulation is a method for implementing a model over time. For example, a computer program presents users with a scenario, and then follows their decision-making processes based on their actions at critical moments during the incident. Simulation tools can incorporate built-in responses to player decisions, providing players with instant feedback on the outcomes of their choices and the underlying reasons for those results.

As an increasingly complex network of challenges emerges in the homeland security community, the integration of various training techniques, including the use of models and simulations, can help augment the level of national preparedness.

## Discussion-Based Exercise Conduct

### *Setup*

Members of the exercise planning team assigned to setup should visit the exercise site at least 1 day prior to the event to arrange the room and test audio/video (A/V) equipment. On the day of the exercise, planning team members should arrive several hours before StartEx to handle any remaining logistical or administrative items pertaining to setup, and to arrange for registration.

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

- Adequate number of Situation Manuals (SitMans) or other written materials for exercise participants
- Multimedia presentation
- Appropriate A/V equipment including televisions, projectors, projection screens, microphones, and speakers
- Table tents for each table
- Name tents for each participant
- Badges identifying the role of each exercise participant (e.g., player, observer, VIP, facilitator, evaluator)
- Sign-in sheets
- Participant Feedback Forms

### *Presentation*

The multimedia presentation is a crucial vehicle for conveying information to the audience. Individuals selected to present should be confident of their abilities, able to speak well in front of large audiences, and exhibit their expertise of the subject. For example, they should not be prone to reading directly from the presentation slides.

The presentation typically starts with brief remarks by representatives from the exercise planning team or sponsoring entity, and/or senior officials from the governing jurisdiction. After the opening remarks, the presentation moves into a brief introductory and explanatory phase led by a moderator. During this phase, attendees will be introduced to facilitators and evaluators, given background on the exercise process, and be advised about their individual roles and responsibilities.

The moderator generally presents the multimedia briefing, which describes the scenario that will unfold and any relevant background information. The moderator also leads the discussion, brings spokespersons up to the front of the room, poses questions to the audience, and ensures that the schedule remains on track.

### *Facilitated Discussions*

Facilitated group discussions occur at individual tables organized by discipline or agency/organization, and ideally, someone with functional area expertise facilitates them. The facilitator is responsible for keeping the discussion on track with the exercise objectives and making sure all issues are explored (time permitting). Characteristics of a good facilitator include the following:

- Ability to keep side conversations to a minimum, keep discussions on track and within established time limits, control group dynamics and strong personalities, and speak competently and confidently about the subject without dominating the conversation
- Functional area expertise or experience
- Awareness of local plans and procedures
- Ability to capture the discussion in notes for inclusion in the AAR/IP

Facilitated discussions take place before moderated discussions. Players should discuss their responses based on their knowledge of current plans, procedures, and capabilities.

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

### *Moderated Discussions*

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

Generally, time for both facilitated and moderated discussion periods is scheduled at the end of each module, with another, longer period for each at the conclusion of the exercise. During the module discussion periods, groups should be careful to focus only on the material presented in a given module.

### *Wrap-up Activities*

All facilitators should take and compile notes relevant to their groups' facilitated and moderated discussions. This information will be used to generate the AAR/IP and/or exercise notes.

In addition, players and observers receive a Participant Feedback Form before EndEx that asks for input regarding the exercise's strengths and areas for improvement. At a minimum, the questions on this feedback form solicit the following:

- Impressions about exercise conduct and logistics
- Substantive information on the most pertinent issues discussed and potential corrective actions to address these issues

Information collected from feedback forms contributes to the issues, observations, recommendations, and corrective actions in the AAR/IP. Exercise planners should pay particular attention to comments regarding logistical problems so future exercises can avoid them. Feedback forms can be supplemented by the conduct of a hot wash immediately following the exercise, during which time facilitators conduct an informal conversation with players to capture their perspectives on the key strengths and areas for improvement identified during the exercise.

Also immediately following the exercise, a short debrief is conducted with exercise planning team members to ascertain their level of satisfaction, discuss any issues or concerns, and propose improvements. Exercise attendance lists are collected and copies provided to the exercise planning team leader. Debrief notes are captured in the meeting minutes.

## Operations-Based Exercise Types

### *Drills*

A drill is a coordinated, supervised activity usually employed to validate a specific operation or function in a single agency or organization. Drills are commonly used to provide training on new equipment, develop or validate new policies or procedures, or practice and maintain current skills. Drills are narrow in scope and typically focus on a specific aspect of an operation. For example, drills are appropriate for assessing response time to an alarm, checking the ability of a guard to use a metal detector, or determining if a 9-1-1 operator can appropriately direct a call reporting suspicious behavior that may involve terrorism. Drills can be used to determine if plans can be executed as designed, to assess whether more training is required, or to reinforce best practices.

A drill is useful as a stand-alone tool, but a series of drills can also be used to prepare several agencies/organizations to collaborate in a full-scale exercise (FSE). For example, plans for an FSE may involve response to a simulated radiological dispersal device (RDD) detonation that results in radioactively contaminated mass casualties and a crime scene. Preparatory drills for this exercise might include the following:

- A decontamination drill for firefighters and emergency medical technicians (EMTs) to practice and demonstrate decontamination procedures
- A hotline management drill for law enforcement officials and firefighters to practice investigation and collection of evidence in a radioactive environment
- A hospital triage drill to practice receiving potentially contaminated patients

Typically, attributes of drills include the following:

- They have a narrow focus.
- Results from drills are measured against established standards.
- They provide instant feedback.
- They involve a realistic environment.
- They are performed in isolation.
- Players become prepared for exercises that are larger in scope.

For every drill, clearly defined plans, policies, and procedures need to be in place. Personnel need to be familiar with those plans and policies, and trained in the processes and procedures to be drilled.

A drill may start with brief remarks from the exercise planning team leader. Once controllers and evaluators are properly stationed, the drill begins. If no safety issues arise, the drill continues until the process is complete, time expires, or objectives are achieved. During the simulated incident, players must know that they are participating in a drill and not an actual emergency.

Controllers ensure that participant behavior remains within predefined boundaries and that entities not involved in the drill are not unnecessarily mobilized. Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable). Safety controllers ensure all activity takes place within a safe environment.

### *Functional Exercises*

Functional exercises (FEs) are designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. FEs are focused on exercising plans, policies, procedures, and staff involved in management, direction, command, and control functions. Events are projected through an exercise scenario with event updates that drive activity at the management level. An FE is conducted in a realistic, real-time environment; however, movement of personnel and equipment is simulated.

Response- and recovery-focused FEs are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control branches of the Incident Command System (ICS) and Unified Command (UC), or multi-agency coordination centers (e.g., Emergency Operation Centers [EOCs]).

A prevention-focused FE generally concentrates on exercising the plans, policies, procedures, agreements, networks, and staffs of law enforcement intelligence centers or agencies with counterterrorism missions. Adversary actions are largely simulated and delivered in the form of shared intelligence; however, some adversary actions may be carried out by Red Teams in a separate but coordinated category of exercise play. See HSEEP Volume V for more information on prevention-focused exercises.

Typical FE attributes include the following:

- Performance analysis is part of the overall exercise.
- Management evaluates command/headquarters-level staff.
- Established policies and procedures that pertain to the scenario are inspected.
- Adequacy, appropriation, and acquisition of resources are measured.
- Cooperative (e.g., inter-jurisdictional) relationships are examined.
- A Master Scenario Events List (MSEL) is the primary tool that drives exercise play.

To create an effective environment, the exercise planning team chooses potential areas of play that reflect the real world. Agency/organization and player actions must be anticipated, and information resources must be identified and assembled. As with other types of operations-based exercises, the exercise planning team must ensure that entities not involved with the exercise are not unnecessarily mobilized.

Controllers and evaluators are briefed and trained prior to the exercise date. This briefing and training should be long enough to allow for questions and a visit to the exercise site. Controllers and evaluators meet each other and determine where they will be located during the exercise. Controllers are briefed on their responsibilities and the rules of engagement, and evaluators become familiar with exercise objectives, exercise forms, and the reporting process. Controllers and evaluators station themselves where they can observe actions but avoid impeding exercise play.

Security should be in place at least 2 hours before StartEx. Controllers, evaluators, observers, and media should be in place sufficiently early to allow the exercise to start on time. Observers and media remain in their assigned areas throughout the exercise (unless escorted by an official). Public information officers (PIOs) are available to interpret actions and/or provide briefings to observers and media, as appropriate. During the FE, players must know that they are participating in an exercise, not an actual incident.

FE controllers use a MSEL to ensure participant behavior remains within predefined boundaries. Simulators in the Simulation Cell (SimCell) inject scenario elements to simulate real events. Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable), as well as against the timeline set forth in the MSEL. Safety controllers ensure all activity takes place within a safe environment.

### *Full-Scale Exercises*

FSEs are typically the most complex and resource-intensive type of exercise. They involve multiple agencies, organizations, and jurisdictions and validate many facets of preparedness. They include many players operating under cooperative systems such as ICS or UC to effectively and efficiently prevent, respond to, or initiate recovery from an incident. An FSE focuses on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and honed during previous, smaller, operations-based exercises.

Events are projected through an exercise scenario with event updates that drive activity at the operational level. The FSE is conducted in a real-time, stressful environment that closely mirrors a real incident. Personnel and resources are mobilized and deployed to the scene where actions would be conducted as if a real incident had occurred (with a few minor exceptions). The FSE simulates reality by presenting complex and realistic problems involving operations in multiple functional areas that require critical thinking, rapid problem solving, and effective responses by trained personnel.

Typical FSE attributes include the following:

- Units, personnel, and equipment are mobilized.
- Multi-agency coordination centers (e.g., EOCs) are activated.
- Established policies and procedures (as they pertain to the scenario) are used.
- Adequacy, appropriation, and acquisition of resources are measured.
- Inter-jurisdictional or inter-organizational relationships are examined.
- Performance is analyzed.

The level of support needed to conduct an FSE is greater than that needed for other types of exercises. The exercise site for an FSE is usually vast, and site logistics require close monitoring. Safety issues,

including those surrounding the use of props and special effects, must be monitored. Throughout the duration of the exercise, many activities occur simultaneously.

Controllers and evaluators meet together prior to the exercise—possibly during the controller/evaluator (C/E) briefing—to determine their locations during the exercise. Controllers are briefed on their responsibilities, rules of exercise play, and use of the MSEL or other tools. Evaluators must become familiar with exercise capabilities, tasks and objectives, forms, and the reporting process. Controllers and evaluators should station themselves where they can observe exercise activity but be as unobtrusive as possible.

Except in the event of adverse weather conditions, thorough planning should allow an exercise to begin on time. Security should be in place at least 2 hours before StartEx. Controllers, evaluators, observers, and media should be in place sufficiently early to allow the exercise to start on time. Observers and media remain in their assigned areas throughout the exercise, unless escorted by an official. PIOs are available to interpret actions and/or provide briefings to observers and media, as appropriate. During the FSE, players must know that they are participating in an exercise, not an actual incident.

Controllers ensure participant behavior takes place within predefined boundaries and that entities not involved in the exercise are not unnecessarily mobilized. SimCell simulators 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 takes place within a safe environment.

Although the exercise may have a time limit, it is best to announce EndEx after exercise objectives have been met and all required functions are completed to the satisfaction of the exercise planning team leader and/or the exercise planning team.

## Operations-Based Exercise Conduct

### *Setup*

The appropriate exercise planning team members arrange and begin event setup as many days prior to the event as necessary, depending on the scope of the simulated environment. Setup entails arranging briefing rooms and testing A/V equipment, placing props and effects, marking the appropriate areas and their perimeters, and checking for potential safety issues. On the day of the exercise, all exercise planning team members should: arrive several hours before StartEx to handle any remaining logistical or administrative items pertaining to setup, arrange for registration, and conduct a communications check.

### *Exercise Participants*

#### Players

Players are agency/organization personnel who perform their regular roles and responsibilities during the exercise. Players perform tasks that demonstrate the capabilities being assessed during the exercise.

#### Controllers

Controllers are exercise participants who plan and manage exercise play, set up and operate the exercise site, and act in the roles of individuals and agencies not actually playing in the exercise (see the section *Exercise Logistics* for more information on SimCells). Controllers give key data to players and may prompt or initiate certain player actions—as listed in the MSEL—to ensure exercise continuity. Controllers are the only participants who should provide information or direction to players. All controllers are accountable to a senior controller. A controller may also serve as an evaluator.

**Evaluators**

Evaluators are chosen from various agencies to analyze the performance of designated functional areas. Evaluators are chosen based on their expertise in the functional area(s) they review, and have a passive role. They observe and record the actions of players but do not interfere with exercise flow.

**Actors**

Actors are volunteer exercise players who simulate specific roles during exercise play. An actor also may serve as an evaluator or, if directed by a controller, as a simulator acting on behalf of an agency or organization not playing in an exercise. Individuals acting as simulators are usually placed in a SimCell to inject messages via telephone, facsimile, or e-mail.

**Observers**

Observers view all or selected portions of exercise play. Observers do not participate in exercise play or in exercise control functions.

### *Briefings*

Held prior to an exercise, briefings educate participants about their roles and responsibilities. By scheduling separate briefings for controllers and evaluators, actors, and on-site and off-site players, exercise planning team members can avoid giving extraneous material to different groups. If the exercise planning team has enough members, many of these briefings may be scheduled simultaneously to prevent delay of StartEx. Presentations should accompany most of these briefings.

**Controller and Evaluator Briefing**

The C/E briefing is generally conducted the day before an operations-based exercise. It begins with an exercise overview and then covers location and area, schedule of events, scenario, control concept, controller and evaluator responsibilities, and any miscellaneous information. This briefing generally lasts 1 to 2 hours.

When hospitals participate in operations-based exercises by receiving victim actors, a separate briefing for hospital controllers and evaluators is generally conducted the day before the exercise. The hospital briefing is used to review communications between the exercise site and hospitals, notification procedures, the schedule of events, the scenario, controller and evaluator responsibilities, actor issues, and any miscellaneous information. This briefing generally lasts 1 to 2 hours.

**Player Briefing**

Approximately 15 to 30 minutes before StartEx, a controller conducts a briefing for all players to address individual roles and responsibilities, exercise parameters, safety, badges, and any remaining logistical exercise concerns or questions. Following the exercise, controllers ensure that appropriate players attend the post-exercise hot wash in their respective functional area.

**Actor Briefing**

The actor briefing is generally conducted the morning of the exercise, prior to the victim actors taking their positions. The victim actor controller leads this briefing and includes the following information: exercise overview, safety, real emergency procedures, symptomology, acting instructions, and schedule. Identification badges and symptomology cards are distributed before or during this briefing. If moulage is to be applied to actors, it should be completed before the briefing, which generally lasts 30 minutes to 1 hour.

**Observer Briefing**

An observer briefing informs exercise observers and VIPs about program background, scenario, schedule

of events, observer limitations, and any other miscellaneous information. Often, observers will be unfamiliar with public safety procedures and will have questions about the activities they see. Designating someone, such as a PIO, to answer questions prevents observers from asking questions of players, controllers, or evaluators. The observer briefing is generally conducted the day of an exercise and lasts 1 hour.

### *Exercise Play*

The exercise planning team leader normally serves as the senior controller of exercise play. This person is responsible for announcing StartEx. No exercise activities should commence prior to this announcement. Play continues in the exercise environment as controlled by the exercise staff.

The exercise area for an FE is limited to the control or command centers (e.g., EOCs, command posts, fusion centers) and their on-site staff. All other activity and deployment of resources outside of these locations is notional and is simulated by SimCell control staff. All exercise communications going in and out of these exercise locations must either originate or terminate at the SimCell. This is done to ensure that no accidental deployment of resources occurs. To accomplish this, players should be supplied with an exercise directory that provides contact information for each of the simulated entities, which will be portrayed by simulators in the SimCell.

In order to prevent accidental deployments, all exercise communications must be easily identifiable as such. This can be accomplished by displaying the phrase "exercise material only" prominently on all typed or printed communications (e.g., fax, e-mail), and by beginning each verbal communication by stating, *"This is an exercise."*

Due to the great deal of simulated activity that occurs during FEs, these exercises require a robust and detailed MSEL and close communication between the site controller(s) and the SimCell. Site controllers should advise the SimCell on the pace of exercise play, and request more or fewer injects as necessary to maintain an appropriate pace.

During an FSE, the on-site assembly area controller remains in close communication with other controllers throughout the exercise to ensure safe and realistic dispatch of units. The assembly area controller is responsible for the logistical organization of the assembly area, including placement locations for units and coordination of exiting patterns for dispatched units. Excellent organization of this area is critical to exercise success. Therefore, it is imperative for the exercise planning team to create a deployment timetable based on realistic response times from a unit or agency's home station or office. Failure to do so will result in a compromised and disorganized exercise.

The assembly area controller must be informed about any updates to the exercise that may require changes to the deployment timetable. Should such changes be required, the assembly area controller updates the deployment timetable. When the most current information is used, appropriate units are dispatched and arrive on schedule, allowing the remainder of the exercise to proceed smoothly and realistically.

The controller "takes attendance" to ensure all players are present when a unit arrives at the assembly area. Units are positioned according to their deployment times, and qualified individuals perform a weapons check to guarantee the tagging of all inspected weapons to indicate they are safe for exercise play.

Implementation of an exercise weapons policy is one important example of exercise play rules. Exercise play rules must be disseminated to establish the parameters that participants must follow. These rules help players understand their roles in the exercise environment, enabling the tasks they perform to be effectively evaluated. These rules also describe appropriate behavior, establish guidelines for physical contact, and aim to prevent physical harm to individuals or damage to property. Written rules must be

reviewed and approved by appropriate authorities and then provided in advance to all parties.

All exercise operations are performed in the operational area. Controllers and evaluators report key activities to the senior controller. The senior controller announces EndEx, either at the conclusion of the scenario, after a certain period of time has passed, or when he or she has determined that all exercise objectives have been met.

### *Wrap-up Activities*

Debriefs subsequent to EndEx provide an opportunity to review general exercise proceedings after the exercise is complete.

**Player Hot Wash**

Immediately following the exercise, a controller in each functional area leads a hot wash and allows players to provide immediate feedback. This enables controllers and evaluators to capture information about events while they are still fresh in the players' minds. The hot wash is an opportunity to ascertain the level of satisfaction with the exercise, identify issues or concerns, and propose areas for improvement.

Players complete and submit their Participant Feedback Forms during the hot wash. All evaluators take notes during play and hot washes for later compilation with other observations from their functional areas. Information from Participant Feedback Forms is used to help generate the AAR/IP. The exercise planning team leader collects and secures attendance lists.

**Controller and Evaluator Debrief**

The C/E debrief provides a forum for functional area controllers and evaluators to review the exercise. The exercise planning team leader facilitates this debrief, which provides each controller and evaluator with an opportunity to provide an overview of the functional area he or she observed and to discuss both strengths and areas for improvement. During the debrief, controllers and evaluators complete and submit their Exercise Evaluation Guides (EEGs) as well as their Participant Feedback Forms. Debrief results are captured for inclusion in the AAR/IP.

If hospitals have participated in the exercise, the controllers and evaluators assigned to the hospitals are generally debriefed the day after the exercise. This separate forum enables hospital representatives to assess the tasks performed by the medical community. It features a facilitated discussion covering each hospital's experience during the incident. Prior to this session, hospital controllers and evaluators complete and submit their EEG data collection forms and analysis forms as well as their Participant Feedback Forms. The exercise planning team leader or a key hospital participant facilitates this debrief. Results are captured for inclusion in the AAR/IP.

# Appendix A: HSEEP Volume IV Overview

## Content

Samples of exercise documents and formats described in the preceding manual can be found in *HSEEP Volume IV: Sample Exercise Documents and Formats*. These samples are presented as both examples and templates, intended for exercise planners to use and/or modify when designing and developing exercises. They can be found on the HSEEP website (http://hseep.dhs.gov).

Materials presented in HSEEP Volume IV are pre-arranged in a manner consistent with the outline and contents of the HSEEP series of manuals, as described below. Content may also be searched or displayed based on user preferences and criteria input.

### *Topics*

Topics provided in HSEEP Volume IV are as follows:

- **Program Management** contains sample materials for use in developing and managing an exercise program.
- **Planning** contains sample materials for designing, developing, conducting, and evaluating exercises.
- **Multimedia Library** contains video clips, sounds, and pictures that may be inserted into documentation or presentations to add a sense of realism.
- **References** contains homeland security community resources such as publications, websites, and acronyms/definitions.
- **Volunteered Materials** contains examples of documentation posted voluntarily by the planners and program managers who used them in actual exercises and exercise programs.

These materials are intended for users who have varying levels of exercise experience. Information to support their use is included in the HSEEP volumes. The exercise timelines for discussion-based exercises and operations-based exercises further support the use of these materials by chronologically listing the step-by-step process and corrective actions that need to be accomplished during exercise planning and conduct. Many of the sample materials also contain brief descriptions and/or instructions for use.

### *Formats*

The materials contained in HSEEP Volume IV are a starting point from which exercise planners should incorporate exercise goals and exercise type to tailor the final product to the exercising entity's needs. Some materials are provided in both template and example formats. Template documents use an outline format that users can modify and tailor to meet specific needs. Example materials are finished products that demonstrate what a template product should look like when completed.

Users may choose the format with which they feel most comfortable but should be careful when using example materials, particularly scenario-related materials such as Situation Manuals (SitMans). Users must not simply "fill in the blank" or "copy and paste" information into a document without ensuring the content is accurate and pertinent. Users should keep in mind that all materials can be adapted to any exercise focus, type, or scenario. Although users possess a variety of computer and software capabilities, electronic versions of HSEEP Volume IV materials are provided in Microsoft Word and PowerPoint only.

### HSEEP Volume II

The purpose of disseminating HSEEP Volume IV is *not* to design and develop "canned" or "boilerplate" exercises. The intent in making these documents available to a wide audience is to lessen the burden on exercise planners who are designing and developing multiple exercises. Many of these materials, particularly those that present an exercise scenario, should be tailored to reflect participating or affected entities and bring realism to an exercise. Exercise success is based on player actions, exhibited either through discussions or actual operations. Documents and materials simply support these activities.

Many of the offered materials are based on proven exercise programs, have been vetted through several organizations, and have gone through numerous iterations and revisions. Although many materials derive from the same program, HSEEP Volume IV is intended to be a compilation of best practice materials from a variety of exercise programs. While these materials are being disseminated on behalf of the U.S. Department of Homeland Security (DHS) and its partner agencies, the processes and documents can be adapted to exercise programs sponsored by other Federal agencies or any public or private organization.

HSEEP Volume IV will constantly evolve based on innovative ideas and changing conditions. New, updated, and revised materials will be posted to the HSEEP website as they become available. DHS will accept ideas, documentation, or innovative materials for enhancing the exercise planning process. Program users should submit these comments directly to hseep@dhs.gov or by completing the online surveys located on the HSEEP website.

## System Requirements

Users must provide their own Internet access. The system does not rely heavily on graphics, so a dial-up connection should provide adequate performance. However, a higher speed connection is recommended for users who need to download larger files (e.g., sample exercise documents, presentations). Any modern browser supporting Secure Sockets Layer (SSL) and 128-bit encryption will work. Style sheets may be required in the near future to provide for standards-based control over application appearance.

# Appendix B: Acronyms

| | |
|---|---|
| AAR/IP | After Action Report / Improvement Plan |
| A/V | audio/video |
| C/E Handbook | Controller and Evaluator Handbook |
| C&O Meeting | Concept and Objectives Meeting |
| COOP | continuity of operations |
| COSIN | Control Staff Instructions |
| DHS | U.S. Department of Homeland Security |
| EEG | Exercise Evaluation Guide |
| EndEx | end of the exercise |
| EOC | Emergency Operations Center |
| EOD | Explosive Ordnance Disposal |
| EOP | emergency operating procedure |
| ExPlan | Exercise Plan |
| EvalPlan | Evaluation Plan |
| FE | functional exercise |
| FOUO | For Official Use Only |
| FPC | Final Planning Conference |
| FSE | full-scale exercise |
| HazMat | hazardous materials |
| HSEEP | Homeland Security Exercise and Evaluation Program |
| ICS | Incident Command System |
| IP | Improvement Plan |
| IPC | Initial Planning Conference |
| MAA | mutual aid agreement |
| MPC | Mid-Term Planning Conference |
| MSEL | Master Scenario Events List |
| NIMS | National Incident Management System |
| NRP | National Response Plan |
| PIO | public information officer |
| RSP | render-safe procedures |
| SimCell | Simulation Cell |

| | |
|---|---|
| SitMan | Situation Manual |
| SMART | simple, measurable, achievable, realistic, and task-oriented |
| SME | subject matter expert |
| SOP | standard operating procedure |
| StartEx | start of the exercise |
| SWAT | Special Weapons and Tactics |
| TCL | Target Capabilities List |
| TTX | tabletop exercise |
| UTL | Universal Task List |
| VIP | very important personnel |
| XPA | Extent of Play Agreement |

# Homeland Security Exercise and Evaluation Program (HSEEP)

## Volume III: Exercise Evaluation and Improvement Planning

February 2007

Homeland Security

# Homeland Security Exercise and Evaluation Program

## Volume III: Exercise Evaluation and Improvement Planning

Revised February 2007

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# Preface

Homeland Security Exercise and Evaluation Program (HSEEP) Volume I was initially published in 2002 and provided an overview of the exercise design, development, conduct, evaluation, and improvement planning process as well as doctrine for U.S. Department of Homeland Security (DHS) exercises. Subsequent volumes (II–IV) provided more detailed descriptions of the planning and evaluation process as well as sample exercise materials.

Since the initial versions of the HSEEP volumes were published, the homeland security community has experienced numerous changes, including the building of a new and cohesive Federal agency and the release and adoption of the National Response Plan (NRP), National Incident Management System (NIMS), National Preparedness Goal, Universal Task List (UTL), and Target Capabilities List (TCL). This 2007 release of the HSEEP volumes represents an exercise policy and program reflective of these changes.

The following changes have been made:

- The volumes have been made more user-friendly and concise.
- New policies have been incorporated (e.g., NIMS, NRP, National Preparedness Goal, UTL, TCL).
- References to DHS-specific doctrinal or grant-related requirements, such as the need for terrorism-related scenarios, have been eliminated.
- Comments from the Federal Interagency, as well as several State and local stakeholders, have been incorporated so the HSEEP Policy and Guidance is more applicable to all exercises, regardless of scope, scale, scenario, or sponsoring agency.
- The order of Volumes II and III has been reversed to follow the natural progression of exercise design, development, conduct, evaluation, and improvement planning.

It is important to note that the fundamentals of the exercise design, development, planning, evaluation, and improvement planning methodologies have not changed with these volume revisions.

Developing and implementing comprehensive exercise policies is a continually evolving process. As strategies, policies, and plans evolve, future revisions will be issued.

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# Introduction

## Homeland Security Exercise and Evaluation Program

Following the domestic terrorist attacks in 1993, 1995, and 2001 and the establishment of the U.S. Department of Homeland Security (DHS) in 2002, officials at all levels of government and in all types of communities have worked to prepare for, prevent, respond to, and recover from a variety of threats to public safety. Exercises play a crucial role in preparedness, providing opportunities for emergency responders and officials to practice and assess their collective capabilities.

### *Purpose*

The purpose of the Homeland Security Exercise and Evaluation Program (HSEEP) is to provide common exercise policy and program guidance that constitutes a national standard for exercises. HSEEP includes consistent terminology that can be used by all exercise planners, regardless of the nature and composition of their sponsoring agency or organization. The volumes also provide tools to help exercise managers plan, conduct, and evaluate exercises to improve overall preparedness.

HSEEP reflects lessons learned and best practices from existing exercise programs and can be adapted to the full spectrum of hazardous scenarios and incidents (e.g., natural disasters, terrorism, technological disasters). The HSEEP reference volumes integrate language and concepts from the National Response Plan (NRP), the National Incident Management System (NIMS), the National Preparedness Goal, the Universal Task List (UTL), the Target Capabilities List (TCL), existing exercise programs, and prevention and response protocols from all levels of government. In accordance with NIMS, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP.

### *Organization*

This document is the third of five HSEEP volumes, all of which are available at the HSEEP website (http://hseep.dhs.gov). The volumes are organized as follows:

*HSEEP Volume I: HSEEP Overview and Exercise Program Management* provides guidance for building and maintaining an effective exercise program and summarizes the planning and evaluation process described in further detail in Volumes II through V.

*HSEEP Volume II: Exercise Planning and Conduct* helps planners outline a standardized foundation, design, development, and conduct process adaptable to any type of exercise.

*HSEEP Volume III: Exercise Evaluation and Improvement Planning* offers proven methodology for evaluating and documenting exercises and implementing an Improvement Plan (IP).

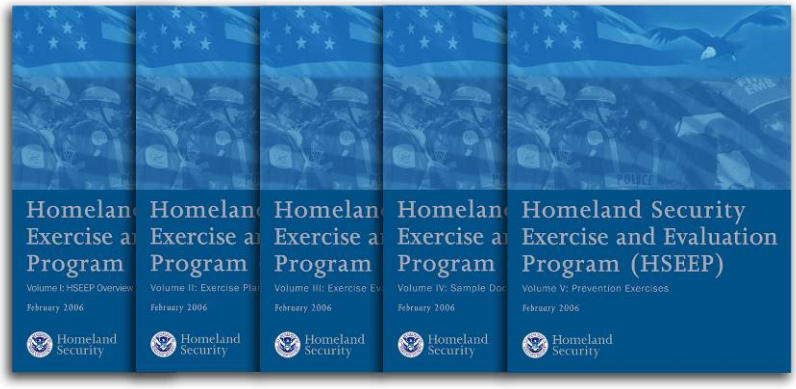
*HSEEP Volume IV: Sample Exercise Documents and Formats* provides sample exercise materials referenced in HSEEP Volumes I, II, III, and V. Readers with Internet connectivity may click on exercise materials referenced in this volume to link to HSEEP Volume IV.

*HSEEP Volume V: Prevention Exercises (Draft)* contains guidance consistent with the HSEEP model to assist entities in designing and evaluating exercises that validate pre-incident capabilities such as intelligence analysis and information sharing.

This volume, *HSEEP Volume III: Exercise Evaluation and Improvement Planning*, which provides guidance for exercise evaluation and improvement planning, is organized as follows:

**Chapter 1:** Evaluation and Improvement Planning Overview

**Chapter 2:** Exercise Evaluation, Data Collection, and Analysis (Steps 1–4)
**Chapter 3:** Improvement Planning (Steps 5–8)
**Appendix A:** After Action Report / Improvement Plan Guidelines
**Appendix B:** After Action Report Quick Look Report Guidelines
**Appendix C:** Exercise Evaluation Guides
**Appendix D:** Discussion-Based EEG Development Guidance
**Appendix E:** Acronyms




## Security Guidance

While most of the content found in HSEEP is not sensitive or classified, some HSEEP materials (e.g., scenario examples), particularly those in Volume IV, may necessitate restrictions on distribution. Exercise materials that are produced in accordance with HSEEP guidance and are deemed sensitive should be designated as *For Official Use Only* (FOUO). FOUO identifies unclassified information of a sensitive nature, not otherwise categorized by statute or regulations, of which the unauthorized disclosure could adversely impact a person's privacy or welfare, the conduct of Federal programs, or programs or operations essential to national interest. Examples of materials that may require FOUO designation include scenario information, the Master Scenario Events List (MSEL), and the After Action Report / Improvement Plan (AAR/IP). Access to FOUO information is on a need-to-know basis. FOUO information may be shared with other agencies; Federal, State, local, or tribal government; appropriate private sector representatives; and law enforcement officials, provided a specific need-to-know has been established and the information is shared in furtherance of a coordinated and official governmental activity.

Certain exercise-related information from private sector partners may require or be eligible for additional protections under the Protective Critical Infrastructure Information (PCII) Program. Established pursuant to the Critical Infrastructure Information (CII) Act of 2002, the PCII Program is an information-protection tool that enables members of the private sector to submit proprietary, confidential, or sensitive infrastructure information to DHS with the assurance that the information will be protected from public disclosure. Under the PCII Program, information that satisfies the requirements of the CII Act of 2002 is protected from public disclosure under the Freedom of Information Act (FOIA), State and local disclosure laws, and use in civil litigation. DHS and other Federal, State, and local analysts use PCII in pursuit of a more secure homeland, focusing primarily on analyzing and securing critical infrastructure and protected systems, identifying vulnerabilities and developing risk assessments, and enhancing recovery preparedness measures.

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# Chapter 1: Evaluation and Improvement Planning Overview

Exercise evaluation maintains a fundamental link to improvement planning because it assesses an entity's performance in an exercise and identifies strengths and areas for improvement. Following exercise conduct, improvement planning leverages the outputs of the evaluation process by developing Improvement Plans (IPs), which assign responsibility for correcting deficiencies or shortcomings observed during a given exercise. Through this process, evaluation identifies improvement opportunities, and improvement planning provides a disciplined process for implementing corrective actions.

## Evaluation, Improvement Planning, and Capabilities-Based Planning

In accordance with Homeland Security Presidential Directive 8 (HSPD-8), the Homeland Security Exercise and Evaluation Program (HSEEP) has adopted a capabilities-based planning approach, which is a process intended to build capabilities suitable for responding to a wide range of threats and hazards. Capabilities-based planning emphasizes the need to analyze a diverse array of realistic scenarios and identify corresponding capabilities necessary for effective prevention, protection, response, and recovery efforts.

Capabilities-based planning is the basis for guidance such as the National Preparedness Goal, the Target Capabilities List (TCL), and the Universal Task List (UTL). The TCL and UTL drive the application of capabilities-based planning by identifying 37 capabilities that will prepare the Nation for terrorism, natural disasters, and other emergencies. Exercise evaluation and improvement planning play an important role in the capabilities-based planning process by assessing an entity's capabilities (based on exercise objectives) and developing IPs that enhance those capabilities. Exercise Evaluation Guides (EEGs) provide standards for assessing objectives through the execution of tasks and activities linked to each target capability. Based on areas for improvement identified using the EEGs, After Action Reports / Improvement Plans (AARs/IPs) provide concrete steps that an entity can take to remedy deficiencies or shortcomings observed during exercises. Exercises are also an opportunity to identify lessons learned and best practices that can be shared with other jurisdictions and organizations to help build the Nation's overall preparedness.

## Exercise Evaluation Methodology

The HSEEP evaluation methodology is an analytical process used to assess the demonstration of capabilities during exercises. According to this methodology, exercise evaluation incorporates three distinct levels of analysis: task-level analysis, activity-level analysis, and capability-level analysis.

### *Task-Level Analysis*

Tasks are specific, discrete actions that individuals or groups must successfully perform or address during

operations-based and discussion-based exercises. Task-level analysis assists representatives of exercising entities in analyzing shortcomings or strengths related to these individual actions. This analysis can also help entities target plans, equipment, and training resources to improve specific task performance.

Each task is accompanied by performance measures designed to assist an exercise evaluator in assessing relevant individual or group performance pertaining to the task. For example, the "WMD/HazMat Response and Decontamination" capability EEG contains the task "Implement mass decon [decontamination] operations," which is accompanied by performance measure check boxes marked *Fully*, *Partially*, *Not*, and *Not Applicable* to designate the degree to which the task was demonstrated during the evaluation. Certain tasks may also be accompanied by a target timeframe for initiating these operations, which in the case of the example decontamination task, is "Less than 15 minutes after arrival." These performance measures are designed to prompt evaluators to capture multiple aspects of individual or group performance related to each specific task.

### *Activity-Level Analysis*

Activities are groups of similar tasks that, when carried out according to plans and procedures, allow an entity to demonstrate an associated capability from the TCL/UTL. For example, the task "Implement mass decon operations" is part of the activity "Decontamination and Clean-Up/Recovery Operations." Other related decontamination tasks also fall under this same activity.

When conducting activity-level analysis, exercise evaluators seek to determine whether all activities have been performed successfully and in accordance with plans, policies, procedures, and agreements. Through this analysis, exercise evaluators gain valuable insight into broad thematic successes or challenges in performing related tasks. Awareness of such themes is key to improving the performance of individual tasks, and thus demonstrating the associated capability. Such analysis is also vital in assessing the effectiveness with which individuals worked together at the discipline or organizational level, and how well team members communicated across organizational boundaries during an exercise.

### *Capability-Level Analysis*

Capabilities are combinations of elements (e.g., personnel, planning, organization and leadership, equipment and systems, training, exercises, assessments and corrective actions) that provide the means to achieve a measurable outcome.

Capability-level analysis involves assessing an entity's ability to demonstrate its priority capabilities necessary to successfully prevent, protect against, respond to, or recover from the threat or hazard simulated in the exercise scenario. When conducting capability-level analysis, exercise evaluators examine whether an entity's performance of specific tasks and activities was sufficient to demonstrate the desired capability outcome. For example, an evaluator of the "WMD/HazMat Response and Decontamination" capability would evaluate how well exercise players identified and mitigated a HazMat release; adequately performed rescue, decontamination, and treatment of exposed victims; limited the impact of the release; and effectively protected responders and at-risk populations.

Capability-level analysis is designed to assist managers and executives in developing operating plans and budgets, communicating with political officials, setting long-range training and planning goals, and developing interagency and/or inter-jurisdictional agreements.

Figure 1-1 depicts the structure of these levels of analysis. All capabilities link to the prevention, protection, response, or recovery HSEEP mission areas.

**Figure 1-1:** *Levels of criteria for analysis*

## Exercise Evaluation Guides

EEGs assist exercise evaluators by providing them with consistent standards and guidelines for observation, data collection, analysis, and report writing. EEGs have been developed for capabilities in the TCL and are linked to a capability's activities, tasks, and performance measures. If necessary, the EEG template format also allows the exercise planning team to add tasks specific to the exercising entity that are not found in the TCL/UTL to the EEGs for evaluation.

EEGs accomplish several goals. They streamline data collection; enable a thorough assessment of the exercising entity's target capabilities and objectives; support development of the AAR/IP; and provide a consistent and replicable process for assessing preparedness through exercises. During the exercise planning stage, the EEGs assist the exercise planning team in developing objectives. They are also used to map exercise results to exercise objectives and elements of the TCL/UTL for further analysis and assessment. Figure 1-2 illustrates the scope of an EEG by showing the relationships between the capabilities, activities, tasks, and performance measures.

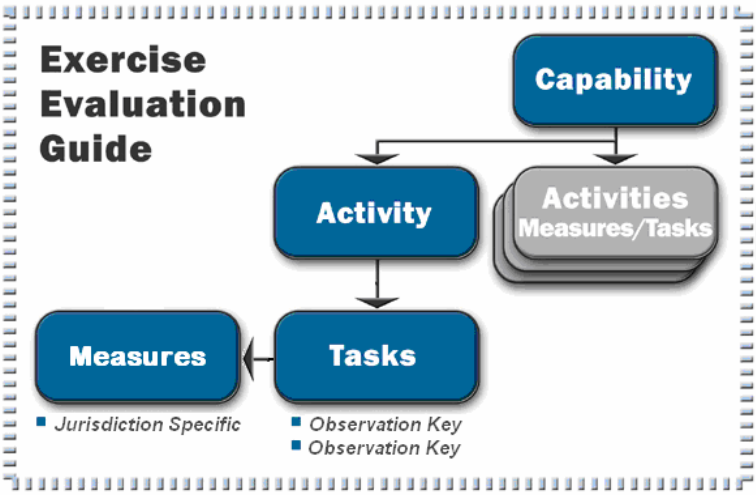


**Figure 1-2:** *EEG relationships*

Evaluators use EEGs *before* and *during* exercise observation because they provide evaluators with the activities, tasks, and performance measures associated with a target capability. Information in the EEG is sequenced according to the typical flow of activities and tasks to be accomplished for each capability. The template is designed to allow evaluators to record the degree to which a prescribed task or performance measure was completed or met during the exercise. However, within this section of the EEG, exercise evaluators do not *rate* the entity's performance because the EEG is neither a grading tool nor a scorecard. Rather, evaluators are asked to objectively record the full, partial, or non-completion of each task. The EEG is a reference for exercise evaluators, giving a sense of when activities can be expected to occur and how those activities relate to capability completion.

In addition to information on the activities, tasks, and performance measures associated with a target capability, the EEG includes Analysis Sheets, which are designed for use *after* the exercise is complete. These sheets are broken down as follows:

- An **Observations Summary** sheet allows exercise evaluators to record a general chronological narrative of exercise player actions based on the evaluator's observations. On this sheet, evaluators record when exercise events, specific actions deserving special recognition, particular challenges or concerns, and areas needing improvement occurred. The content recorded on this form will be used to develop the AAR/IP.
- In the **Evaluator Observations** section, evaluators record and analyze at least three observed strengths and three observed areas for improvement demonstrated by the entity during the exercise. For each strength and area for improvement, evaluators should record specific observations regarding what occurred; a root cause analysis examining why events occurred; and, if necessary, specific recommendations for corrective action. The recommendations and observations that evaluators record in the Evaluator Observations section are used to develop the final observations and recommendations that are captured in the entity's AAR/IP. From the AAR/IP's observations and recommendations proposed corrective actions are generated at the After Action Conference.

Consistent EEGs facilitate the creation of effective AAR/IPs. By relating capabilities to activities, tasks, and performance measures, EEGs establish the foundation for IPs that can strategically target personnel,

planning, organization and leadership, equipment and systems, training and exercises, and assessments and corrective actions pertaining to identified shortcomings in priority capabilities.

See Appendix C for an example of the WMD/HazMat Response and Decontamination EEG.

## After Action Report / Improvement Plan

While the EEGs are important observation tools and contribute to the improvement planning process—by collecting initial observations and recommendations for improvement—they are only a reference point from which to produce the main product of the evaluation and improvement planning process: the AAR/IP. An AAR captures observations of an exercise and makes recommendations for post-exercise improvements; and an IP identifies specific corrective actions, assigns these actions to responsible parties, and establishes target dates for action completion. Because the AAR and the IP are developed through different processes and perform distinct functions, they are referred to separately at many points in this volume. However, in practice, the AAR and the IP should be printed and distributed jointly as a single AAR/IP following an exercise.

# Chapter 2: Exercise Evaluation, Data Collection, and Analysis (Steps 1–4)

This chapter describes the first four steps in evaluation and improvement planning:

1. Plan and Organize the Evaluation
2. Observe the Exercise and Collect Data
3. Analyze Data
4. Develop the Draft After Action Report / Improvement Plan (AAR/IP)

Steps 5–8, which address how areas for improvement identified in an AAR/IP are transformed into concrete improvements, are discussed in *Chapter 3: Improvement Planning.*

Figure 2-1 illustrates the first four steps in the evaluation and improvement planning process, which is critical for determining an entity's capability strengths and areas for improvement, implementing improvements, and identifying issues that become the focus of future exercises. The process is intended to support a comprehensive exercise program with a focus on continual improvement.

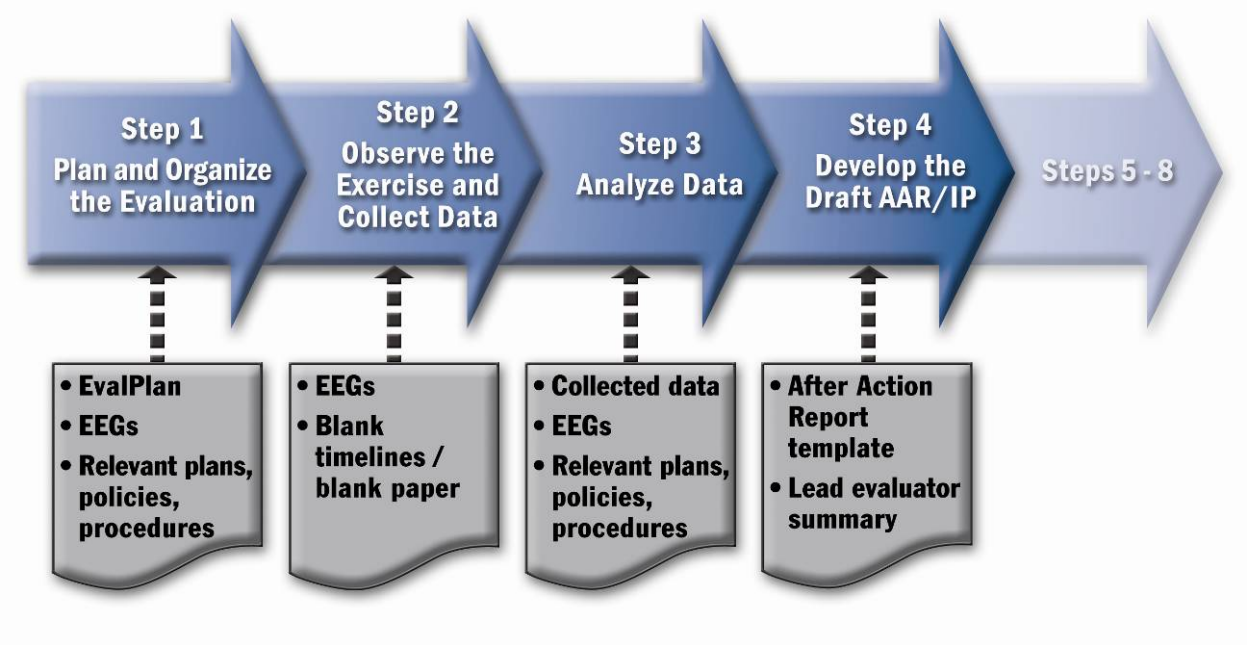


**Figure 2-1:** *Data collection and analysis steps*

The four steps discussed in this chapter span from the beginning of pre-exercise evaluation planning to the development of an AAR/IP shortly after an exercise. The steps address how exercise goals and

objectives inform a focused evaluation process, which yields an actionable AAR/IP relevant to the entity's priorities.

## Step 1: Plan and Organize the Evaluation

Thorough planning and organization prior to an exercise is imperative to effective and successful exercise evaluation. This process should include:

- appointing a lead evaluator;
- defining evaluation requirements based on exercise objectives;
- recruiting, training, and assigning evaluators;
- finalizing an Evaluation Plan (EvalPlan); and
- conducting a controller and evaluator (C/E) briefing.

Through this process, an evaluation team can organize itself appropriately and develop a thorough plan to address how the exercise will be evaluated.

### *Appoint Lead Evaluator*

Early in the exercise planning process, the exercise planning team leader should appoint a lead evaluator to oversee all facets of the evaluation process. The lead evaluator participates fully as a member of the exercise planning team, and should be a senior-level individual familiar with:

- prevention, protection, response, and recovery issues and objectives associated with the exercise;
- plans, policies, and procedures of the exercising entity;
- Incident Command and decision-making processes of the exercising entity; and
- interagency and/or inter-jurisdictional coordination issues relevant to the exercise.

The lead evaluator must have the management skills needed to oversee a team of evaluators during an extended process, as well as the knowledge and analytical skills to undertake a thorough and accurate analysis of all capabilities being tested during an exercise.

### *Develop Evaluation Requirements*

Prior to assembling an evaluation team, the exercise planning team must define exercise evaluation requirements by considering exercise scope and objectives. These requirements include the tools, plans, and personnel needed to effectively observe the exercise, collect data, and analyze information.

#### Exercise Scope

Exercise scope consists of, but is not limited to, the days and hours of the exercise, the location/sites for exercise play, the number of exercise participants, and the type of exercise (i.e., discussion-based or operations-based). Defining the scope helps determine the number of evaluators needed and where evaluators should be placed for observation (e.g., facilities/sites, command/control centers, hospitals, on patrol).

#### Exercise Objectives

Exercise objectives reflect the capabilities an entity seeks to demonstrate, and therefore what activities and tasks will be observed. By identifying the exercise objectives and associated capabilities, activities, and tasks that are being evaluated, this step allows exercise planners to determine the subject-matter

expertise required of evaluators.

For discussion-based exercises, consideration of the exercise's goals and objectives helps inform the development of a Situation Manual (SitMan), which provides the exercise facilitator with suggestions for how to steer exercise discussion to the capabilities being evaluated.

Exercise Evaluation Guides (EEGs) are used to evaluate operations-based exercises. By identifying the capabilities and objectives that will be validated during the exercise, the exercise planning team can determine which EEGs are needed for evaluating an exercise. For discussion-based exercises, the exercise planning team should use the performance measures, activities, and tasks for each capability's EEG as questions to drive the exercise discussion. The HSEEP EEGs can form the basis for creating customized discussion-based evaluation forms as well as SitMan content. (For more on discussion-based evaluation forms, see *Step 2: Observe the Exercise and Collect Data*; see also Appendix C).

Sample evaluation materials and templates are available within HSEEP Volume IV, including C/E Handbooks, SitMans, AAR/IPs, EEGs, and evaluator training briefings. These documents provide additional tools to support the HSEEP exercise evaluation methodology. By considering the capabilities to be evaluated early in the exercise and evaluation planning process, the exercise planning team can determine which forms and tools to use during the evaluation and ensure evaluators are trained and prepared.

**Exercise Evaluation Team Organization and Structure**

The exercise planning team and lead evaluator should determine the structure of the exercise evaluation team based on the scope of the exercise; the exercise objectives; and the associated capabilities, activities, and tasks that will be validated during the exercise. Exercises that involve multiple jurisdictions and/or multiple playing locations should consider assigning jurisdiction leads or site leads, as illustrated by the example provided in Figure 2-2. These individuals support the lead evaluator and manage the activities of other evaluators assigned to that location.

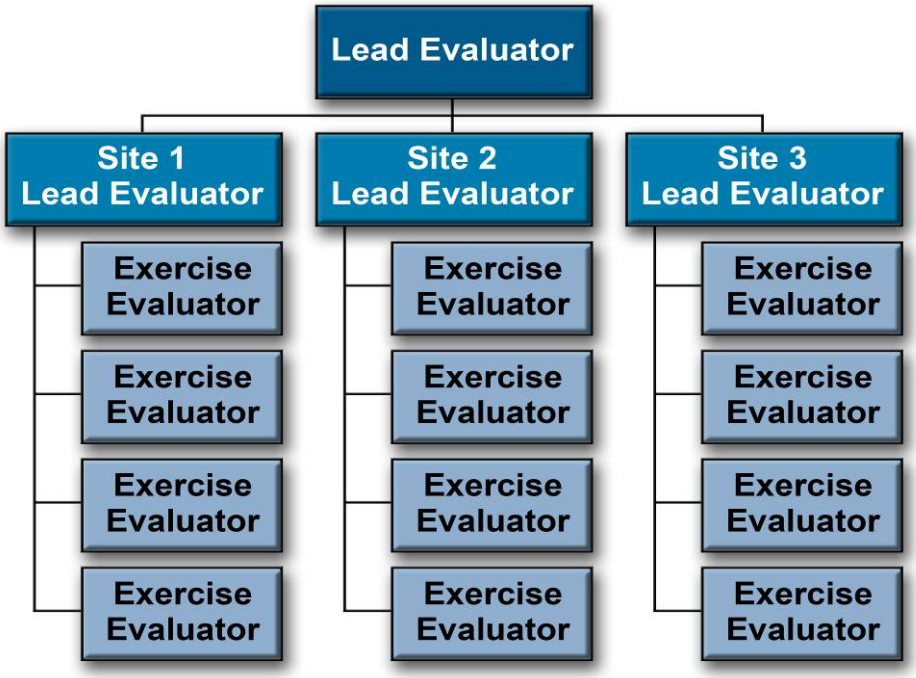


**Figure 2-2:** *Example exercise evaluation team organization*

Consideration should also be given to selecting individuals to support draft AAR development. For an exercise with a limited scope and objectives resulting in fewer capabilities, activities, and tasks, the lead evaluator may be the only person needed. However, for exercises with a large or complex scope and that will involve the demonstration of a large number of capabilities and activities, the lead evaluator may need assistance with analysis, editing, and compilation of the draft AAR and/or the final AAR/IP.

### *Define Evaluation Requirements*

Evaluation team considerations allow the exercise planning team and the lead evaluator to make decisions about evaluation requirements for personnel, time commitments, evaluation tools, and subject-matter expertise. These decisions should be recorded as a preliminary template for a finalized EvalPlan.

The final step of the evaluation requirement identification process is determining the types of evaluation-planning documents required upon finalization of an EvalPlan. Discussion-based exercises may not require the same level of detail in planning documentation as operations-based exercises—a SitMan and discussion-based evaluation forms may constitute a sufficient EvalPlan for the capabilities being exercised. Conversely, because most operations-based exercises involve multiple evaluators who must work in a coordinated, collaborative fashion, such exercises often require a C/E Handbook to be distributed to all control and evaluation staff. Large-scale and otherwise complex exercises may require a dedicated EvalPlan that outlines evalutor roles and responsiblities and is distributed exclusively to evaluators.

### *Recruit, Assign, and Train Evaluators*

Once evaluation requirements have been defined, the lead evaluator oversees recruiting, assigning, and training evaluators. The lead evaluator, a designated responsible individual that reports to the exercise planning team leader, may manage each of these efforts. The evaluation requirements already discussed play a critical role in determining how many evaluators must be recruited, what kind of subject-matter expertise they must possess, how they are assigned during an exercise, and what kind of training or instruction they must receive prior to the exercise.

#### Recruiting Evaluators

Evaluators should have experience and subject-matter expertise in the functional area they are assigned to observe (e.g., command and control, fire, law enforcement, Emergency Medical Service [EMS]).

The time commitment for evaluating discussion-based exercises is generally no longer than 2 days, including observation and analysis. The time commitment for operations-based exercise evaluators is usually 3-to-5 days—equivalent to at least 1 day prior to the exercise (for pre-exercise training); the actual exercise day(s); and at least 1 full day, or more, after the exercise (for data analysis, AAR/IP development, etc.).

When developing plans for recruiting qualified exercise evaluators, exercising entities should consider long-term strategies for developing and maintaining a cadre of trained evaluators who can regularly participate in exercise evaluation programs.

#### Assigning Evaluators

During operations-based exercises, evaluators should be assigned to different exercise play areas on the basis of their subject-matter expertise. For example, in an exercise using a chemical scenario, evaluators with hazardous materials (HazMat) expertise are strategically assigned to locations where they can observe decontamination and the use of personal protective equipment (PPE). An operations-based exercise Master Scenario Events List (MSEL) provides a timeline and location for all expected exercise events. Reference to a MSEL can help the lead evaluator determine the times at which specific evaluators

should be at certain locations. Evaluator assignments should be decided upon, recorded, and communicated to evaluators prior to exercise conduct. The number of evaluators assigned to each exercise play location depends on the number of capabilities (activities and tasks) being evaluated. For discussion-based exercises, the number of evaluators depends on the number of players, organization of the players and the discussion, and the exercise objectives.

**Training Evaluators**

Evaluator training must take place at least 1 day prior to the exercise and address all aspects of the exercise, including the exercise goals and objectives; the scenario; participants; and evaluator roles, responsibilities, and assignments. During or prior to training, evaluators should be provided with copies of the following materials to review before exercise play:

- Exercise documents, such as the SitMan for discussion-based exercises or the Exercise Plan (ExPlan), C/E Handbook, and the MSEL for operations-based exercises
- Evaluation materials, EEGs, and/or other evaluation tools; the exercise agenda and schedule; and evaluator assignments
- Appropriate plans, policies, procedures, and agreements of the exercising entity

If there are specific plans, policies, procedures, or agreements that are the focus of an exercise, the lead evaluator may decide to brief evaluators on the content of those documents.

Evaluator training should also include guidance on observing the exercise discussion or operations, what to look for, what to record, and how to use the EEGs. To promote effective observation, evaluators must be instructed to do the following:

- Be at the designated position when players arrive
- Get a good view of player actions (or player discussion) but avoid getting in the way
- Focus on observing the activities and tasks in relevant EEGs to ensure exercise objectives are accomplished
- Take legible, detailed notes, including times and sequence of events
- Remain at the assigned post at key times
- Avoid prompting players or answering player questions

For operations-based exercises, evaluators should be trained according to best practices for observing exercises and recording data, described in *Step 2: Observe the Exercise and Collect Data*. Evaluator training materials and other documents can be found in HSEEP Volume IV.

### *Finalize Evaluation Plan*

Once exercise requirements have been defined and evaluation planning to meet those requirements has been completed, the lead evaluator finalizes the EvalPlan. As mentioned, most exercises will use a C/E Handbook to distribute this exercise information. In less complex discussion-based exercises, the finalized plan can be communicated orally among evaluators prior to an exercise, but for more complex exercises, the finalized EvalPlan should be documented and distributed to evaluators. Whether formally documented or not, EvalPlans should contain the following:

- **Exercise-specific information:** Exercise scenario, schedule of events, and evaluation schedule
- **Evaluator team organization, assignments, and location:** A list of evaluator locations, a map of the exercise site(s), and an evaluation team organizational chart

- **Evaluator instructions:** Step-by-step instructions for evaluators regarding what to do before they arrive (e.g., review exercise materials, wear appropriate clothing for assignment), as well as how to proceed upon arrival, during the exercise, and following its conclusion
- **Evaluation tools:** Exercise-specific EEGs and analysis forms, the MSEL, blank paper or timeline forms

### *Conduct Controller and Evaluator Briefing*

Before the exercise begins, the lead evaluator should meet with the controllers and/or evaluators to verify roles, responsibilities, and assignments and to provide any significant updates (changes to the scenario, new assignments, etc.). This briefing (typically referred to as the C/E briefing) is the time for evaluators to ask questions and to ensure complete understanding of their roles and responsibilities. Exercise planners will also give evaluators any updates on changes to plans or procedures. Evaluator questions should be addressed and information clarified so that evaluators can confidently and effectively perform their assignments. For operations-based exercises, the briefing often includes a tour of the exercise site so that evaluators are familiar with the venue and know where they should position themselves to observe exercise play.

## Step 2: Observe the Exercise and Collect Data

Exercise observations and data collection (Step 2) can differ between discussion-based exercises and operations-based exercises. For this reason, the two exercise types are discussed separately in this section. Common to both types of exercises is a focus on capabilities-based evaluation. This focus ensures that a discussion-based exercise prepares participants for subsequent operations-based exercises and that all activities support development of target capabilities.

### *Discussion-Based Exercises*

Discussion-based exercises tend to focus on higher-level capability issues involving an entity's plans, policies, and procedures. As such, many discussion-based exercises use breakout sessions and other exercise techniques different from those used in operations-based exercises. In the breakout session approach, a facilitator frames the scenario and poses discussion questions; players then break into sub-groups, based on discipline or jurisdiction, to discuss the questions. In such discussion-based exercises, there must be evaluators and/or note-takers present in each breakout group. It may be desirable to assign both an evaluator and a note-taker to each breakout group so that the evaluator can focus on addressing issues related to exercise objectives and the note-taker can focus on capturing general discussion issues.

As previously noted, discussion-based exercises require the creation of customized evaluation forms that may be derived from the operations-based EEGs and customized to reflect the plans, policies, and procedures being discussed in a given exercise. During the exercise, each evaluator uses the evaluation form to record data for critical topics and subjects that the lead evaluator has assigned him/her to assess. Exercise objectives—and the associated capabilities, activities, and tasks—determine the type of evaluation form used. Since these forms are based on the exercise objectives and EEGs, the content of these forms drives the facilitated discussion and also provide evaluators with guidelines and additional space for collecting relevant data while they observe exercise discussions. Evaluation forms should include questions linked to the capabilities, activities, and tasks within the EEGs to produce an effective evaluation that supports an overall capabilities-based exercise program.

Facilitators help evaluators collect useful data by keeping discussions focused on capabilities and activities relevant to the questions provided in discussion-based versions of the EEGs. Strategies for keeping discussion focused and constructive may be recorded in a SitMan or appendix to the SitMan,

which is provided to facilitators prior to an exercise (see the earlier section, *Define Evaluation Requirements*).

Evaluators generally record the following types of information from player discussions:

- What plans, policies, and procedures would players implement to prevent, protect against, respond to, or recover from the incident described in the exercise scenario?
- Are roles and responsibilities of the various government agencies and private organizations clearly defined?
- How are various decisions made? Who has authority to make decisions?
- What information about the scenario, the hazard, the victims, and the risks to participants and the public is collected? Who collects it, and what do they do with it?
- How is information shared with other agencies and with the public? What information is shared?
- What are the roles of Federal and State agencies? How are Federal and State resources requested? Who makes the request? How are the resources distributed and controlled?
- What mutual aid agreements (MAAs) exist? How would they be activated?
- What recommendations for improvements are made by the group?
- Which issues are unresolved or require follow-up?
- What actions do players plan to take in order to address outstanding issues?

After breakout sessions take place, the entire group typically reconvenes to address any key issues, cross-disciplinary issues, or conflicting recommendations that were identified during breakout group discussions. Although individual evaluators are assigned to record discussions within a designated group, all evaluators should capture information on cross-cutting issues.

A debrief with the exercise planning team, facilitators, and evaluators should be held immediately following the exercise. The purpose of this debrief is to collect observations and thoughts about exercise conduct. The debrief also provides evaluators the opportunity to clarify points or collect any missing information. Following an exercise, evaluators may also supplement the data collected on their observation forms by collecting additional data from participants through discussions, Participant Feedback Forms, and facilitator notes. The lead evaluator should assign one or more members of the evaluation team to take detailed notes during the debrief. The debrief discussion is reflected in the preliminary analysis (see *Step 3: Analyze Data*).

### *Operations-Based Exercises*

Whereas evaluation of discussion-based exercises focus primarily on high-level issues affecting demonstration of capabilities, evaluation of operations-based exercises requires detailed observations at the task and activity level. During operations-based exercises, evaluators are strategically pre-positioned in locations at which they can gather useful data, and must track and record participant actions carefully. After an exercise, the information recorded by evaluators is used to analyze whether or not activities and tasks were successfully performed, and capabilities were successfully demonstrated.

During exercise observation, it is critical for evaluators to keep an accurate written record of what they observe. In addition to the EEG, evaluators should also consider recording data through other systems that fit their preferences, such as notebooks or portable audio recorders (evaluation documentation such as the C/E Handbook or EvalPlan should communicate in advance any exercise policy regarding recording devices). As players make decisions and take actions, evaluators should take notes that capture the

following information:

- Who (by name or position) performed the action or made the decision?
- What occurred (the observed action)?
- Where (the location) did the action or decision take place?
- When (the time) was the action completed?
- Why did the action take place or why was the decision made (the trigger)?
- How was the action performed and how was decision made (the process)?

Because numerous events may be occurring simultaneously, evaluators may not be able to record all of the action. Knowing which events are important allows for manageable action recording, eliminates unnecessary information, and provides the most useful data for exercise evaluation. For this reason, prior to the exercise, evaluators must be trained how to best observe key tasks or activities found in the EEGs. This training is done during evaluator training, during the C/E briefing, or by using evaluation documents such as the C/E Handbook or the EvalPlan. Evaluators should also be trained to recognize the occurrence of the following events, as necessary:

- An **inject**, which is information—including directives, instructions, and decisions—provided by exercise controllers to exercise players in order to drive exercise play towards the achievement of objectives.
- A **message in** occurs when an individual or group receives information from someone outside of his or her physical location. Messages can be received as part of player-to-player activity or as a controlled exercise inject.
- A **message out** occurs when an individual sends information to another individual or group of players outside of his or her physical location.
- A **discussion** is a conversation involving several players.
- A **decision** occurs when an individual or group arrives at a conclusion or makes a specific determination.
- A **directive** is a specific order or direction given to one or more players.
- **Movement** occurs when an individual, group, or piece of equipment relocates.
- An **activity** is a group of tasks that, when carried out according to plans and procedures, allow an entity to demonstrate an associated capability from the TCL/UTL, such as conducting gross decontamination.
- A **task** is achieved when an individual or group performs a specific, clearly definable action or function, such as donning a HazMat suit or checking patient status.

Additional evaluator observations and notes should include the following:

- Initiation and unfolding of scenario events
- Deviations from plans or procedures
- Timeliness and other performance measures relevant to task evaluation
- Effectiveness of, or shortcomings in, command and control

- Creative player problem-solving activities
- Equipment issues that affect player efforts

Evaluators should not interfere with exercise play. However, it may be necessary for an evaluator to interact with players during the exercise if he or she has a question about something observed. Doing so may be especially important for evaluators observing play in locations where much of the activity is conducted over the phone, such as Emergency Operations Centers (EOCs) and Joint Information Centers (JICs). Because evaluators cannot hear what is happening on the opposite end of a telephone conversation, they may have to ask with whom the player spoke and what was discussed. Evaluators should not interrupt play to ask such questions but should wait until there is a break in activity. These questions must not prompt or lead players in any way, and conversation should remain brief and focused.

**Conducting a Player Hot Wash**

Immediately after an operations-based exercise, each evaluator (or team of evaluators and controllers) should debrief the players and controllers in his/her observed discipline, either separately or as a large group. This facilitated discussion, referred to as a hot wash, allows players to engage in a self-assessment of their exercise play and provides a general assessment of how the entity performed in the exercise. The hot wash also provides evaluators with the opportunity to clarify points or collect any missing information from players before they leave the exercise venue. The hot wash is conducted as soon as possible after the exercise, usually the same day. In exercises with several venues, separate hot washes may take place at each location. A hot wash is led by an experienced facilitator who can ensure that the discussion remains brief and constructive, and who can focus conversation on strengths and areas for improvement.

During the hot wash, evaluators distribute Participant Feedback Forms (see HSEEP Volume IV for examples of Participant Feedback Forms) to obtain information on perceptions of the exercise, how well each player thought his/her unit performed, and how well the unit integrated performance with other agencies and other exercise components. This information can provide insight into why events happened the way they did or why some expected actions did not take place. Participant Feedback Forms are collected at the end of the hot wash and reviewed by the evaluation team to augment existing information. Participant Feedback Forms also serve to solicit general feedback on exercise quality, which can be provided to the exercise planning team to help implement improvements in future exercises. A summary of Participant Feedback Forms can be included as an optional appendix within an AAR/IP.

**Collecting Supplemental Data**

The lead evaluator assigns one or more members of the evaluation team to collect supplemental data immediately after the exercise. Such data is critical to fill in gaps during exercise evaluation. For example, one useful source of information could be records produced by automated systems or communications networks—an action similar to preserving evidence during an actual incident. Another useful source is written records, such as duty logs and message forms. These records can help evaluators validate their observations, determine equipment status, and identify the effect of inaccurate information on operations.

Evaluators should retain their notes and recordings as historical records of the exercise. Such records may need to be referenced later in the exercise evaluation process, particularly during the development of narratives, strengths, and areas for improvement for inclusion in the draft AAR.

## Step 3: Analyze Data

During data analysis, the evaluation team consolidates the data collected during the exercise and

transforms it into narratives that address the course of exercise play, demonstrated strengths, and areas for improvement.

Operations-based exercises tend to yield higher amounts of data than discussion-based exercises. As a result, operations-based exercises require a more comprehensive data analysis phase than many discussion-based exercises. Consequently, this step addresses operations-based and discussion-based exercises separately.

### *Identifying Root Cause and Developing Recommendations*

In order for the exercise evaluation process to produce an AAR/IP that makes useful recommendations for improving an entity's preparedness capabilities, it is critical for evaluators to discover not only *what* happened, but *why* events happened. Each task that is not completed as expected offers evaluators the opportunity to search for a root cause. A root cause is the source of or underlying reason behind an identified issue (as uncovered during careful analysis) toward which the evaluator can direct an improvement. To arrive at a root cause, an evaluator should attempt to trace the origin of each event back to earlier events and their respective causes. Root cause analysis may also require the review and evaluation of an entity's emergency plans; training programs; and other plans, policies, and procedures.

Uncovering root causes enables an evaluator to work with the rest of the analysis team to develop actionable solutions to improvement areas identified in the AAR. These recommendations are based on the evaluation team's experience and best judgment, although the responsibility for implementing recommendations ultimately lies with the leaders and managers of the participating entities.

### *Discussion-Based Exercises*

As soon as possible after a discussion-based exercise, a C/E debrief takes place and preliminary analyses begins.

#### Controller and Evaluator Debrief

As mentioned in Step 2, a debrief with the exercise planning team, facilitators, and evaluators should be held immediately following the exercise. This debrief allows controllers and evaluators to collect observations and thoughts about the conduct of the exercise and leads to the development of preliminary analyses of exercise observations.

#### Draft AAR Content

Following the debrief, evaluators should review their notes of the discussion and begin to develop preliminary analyses of the exercise. Preliminary analyses involve developing a chronological narrative of relevant discussion for each capability as well as its associated activities, if possible. The lead evaluator may assign the preliminary analysis for each activity to an individual or group of evaluators with relevant functional expertise, or the evaluation team can jointly develop all required preliminary analyses. These narratives should highlight strengths and areas for improvement, and identify discussion points relevant to an entity's ability to carry out the activities and demonstrate the capabilities being exercised.

When writing preliminary analyses, evaluators should consider the following questions:

- Were the objectives of the exercise met?
- Did discussion suggest that all personnel would be able to successfully complete the tasks necessary to execute each activity? If not, why?
- What are the key decisions associated with each activity?
- Did discussion suggest that all personnel are adequately trained to complete the activities/tasks

needed to demonstrate a capability?

- Did discussion identify any resource shortcomings that could inhibit the ability to execute an activity?
- Do the current plans, policies, and procedures support performance of activities? Are players familiar with these documents?
- Do personnel from multiple agencies or jurisdictions need to work together to perform a task, activity, or capability? If so, are the agreements or relationships in place to support the coordination required?
- What should be learned from this exercise?
- What strengths were identified for each activity?
- What areas for improvement are recommended for each activity?

### *Operations-Based Exercises*

As soon as possible following the post-exercise hot wash with exercise players, a C/E debrief takes place, preliminary analyses begin, and an exercise event timeline is created.

#### Controller and Evaluator Debrief

The C/E debrief gives each controller and evaluator an opportunity to provide an initial overview of the functional area they observed and to discuss strengths and areas for improvement. The lead evaluator should assign one or more members of the evaluation team to take detailed notes during the C/E debrief discussion.

#### Draft AAR Content

Following the C/E debrief, evaluators use the EEG Analysis Sheets, including Observation Summary sections, to develop narratives for each capability and associated activity that describes what players did during the exercise and how they performed the capability in question. Then evaluators use the Evaluator Observations section to identify strengths and areas of improvement for each capability being exercised. In developing their narratives and conducting their analyses, evaluators should make use of all available data, including: the EEG filled out during exercise play; other notes or records from the exercise; notes from the post-exercise hot wash; notes from the C/E debrief; and any other relevant materials. The EEG form provides specific instructions and criteria for developing such narratives and analyses.

#### Exercise Event Timeline

Next, the lead evaluator coordinates the process by using the capability-specific narratives to reconstruct a timeline of exercise events as they occurred—an approach similar to the reconstruction of events that is completed by many agencies and organizations following an actual incident. The process of developing an event-reconstruction narrative can range from hours to days or weeks and depends on the size and scale of the exercise and the amount of data collected. The final product should be a master timeline that captures all key points relevant to the capabilities being exercised.

The narratives, overall exercise timeline, and detailed analysis of observations should combine to provide the lead evaluator with the foundation needed to summarize the exercise in the AAR. If developed properly, these tools help answer the following questions, which are critical to a strong AAR:

- What did evaluators observe?
- What should evaluators have observed according to policies, plans, and procedures?

- Is there a difference? If so, why?
- What is the consequence of that difference?
- What should be learned from this difference?
- What improvements should be made or what best practices should be adopted?

## Step 4: Develop the Draft After Action Report / Improvement Plan

All discussion-based and operations-based exercises result in the development of an AAR/IP, the final exercise document that provides a description of what happened, describes any best practices or strengths, identifies areas for improvement that need to be addressed, and provides recommendations for improvement. As directed by the lead evaluator, the exercise evaluation team drafts the AAR using the evaluative products (timeline, narratives, and EEG analysis) discussed in *Step 3: Analyze Data*.

The AAR should follow the following format: (More detailed guidelines are contained in Appendix A)

- Report Cover
- Administrative Handling Instructions
- Contents
- Executive Summary
- Section 1: Exercise Overview (includes identifying information, such as the exercise name, date, duration)
- Section 2: Exercise Design Summary (includes the overarching exercise purpose; objectives, capabilities, activities, and tasks identified for validation; a summary of designed initiating event(s) / key scenario events; and exercise design issues)
- Section 3: Analysis of Capabilities
- Section 4: Conclusion
- Appendix A: Improvement Plan
- Appendix B: Lessons Learned (optional)
- Appendix C: Participant Feedback Summary (optional)
- Appendix D: Exercise Events Summary Table (optional)
- Appendix E: Performance Ratings (optional)
- Appendix F: Acronyms

AAR/IPs are required for all exercises regardless of type. However, some discussion-based exercises—such as seminars and workshops—may have an abbreviated *Analysis of Capabilities* section. Generally, such an abbreviated section will provide the following information:

- Overview of guest and keynote speaker(s) presentations
- Summary of discussion points
- Summary of results and recommendations

# Chapter 3: Improvement Planning (Steps 5–8)

Exercises afford entities the opportunity to evaluate capabilities under controlled, predetermined conditions developed by the exercise planning team. The final four steps of the evaluation and improvement planning process, described in this chapter, focus on using the information gained from exercises to implement improvements that will enhance capabilities to prevent, protect against, respond to, or recover from natural or man-made disasters.

Improvement planning is the process by which the observations and recommendations recorded in the draft After Action Report (AAR) are resolved through development of concrete corrective actions that are prioritized, tracked, and analyzed by program managers as part of a continuous Corrective Action Program (CAP).

Following completion of the draft AAR, the exercise planning team, evaluation team, and other stakeholders meet for an After Action Conference to review and refine the draft AAR. As part of the After Action Conference, attendees develop an Improvement Plan (IP) that articulates specific corrective actions by addressing issues identified in the AAR; it also provides completion dates by which the corrective action should be completed, and each corrective action is assigned to a responsible person or agency(s). The refined AAR and IP are then finalized as a combined AAR/IP, and IP corrective action items are tracked to completion through the CAP.

The IP communicates how observed areas for improvement will be remedied by concrete, measurable steps, known as corrective actions. Specifically, the IP details:

- actions necessary to address areas for improvement and the associated recommendations presented in the draft AAR;
- individuals or groups responsible for taking corrective action; and
- timelines for each corrective action's completion.

Once completed, these corrective actions should be implemented, tested, and validated through subsequent exercises or real-world events through the CAP, which drives the exercise program management cycle. *Step 5: Conduct After Action Conference* and *Step 6: Identify Corrective Actions to be Implemented* are the key steps that enable IP development. *Step 7: Finalize AAR/IP* and *Step 8: Track Implementation* are the final steps in the evaluation and improvement process and represent the opportunity to improve capabilities based on the data collected, analyzed, and summarized during the exercise and evaluation period.

Figure 3-1 summarizes the four steps in the improvement planning process. It further highlights the supporting documentation that either feeds into or is developed as part of each step.

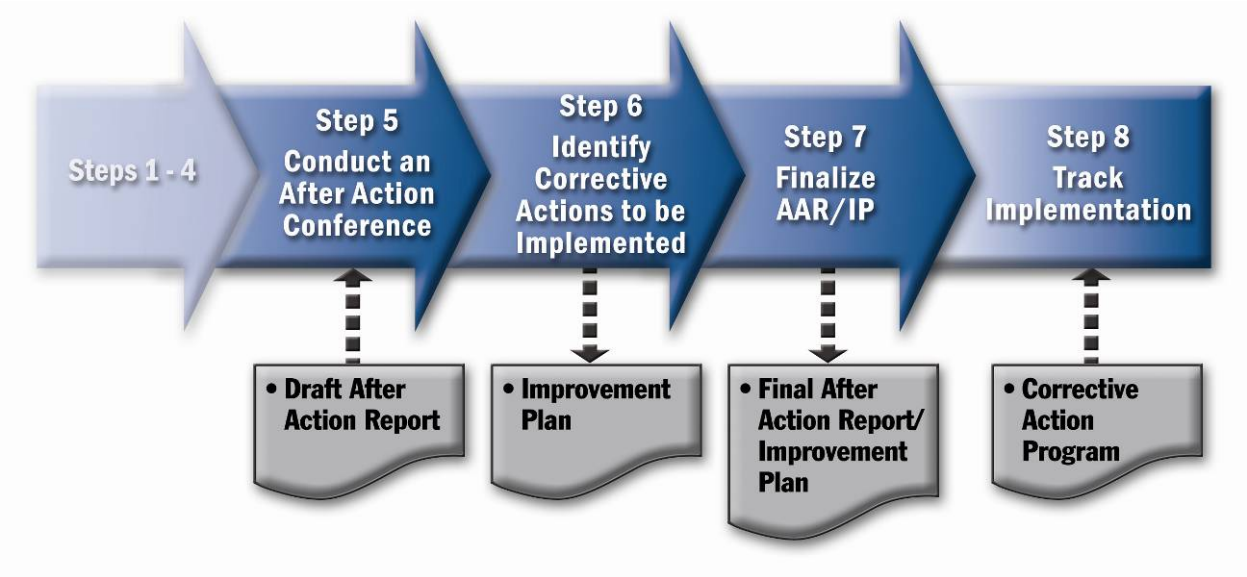


**Figure 3-1:** *Improvement planning steps*

## Step 5: Conduct After Action Conference

As soon as possible after completion of a draft AAR, the lead evaluator, members of the evaluation team, and other members of the exercise planning team conduct an After Action Conference to present, discuss, and refine the draft AAR, and to develop an IP. This conference is a chance to present the AAR to participating entities in order to solicit feedback and make necessary changes. The After Action Conference is a critical component of the exercise planning process to ensure that exercises are results-oriented and contribute to preparedness by translating AAR/IP analyses into concrete improvements for validation in subsequent exercises.

The After Action Conference should be scheduled to occur over the course of a full day, within 1 month after exercise completion. The schedule must allow adequate time to discuss strengths, areas for improvement, recommendations, and corrective actions. The meeting is held at the exercise site or another convenient location.

Before the conference, the draft AAR should be distributed to conference participants for review. Allowing participants to see the AAR in its entirety will maximize the value of the day-long After Action Conference because key individuals will already be familiar with the format and content of the AAR and will have identified issues to discuss at the conference. Conference organizers should also ensure that key individuals (including representatives of organizations expected to be assigned corrective actions) receive invitations and attend the conference.

During the conference, the lead evaluator or designated facilitator presents salient points from the draft AAR. Such points include the exercise objectives, an account of key exercise events, differences between expected performance and actual performance, major observations, and the recommendations for improvement developed to address these observations.

The After Action Conference is interactive and provides attendees the opportunity to validate the observations and recommendations recorded in the draft AAR by contributing insight into events that might have been omitted or misinterpreted by evaluators. This validation process is particularly important for those observations nominated as potential lessons learned in the AAR. These observations should be

discussed in a general forum with exercise participants to ensure that lessons identified have truly been "learned," and should be submitted to the U.S. Department of Homeland Security (DHS) Lessons Learned Information Sharing (LLIS.gov) web portal for wider distribution, as appropriate. The draft AAR is then modified to incorporate any clarifying information from the After Action Conference—this results is the refined draft AAR.

## Step 6: Identify Corrective Actions to be Implemented

In addition to refining the draft AAR, much of the After Action Conference is devoted to discussing specific corrective actions to address the observed areas for improvement and associated recommendations identified in the draft AAR. This discussion takes place in a moderated, disciplined environment and yields the IP; a list of corrective actions that identify what should be done to address observations and recommendations; who (person or entity) is responsible; and the timeframe for implementation. (See Appendix A for an IP template.) Each participating entity must identify a point of contact (POC) responsible for reporting its progress toward implementing the corrective actions assigned to it in the IP.

A corrective action should contain enough detail to make it useful; it states what types of actions should be performed and who should perform those actions. For example, a corrective action stating, "Train on the alert and warning process," would be more useful if it read, "Train the 24-hour warning point staff on reading siren system printouts so they can better identify system failures."

Participating entities should use the following questions as a guide for developing corrective actions:

- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to organizational structures to improve performance?
- What changes need to be made to leadership and management processes to improve performance?
- What training is needed to improve performance?
- What changes to (or additional) equipment is needed to improve performance?
- What lessons can be learned that will direct how to approach a similar problem in the future?

Not all observations listed in the AAR as areas for improvement can be addressed with corrective actions during an After Action Conference. For more complex issues, the IP developed at the conference indicates the first step in the process. For example, an IP could call for creation of a working group to examine possible solutions to a complex issue, and impose a deadline for the working group to select a course of action. In some cases, areas for improvement may be consolidated upon review at the conference.

Some corrective actions require the acquisition of resources, especially to address recommendations related to personnel, organization and leadership, training, planning, equipment, exercises, evaluations, and corrective actions. The IP must be realistic and prioritize corrective actions. Some corrective actions may call for steps such as submission of an application for additional funding, or seeking an agreement to share resources with another entity. When necessary, if resources are not immediately available, exercise planners and evaluators should develop both short- and long-term solutions. Some corrective actions may be comprised of multiple steps. In such cases, the IP is considered sufficient if only the first (defined and assigned) steps are included.

Corrective actions must be written to include attainable benchmarks that gauge progress toward full implementation. Examples of benchmarks include, but are not limited to, the number of personnel trained

in a task, the percentage of equipment that is up-to-date, or the finalization of an interagency agreement within a given amount of time. These benchmarks should be defined against concrete deadlines so that gradual progress toward attainment of corrective actions can be tracked.

As discussed in HSEEP Volume I, each exercise program should have a program manager responsible for tracking corrective actions to completion. Following IP development, this individual should subsequently monitor progress toward implementation of each corrective action. The program manager should also ensure that implemented corrective actions are fed back into the exercise cycle, such that improvements are exercised, tested, and validated. This process ensures a comprehensive CAP that demonstrates continual improvement of capabilities relevant to the entity.

## Step 7: Finalize AAR/IP

Following the After Action Conference, the exercise planning and evaluation teams finalize the AAR/IP. Finalizing the AAR/IP involves incorporating the corrections, clarifications, and other feedback provided by participants at the After Action Conference. Once these inputs have been incorporated, the AAR/IP is distributed to members of the exercise planning team for validation that it is an accurate document that meets the exercise objectives. This step ensures that the AAR/IP addresses the needs of the entities participating in the exercise and serves as a useful tool to guide the following areas:

- Strategy development
- Exercise program planning
- Sharing of lessons learned with homeland security community partners
- Changes to plans, policies, and procedures
- Capability development and refinement
- Efforts to focus limited resources upon improvements in preparedness

Once the exercise planning and evaluation teams have validated the AAR/IP, the document is considered final. To protect potentially sensitive information, the exercise planning team agrees on a distribution list for the final AAR/IP, and distributes the document exclusively to individuals or entities on the distribution list. The finalized corrective actions captured in the AAR/IP should be tracked through continual updates as part of the CAP.

## Step 8: Track Implementation

To track the implementation of corrective actions identified in the final AAR/IP, exercise teams must include individuals responsible for complying with the CAP process. Exercising entities are not expected to have dedicated staff members for these positions. Rather, current homeland security exercise and emergency response personnel should be assigned these additional duties.

### *Event Points of Contact*

As is described in HSEEP Volume I, a successful exercise program must have a designated event POC who is responsible for continuously tracking implementation of the corrective actions identified and assigned in AAR/IPs. This individual will be the central POC for exercise improvements and is responsible for compiling corrective actions, following the CAP process, and generating reports on the progress of those corrective actions.

### *Participating Entity Points of Contact*

As described in Step 6, each entity participating in the exercise should identify a POC who is responsible for managing the corrective actions assigned to the entity and assigning individual action officers to complete each corrective action. The entity POC collects information from assigned action officers on the progress of corrective actions and provides regular updates on this progress to the event POC.

### *Action Officers*

Action officers are assigned to each corrective action and are responsible for completing the prescribed action. Action officers provide regular updates to their entity's POC and program manager, who will systematically compile the updates to produce periodic progress reports on the status of all corrective actions identified in an exercise's AAR/IP. These reports track whether the benchmarks defined for corrective actions in the AAR/IP are achieved on schedule, and are distributed to participating entities. The reports highlight corrective action items for which responsible parties have not met benchmarks in order to provide a measure of accountability.

### *Continual Improvement*

As discussed in HSEEP Volume I, exercises are one component of the preparedness cycle that also includes planning, training, equipment purchases, and personnel. The implementation of corrective actions is the mechanism by which exercises can inform and improve other preparedness cycle components.

The progress reports issued by an entity's POC and exercise program manager should illustrate a consistent trend of progress toward implementation of the corrective actions listed in an AAR/IP. Because the AAR/IP ties these corrective actions to specific capabilities, these reports ultimately demonstrate the concrete ways in which exercises enhance capabilities. Once participating entities have had time to implement post-exercise corrective actions, a new cycle of exercise activities can begin, to further test and validate these corrective actions and improve capabilities.

Steps 1 through 8 described in this volume offer entities a detailed exercise evaluation and improvement planning process, and a description of the general flow of exercise issues from their initial identification to their ultimate resolution. According to this process, an exercise evaluator may record what went right and what went wrong in an exercise using the observations section of an Exercise Evaluation Guide (EEG). Following an exercise, these observations are analyzed in order to produce broad recommendations for an entity's improvement. Next, during the After Action Conference, these broad recommendations are converted into specific, concrete, measurable corrective actions in the finalized IP. Finally, IP information is recorded and tracked in the CAP process, and the implementation of corrective actions leads to concrete improvements to an entity's preparedness capabilities. This process is detailed in Figure 3-2.

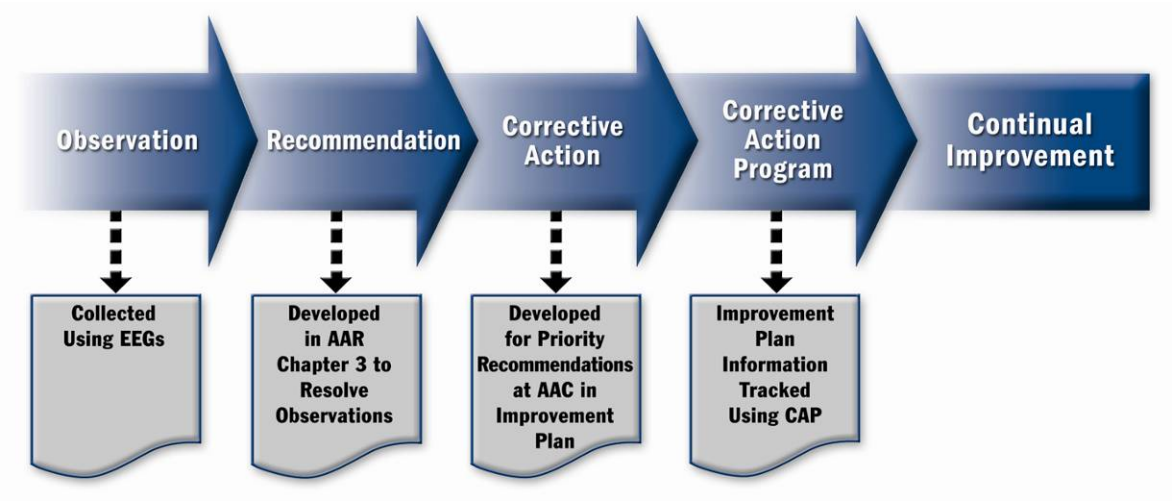


**Figure 3-2:** *Continual improvement process*

# Appendix A: After Action Report / Improvement Plan Guidelines

These After Action Report / Improvement Plan (AAR/IP) guidelines are designed to support both discussion-based and operations-based exercises and to reflect Homeland Security Presidential Directive 8 (HSPD-8) requirements for final AAR/IP production. However, due to the nature of certain discussion-based exercises (including seminars and workshops), the AAR/IP may include an abbreviated *Analysis of Capabilities* section and several additional sections, including an overview of speaker presentations and a summary of discussion points, results, and recommendations.

## Report Contents

The AAR should contain the following sections:

- Cover Page
- Administrative Handling Instructions
- Contents
- Executive Summary
- Section 1: Exercise Overview (includes identifying information, such as the exercise name, date, duration)
- Section 2: Exercise Design Summary (includes the overarching exercise purpose and goals; capabilities, activities, and tasks identified for demonstration; exercise objectives; summary of designed initiating event(s) / key scenario events; and planned simulations)
- Section 3: Analysis of Capabilities
- Section 4: Conclusion
- Appendix A: Improvement Plan
- Appendix B: Lessons Learned (optional)
- Appendix C: Participant Feedback Summary (optional)
- Appendix D: Exercise Events Summary Table (optional)
- Appendix E: Performance Ratings (optional)
- Appendix F: Acronyms

## Report Format

The draft AAR/IP must be clearly identifiable as a draft document, with *draft* written somewhere on the pages of the document (e.g., in the header or in the background using a large, centered watermark) and as part of the file name. The final AAR/IP must be clearly identifiable as a final document, with *final* appearing on the cover page and in the file name.

### *Cover Page*

The report cover page should include the following information: (1) the full exercise name; (2) the words *After Action Report and Improvement Plan*; (3) the date(s) on which the exercise was conducted; and (4) the date the AAR/IP was published. Additional graphics—such as logos, pictures, and background color(s)—may be added to enhance appearance.

### *Administrative Handling Instructions*

The Administrative Handling Instructions list and explain the appropriate security guidance for the report, such as For Official Use Only (FOUO), By Invitation Only (IO), or Sensitive but Unclassified (SBU).

These instructions also identify the authority for approval of dissemination (e.g., exercise planning team leader, sponsoring agency) and any additional guidance necessary regarding AAR/IP security, usage, and/or dissemination.

An AAR/IP document distribution list must be included that identifies recipients and the form in which the document is provided (e.g., paper, compact disc [CD], e-mail, Internet). All electronic distribution should be a read-only format, such as Portable Document Format (PDF).

### *Table of Contents*

The table of contents (titled *Contents*) must include the title and page number for each first-level (i.e., Section) heading and second-level heading in the report. All figures and tables should be given a numbered caption and be listed in the table of contents according to category and associated page numbers.

### *Executive Summary*

The Executive Summary should be intended as a quick review for an executive audience and as such should be two pages or less in length and provide a brief overview of the exercise and include: (1) why the exercise was conducted; (2) the exercise objectives (i.e., what the community wanted to learn by participating in the exercise); (3) what missions, capabilities, and scenario(s) were used to achieve those learning objectives; (4) a list of the most notable strengths that were learned from the exercise; and (5) a list of the key areas that require further development or improvement. In general, the major strengths and primary areas for improvement should be limited to three each to ensure the Executive Summary is high-level and concise. In addition, the Executive Summary may be used to summarize any high-level observations that cut across multiple capabilities.

### *Section 1: Exercise Overview*

Information in the Exercise Overview should be “structured data”—written as a list rather than in paragraph form—in order to facilitate preparation of other parts of the AAR, maintain consistency within AAR/IPs, and facilitate the analysis of AAR/IPs for program reporting. Specifically, the Exercise Overview should contain the following information:

| | |
|---|---|
| Exercise Name | Formal name of exercise |
| Type of Exercise | The type of exercise as described in Homeland Security Exercise Evaluation Program (HSEEP) Volume I: seminar, workshop, drill, game, tabletop, functional exercise, or full-scale exercise |
| Exercise Start Date | The month, day, and year that the exercise began |
| Exercise End Date | The month, day, and year that the exercise ended |
| Duration | The total length of the exercise (in day or hours, as appropriate) |

| | |
|---|---|
| Location | All applicable information regarding the specific location of the exercise, including the city, State, Federal region, international country, military installation, as applicable |
| Sponsor | The Federal agency or agencies that sponsored the exercise, as well as any co-sponsors (if applicable) |
| Program | The name of the program from which exercise funding originated |
| Funding Recipient | The entities (e.g., organizations, jurisdictions, agencies) that received funding for the exercise |
| Mission | The appropriate mission(s) of the exercise (e.g., Prevent, Protect, Response, Recovery) |
| Capabilities | A list of the capabilities addressed within the exercise |
| Scenario | The exercise/event scenario (one or more of the following):<br>• Biological<br>  - Aerosol Anthrax<br>  - Food Contamination<br>  - Foreign Animal Disease<br>  - Pandemic Influenza<br>  - Plague<br>  - Other<br>• Chemical<br>  - Blister Agent<br>  - Chlorine Tank Explosion<br>  - Nerve Agent<br>  - Toxic Industrial Chemical<br>  - Other<br>• Explosives<br>  - Improvised Explosive Device<br>  - Other<br>• Natural Disaster<br>  - Major Earthquake<br>  - Major Hurricane<br>  - Other<br>• Nuclear<br>  - Improvised Nuclear Device<br>  - Other<br>• Other<br>  - Agriculture<br>  - Cyber<br>  - Pollution<br>• Radiological<br>  - Radiological Dispersal Device<br>  - Other |
| Exercise Planning Team | A list of exercise planning team members, including their associated organizations or agencies |

| | |
|---|---|
| Participating Agencies | A list of the individual participating organizations or agencies, including Federal, State, tribal, non-governmental organizations (NGOs), and local and international agencies, as applicable |
| Number of Participants | A list of the total number of each of the following exercise participants (as applicable, depending on the type of exercise and specific design needs):<br>• Players<br>• Victim role players<br>• Controllers<br>• Evaluators<br>• Observers<br>• Facilitators |

### *Section 2: Exercise Design Summary*

The Exercise Design Summary is intended to provide a summary of the exercise design process and the planning context in which the exercise was conducted. It includes the following sections:

1. **Exercise Purpose and Design:** This section should be a brief (one-to-two paragraph) summation of why the exercise was conducted and what the exercise participants hoped to learn. It should also include a brief history of how the exercise was organized, designed, funded, etc., including a discussion of any major issues encountered.
   - *Example: [Name of Exercise] was conducted to fulfill the XX programmatic requirement for an annual exercise. In addition, the State of J and X, Y, and Z counties wanted to demonstrate the use of a new system to share information about resource status and management among their Emergency Operations Centers (EOCs). County X wanted to demonstrate mass-casualty response procedures and mutual aid agreements (MAAs) with counties Y and Z. Federal departments/agencies A, B, and C also participated in the exercise to demonstrate their support to a mass-casualty incident.*

     *[Name of Exercise] was funded through the 2007 XX program. Planning for the exercise began in December 2006 at the Initial Planning Conference (IPC) held at State J EOC headquarters . . .*
2. **Exercise Objectives:** This section should be complete list of the exercise objectives. Any overarching programmatic goals should also be listed. Depending on the length and/or complexity of the exercise, individual exercise objectives and program goals may be presented in paragraph form or in a bulleted list.
   - *Example: Exercise Objectives: In order to identify local vulnerabilities to a terrorism-based emergency, the exercise planning team selected the following overarching exercise objectives:*
     1. *Assess the collective ability of the intelligence community to collect, analyze, prioritize, and disseminate accurate information on a timely basis.*
     2. *Assess the ability of multiple agencies to coordinate the criminal investigation.*
     3. *Assess the ability to effectively activate the EOCs.*
3. **Capabilities and Activities Identified for Demonstration:** The purpose of this section is to align exercise design objectives with associated target capabilities, activities, and tasks. For each of the exercise objectives, the exercise planning team must decide which capabilities will be

demonstrated to achieve the objective. For each capability, the planning team then decides which activities to demonstrate. This section should include a list of the decided-upon capabilities that will be demonstrated to achieve each objective, followed by the corresponding activities and tasks, as necessary.

- *Example: Objective: Exercise the relationship between the Principal Federal Official (PFO) and the Response Task Force (RTF) Commander.*
    1. *Capability and Activities: Emergency Operations Center / Multi-Agency Coordination Center / Initial Operating Facility Management (EOC/MACC/IOF Management): Gather and Provide Information; Provide EOC/MACC/IOF Connectivity; and Support and Coordinate.*
    2. *Capability and Activities: Emergency Public Information and Warning: Direct Emergency Public Information and Warning Tactical Operations; Issue Emergency Warnings; and Establish Joint Information System (JIS).*

4. **Scenario Summary:** For an operations-based exercise, this section summarizes the scenario or situation initially presented to players, subsequent key events introduced into play, and the time in which these events occurred. For a discussion-based exercise, this section outlines the scenario used and/or modules presented to participants.
    - *Example: [Name of Exercise] involved a nuclear weapons accident in XYZ. The scenario was triggered by the crash of a transport airplane carrying four nuclear weapons. The crash resulted in two low-level explosions and lead to the release of radioactive material, threatening not only the immediate vicinity of the crash site but the local community beyond XYZ as well.*
5. **Planned Simulations:** This section summarizes the simulations (scenario injects or portrayed non-participating entities that would normally respond to an actual incident) that were identified during the design process.

### *Section 3: Analysis of Capabilities*

This section analyzes players' demonstrated performance at the capability/activity-level, and therefore information is organized by capability and associated activities. Within Section 3, a sub-section should be created for each capability validated during the exercise. Each section must include a summary of the capability in question, including an overview of how that capability was performed during an operations-based exercise or addressed during a discussion-based exercise. The length of this summary depends on the scope of the exercise. Adequate detail must be included to provide the reader with an understanding of how the capability was performed or addressed.

Each capability summary is followed by a subheading for each of the capability's associated activities. Under each activity, observations that analyze how well the tasks within that activity were carried out are provided. Each observation must be identified as either a strength or an area for improvement, according to the following definitions:

1. **Strength:** A strength is an observed action, behavior, procedure, and/or practice that is worthy of special notice and recognition.
2. **Area for Improvement:** Areas for improvement are those areas in which the evaluator observed that a necessary activity was not performed or that an activity was performed but with notable problems.

The following format should be used within each capability summary and analysis:

| | |
|---|---|
| Activity | A short description of the activity (e.g., "*Gather and Provide Information:* Upon establishing EOC/MACC/IOF operations, gather, organize, and document incident situation and resource information from all sources . . ."). |
| Observation | A short, complete sentence that describes the general observation (e.g., "*Area for Improvement:* Agencies lacked regular, consistent updates from the field."). |
| Reference(s) | Specific plans, policies, procedures, laws, or regulations that apply to the observation may also be referenced as well as relevant task(s) from the EEG related to the observation. Also, if no references relate to the observation, it is acceptable to record "not applicable" for this section (e.g., "National Response Plan, Emergency Support Function #5 – Emergency Management"). |
| Analysis | A description of the behavior or actions at the core of the observation, including a brief description of what happened; the consequence(s) of the action or behavior (positive or negative); and a root-cause analysis of the contributing factors (e.g., "Reports arrived at the operations center at erratic intervals, and often contained contradictory or inconsistent information. Some of the challenges faced in this area may be attributed to the lack of classified communications capacity available to the operations center."). |
| Recommendation(s) | Broad recommendations to address identified areas for improvement, based on the judgment and experience of the evaluation team (e.g., "Provide information reporting requirements to agencies during the planning phase of the exercise."). |

This process (capability summary followed by observations for each activity within the capability) should be repeated for each capability demonstrated during the exercise. However, if an observation is noted during the exercise that is cross-cutting and applies to multiple activities within the capability, the observation should be listed first, immediately following the capability summary. A reference to "related activities" would then follow the observation, which should list all of the activities to which the observation applies.

Current versions of the Target Capabilities List (TCL), the Universal Task List (UTL), and EEGs do not yet contain all the capabilities and activities that could be performed or discussed in an exercise. If a capability that is not currently in the TCL/UTL is performed during an exercise, this AAR/IP template allows the flexibility to write-in an observation and recommendation tied to a non-TCL/UTL capability—simply insert all such observations at the end of Section 3, following the TCL/UTL capability sections and using the same format.

### *Section 4: Conclusion*

A brief conclusion should be provided that summarizes the exercise and includes an overview of the major strengths and primary areas for improvement identified by the evaluation team.

### *Appendix A: Improvement Plan*

The initial draft IP is created during draft AAR development and finalized at the After Action Conference. (See the following example in Table A-1). In Table A-1, the contents of the *Observation Title* and the *Capability* columns are derived from the AAR, but the rest of the information in the IP is completed during the After Action Conference by the participating agencies, and updated within the AAR to provide a baseline IP to be published with the AAR.

| Capability | Observation Title | Recommendation | Corrective Action Description | Capability Element | Primary Responsible Agency | Agency POC | Start Date | Completion Date |
|---|---|---|---|---|---|---|---|---|
| Public Safety and Security Response | 1. Observation 1 | 1.1 Insert Recommendation 1 | 1.1.1 Insert Corrective Action 1 | Planning | State X EMA | EMA Director | Dec 1, 2006 | Sep 1, 2007 |
| | | | 1.1.2 Insert Corrective Action 2 | Planning | State X EMS System | EMS System Director | Dec 1, 2006 | Feb 1, 2007 |
| | | 1.2 Insert Recommendation 2 | 1.2.1 Insert Corrective Action 1 | Training | State X EMA | EMA Director | Dec 1, 2006 | Jan 1, 2007 |
| | 2. Observation 2 | 2.1 Insert Recommendation 1 | 2.1.1 Insert Corrective Action 1 | Planning | State X EMS System | EMS System Director | Dec 1, 2006 | Jan 15, 2007 |
| | | | 2.1.2 Insert Corrective Action 2 | Systems/ Equipment | State X EMA | EMA Director | Dec 1, 2006 | Jan 1, 2007 |

**Table A-1:** *Example IP*

### *Appendix B: Lessons Learned (optional)*

This appendix is intended to provide exercise participants the opportunity to promote observations—whether positive or negative—as lessons learned or best practices for wider distribution. The observations listed in this section can be *nominated* for inclusion on the Lessons Learned Information Sharing System (LLIS.gov) to be shared with the larger homeland security community. During the After Action Conference, exercise participants should discuss nominated observations to ensure that the lessons taken from the exercise have truly been "learned." Based on discussions at the conference, the final Lessons Learned appendix should be modified to reflect the consensus of conference participants, and the finalized list of lessons learned can be shared with LLIS.gov for further research and analysis.

If there are not any nominations, a simple statement to that effect should be included here.

To assist After Action Conference participants in the development of lessons learned, the following are the categories and definitions used in LLIS.gov for lessons learned and related content categories:

- **Lesson Learned:** Knowledge and experience, positive or negative, derived from actual incidents, as well as those derived from observations and historical study of operations, training, and exercises
- **Best Practices:** Exemplary, peer-validated techniques, procedures, good ideas, or solutions that work and are solidly grounded in actual operations, training, and exercise experience
- **Good Stories:** Exemplary, but non-peer-validated, initiatives (implemented by various entities) that have shown success in their specific environments and that may provide useful information to other communities and organizations
- **Practice Notes:** A brief description of innovative practices, procedures, methods, programs, or tactics that an organization uses to adapt to changing conditions or to overcome an obstacle or challenge (This LLIS.gov content category should be used, in particular, to capture exercise design best practices and lessons learned.)

### *Appendix C: Participant Feedback Summary (optional)*

This section includes a summary of Participant Feedback Forms. At a minimum, the Participant Feedback Forms should address the satisfaction level exercise participants have with the exercise and the opportunity to provide input into key strengths or areas for improvement.

### *Appendix D: Exercise Events Summary Table (optional)*

In formulating its analysis, the evaluation team may assemble a timeline of key exercise events. While it is not necessary to include this timeline in the main body of the AAR/IP, the evaluation team may find value in including it as an appendix. If so, this section should summarize what actually happened during the exercise in a timeline table format. The focus of this section is on what inputs were actually presented to players and what actions players took during the exercise. Successful development of this section is aided by the design, development, and planning actions of the exercise design team. Prior to the exercise, the exercise planning team should have developed a timeline of anticipated key events.

Table A-2 presents an example of the format for the Exercise Events Summary Table.

| Date | Time | Scenario Event, Player Inject, Player Action | Event/Action |
|---|---|---|---|
| 02/20/06 | 0900 | Scenario Event | Explosion and injuries reported at subway station 13 |
| 02/20/06 | 0902 | Player Action | Subway services stopped in accordance with protocols; notifications started |
| 02/20/06 | 0915 | Player Action | Evacuation ordered for planning zone 2A |
| 02/20/06 | 0940 | Player Inject | Traffic at a standstill on major egress route 1 reported to players.<br>(Response generated issue because personnel to staff traffic control points were not deployed) |

**Table A-2:** *Example Exercise Events Summary Table format*

### *Appendix E: Performance Ratings (optional)*

When an entity selects to use performance ratings, or when initiatives require a rating within the AAR/IP, the following approach can be used. A qualitative performance rating is assigned to each activity demonstrated within its capability area. The performance rating is based on a systematic review by the lead evaluator of exercise performance based on evaluator analysis of how well the participants achieved the capability outcome. The results should be summarized within this appendix, and based on the supporting narrative contained within the body of the AAR/IP.

The performance rating categories refer to how well the activity was performed and are detailed in Table A-3.

| Rating | Description |
|---|---|
| Performed without Challenges | The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. |
| Performed with Some Challenges, but Adequately | The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified. |
| Performed with Major Challenges | The performance measures and tasks associated with the activity were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws. |
| Unable to be Performed | The performance measures and tasks associated with the activity were not performed in a manner that achieved the objective(s). |

**Table A-3:** *Descriptions of performance ratings*

### *Appendix F: Acronyms*

Any acronym used in the AAR should be listed alphabetically and spelled out.

# Appendix B: After Action Quick Look Report Guidelines

These guidelines are based on the After Action Report / Improvement Plan (AAR/IP) guidelines in Appendix A but are abbreviated to provide an outline for the *initial* AAR produced from an exercise—or the After Action Quick Look Report, which is a high-level, initial assessment of the exercise.

## Quick Look Report Contents

- Report Cover
- Administrative Handling Instructions
- Contents
- Executive Summary
- Section 1: Exercise Overview (includes identifying information, such as the exercise name, date, duration)
- Section 2: Initial Analysis of Capabilities (includes initial analysis of players' demonstrated performance at the capability level, and therefore observations are organized by capability)
- Acronyms

## Quick Look Report Format

The After Action Quick Look Report must be clearly identified as such and should clearly state that the contents are based on initial exercise evaluation feedback, and that it is not intended to serve as the official draft or final AAR/IP.

### *Report Cover*

The report cover page should include the following information: (1) the full exercise name; (2) the words *After Action Quick Look Report*; (3) the date(s) on which the exercise was conducted; and (4) the date the Quick Look Report was published. Additional graphics—such as logos, pictures, and background color(s)—may be added to enhance appearance.

### *Administrative Handling Instructions*

The Administrative Handling Instructions should be organized in the same manner as described in *Appendix A: After Action Report / Improvement Plan Guidelines*.

### *Table of Contents*

The table of contents (titled *Contents*) should be organized in the same manner as described in *Appendix A: After Action Report / Improvement Plan Guidelines*.

### *Executive Summary*

The Executive Summary should be two pages or less in length and provide a brief overview of the exercise and include: (1) why the exercise was conducted; (2) the exercise objectives (i.e., what the community wanted to learn by participating in the exercise); (3) what missions, capabilities, and scenario(s) were used to achieve those learning objectives; (4) a list of the most notable strengths that were learned from the exercise; and (5) a list of the key issues that require further development or improvement. In general, the major strengths and primary areas for improvement should be limited to three each to ensure the Executive Summary is high-level and concise. For the Quick Look Report, items (4) and (5) should be organized by the capabilities exercised—depending on exercise-specific needs, the evaluator may want to provide a breakout by capability and exercise participant.

### *Section 1: Exercise Overview*

The Exercise Overview should be organized in the same manner as described in *Appendix A: After Action Report / Improvement Plan Guidelines*.

### *Section 2: Initial Analysis of Capabilities*

The Initial Analysis of Capabilities section is intended to provide a summary of the major observations—including strengths and areas for improvement—from the exercise evaluation and hot wash and debrief discussions. As such, this section should be formatted as an abbreviated version of *Section 3: Analysis of Capabilities* in *Appendix A: After Action Report / Improvement Plan Guidelines*:

| | |
|---|---|
| Capability | A sub-section should be created for each capability validated during the exercise. Each must include an initial summary of the capability in question, including an overview of how that capability was performed during an operations-based exercise or addressed during a discussion-based exercise. |
| Observation | A short, complete sentence should be added that describes the general observation as discussed at the hot wash or debrief (e.g., "*Area for Improvement:* Agencies lacked regular, consistent updates from the field."). |
| Analysis | The analysis is a description of the discussion surrounding the observation at the debrief or hot wash. This may include a description of the behavior or actions at the core of the observation, including a brief description of what happened; the consequence(s) of the action or behavior (positive or negative); and a root-cause analysis of the contributing factors (e.g., "Reports arrived at the operations center at erratic intervals, and often contained contradictory or inconsistent information. Some of the challenges faced in this area may be attributed to the lack of classified communications capacity available to the operations center."). |

### *Acronyms*

Any acronym used in the After Action Quick Look Report should be listed alphabetically and spelled out.

# Appendix C: Exercise Evaluation Guide Sample

The following pages of Appendix C contain sample portions of an Exercise Evaluation Guide (EEG). The EEGs are currently under revision and being mapped to the Target Capabilities List (TCL) and the Universal Task List (UTL). Finalized EEGs will be posted as they become available. Please refer to the Homeland Security Exercise and Evaluation Program (HSEEP) website, http://hseep.dhs.gov for the finalized EEGs.

**Figure C-1** *EEG cover page*

# WMD/Hazardous Materials (HazMat) Response and Decontamination

*Exercise Evaluation Guide*

**Capability Description:**

Weapons of Mass Destruction (WMD)/Hazardous Materials Response and Decontamination is the capability to assess and manage the consequences of a hazardous materials release, either accidental or as part of a terrorist attack. It includes testing and identifying all likely hazardous substances onsite; ensuring that responders have protective clothing and equipment; conducting rescue operations to remove affected victims from the hazardous environment; conducting geographical survey searches of suspected sources or contamination spreads and establishing isolation perimeters; mitigating the effects of hazardous materials, decontaminating on-site victims, responders, and equipment; coordinating off-site decontamination with relevant agencies, and notifying environmental, health, and law enforcement agencies having jurisdiction for the incident to begin implementation of their standard evidence collection and investigation procedures.

**Capability Outcome:**

Hazardous materials release is rapidly identified and mitigated; victims exposed to the hazard are rescued, decontaminated, and treated; the impact of the release is limited; and responders and at-risk populations are effectively protected.

| | |
|---|---|
| **Jurisdiction or Organization:** | **Name of Exercise:** |
| **Location:** | **Date:** |
| **Evaluator:** | **Evaluator Contact Info:** |
| *Note to Exercise Evaluators: Only review those activities listed below to which you have been assigned* | |

## Activity 1: Site Management and Control

**Activity Description:** In response to activation, mobilize and arrive at the incident scene and initiate response operations to manage and secure the physical layout of the incident.

**Tasks Observed** *(check those that were observed and provide the time of observation)*

*Note: Asterisks (*) denote Performance Measures and Performance Indicators associated with a task. Please record the observed indicator for each measure*

| | **Tasks/*Observation Keys*** | **Time of Observation/ Task Completion** |
|---|---|---|
| 1.1. | Conduct initial approach and positioning of responders. **Res.B.1.6.3.2**<br>– *Avoid committing or positioning responders / units in a hazardous position*<br>– *Consider escape routes if conditions deteriorate quickly*<br>– *Establish staging area(s), as appropriate* | Time:<br>Task Completed?<br>Fully [ ] Partially [ ] Not [ ] N/A [ ] |

*HSEEP Exercise Evaluation Guide, WMD/HAZMAT Response and Decontamination*



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**Figure C-2** *EEG activity and task list*

**Activity 2: Identify the Problem**

**Activity Description:** Upon arrival on-scene, begin to identify and characterize the scope and nature of the response problem, including WMD/HM involved in the incident and victims / exposures impacted.

**Tasks Observed** *(check those that were observed and provide the time of observation)*

*Note: Asterisks (*) denote Performance Measures and Performance Indicators associated with a task. Please record the observed indicator for each measure*

| | **Tasks/*Observation Keys*** | **Time of Observation/ Task Completion** | |
|---|---|---|---|
| 2.1. | Survey the incident scene. **Res.B.2.5.1.1**<br>– *Identify the nature and severity of the immediate problem*<br>– *If multiple problems exist, prioritize and make assignments* | Time:<br>Task Completed?<br>Fully [ ] Partially [ ] Not [ ] N/A [ ] | |
| | *** Time to survey the incident and initially identify WMD/HM involved and nature of the problem** | **TARGET**<br>**Less than 30 minutes of arrival on scene** | **ACTUAL** |
| | *** Time to obtain preliminary estimate of number of victims impacted by problem, including victims exposed to WMD/HM and its source** | **TARGET**<br>**Less than 1 hour of arrival on-scene** | **ACTUAL** |
| 2.2. | Make offensive or defensive reconnaissance operations, as necessary, to gather intel on the situation. **Res.B.2.5.1.2.1**<br>– *Defensive Recon – Gathering information from beyond the inner perimeter (e.g., threat assessments, physical observations, interviews, etc)*<br>– *Offensive Recon – Obtaining intel and incident information by physically entering the inner perimeter. May require joint entry operations between WMD/HM, SWAT and bomb squad personnel* | Time:<br>Task Completed?<br>Fully [ ] Partially [ ] Not [ ] N/A [ ] | |
| 2.3. | Responders alert for the presence of IEDs and secondary events. **Res.B.1.6.3.2**<br>– *Assess the potential / probability for IEDs and secondary devices* | Time:<br>Task Completed?<br>Fully [ ] Partially [ ] Not [ ] N/A [ ] | |

*HSEEP Exercise Evaluation Guide, WMD/HAZMAT Response and Decontamination*

**Figure C-3** *EEG analysis sheets*

### *Exercise Evaluation Guide Analysis Sheets*

The purpose of this section is to provide a narrative of what was observed by the evaluator/evaluation team for inclusion within the draft After Action Report/Improvement Plan. This section includes a chronological summary of what occurred during the exercise for the observed activities. This section also requests the evaluator provide key observations (strengths or areas for improvement) to provide feedback to the exercise participants to support sharing of lessons learned and best practices as well as identification of corrective actions to improve overall preparedness.

**Observations Summary**

Write a general chronological narrative of responder actions based on your observations during the exercise. Provide an overview of what you witnessed and, specifically, discuss how this particular Capability was carried out during the exercise, referencing specific Tasks where applicable. The narrative provided will be used in developing the exercise After-Action Report (AAR)/Improvement Plan (IP).

*[Insert text electronically or on separate pages]*

**Evaluator Observations**

Record your key observations using the structure provided below. Please try to provide a minimum of three observations for each section. There is no maximum (three templates are provided for each section; reproduce these as necessary for additional observations). Use these sections to discuss strengths and any areas requiring improvement. Please provide as much detail as possible, including references to specific Activities and/or Tasks. Document your observations with reference to plans, procedures, exercise logs, and other resources. Describe and analyze what you observed and, if applicable, make specific recommendations. Please be thorough, clear, and comprehensive, as these sections will feed directly into the drafting of the After-Action Report (AAR). Complete electronically if possible, or on separate pages if necessary.

**Strengths**

**1. Observation Title:**

**Related Activity:**

**Record for Lesson Learned? (Check the box that applies) Yes [ ] No [ ]**

**1) Analysis:** (Include a **discussion** of what happened. When? Where? How? Who was involved? Also describe the **root cause** of the observation, including contributing factors and what led to the strength. Finally, if applicable, describe the positive **consequences** of the actions observed.)

*[Insert text electronically or on separate pages]*

**2) References:** (Include references to plans, policies, and procedures relevant to the observation)

*[Insert text electronically or on separate pages]*

*HSEEP Exercise Evaluation Guide, WMD/HAZMAT Response and Decontamination*

# Appendix D: Development of Discussion-Based Evaluation Materials

Discussion-based exercises range from small discussion groups to large, multi-community events. Likewise, the purpose and objectives of discussion-based exercises can vary greatly from those of operations-based exercises. In most cases, discussion-based exercises are conducted at a central location where responders and decision makers can meet to discuss plans, policies, procedures, training, equipment, and interagency and inter-jurisdictional agreements. Often a facilitator is used to keep discussions on track and maintain focus on the exercise program goals and specific exercise objectives. Exercise evaluators are specifically chosen for their overall knowledge of emergency operations among multiple specialties—they help capture important comments, agreements, and discoveries provided by exercise participants.

Following a discussion-based exercise, the exercise facilitator(s) and evaluators report on the multi-faceted discussion, agreements, strengths, and areas for improvement. Capturing these aspects of a discussion-based exercise requires the exercise planning team to pay specific attention during the design phase of the exercise; facilitators' and exercise evaluators' careful preparation; and a tool specifically formatted to ease note taking and provide an easy transition to After Action Report / Improvement Plan (AAR/IP) documentation—this tool is the facilitator and evaluator guide.

A facilitator and evaluator guide can be constructed for a discussion-based exercise using much of the information contained in the operations-based Exercise Evaluation Guides (EEGs).

## Exercise Facilitator

The exercise facilitator sets the expectations for the exercise, introduces or presents the scenario and the various modules, manages the time and group reports, and facilitates discussions between groups. In order to ensure that exercise players are comfortable discussing issues with exercise evaluators present, the facilitator must explain the evaluators' role and stress that capturing key discussion points leads to improvements to local plans, policies, and procedures, which will translate into an improved level of preparedness.

## Exercise Evaluators

The role of the evaluator in a discussion-based exercise is to observe and record the discussion during the exercise, participate in the data analysis, and assist with drafting the AAR/IP. In addition to the evaluator, a group note-taker should be present to supplement information gathered by the evaluator.

## Discussion-Based Exercise Evaluation Guides

Since an entity's response requirements are as different as its location, threats, and mutual aid agreements (MAAs), each exercise planning team must develop its own list of detailed leading questions that will help the facilitator guide players' discussions toward accomplishing the overall exercise program goals and exercise objectives. Exercise evaluators can also use such questions as a tool for gathering evaluation information.

Figure D-1 depicts a preferred methodology exercise planners can use to develop facilitator and evaluator materials for discussion-based exercises. These materials may be included in a modified Controller and

Evaluator (C/E) Handbook, or as separate Facilitator Handbooks and Evaluation Plans (EvalPlans).

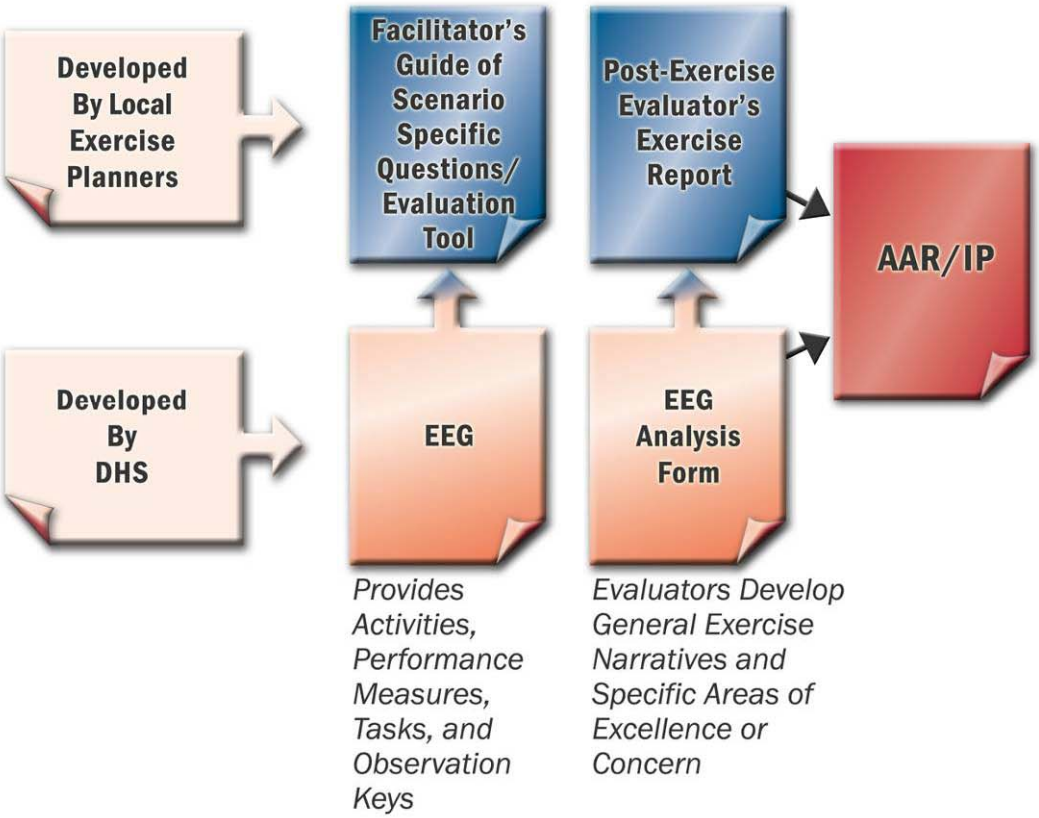


**Figure D-1:** *Developing scenario-specific, discussion-based materials*

## Developing Discussion-Based Exercise Facilitator and Evaluator Materials

The U.S. Department of Homeland Security (DHS) has already developed EEGs for use in operations-based exercises. These guides select specific capabilities and list the capabilities' associated activities, tasks, and performance measures from the Target Capabilities List (TCL) and Universal Task Line (UTL) as critical elements to monitor during an emergency exercise. As such, these task- and performance-centric EEGs are best suited for operations-based exercises, drills, and training. Discussion-based exercises provide another valuable aspect to assessing a community's preparedness capability by providing forums to discuss plans, policies, procedures, MAAs, etc.

Discussion-based exercise materials for exercise facilitators and evaluators can follow a similar design as the EEGs for operations-based exercises. The following sections discuss the discussion-based exercise evaluation materials depicted in Figure D-1.

## Using the EEG to Develop a Facilitator's Guide

The EEG lists the specific activities, tasks, and performance measures selected as the national baseline for exercise evaluation. In addition, evaluator observation keys have been developed for each task to aid evaluators in recognizing key actions responders might take. The format and content of the EEG can easily be adapted to a facilitator's guide that can be included in a C/E Handbook or Facilitator Handbook

that lists questions specific to the discussion-based exercise scenario and the emergency responders and decision makers participating in the exercise.

The local exercise planning team can adapt the EEG format by deleting activities and tasks that will not be part of the exercise and adding in tasks of more local interest. Exercise planners can then remove the observation keys and replace them with suggested questions the facilitator might use to spark discussion of topics important to exercise objectives.

## After Action Report / Improvement Plan Reporting

When developing local, discussion-based exercise evaluation tools, it is important to keep activities, performance measures, and tasks consistent within the original EEG. This helps integrate discussion-based AAR/IPs with AAR/IPs from other exercises to demonstrate improvement of capabilities throughout the preparedness cycle and within a comprehensive exercise program.

Some discussion-based exercises may have a limited area of interest and may develop several detailed questions based on only a few activities, performance measures, or tasks. However, other discussion-based exercises might focus more on interagency and inter-organizational communications and therefore select more activities, performance measures, and tasks for use in evaluation. In these cases, concrete performance measures can be substituted by process-focused measures that center on the smooth functioning of interagency communication and coordination.

### *Developing Discussion-Based Exercise Evaluation Guide Analysis Sheets*

The EEG Analysis Sheets provide a format for documenting and describing the actions taken during an operations-based exercise. These sheets can be also be adapted for discussion-based exercises to document and describe the discussion, decisions, and issues that were identified during and following the exercise.

The EEG Analysis Sheets for operations-based exercises are designed to help evaluators maintain focus while developing short, descriptive narratives of exercise events—therefore reducing post-exercise workload on evaluators and evaluation team leaders. Evaluators can use these analysis sheets to build observations, analysis, and recommendations content in the draft AAR/IP *Section 3: Analysis of Capabilities*. In the same manner, discussion-based EEG Analysis Sheets enable easy incorporation of discussion-based exercise facts into the AAR/IP.

Production of discussion-based EEG Analysis Sheets requires very little alteration of the current operations-based format. The questions prompting evaluators to list exercise observations chronologically are widely applicable across exercises, regardless of type. The same is true of the Evaluator Observations section, which asks evaluators to record major areas of strength and major areas for improvement, as well as initial analyses and recommendations. Unlike operations-based exercises, the observations recorded for discussion-based exercises may not be grouped by specific activities; however, this slightly altered section of the EEGAnalysis Sheets can still prove useful following a discussion-based exercise.

# Appendix E: Acronyms

| | |
|---|---|
| AAR/IP | After Action Report/Improvement Plan |
| C/E | controller and evaluator |
| DHS | U.S. Department of Homeland Security |
| EEG | Exercise Evaluation Guide |
| EOC | Emergency Operations Center |
| EvalPlan | Evaluation Plan |
| ExPlan | Exercise Plan |
| FOUO | For Official Use Only |
| HazMat | hazardous materials |
| HSEEP | Homeland Security Exercise and Evaluation Program |
| HSPD-8 | Homeland Security Presidential Directive 8 |
| IP | Improvement Plan |
| JIC | Joint Information Center |
| LLIS | Lessons Learned Information Sharing |
| MAA | mutual aid agreement |
| MSEL | Master Scenario Events List |
| NGO | non-governmental organization |
| POC | point of contact |
| SBU | Secure But Unclassified |
| SitMan | Situation Manual |
| TCL | Target Capabilities List |
| UTL | Universal Task List |
| WMD | Weapons of Mass Destruction |

## ATTACHMENT J. 8 – PAST PERFORMANCE EVALUATION FORM

(Check appropriate box)

| Performance Elements | **RATING** (See Rating Guidelines below) | | | | | |
|---|---|---|---|---|---|---|
| | **5** – Excellent | **4** – Good | **3** – Acceptable | **2** – Poor | **1** – Unacceptable | **0** – Zero |
| Quality of Services/Work | | | | | | |
| Timeliness of Performance | | | | | | |
| Cost Control | | | | | | |
| Business Relations | | | | | | |
| Customer Satisfaction | | | | | | |

1. Name of Contractor being Evaluated: _____

2. Name & Title of Evaluator:_____

3. Signature of Evaluator:_____

4. Name of Evaluator's Organization:_____

5. Telephone Number of Evaluator:_____

6. Type of service received: _____

7. Contract Number, Amount and Period of Performance: _____

   _____

8. Remarks on Excellent Performance: Provide data supporting this observation. Continue on separate sheet if needed)

   _____

   _____

9. Remarks on unacceptable performance: Provide data supporting this observation. (Continue on separate sheet if needed)

   _____

   _____

## RATING GUIDELINES

Summarize Contractor performance in each of the rating areas. Assign each area a rating of 0 (Unacceptable), 1 (Poor), 2 (Acceptable), 3 (Good), 4(Excellent), or ++ (Plus). Use the following instructions as guidance in making these evaluations.

| | RATING AREAS | | | |
|---|---|---|---|---|
| | **Quality Product/Service** | **Cost Control** | **Timeliness of Performance** | **Business Relations** |
| | - Compliance with contract requirements<br>- Accuracy of reports<br>- Appropriateness of personnel<br>- Technical Excellence | - Within budget (over/under target costs)<br>- Current, accurate, and complete billings<br>- Relationship of negated costs to actual<br>- Cost efficiencies<br>- Change order issue | - Meet Interim milestones<br>- Reliable<br>- Responsive to technical directions<br>- Completed on time<br>- No liquidated damages assessed | - Effective management<br>- Businesslike correspondence<br>- Responsive to contract requirements<br>- Prompt notification of contract problems<br>- Reasonable/cooperative<br>- Flexible<br>- Proactive<br>- Effective contractor recommended solutions<br>- Effective small disadvantaged business subcontracting program |
| **RANKINGS** | | | | |
| **0 Zero** | Non-conformances are compromising the achievement of contract requirements, despite use of Agency resources | Cost issues are compromising performance of contract requirements. | Delays are compromising the achievement of contract requirements despite use of Agency resources. | Response to inquiries, technical/service/administrative issues is not effective and responsive. |
| **1 Unacceptable** | Non-conformances require major Agency resources to ensure achievement of contract requirements. | Cost issues require major Agency resources to ensure achievement of contract requirements. | Delays require major Agency resources to ensure achievement of contract requirements. | Response to inquiries, technical/service/administrative issues is marginally effective and responsive. |
| **2 Poor** | Non-conformances require minor Agency resources to ensure achievement of contract requirements. | Cost issues require minor Agency resources to ensure achievement of contract requirements. | Delays require minor Agency resources to ensure achievement of contract requirements. | Response to inquiries, technical/service/administrative issues is somewhat effective and responsive. |
| **3 Acceptable** | Non-conformances do not impact achievement of contract requirements. | Cost issues do not impact achievement of contract requirements. | Delays do not impact achievement of contract requirements. | Response to inquiries, technical/service/administrative issues is usually effective and responsive. |
| **4 Good** | There are no quality problems. | There are no cost issues. | There are no delays. | Responses to inquiries, technical/service/administrative issues is effective and responsive. |
| **5 Excellent** | The contractor has demonstrated an exceptional performance level in some of all of the above categories. | | | |

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

# STANDARD CONTRACT PROVISIONS

**FOR USE WITH**

**DISTRICT OF COLUMBIA GOVERNMENT**
**SUPPLIES AND SERVICES CONTRACTS**

**March 2007**

**OFFICE OF CONTRACTING AND PROCUREMENT**
**SUITE 700 SOUTH**
**441 4th STREET, NW**
**WASHINGTON, DC 20001**

**STANDARD CONTRACT PROVISIONS**

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## 1. Covenant Against Contingent Fees:

The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure the contract upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the District will have the right to terminate the contract without liability or in its discretion to deduct from the contract price or consideration or otherwise recover, the full amount of the commission, percentage, brokerage, or contingent fee.

## 2. Shipping Instructions – Consignment:

Unless otherwise specified in this Invitation for Bids/Request for Proposals, each case, crate, barrel, package, etc., delivered under this contract must be plainly stencil marked or securely tagged, stating the Contractor's name, contract number and delivery address as noted in the contract. In case of carload lots, the Contractor shall tag the car, stating Contractor's name and contract number. Any failure to comply with these instructions will place the material at the Contractor's risk. Deliveries by rail, water, truck or otherwise, must be within the working hours and in ample time to allow for unloading and if necessary, the storing of the materials or supplies before closing time. Deliveries at any other time will not be accepted unless specific arrangements have been previously made with the contact person identified in the contract at the delivery point.

## 3. Patents:

The Contractor shall hold and save the District, its officers, agents, servants, and employees harmless from liability of any nature or kind, including costs, expenses, for or on account of any patented or unpatented invention, article, process, or appliance, manufactured or used in the performance of this contract, including their use by the District, unless otherwise specifically stipulated in the contract.

## 4. Quality:

Contractor's workmanship shall be of the highest grade, and all materials provided under this Contract shall be new, of the best quality and grade, and suitable in every respect for the purpose intended.

## 5. Inspection Of Supplies:

(a) Definition. "Supplies," as used in this clause, includes, but is not limited to raw materials, components, intermediate assemblies, end products, and lots of supplies.

(b) The Contractor shall be responsible for the materials or supplies covered by this contract until they are delivered at the designated point, but the Contractor shall bear all risk on rejected materials or supplies after notification of rejection. Upon the Contractor's failure to cure within ten (10) days after date of notification, the District may return the rejected materials or supplies to the Contractor at the Contractor's risk and expense.

(c) The Contractor shall provide and maintain an inspection system acceptable to the District covering supplies under this contract and shall tender to the District for acceptance only supplies that have been inspected in accordance with the inspection system and have been found by the Contractor to be in conformity with contract requirements. As part of the

system, the Contractor shall prepare records evidencing all inspections made under the system and the outcome. These records shall be kept complete and made available to the District during contract performance and for as long afterwards as the contract requires. The District may perform reviews and evaluations as reasonably necessary to ascertain compliance with this paragraph. These reviews and evaluations shall be conducted in a manner that will not unduly delay the contract work. The right of review, whether exercised or not, does not relieve the Contractor of the obligations under this contract.

(d) The District has the right to inspect and test all supplies called for by the contract, to the extent practicable, at all places and times, including the period of manufacture, and in any event before acceptance. The District will perform inspections and tests in a manner that will not unduly delay the work. The District assumes no contractual obligation to perform any inspection and test for the benefit of the Contractor unless specifically set forth elsewhere in the contract.

(e) If the District performs inspection or test on the premises of the Contractor or subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, without additional charge, all reasonable facilities and assistance for the safe and convenient performance of these duties. Except as otherwise provided in the contract, the District will bear the expense of District inspections or tests made at other than Contractor' s or subcontractor' s premises; provided, that in case of rejection, the District will not be liable for any reduction in the value of inspection or test samples.

(1) When supplies are not ready at the time specified by the Contractor for inspection or test, the Contracting Officer may charge to the Contractor the additional cost of inspection or test.

(2) Contracting Officer may also charge the Contractor for any additional cost of inspection or test when prior rejection makes re-inspection or retest

(f) The District has the right either to reject or to require correction of nonconforming supplies. Supplies are nonconforming when they are defective in material or workmanship or otherwise not in conformity with contract requirements. The District may reject nonconforming supplies with or without disposition instructions.

(g) The Contractor shall remove supplies rejected or required to be corrected. However, the Contracting Officer may require or permit correction in place, promptly after notice, by and at the expense of the Contractor. The Contractor shall not tender for acceptance corrected or rejected supplies without disclosing the former rejection or requirement for correction, and when required, shall disclose the corrective action taken.

(h) If the Contractor fails to remove, replace, or correct rejected supplies that are required to be replaced or corrected within ten (10) days, the District may either (1) by contract or otherwise, remove, replace or correct the supplies and charge the cost to the Contractor or (2) terminate the contract for default. Unless the Contractor corrects or replaces the supplies within the delivery schedule, the Contracting Officer may require their delivery and make an equitable price reduction. Failure to agree to a price reduction shall be a dispute.

(i) If this contract provides for the performance of District quality assurance at source, and if requested by the District, the Contractor shall furnish advance notification of the time (i) when Contractor inspection or tests will be performed in accordance with the terms and conditions of the contract, and (ii) when the supplies will be ready for District inspection.

(j) The District request shall specify the period and method of the advance notification and the District representative to whom it shall be furnished. Requests shall not require more than 2 business days of advance notification if the District representative is in residence in the Contractor' s plant, nor more than 7 business days in other instances.

(k) The District will accept or reject supplies as promptly as practicable after delivery, unless otherwise provided in the contract. District failure to inspect and accept or reject the supplies shall not relieve the Contractor from responsibility, nor impose liability upon the District, for non-conforming supplies.

(l) Inspections and tests by the District do not relieve the Contractor of responsibility for defects or other failures to meet contract requirements discovered before acceptance. Acceptance shall be conclusive, except for latent defects, fraud, gross mistakes amounting to fraud, or as otherwise provided in the contract.

(m) If acceptance is not conclusive for any of the reasons in subparagraph (l) hereof, the District, in addition to any other rights and remedies provided by law, or under provisions of this contract, shall have the right to require the Contractor (1) at no increase in contract price, to correct or replace the defective or nonconforming supplies at the original point of delivery or at the Contractor' s plant at the Contracting Officer' s election, and in accordance with a reasonable delivery schedule as may be agreed upon between the Contractor and the Contracting Officer; provided, that the Contracting Officer may require a reduction in contract price if the Contractor fails to meet such delivery schedule, or (2) within a reasonable time after receipt by the Contractor of notice of defects or noncompliance, to repay such portion of the contract as is equitable under the circumstances if the Contracting Officer elects not to require correction or replacement. When supplies are returned to the Contractor, the Contractor shall bear the transportation cost from the original point of delivery to the Contractor' s plant and return to the original point when that point is not the Contractor' s plant. If the Contractor fails to perform or act as required in (1) or (2) above and does not cure such failure within a period of 10 days (or such longer period as the Contracting Officer may authorize in writing) after receipt of notice from the Contracting Officer specifying such failure, the District will have the right to return the rejected materials at Contractor' s risk and expense or contract or otherwise to replace or correct such supplies and charge to the Contractor the cost occasioned the District thereby.

## 6. <u>Inspection Of Services:</u>

(a) Definition. "Services" as used in this clause includes services performed, workmanship, and material furnished or utilized in the performance of services.

(b) The Contractor shall provide and maintain an inspection system acceptable to the District covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the District during contract performance and for as long afterwards as the contract requires.

(c) The District has the right to inspect and test all services called for by the contract, to the extent practicable at all times and places during the term of the contract. The District will perform inspections and tests in a manner that will not unduly delay the work.

(d) If the District performs inspections or tests on the premises of the Contractor or subcontractor, the Contractor shall furnish, without additional charge, all reasonable facilities and assistance for the safety and convenient performance of these duties.

(e) If any of the services do not conform to the contract requirements, the District may require the Contractor to perform these services again in conformity with contract requirements, at no increase in contract amount. When the defects in services cannot be corrected by performance, the District may require the Contractor to take necessary action to ensure that future performance conforms to contract requirements and reduce the contract price to reflect value of services performed.

(f) If the Contractor fails to promptly perform the services again or take the necessary action to ensure future performance in conformity to contract requirements, the District may (1) by contract or otherwise, perform the services and charge the Contractor any cost incurred by the District that is directly related to the performance of such services, or (2) terminate the contract for default.

**7. <u>Waiver:</u>**

The waiver of any breach of the contract will not constitute a waiver of any subsequent breach thereof, or a waiver of the contract.

**8. <u>Default:</u>**

(a) The District may, subject to the provisions of paragraph (c) below, by written notice of default to the Contractor, terminate the whole or any part of this contract in any one of the following circumstances:

(1) If the Contractor fails to make delivery of the supplies or to perform the services within the time specified herein or any extension thereof; or

(2) If the Contractor fails to perform any of the other provisions of this contract, or so fails to make progress as to endanger performance of this contract in accordance with its terms, and in either of these two circumstances does not cure such failure within a period of ten (10) days (or such longer period as the Contracting Officer may authorize in writing) after receipt of notice from the Contracting Officer specifying such failure.

(b) In the event the District terminates this contract in whole or in part as provided in paragraph (a) of this clause, the District may procure, upon such terms and in such manner as the Contracting Officer may deem appropriate, supplies or service similar to those so terminated, and the Contractor shall be liable to the District for any excess costs for similar supplies or services; provided, that the Contractor shall continue the performance of this contract to the extent not terminated under the provisions of this clause.

(c) Except with respect to defaults of subcontractors, the Contractor shall not be liable for any excess costs if the failure to perform the contract arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the District or Federal Government in either their sovereign or contractual capacity, fires, floods, epidemics, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case the failure to perform must be beyond the control and without fault or negligence of the Contractor. If the failure to perform is caused by the default of the subcontractor, and if such default arises out of causes beyond the control of both the Contractor and the subcontractor, and without the fault or negligence of either of them, the Contractor shall not be liable for any excess cost for failure to perform, unless the supplies or services to be furnished by the subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required delivery schedule.

(d) If this contract is terminated as provided in paragraph (a) of this clause, the District, in addition to any other rights provided in this clause, may require the Contractor to transfer title and deliver to the District, in the manner and to the extent directed by the Contracting Officer, (i) completed supplies, and (ii) such partially completed supplies and materials, parts, tools, dies, jigs, fixtures plans, drawing information, and contract rights (hereinafter called "manufacturing materials") as the Contractor has specifically produced or specifically acquired for the performance of such part of this contract as has been terminated; and the Contractor shall, upon direction of the Contracting Officer, protect and preserve property in possession of the Contractor in which the District has an interest. Payment for completed supplies delivered to and accepted by the District will be at the contract price. Payment for manufacturing materials delivered to and accepted by the District will be at the contract price. Payment for manufacturing materials delivered to and accepted by the District and for the protection and preservation of property shall be in an amount agreed upon by the Contractor and Contracting Officer; failure to agree to such amount shall be a dispute concerning a question of fact within the meaning of the clause of this contract entitled "Disputes". The District may withhold from amounts otherwise due the Contractor for such completed supplies or manufacturing materials such sum as the Contracting Officer determines to be necessary to protect the District against loss because of outstanding liens or claims of former lien holders.

(e) If, after notice of termination of this contract under the provisions of this clause, it is determined for any reason that the Contractor was not in default under the provisions of this clause, or that the default was excusable under the provisions of this clause, the rights and obligations of the parties shall, if the contract contains a clause providing for termination of convenience of the District, be the same as if the notice of termination had been issued pursuant to such clause. See Clause 20 for Termination for Convenience of the District.

(f) The rights and remedies of the District provided in this clause shall not be exclusive and are in addition to any other rights and remedies provided by law or under this contract.

(g) As used in paragraph (c) of this clause, the terms "subcontractor(s) means subcontractor(s) at any tier.

**9. Indemnification:**

The Contractor agrees to defend, indemnify and hold harmless the District, its officers, agencies, departments, agents, and employees (collectively the "District") from and against any and all claims, losses, liabilities, penalties, fines, forfeitures, demands, causes of action, suits, costs and expenses incidental thereto (including cost of defense and attorneys' fees), resulting from, arising out of, or in any way connected to activities or work performed by the Contractor, Contractor's officers, employees, agents, servants, subcontractors, or any other person acting for or by permission of the Contractor in performance of this Contract. The Contractor assumes all risks for direct and indirect damage or injury to the property or persons used or employed in performance of this Contract. The Contractor shall also repair or replace any District property that is damaged by the Contractor, Contractor's officers, employees, agents, servants, subcontractors, or any other person acting for or by permission of the Contractor while performing work hereunder.

The indemnification obligation under this section shall not be limited by the existence of any insurance policy or by any limitation on the amount or type of damages, compensation or benefits payable by or for Contractor or any subcontractor, and shall survive the termination of this Contract. The District agrees to give Contractor written notice of any claim of indemnity under this section. Additionally, Contractor shall have the right and sole authority to control the defense or settlement of such claim, provided that no contribution or action by the District is required in connection with the settlement. Monies due or to become due the Contractor under the contract may be retained by the District as necessary to satisfy any outstanding claim which the District may have against the Contractor.

**10. Transfer:**

No contract or any interest therein shall be transferred by the parties to whom the award is made; such transfer will be null and void and will be cause to annul the contract.

**11. Taxes:**

(a) The Government of the District of Columbia is exempt from and will not pay Federal Excise Tax, Transportation Tax, and the District of Columbia Sales and Use Taxes.

(b) Tax exemption certificates are no longer issued by the District for Federal Excise Tax. The following statement may be used by the supplier when claiming tax deductions for Federal Excise Tax exempt items sold to the District.

"The District of Columbia Government is Exempt from Federal Excise Tax – Registration No. 52-73-0206-K, Internal Revenue Service, Baltimore, Maryland."

Exempt From Maryland Sales Tax, Registered With The Comptroller Of The Treasury As Follows:

a) Deliveries to Glenn Dale Hospital – Exemption No. 4647

b) Deliveries to Children's Center – Exemption No. 4648

c) Deliveries to other District Departments or Agencies – Exemption No. 09339

"The District of Columbia Government is Exempt from Sales and Use Tax – Registration No. 53-600, The District of Columbia Office of Tax and Revenue."

## 12. Appointment of Attorney:

(a) The bidder/offeror or contractor (whichever the case may be) does hereby irrevocably designate and appoint the Clerk of the District of Columbia Superior Court and his successor in office as the true and lawful attorney of the Contractor for the purpose of receiving service of all notices and processes issued by any court in the District of Columbia, as well as service of all pleadings and other papers, in relation to any action or legal proceeding arising out of or pertaining to this contract or the work required or performed hereunder.

(b) The bidder/offeror or contractor (whichever the case may be) expressly agrees that the validity of any service upon the said Clerk as herein authorized shall not be affected either by the fact that the contractor was personally within the District of Columbia and otherwise subject to personal service at the time of such service upon the said Clerk or by the fact that the contractor failed to receive a copy of such process, notice or other paper so served upon the said Clerk provided the said Clerk shall have deposited in the United States mail, registered and postage prepaid, a copy of such process, notice, pleading or other paper addressed to the bidder/offeror or contractor at the address stated in this contract.

## 13. District Employees Not To Benefit:

Unless a determination is made as provided herein, no officer or employee of the District will be admitted to any share or part of this contract or to any benefit that may arise therefrom, and any contract made by the Contracting Officer or any District employee authorized to execute contracts in which they or an employee of the District will be personally interested shall be void, and no payment shall be made thereon by the District or any officer thereof, but this provision shall not be construed to extend to this contract if made with a corporation for its general benefit. A District employee shall not be a party to a contract with the District and will not knowingly cause or allow a business concern or other organization owned or substantially owned or controlled by the employee to be a party to such a contract, unless a written determination has been made by the head of the procuring agency that there is a compelling reason for contracting with the employee, such as when the District's needs cannot reasonably otherwise be met. (DC Procurement Practices Act of l985, D.C. Law 6-85, D.C. Official Code, section 2-310.01, and Chapter 18 of the DC Personnel Regulations)

The Contractor represents and covenants that it presently has no interest and shall not acquire any interest, direct or indirect, which would conflict in any manner or degree with the performance of its services hereunder. The Contractor further covenants not to employ any person having such known interests in the performance of the contract.

## 14. Disputes:

A. All disputes arising under or relating to this contract shall be resolved as provided herein.

B. Claims by a Contractor against the District.

Claim, as used in Section B of this clause, means a written assertion by the Contractor seeking, as a matter of right, the payment of money in a sum certain, the adjustment or interpretation of contract terms, or other relief arising under or relating to this contract. A claim arising under a contract, unlike a claim relating to that

contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant.

(a) All claims by a Contractor against the District arising under or relating to a contract shall be in writing and shall be submitted to the Contracting Officer for a decision. The contractor' s claim shall contain at least the following:

(1) A description of the claim and the amount in dispute;

(2) Any data or other information in support of the claim;

(3) A brief description of the Contractor' s efforts to resolve the dispute prior to filing the claim; and

(4) The Contractor' s request for relief or other action by the Contracting Officer.

(b) The Contracting Officer may meet with the Contractor in a further attempt to resolve the claim by agreement.

(c) For any claim of $50,000 or less, the Contracting Officer shall issue a decision within sixty (60) days from receipt of a written request from a Contractor that a decision be rendered within that period.

(d) For any claim over $50,000, the Contracting Officer shall issue a decision within ninety (90) days of receipt of the claim. Whenever possible, the Contracting Officer shall take into account factors such as the size and complexity of the claim and the adequacy of the information in support of the claim provided by the Contractor.

(e) The Contracting Officer' s written decision shall do the following:

(1) Provide a description of the claim or dispute;

(2) Refer to the pertinent contract terms;

(3) State the factual areas of agreement and disagreement;

(4) State the reasons for the decision, including any specific findings of fact, although specific findings of fact are not required and, if made, shall not be binding in any subsequent proceeding;

(5) If all or any part of the claim is determined to be valid, determine the amount of monetary settlement, the contract adjustment to be made, or other relief to be granted;

(6) Indicate that the written document is the contracting officer' s final decision; and

(7) Inform the Contractor of the right to seek further redress by appealing the decision to the Contract Appeals Board.

(f) Any failure by the Contracting Officer to issue a decision on a contract claim within the required time period will be deemed to be a denial of the cla im, and will authorize the commencement of an appeal to the Contract Appeals Board as authorized by D.C. Official Code § 2-309.04.

(g) (1) If a Contractor is unable to support any part of his or her claim and it is determined that the inability is attributable to a material misrepresentation of fact or fraud on the part of the Contractor, the Contractor shall be liable to the District for an amount equal to the unsupported part of the claim in addition to all costs to the District attributable to the cost of reviewing that part of the Contractor's claim.

(2) Liability under paragraph (g)(1) shall be determined within six (6) years of the commission of the misrepresentation of fact or fraud.

(h) The decision of the Contracting Officer shall be final and not subject to review unless an administrative appeal or action for judicial review is timely commenced by the Contractor as authorized by D. C. Official Code § 2-309.04.

(i) Pending final decision of an appeal, action, or final settlement, a Contractor shall proceed diligently with performance of the contract in accordance with the decision of the Contracting Officer.

C. Claims by the District against a Contractor

(a) Claim as used in Section C of this clause, means a written demand or written assertion by the District seeking, as a matter of right, the payment of money in a sum certain, the adjustment of contract terms, or other relief arising under or relating to this contract. A claim arising under a contract, unlike a claim relating to that contract, is a claim that can be resolved under a contract clause that provides for the relief sought by the claimant.

(b) (1) All claims by the District against a Contractor arising under or relating to a contract shall be decided by the Contracting Officer.

(2) The Contracting Officer shall send written notice of the claim to the Contractor. The Contracting Officer's written decision shall do the following:

(a) Provide a description of the claim or dispute;

(b) Refer to the pertinent contract terms;

(c) State the factual areas of agreement and disagreement;

(d) State the reasons for the decision, including any specific findings of fact, although specific findings of fact are not required and, if made, shall not be binding in any subsequent proceeding;

(e) If all or any part of the claim is determined to be valid, determine the amount of monetary settlement, the contract adjustment to be made, or other relief to be granted;

(f) Indicate that the written document is the Contracting Officer's final decision; and

(g) Inform the Contractor of the right to seek further redress by appealing the decision to the Contract Appeals Board.

(3) The decision shall be supported by reasons and shall inform the Contractor of its rights as provided herein.

(4) The authority contained in this clause shall not apply to a claim or dispute for penalties or forfeitures prescribed by statute or regulation which another District agency is specifically authorized to administer, settle, or determine.

(5) This clause shall not authorize the Contracting Officer to settle, compromise, pay, or otherwise adjust any claim involving fraud.

(c) The decision of the Contracting Officer shall be final and not subject to review unless an administrative appeal or action for judicial review is timely commenced by the Contractor as authorized by D.C. Official Code §2-309.04.

(d) Pending final decision of an appeal, action, or final settlement, the Contractor shall proceed diligently with performance of the contract in accordance with the decision of the Contracting Officer.

**15. Changes:**

The Contracting Officer may, at any time, by written order, and without notice to the surety, if any, make changes in the contract within the general scope hereof. If such change causes an increase or decrease in the cost of performance of this contract, or in the time required for performance, an equitable adjustment shall be made. Any claim for adjustment under this paragraph must be asserted within ten (10) days from the date the change is offered; provided, however, that the Contracting Officer, if he or she determines that the facts justify such action, may receive, consider and adjust any such claim asserted at any time prior to the date of final settlement of the contract. If the parties fail to agree upon the adjustment to be made, the dispute shall be determined as provided in the Disputes clause at Section 18. Nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.

**16. Termination For Convenience Of The District:**

(a) The District may terminate performance of work under this contract in whole or, from time to time, in part if the Contracting Officer determines that a termination is in the District's interest. The Contracting Officer shall terminate by delivering to the Contractor a Notice of Termination specifying the extent of termination and effective date.

(b) After receipt of a Notice of Termination, and except as directed by the Contracting Officer, the Contractor shall immediately proceed with the following obligations, regardless of any delay in determining or adjusting any amounts due under this clause:

(1) Stop work as specified in the notice.

(2) Place no further subcontracts or orders (referred to as subcontracts in this clause) for materials, services, or facilities, except as necessary to complete the continued portion of the contract.

(3) Terminate all contracts to the extent they relate to the work terminated.

(4) Assign to the District, as directed by the Contracting Officer, all rights, title and interest of the Contractor under the subcontracts terminated, in which case the District will have the right to settle or pay any termination settlement proposal arising out of those terminations.

(5) With approval or ratification to the extent required by the Contracting Officer, settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts. The approval or ratification will be final for purposes of this clause.

(6) As directed by the Contracting Officer, transfer title and deliver to the District (i) the fabricated or unfabricated parts, work in process, completed work, supplies, and other materials produced or acquired for the work terminated, and (ii) the completed or partially completed plans, drawings, information, and other property that, if the contract has been completed, would be required to be furnished to the District.

(7) Complete performance of the work not terminated.

(8) Take any action that may be necessary, or that the Contracting Officer may direct, for the protection and preservation of the property related to this contract that is in the possession of the Contractor and in which the District has or may acquire an interest.

(9) Use its best efforts to sell, as directed or authorized by the Contracting Officer, any property of the types referred to in subparagraph (6) above; provided, however, that the Contractor (i) is not required to extend credit to any purchaser and (ii) may acquire the property under the conditions prescribed by, and at prices approved by, the Contracting Officer. The proceeds of any transfer or disposition will be applied to reduce any payments to be made by the District under this contract, credited to the price or cost of the work, or paid in any other manner directed by the Contracting Officer.

(c) After the expiration of ninety (90) days (or such longer period as may be agreed to) after receipt by the Contracting Officer of acceptable inventory schedules, the Contractor may submit to the Contracting Officer a list, certified as to quantity and quality of termination inventory not previously disposed of excluding items authorized for disposition by the Contracting Officer. The Contractor may request the District to remove those items or enter into an agreement for their storage. Within fifteen (15) days, the District will accept title to those items and remove them or enter into a storage agreement. The Contracting Officer may verify the list upon removal of the items, or if stored, within forty five (45) days from submission of the list, and shall correct the list, as necessary, before final settlement.

(d) After termination, the Contractor shall submit a final termination settlement proposal to the Contracting Officer in the form and with the certification prescribed by the Contracting Officer. The Contractor shall submit the proposal promptly, but no later than one year from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this one year period. However, if the Contracting Officer determines that the facts justify it, a termination settlement proposal may be

received and acted on after one year or any extension. If the Contractor fails to submit the proposal within the time allowed, the Contracting Officer may determine, on the basis of information available, the amount, if any, due to the Contractor because of the termination and shall pay the amount determined.

(e) Subject to paragraph (d) above, the Contractor and the Contracting Officer may agree upon the whole or any part of the amount to be paid because of the termination. The amount may include a reasonable allowance for profit on work done. However, the agreed amount, whether under this paragraph (e) or paragraph (f) below, exclusive of costs shown in subparagraph (f)(3) below, may not exceed the total contract price as reduced by (1) the amount of payment previously made and (2) the contract price of work not terminated. The contract shall be amended, and the Contractor paid the agreed amount. Paragraph (f) below shall not limit, restrict, or affect the amount that may be agreed upon to be paid under this paragraph.

(f) If the Contractor and the Contracting Officer fail to agree on the whole amount to be paid because of the termination work, the Contracting Officer shall pay the Contractor the amounts determined by the Contracting Officer as follows, but without duplication of any amounts agreed on under paragraph (e) above:

(1) The contract price for completed supplies or services accepted by the District (or sold or acquired under subparagraph (b)(9) above) not previously paid for, adjusted for any saving of freight and other charges.

(2) The total of :

(i) The costs incurred in the performance of the work terminated, including initial costs and preparatory expense allocable thereto, but excluding any costs attributable to supplies or services paid or to be paid under subparagraph (f)(1) above;

(ii) The cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the contract if not included in subparagraph (f)(1) above; and

(iii) A sum, as profit on subparagraph f(1) above, determined by the Contracting Officer to be fair and reasonable; however, if it appears that the Contractor would have sustained a loss on the entire contract had it been completed, the Contracting Officer shall allow no profit under this subparagraph (iii) and shall reduce the settlement to reflect the indicated rate of loss.

(3) The reasonable cost of settlement of the work terminated, including-

(i) Accounting, legal, clerical, and other expenses reasonably necessary for the preparation of termination settlement proposals and supporting data;

(ii) The termination and settlement of subcontractors (excluding the amounts of such settlements); and

(iii) Storage, transportation, and other costs incurred, reasonably necessary for the preservation, protection, or disposition of the termination inventory.

(g) Except for normal spoilage, and except to the extent that the District expressly assumed the risk of loss, the Contracting Officer shall exclude from the amounts payable to the Contractor under paragraph (f) above, the fair value as determined by the Contracting Officer, of property that is destroyed, lost, stolen, or damaged so as to become undeliverable to the District or to a buyer.

(h) The Contractor shall have the right of appeal, under the Disputes clause, from any determination made by the Contracting Officer under paragraphs (d), (f) or (j), except that if the Contractor failed to submit the termination settlement proposal within the time provided in paragraph (d) or (j), and failed to request a time extension, there is no right of appeal. If the Contracting Officer has made a determination of the amount due under paragraph (d), (f) or (j), the District will pay the Contractor (1) the amount determined by the Contracting Officer if there is no right of appeal or if no timely appeal has been taken, or (2) the amount finally determined on an appeal.

(i) In arriving at the amount due the Contractor under this clause, there shall be deducted:

(1) All unliquidated advances or other payments to the Contractor under the termination portion of the contract;

(2) Any claim which the District has against the Contractor under this contract; and

(3) The agreed price for, or the proceeds of sale of, materials, supplies, or other things acquired by the Contractor or sold under the provisions of this clause and not recovered by or credited to the District.

(j) If the termination is partial, the Contractor may file a proposal with the Contracting Officer for an equitable adjustment of the price(s) of the continued portion of the contract. The Contracting Officer shall make any equitable adjustment agreed upon. Any proposal by the Contractor for an equitable adjustment under this clause shall be requested within ninety (90) days from the effective date of termination unless extended in writing by the Contracting Officer.

(k) (1) The District may, under the terms and conditions it prescribes, make partial payments and payments against costs incurred by the Contractor for the terminated portion of the contract, if the Contracting Officer believes the total of these payments will not exceed the amount to which the Contractor shall be entitled.

(2) If the total payments exceed the amount finally determined to be due, the Contractor shall repay the excess to the District upon demand together with interest computed at the rate of 10 percent (10%) per year. Interest shall be computed for the period from the date the excess payment is received by the Contractor to the date the excess payment is repaid. Interest shall not be charged on any excess payment due to a reduction in the Contractor' s termination settlement proposal because of retention or

other disposition of termination inventory until 10 days after the date of the retention or disposition, or a later date determined by the Contracting Officer because of the circumstances.

(l) Unless otherwise provided in this contract or by statute, the Contractor shall maintain all records and documents relating to the terminated portion of this contract for 3 years after final settlement. This includes all books and other evidence bearing on the Contractor' s costs and expenses under this contract. The Contractor shall make these records and documents available to the District, at the Contractor' s office, at all reasonable times, without any direct charge. If approved by the Contracting Officer, photographs, micrographs, or other authentic reproductions may be maintained instead of original records and documents.

## 17. Recovery Of Debts Owed The District:

The Contractor hereby agrees that the District may use all or any portion of any consideration or refund due the Contractor under the present contract to satisfy, in whole or part, any debt due the District.

## 18. Retention and Examination Of Records:

The Contractor shall establish and maintain books, records, and documents (including electronic storage media) in accordance with generally accepted accounting principles and practices which sufficiently and properly reflect all revenues and expenditures of funds provided by the District under the contract that results from this solicitation.

The Contractor shall retain all records, financial records, supporting documents, statistical records, and any other documents (including electronic storage media) pertinent to the contract for a period of three (3) years after termination of the contract, or if an audit has been initiated and audit findings have not been resolved at the end of three (3) years, the records shall be retained until resolution of the audit findings or any litigation which may be based on the terms of the contract.

The Contractor shall assure that these records shall be subject at all reasonable times to inspection, review, or audit by Federal, District, or other personnel duly authorized by the Contracting Officer.

The Contracting Officer, the Inspector General and the District of Columbia Auditor, or any of their duly authorized representatives shall, until three years after final payment, have the right to examine any directly pertinent books, documents, papers and records of the Contractor involving transactions related to the contract.

## 19. Non-Discrimination Clause:

(a) The Contractor shall not discriminate in any manner against any employee or applicant for employment that would constitute a violation of the District of Columbia Human Rights Act, approved December 13, 1977, as amended (D. C. Law 2-38; D. C. Official Code §2-1402.11) (2001 Ed.)("Act" as used in this Section). The Contractor shall include a similar clause in all subcontracts, except subcontracts for standard commercial supplies or raw materials. In addition, Contractor agrees and any subcontractor shall agree to post in conspicuous places, available to employees and applicants for employment, notice setting forth the provisions of this non-discrimination clause as provided in Section 251 of the Act.

(b) Pursuant to rules of the Office of Human Rights, published on August 15, 1986 in the D. C. Register, Mayor's Order 2002-175 (10/23/02), 49 DCR 9883 and Mayor's Order 2006-151 (11/17/06), 52 DCR 9351, the following clauses apply to this contract:

(1) The Contractor shall not discriminate against any employee or applicant for employment because of actual or perceived: race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, disability, matriculation, political affiliation, genetic information, source of income, or place of residence or business. Sexual harassment is a form of sex discrimination which is prohibited by the Act. In addition, harassment based on any of the above protected categories is prohibited by the Act.

(2) The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their actual or perceived: race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, gender identity or expression, familial status, family responsibilities, disability, matriculation, political affiliation, genetic information, source of income, or place of residence or business.

The affirmative action shall include, but not be limited to the following:

(a) employment, upgrading or transfer;

(b) recruitment, or recruitment advertising;

(c) demotion, layoff, or termination;

(d) rates of pay, or other forms of compensation; and

(e) selection for training and apprenticeship.

(3) The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Contracting Agency, setting forth the provisions in subsections (b)(1) and (b)(2) concerning non-discrimination and affirmative action.

(4) The Contractor shall, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment pursuant to the non-discrimination requirements set forth in subsection (b)(2).

(5) The Contractor agrees to send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided by the contracting agency, advising the said labor union or workers' representative of that contractor's commitments under this nondiscrimination clause and the Act, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(6) The Contractor agrees to permit access to his books, records and accounts pertaining to its employment practices, by the Chief Procurement Officer or designee, or the Director of Human Rights or designee, for purposes of investigation to ascertain compliance with this chapter, and to require under terms of any subcontractor agreement each subcontractor to permit access of such subcontractors' books, records, and accounts for such purposes.

(7) The Contractor agrees to comply with the provisions of this chapter and with all guidelines for equal employment opportunity applicable in the District of Columbia adopted by the Director of the Office of Human Rights, or any authorized official.

(8) The Contractor shall include in every subcontract the equal opportunity clauses, subsections (b)(1) through (b)(9) of this section, so that such provisions shall be binding upon each subcontractor or vendor.

(9) The Contractor shall take such action with respect to any subcontract as the Contracting Officer may direct as a means of enforcing these provisions, including sanctions for noncompliance; provided, however, that in the event the Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the contracting agency, the Contractor may request the District to enter into such litigation to protect the interest of the District.

**20. Definitions:**

The terms Mayor, Chief Procurement Officer, Contract Appeals Board and District will mean the Mayor of the District of Columbia, the Chief Procurement Officer of the District of Columbia or his/her alternate, the Contract Appeals Board of the District of Columbia, and the Government of the District of Columbia respectively. If the Contractor is an individual, the term Contractor shall mean the Contractor, his heirs, his executor and his administrator. If the Contractor is a corporation, the term Contractor shall mean the Contractor and its successor.

**21. Health And Safety Standards:**

Items delivered under this contract shall conform to all requirements of the Occupational Safety and Health Act of 1970, as amended ("OSHA"), and Department of Labor Regulations under OSHA, and all Federal requirements in effect at time of bid opening/proposal submission.

**22. Appropriation Of Funds:**

The District's liability under this contract is contingent upon the future availability of appropriated monies with which to make payment for the contract purposes. The legal liability on the part of the District for the payment of any money shall not arise unless and until such appropriation shall have been provided.

**23. Buy American Act:**

(a) The Buy American Act (41 U.S.C. §10a) provides that the District give preference to domestic end products.

"Components," as used in this clause, means those articles, materials, and supplies incorporated directly into the end products.

"Domestic end product," as used in this clause, means, (1) an unmanufactured end product mined or produced in the United States, or (2) an end product manufactured in the United States, if the cost of its components mined, produced, or manufactured in the United States, exceeds 50 percent of the cost of all its components. Components of foreign origin of the same class or kind as the products referred to in paragraphs (b)(2) or (3) of this clause shall be treated as domestic. Scrap generated, collected, and prepared for processing in the United States is considered domestic.

"End products," as used in this clause, means those articles, materials, and supplies to be acquired for public use under this contract.

(b) The Contractor shall deliver only domestic end products, except those-

(1) For use outside the United States;

(2) That the District determines are not mined, produced, or manufactured in the United States in sufficient and reasonably available commercial quantities of a satisfactory quality;

(3) For which the District determines that domestic preference would be inconsistent with the public interest; or

(4) For which the District determines the cost to be unreasonable.

**24. <u>Service Contract Act of 1965:</u>**

(a) <u>Definitions.</u> "Act," as used in this clause, means the Service Contract Act of 1965, as amended (41 U.S.C. §351, *et seq.).*

(1) "Contractor," as used in this clause, means the prime Contractor or any subcontractor at any tier.

(2) "Service employee," as used in this clause, means any person (other than a person employed in a bona fide executive, administrative, or professional capacity as defined in 29 CFR 541) engaged in performing a District contract not exempted under 41 U.S.C. §356, the principal purpose of which is to furnish services in the United States, as defined in section 22.1001 of the Federal Acquisition Regulation. It includes all such persons regardless of the actual or alleged contractual relationship between them and a contractor.

(b) <u>Applicability.</u> To the extent that the Act applies, this contract is subject to the following provisions and to all other applicable provisions of the Act and regulations of the Secretary of Labor (20 CFR part 4). All interpretations of the Act in Subpart C of 29 CFR 4 are incorporated in this contract by reference. This clause does not apply to contracts or subcontracts administratively exempted by the Secretary of Labor or exempted by 41 U.S.C. §356, as interpreted in Subpart C of 29 CFR 4.

(c) <u>Compensation</u>.

(1) Each service employee employed in the performance of this contract by the Contractor or any subcontractor shall be paid not less than the minimum monetary wages and shall be furnished fringe benefits in accordance with the wages and fringe benefits determined by the Secretary of Labor or the Secretary's authorized representative, as specified in any wage determination attached to this contract.

(2) If a wage determination is attached to this contract, the Contractor shall classify any class of service employees not listed in it, but to be employed under this contract (i.e., the work to be performed is not performed by any classification listed in the wage determination) so as to provide a reasonable relationship (i.e., appropriate level of skill comparison) between such unlisted classifications and the classifications listed in the wage determination. Such conformed class of employees shall be paid the monetary wages and furnished the fringe benefits as are determined pursuant to the procedures in this paragraph. This conforming procedure shall be initiated by the Contractor prior to the performance of contract work by the unlisted class of employee.

(a) The Contractor shall submit Standard Form (SF) 1444, Request for Authorization of Additional Classification and Rate, to the Contracting Officer no later than 30 days after the unlisted class of employee performs any contract work. The Contracting Officer shall review the proposed classification and rate and promptly submit the completed SF 1444 (which must include information regarding the agreement or disagreement of the employees' authorized representatives or the employees themselves together with the agency recommendation), and all pertinent information to the Wage and Hour Division, Employment Standards Administration (ESA), Department of Labor. The Wage and Hour Division will approve, modify, or disapprove the action or render a final determination in the event of disagreement within 30 days of receipt or will notify the Contracting Officer within 30 days of receipt that additional time is necessary;

(b) The final determination of the conformance action by the Wage and Hour Division shall be transmitted to the Contracting Officer who shall promptly notify the Contractor of the action taken. Each affected employee shall be furnished by the Contracting Officer with a written copy of such determination or it shall be posted as a part of the wage determination;

(c) The process of establishing wage and fringe benefit rates that bear a reasonable relationship to those listed in a wage determination cannot be reduced to any single formula. The approach used may vary from wage determination to wage determination depending on the circumstances. Standard wage and salary administration practices which rank various job classifications by pay grade pursuant to point schemes or other job factors may, for example, be relied upon. Guidance may also be obtained from the way different jobs are rated under Federal pay systems (Federal Wage Board Pay System and the General

Schedule) or from other wage determinations issued in the same locality. Basic to the establishment of any conformable wage rate(s) is the concept that a pay relationship should be maintained between job classifications based on the skill required and the duties performed;

(d) In the case of a contract modification, an exercise of an option, or extension of an existing contract, or in any other case where a Contractor succeeds to a contract under which the classification in question was previously conformed pursuant to this clause, a new conformed wage rate and fringe benefits may be assigned to the conformed classification by indexing (*i.e.*, adjusting) the previous conformed rate and fringe benefits by an amount equal to the average (mean) percentage increase (or decrease, where appropriate) between the wages and fringe benefits specified for all classifications to be used on the contract which are listed in the current wage determination, and those specified for the corresponding classifications in the previously applicable wage determination. Where conforming actions are accomplished in accordance with this paragraph prior to the performance of contract work by the unlisted class of employees, the Contractor shall advise the Contracting Officer of the action taken but the other procedures in this clause need not be followed;

(e) No employee engaged in performing work on this contract shall in any event be paid less than the currently applicable minimum wage specified under section 6(a)(1) of the Fair Labor Standards Act of 1938, as amended;

(f) The wage rate and fringe benefits finally determined under this clause shall be paid to all employees performing in the classification from the first day on which contract work is performed by them in the classification. Failure to pay the unlisted employees the compensation agreed upon by the interested parties or finally determined by the Wage and Hour Division retroactive to the date such class of employees commenced contract work shall be a violation of the Act and this contract;

(g) Upon discovery of failure to comply with this clause, the Wage and Hour Division shall make a final determination of conformed classification, wage rate, and/or fringe benefits which shall be retroactive to the date such class or classes of employees commenced contract work.

(3) If the term of this contract is more than 1 year, the minimum wages and fringe benefits required for service employees under this contract shall be subject to adjustment after 1 year and not less often than once every 2 years, under wage determinations issued by ESA.

(4) The Contractor can discharge the obligation to furnish fringe benefits specified in the attachment or determined under paragraph (2) of this clause by furnishing any equivalent combinations of bona fide fringe

benefits, or by making equivalent or differential cash payments, in accordance with Subpart B and C of 29 CFR 4.

(d) Minimum wage: In the absence of a minimum wage attachment for this contract, the Contractor shall not pay any service or other employees performing this contract less than the minimum wage specified by section 6(a)(1) of the Fair Labor Standards Act of 1938, as amended (29 U.S.C. §206). Nothing in this clause shall relieve the Contractor of any other legal or contractual obligation to pay a higher wage to any employee.

(e) Successor contracts: If this contract succeeds a contract subject to the Act under which substantially the same services were furnished and service employees were paid wages and fringe benefits provided for in a collective bargaining agreement, then, in the absence of a minimum wage attachment to this contract, the Contractor may not pay any service employee performing this contract less than the wages and benefits, including those accrued and any prospective increases, provided for under that agreement. No Contractor may be relieved of this obligation unless the limitations of 29 CFR 4.1c(b) apply or unless the Secretary of Labor or the Secretary's authorized representative:

(1) Determines that the agreement under the predecessor was not the result of arms-length negotiations; or

(2) Finds, after a hearing under 29 CFR 4.10, that the wages and benefits provided for by that agreement vary substantially from those prevailing for similar services in the locality or determines, as provided in 29 CFR 4.11, that the collective bargaining agreement applicable to service employees employed under the predecessor contract was not entered into as a result of arm's length negotiations. Where it is found in accordance with the review procedures provided in 29 CFR 4.10 and 4.11 and parts 6 and 8 that some or all of the wages and fringe benefits contained in a predecessor Contractor's collective bargaining agreement are substantially at variance with those which prevail for services of a character similar in the locality, and that the collective bargaining agreement applicable to service employees employed under the predecessor contract was not entered into as a result of arm's length negotiations, the Department will issue a new or revised wage determination setting forth the applicable wage rates and fringe benefits. Such determination shall be made part of the contract or subcontract, in accordance with the decision of the Administrator, the Administrative Law Judge, or the Board of Service Contract Appeals, as the case may be, irrespective of whether such issuance occurs prior to or after the award of a contract or subcontract (53 Comp. Gen. 401 (1973)). In the case of a wage determination issued solely as a result of a finding of substantial variance, such determination shall be effective as of the date of the final administrative decision.

(f) Notification to employees: The Contractor shall notify each service employee commencing work on this contract of a minimum wage and any fringe benefits required to be paid, or shall post a notice of these wages and benefits in a prominent and accessible place at the worksite, using such poster as may be provided by the Department of Labor.

(g) Safe and sanitary working conditions: The Contractor shall not permit services called for by this contract to be performed in buildings or surroundings or under working conditions provided by or under the control or supervision of the Contractor that are unsanitary, hazardous, or dangerous to the health or safety of service employees. The Contractor shall comply with the health standards applied under 29 CFR Part 1925.

(h) Records: The Contractor shall maintain for 3 years from the completion of work, and make available for inspection and transcription by authorized ESA representatives, a record of the following:

(1) For each employee subject to the Act:

(a) Name and address;

(b) Work classification or classifications, rate or rates of wages and fringe benefits provided, rate or rates of payments in lieu of fringe benefits, and total daily and weekly compensation;

(c) Daily and weekly hours worked; and

(d) Any deductions, rebates, or refunds from total daily or weekly compensation.

(2) For those classes of service employees not included in any wage determination attached to this contract, wage rates or fringe benefits determined by the interested parties or by ESA under the terms of paragraph (c)(3) of this clause. A copy of the report required by paragraph (e) of this clause will fulfill this requirement.

(3) Any list of the predecessor Contractor's employees which had been furnished to the Contractor as prescribed by this clause. The Contractor shall also make available a copy of this contract for inspection or transcription by authorized representatives of the Wage and Hour Division. Failure to make and maintain or to make available these records for inspection and transcription shall be a violation of the regulations and this contract, and in the case of failure to produce these records, the Contracting Officer, upon direction of the Department of Labor and notification to the Contractor, shall take action to cause suspension of any further payment or advance of funds until the violation ceases. The Contractor shall permit authorized representatives of the Wage and Hour Division to conduct interviews with employees at the worksite during normal working hours.

(i) Pay periods: The Contractor shall unconditionally pay to each employee subject to the Act all wages due free and clear and without subsequent deduction (except as otherwise provided by law or regulations, 29 CFR part 4), rebate, or kickback on any account. These payments shall be made no later than one pay period following the end of the regular pay period in which the wages were earned or accrued. A pay period under this Act may not be of any duration longer than semi-monthly.

(j) Withholding of payments and termination of contract: The Contracting Officer shall withhold from the prime Contractor under this or any other District contract

with the prime contractor any sums the Contracting Officer, or an appropriate officer of the Labor Department, decides may be necessary to pay underpaid employees. In the event of failure to pay any employees subject to the Act all or part of the wages or fringe benefits due under the Act, the Contracting Officer may, after authorization or by direction of the Department of Labor and written notification to the Contractor, take action to cause suspension of any further payment or advance of funds until such violations have ceased. Additionally, any failure to comply with the requirements of this clause may be grounds for termination for default. In such event, the District may enter into other contracts or arrangements for completion of the work, charging the Contractor in default with any additional cost.

(k) Subcontracts: The Contractor agrees to insert this clause in all subcontracts.

(l) Contractor's report:

(1) If there is a wage determination attachment to this contract and any classes of service employees not listed on it are to be employed under the contract, the Contractor shall report promptly to the Contracting Officer the wages to be paid and the fringe benefits to be provided each of these classes, when determined under paragraph (c) of this clause.

(2) If wages to be paid or fringe benefits to be furnished any service employees under the contract are covered in a collective bargaining agreement effective at any time when the contract is being performed, the Contractor shall provide to the Contracting Officer a copy of the agreement and full information on the application and accrual of wages and benefits (including any prospective increases) to service employees working on the contract. The Contractor shall report when contract performance begins, in the case of agreements then in effect, and shall report subsequently effective agreements, provisions, or amendments promptly after they are negotiated.

(m) Contractor's Certification: By entering into this contract, the Contractor (and officials thereof) certifies that neither it (nor he or she) nor any person or firm who has a substantial interest in the Contractor's firm is a person or firm ineligible to be awarded District contracts by virtue of the sanctions imposed under section 5 of the Act. No part of this contract shall be subcontracted to any person or firm ineligible for award of a District contract under section 5 of the Act. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. §1001.

(n) Variations, tolerances, and exemptions involving employment: Notwithstanding any of the provisions in paragraphs (c) through (l) of this clause, the following employees may be employed in accordance with the following variations, tolerances, and exemptions authorized by the Secretary of Labor.

(1)(i) In accordance with regulations issued under Section 14 of the Fair Labor Standards Act of 1938 by the Administrator of the Wage and Hour Division, ESA (29 CFR 520, 521, 524, and 525), apprentices, student learners, and workers whose earning capacity is impaired by age or by physical or mental deficiency or injury, may be employed at wages lower than the minimum wages otherwise required by section 2(a)(1) or 2(b)(1)

of the Service Contract Act, without diminishing any fringe benefits or payments in lieu of these benefits required under section 2(a)(2) of the Act.

(ii) The Administrator will issue certificates under the Act for employing apprentices, student-learners, handicapped persons, or handicapped clients of sheltered workshops not subject to the Fair Labor Standards Act of 1938, or subject to different minimum rates of pay under the two acts, authorizing appropriate rates of minimum wages, but without changing requirements concerning fringe benefits or supplementary cash payments in lieu of these benefits.

(iii) The Administrator may also withdraw, annul, or cancel such certificates under 29 CFR 525 and 528.

(2) An employee engaged in an occupation in which the employee customarily and regularly receives more than $30 a month in tips shall be credited by the employer against the minimum wage required by section 2(a)(1) or section 2(b)(1) of the Act, in accordance with regulations in 29 CFR 531. However, the amount of credit shall not exceed 40 percent of the minimum rate specified in section 6(a)(1) of the Fair Labor Standards Act of 1938 as amended.

**25. <u>Cost and Pricing Data:</u>**

(a) This paragraph and paragraphs b through e below shall apply to contractors or offerors in regards to: (1) any procurement in excess of $100,000, (2) any contract awarded through competitive sealed proposals, (3) any contract awarded through sole source procurement, or (4) any change order or contract modification. By entering into this contract or submitting this offer, the Contractor or offeror certifies that, to the best of the Contractor's or offeror's knowledge and belief, any cost and pricing data submitted was accurate, complete and current as of the date specified in the contract or offer.

(b) Unless otherwise provided in the solicitation, the offeror or Contractor shall, before entering into any contract awarded through competitive sealed proposals or through sole source procurement or before negotiating any price adjustments pursuant to a change order or modification, submit cost or pricing data and certification that, to the best of the Contractor's knowledge and belief, the cost or pricing data submitted was accurate, complete, and current as of the date of award of this contract or as of the date of negotiation of the change order or modification.

(c) If any price, including profit or fee, negotiated in connection with this contract, or any cost reimbursable under this contract, was increased by any significant amount because (1) the Contractor or a subcontractor furnished cost or pricing data that were not complete, accurate, and current as certified by the Contractor, (2) a subcontractor or prospective subcontractor furnished the Contractor cost or pricing data that were not complete, accurate, and current as certified by the Contractor, or (3) any of these parties furnished data of any description that were not accurate, the price or cost shall be reduced accordingly and the contract shall be modified to reflect the reduction.

(d) Any reduction in the contract price under paragraph c above due to defective data from a prospective subcontractor that was not subsequently awarded, the subcontract shall be limited to the amount, plus applicable overhead and profit markup, by which (1) the actual subcontract or (2) the actual cost to the Contractor, if there was no subcontract, was less than the prospective subcontract cost estimate submitted by the Contractor; provided that the actual subcontract price was not itself affected by defective cost or pricing data.

(e) Cost or pricing data includes all facts as of the time of price agreement that prudent buyers and sellers would reasonably expect to affect price negotiations significantly. Cost or pricing data are factual, not judgmental, and are therefore verifiable. While they do not indicate the accuracy of the prospective Contractor' s judgment about estimated future costs or projections, cost or pricing data do include the data forming the basis for that judgment. Cost or pricing data are more than historical accounting data; they are all the facts that can be reasonably expected to contribute to the soundness of estimates of future costs and to the validity of determinations of costs already incurred.

(f) The following specific information should be included as cost or pricing data, as applicable:

(1) Vendor quotations;

(2) Nonrecurring costs;

(3) Information on changes in production methods or purchasing volume;

(4) Data supporting projections of business prospects and objectives and related operations costs;

(5) Unit – cost trends such as those associated with labor efficiency;

(6) Make or buy decisions;

(7) Estimated resources to attain business goals;

(8) Information on management decisions that could have a significant bearing on costs.

(g) If the offeror or contractor is required by law to submit cost or pricing data in connection with pricing this contract or any change order or modification of this contract, the Contracting Officer or representatives of the Contracting Officer shall have the right to examine all books, records, documents and other data of the Contractor (including computations and projections) related to negotiating, pricing, or performing the contract, change order or modification, in order to evaluate the accuracy, completeness, and currency of the cost or pricing data. The right of examination shall extend to all documents necessary to permit adequate evaluation of the cost or pricing data submitted, along with the computations and projections used. Contractor shall make available at its office at all reasonable times the materials described above for examination, audit, or reproduction until three years after the later of:

(1) final payment under the contract;

(2) final termination settlement; or

(3) the final disposition of any appeals under the disputes clause or of litigation or the settlement of claims arising under or relating to the contract.

**26. Multiyear Contract:**

If this contract is a multiyear contract, then the following provision is made part of this contract:

If funds are not appropriated or otherwise made available for the continued performance in a subsequent year of a multiyear contract, the contract for the subsequent year shall be terminated, either automatically or in accordance with the termination clause of the contract. Unless otherwise provided for in the contract, the effect of termination is to discharge both the District and the Contractor from future performance of the contract, but not from the existing obligations. The Contractor shall be reimbursed for the reasonable value of any non-recurring costs incurred but not amortized in the price of the supplies or services delivered under the contract.

**27. Termination Of Contracts For Certain Crimes And Violations:**

(a) The District may terminate without liability any contract and may deduct from the contract price or otherwise recover the full amount of any fee, commission, percentage, gift, or consideration paid in violation of this title if:

(1) The Contractor has been convicted of a crime arising out of or in connection with the procurement of any work to be done or any payment to be made under the contract; or

(2) There has been any breach or violation of:

(A) Any provision of the Procurement Practices Act of 1985, as amended, or

(B) The contract provision against contingent fees.

(b) If a contract is terminated pursuant to this section, the Contractor:

(1) May be paid only the actual costs of the work performed to the date of termination, plus termination costs, if any; and

(2) Shall refund all profits or fixed fees realized under the Contract.

(c) The rights and remedies contained in this are in addition to any other right or remedy provided by law, and the exercise of any of them is not a waiver of any other right or remedy provided by law.

GOVERNMENT OF THE DISTRICT OF COLUMBIA

ADMINISTRATIVE ISSUANCE SYSTEM

Mayor's Order 2002-1
January 2, 2002

SUBJECT: Establishment of the Mayor's Emergency Preparedness Council (EPC)

ORIGINATING AGENCY: Office of the Mayor

In order to continually re-examine the overall state of emergency and disaster readiness of the District of Columbia, and

To provide a consistent network of District agency expertise to make the District of Columbia Government a national leader in comprehensive emergency management, and

To make recommendations on improving District planning for, response to, and recovery from emergency and disaster events as well as emerging threats;

By virtue of the authority vested in me as Mayor of the District of Columbia by Section 422(2) of the District of Columbia Home Rule Act, as amended, 87 Stat. 790, Pub. L. No. 93-198, D.C. Code 2001 § 1-204.22(2), and the District of Columbia Public Emergency Act of 1980 (D.C. Law 3-149) codified at D.C. Code, 2001 Ed., § 7-2301et seq., it is hereby **ORDERED** that:

1. An Emergency Preparedness Council (EPC) shall be established. The EPC shall consist of the chief executives of those agencies and departments that have a direct or indirect role in planning for, responding to, and/or recovering from a major emergency or disaster affecting the District of Columbia, as identified in the District Response Plan (DRP) and its fifteen Emergency Support Functions (ESFs). *(An organization chart depicting the standing membership of the Emergency Preparedness Council is attached to this Order)*

2. The EPC shall be co-chaired jointly by the City Administrator and the Deputy Mayor for Public Safety and Justice. The Chairperson of the City Council and the Chairperson of the City Council Judiciary Committee shall also be full members of the EPC.

3. The Director of the DC Emergency Management Agency shall act as the Executive Secretary of the EPC, coordinating all Council logistics and assignments. The District of Columbia Emergency Management Agency shall be responsible for facilitating this process.

4. The EPC shall create four functional sub-committees to provide oversight and guidance to the functional areas involved in effective emergency planning, response and recovery (see number 5 below).

5. The four specific sub-committees will focus on: Operations Support, Community Services, Infrastructure, and Emergency Services. These sub-committees directly correlate to Emergency Support Functions (ESFs) contained within the District Response Plan.

6. Each of the four EPC sub-committees shall be chaired by a member of the Mayor's Cabinet (Agency Director or Deputy Mayor).

7. The four EPC sub-committees shall be made up of representatives from those District agencies that have primary and support responsibilities for each specific ESF as listed in the DRP. Each District Agency Director assigned to the EPC functional sub-committees shall represent his/her department at all EPC meetings.

8. Also invited to take part in the sub-committees shall be business associations, schools and universities, civic and community organizations, and other local and regional representatives, as well as Federal agencies that would normally provide support to the District under the Federal Response Plan (FRP). Examples may include the American Red Cross, DC Hospital Association, DC Consortium of Colleges and Universities, Business Improvement Districts and other members as appointed by each sub-committee chairperson.

9. The four sub-committees shall make recommendations and reports to the full EPC, identifying any enhancements or modifications required in the Emergency Support Functions, and providing recommendations for change. Each recommendation should include a budget estimate and schedule for implementation.

10. The EPC shall convene *a minimum* of once every quarter for the purpose of discussing issues, resolving problems and providing input and guidance to city departments and agencies on issues of emergency preparedness.

11. The EPC shall conduct a minimum of one full-scale and one functional/tabletop disaster exercise each calendar year to test the District's overall condition of readiness. Each exercise required mandatory participation by each ESF Lead agency. A formal after-action report shall be presented to the EPC within one month of each completed exercise. Each after-action report shall be incorporated into an overall Corrective Action Plan identifying proposed activities, policies and programs to improve the District's overall state of readiness to respond to any major emergency or disaster.

12. An Emergency Preparedness Group (EPG) shall also be established to support the EPC on an ongoing basis. The Director of the DC Emergency Management Agency shall chair the EPG. The membership of the EPG shall be comprised of the lead planners from each of the lead ESF agencies as identified in the District Response Plan. Each lead ESF agency director shall provide EMA with a listing of their lead planners on an ongoing basis and shall full support for their active participation in the ongoing EPG process and meetings.

13. The Emergency Preparedness Group shall meet *a minimum* of six times a year with the schedule and logistics of each meeting determined by the membership of each EPG. For the first year, the EPG shall meet monthly to establish the structured framework for ongoing disaster preparedness and planning. The EPG shall be tasked with supporting the Emergency Preparedness Council and will organize four planning groups to mirror the sub-committees of the EPC.

14. Based on the need, the sub-committees of the EPC and the planning groups of the EPG *may further divide up into smaller working groups* by common function or area of expertise. These working groups would meet to discuss and resolve issues of common concern.

15. The EPC shall prepare an annual report to the Mayor and City Council by September 30th of each year indicating emerging emergency management issues, highlighting progress on preparedness efforts, identifying shortfalls and suggest solutions to the issues raised in each sub-committee.

16. **EFFECTIVE DATE**: This Order shall become effective immediately.

Anthony A. Williams

**ANTHONY A. WILLIAMS**
**MAYOR**

**ATTEST:** Beverly D. Rivers

**BEVERLY D. RIVERS**
**SECRETARY OF THE DISTRICT OF COLUMBIA**

GOVERNMENT OF THE DISTRICT OF COLUMBIA

ADMINISTRATIVE ISSUANCE SYSTEM

Mayor's Order 2003-121
August 15, 2003

SUBJECT: Amendment of Mayor's Order 2002-1, dated January 2, 2002, Establishment of the Mayor's Emergency Preparedness Council (EPC)

ORIGINATING AGENCY: Office of the Mayor

By virtue of the authority vested in me as the Mayor of the District of Columbia by section (422)(2) of the District of Columbia Home Rule Act, as amended, 87 Stat. 790, Pub. L. No. 93-198, D.C. Official Code § 1-204.22(2) (2001), and the District of Columbia Public Emergency Act of 1980, effective March 5, 1981, (D.C. Law 3-149; D.C. Official Code § 7-2304 *et seq.*), it is hereby **ORDERED** that:

1. Establishment: The District of Columbia Legislative and Regulatory Revisions Subcommittee to the Mayor's Emergency Preparedness Council (EPC) is established.

2. Purpose: The Subcommittee shall implement a strategy and process for addressing needs for legislative and regulatory revisions that evolve over time to improve the District's overall emergency management program.

3. Functions: The Subcommittee shall:

a. Formulate recommendations for emergency management and preparedness related issues to be addressed as amendments to existing legislation and/or regulatory revisions. The process shall include the drafting, consideration, and submission of legislation to improve the District's state of readiness to respond to any major emergency or disaster;

b. Participate in hearings and roundtable discussions scheduled by the Council of the District of Columbia's Committee on the Judiciary on proposed legislation and regulatory revisions; and

c. Review emergency/disaster incident legal protocol, and policy issues for recommendation for consideration by elected officials and their senior level response managers. Issues may include, but are not limited to the following:

Mutual Aid Agreements
Curfews
Intelligence Dissemination

Curtailment of Suspension of City Services
Liability for Responder, Public, and Volunteer Safety
Evacuation
Mandatory Decontamination
Property Confiscation
Disease Containment Measures -Quarantine, Isolation, Compulsory Medical Treatment

b. Ensure the coordination with necessary departments and agencies of the Government of the District of Columbia, and other appropriate entities for the development, presentation and implementation of legislative and regulatory revisions.

4. Membership: The following officials of the Government of the District of Columbia or their designees shall serve as members of the Subcommittee:

a. Regular Members:

Mayor
City Administrator
Deputy Mayor for Public Safety and Justice
Deputy Mayor for Operations
Deputy Mayor for Children, Youth, Families and Elders
Chief of Staff, Executive Office of the Mayor
Chief Financial Officer
Director, Emergency Management Agency
Corporation Counsel
Chief, Metropolitan Police Department
Chief, Fire & Emergency Medical Services Department
Director, Department of Health
Director, Department of Human Services
Director, Department of Consumer & Regulatory Affairs
Chief Technology Officer
Director, Office of Contracts and Procurement
Director, Office of Communications
Chair, Committee on the Judiciary, Council of the District of Columbia

b. Ex-Officio Members:

Deputy Mayor for Economic Development
Commanding General, D.C. National Guard

5. Organization: The Deputy Mayor for Public Safety and Justice shall serve as the Chairperson of the Subcommittee. Staff support to the Subcommittee shall be provided in part by the Office of the Corporation Counsel. Other member departments and agencies will provide such staff support as is determined by the Subcommittee.

6. **EFFECTIVE DATE:** This Order shall become effective immediately.

ANTHONY A. WILLIAMS
MAYOR

ATTEST:
SHERRYL HOBBS-NEWMAN
SECRETARY OF THE DISTRICT OF COLUMBIA

# "THE LIVING WAGE ACT OF 2006"

**Title I, D.C. Law No. 16-118, (D.C. Official Code §§ 2-220.01-.11)**

**Effective June 9, 2006, recipients of new contracts or government assistance shall pay affiliated employees and subcontractors who perform services under the contracts no less than the current living wage. Effective January 1, 2008, the living wage rate is $12.10.**

**The requirement to pay a living wage applies to:**

- All recipients of contracts in the amount of $100,000 or more; and, all subcontractors of these recipients receiving $15,000 or more from the funds received by the recipient from the District of Columbia, and,
- All recipients of government assistance in the amount of $100,000 or more; and, all subcontractors of these recipients of government assistance receiving $50,000 or more in funds from government assistance received from the District of Columbia.

**"Contract" means a written agreement between a recipient and the District government. "Government assistance" means a grant, loan or tax increment financing that result in a financial benefit from an agency, commission, instrumentality, or other entity of the District government. "Affiliated employee" means any individual employed by a recipient who received compensation directly from government assistance or a contract with the District of Columbia government, including any employee of a contractor or subcontractor of a recipient who performs services pursuant to government assistance or contract. The term "affiliated employee" does not include those individuals who perform only intermittent or incidental services with respect to the contract or government assistance or who are otherwise employed by the contractor, recipient or subcontractor.**

Certain exceptions may apply where contracts or agreements are subject to wage determinations required by federal law which are higher than the wage required by this Act; contracts for electricity, telephone, water, sewer other services delivered by regulated utility; contracts for services needed immediately to prevent or respond to a disaster or eminent threat to the public health or safety declared by the Mayor; contracts awarded to recipients that provide trainees with additional services provided the trainee does not replace employees; tenants or retail establishments that occupy property constructed or improved by government assistance, provided there is no receipt of direct District government assistance; Medicaid provider agreements for direct care services to Medicaid recipients, provided that the direct care service is not provided through a home care agency, a community residential facility or a group home for mentally retarded persons; and contracts or other agreements between managed care organizations and the Health Care Safety Net Administration or the Medicaid Assistance Administration to provide health services.

Exemptions are provided for employees under 22 years of age employed during a school vacation period, or enrolled as a full-time student who works less than 25 hours per week, provided that other employees are not replaced, and for employees of nonprofit organizations that employ not more than 50 individuals.

**Each recipient and subcontractor of a recipient shall provide this notice to each affiliate employee covered by this notice, and shall also post this notice concerning these requirements in a conspicuous site in the place of business.**

**All recipients and subcontractors shall retain payroll records created and maintained in the regular course of business under District of Columbia law for a period of at least 3 years.**

This is a summary of the "Living Wage Act of 2006". For the complete text go to:
www.does.dc.gov *or* www.ocp.dc.gov

**To file a complaint contact:** **Department of Employment Services**
**Office of Wage-Hour**
**64 New York Avenue, N.E., Room 3105, Washington, D.C. 20002**
**(202) 671-1880**

# LIVING WAGE ACT FACT SHEET

The "Living Wage Act of 2006," Title I of D.C. Law 16-18, (D.C. Official Code §§2-220.01-.11) became effective June 9, 2006. It provides that District of Columbia government contractors and recipients of government assistance (grants, loans, tax increment financing) in the amount of $100,000 or more shall pay affiliated employees wages no less than the current living wage rate.

## Effective January 1, 2008, the living wage rate is $12.10 per hour.

Subcontractors of D.C. government contractors who receive $15,000 or more from the contract and subcontractors of the recipients of government assistance who receive $50,000 or more from the assistance are also required to pay their affiliated employees no less than the current living wage rate.

"Affiliated employee" means any individual employed by a recipient who receives compensation directly from government assistance or a contract with the District of Columbia government, including any employee of a contractor or subcontractor of a recipient who performs services pursuant to government assistance or a contract. The term "affiliated employee" does not include those individuals who perform only intermittent or incidental services with respect to the government assistance or contract, or who are otherwise employed by the contractor, recipient or subcontractor.

**Exemptions** – The following contracts and agreements are exempt from the Living Wage Act:

1. Contracts or other agreements that are subject to higher wage level determinations required by federal law (i.e., if a contract is subject to the Service Contract Act and certain wage rates are lower than the District's current living wage, the contractor must pay the higher of the two rates);

2. Existing and future collective bargaining agreements, provided that the future collective bargaining agreement results in the employee being paid no less than the current living wage;

3. Contracts for electricity, telephone, water, sewer or other services provided by a regulated utility;

4. Contracts for services needed immediately to prevent or respond to a disaster or eminent threat to public health or safety declared by the Mayor;

5. Contracts or other agreements that provide trainees with additional services including, but not limited to, case management and job readiness services, provided that the trainees do not replace employees subject to the Living Wage Act;

6. An employee, under 22 years of age, employed during a school vacation period, or enrolled as full-time student, as defined by the respective institution, who is in high school or at an accredited institution of higher education and who works less than 25 hours per week; provided that he or she does not replace employees subject to the Living Wage Act;

7. Tenants or retail establishments that occupy property constructed or improved by receipt of government assistance from the District of Columbia; provided, that the tenant or retail establishment did not receive direct government assistance from the District of Columbia;

8. Employees of nonprofit organizations that employ not more than 50 individuals and qualify for taxation exemption pursuant to Section 501 (c) (3) of the Internal Revenue Code of 1954, approved August 16, 1954 (68A Stat. 163; 26. U.S.C. §501(c)(3);

9. Medicaid provider agreements for direct care services to Medicaid recipients, provided, that the direct care service is not provided through a home care agency, a community residence facility, or a group home for mentally retarded persons as those terms are defined in section 2 of the Health-Care and Community Residence Facility, Hospice, and Home Care Licensure Act of 1983, effective February 24, 1984 (D.C. Law 5-48; D.C. Official Code §44-501); and

10. Contracts or other agreements between managed care organizations and the Health Care Safety Net Administration or the Medicaid Assistance Administration to provide health services.

## Enforcement

The Department of Employment Services (DOES) and the D.C. Office of Contracting and Procurement (OCP) share monitoring responsibilities.

If you learn that a contractor subject to this law is not paying at least the current living wage you should report it to the Contracting Officer.

If you believe that your employer is subject to this law and is not paying you at least the current living wage, you may file a complaint with the DOES Office of Wage – Hour, located at 64 New York Ave., NE, Room 3105, (202) 671-1880.

For questions and additional information, contact the Office of Contracting and Procurement at (202) 727-0252 or the Department of Employment Services on (202) 671-1880.

**Please note:** *This fact sheet is for informational purposes only as required by Section 106 of the Living Wage Act. It should not be relied on as a definitive statement of the Living Wage Act or any regulations adopted pursuant to the law.*

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- Transportation
- Communications
- Public Works and Engineering
- Firefighting
- Emergency Management
- Mass Care, Emergency Assistance, Housing and Human Services
- Resource Support
- Public Health and Medical Services

# District Response Plan

## December 2008

- Search and Rescue
- Oil and Hazardous Material Response
- Food
- Energy
- Law Enforcement
- Long-Term Community Recovery and Mitigation
- External Affairs
- Volunteer and Donations Management

**Adrian M. Fenty, Mayor**
Government of the District of Columbia

**Darrell L. Darnell, Director**
Homeland Security and Emergency Management Agency

December 2008

# District Response Plan

December 2008

District Response Plan

December 2008

District Response Plan

December 2008

District Response Plan

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# District of Columbia

# District Response Plan

# December 2008

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# Foreword

The District of Columbia government is continuously working to protect our city from the range of hazards that threaten our residents, visitors, businesses, and the environment. Responding to emergencies resulting from these hazards poses challenges that cannot be adequately addressed within the routine operations of government.

To meet these challenges, the Homeland Security and Emergency Management Agency (HSEMA), working with key stakeholders, has created the District Response Plan (DRP). The DRP is a function-based plan that outlines the tasks that support emergency response in the District of Columbia and provides a framework for coordinating that response across District, local, and federal agencies.

The DRP is intended to be a "living" document and this is a newly updated version. The policies and procedures outlined therein are a result of lessons learned—at both the local and national levels—and reflect the U.S. Department of Homeland Security's (USDHS) new National Response Framework (NRF).

The design and concepts of the revised DRP fundamentally have remained true to the original DRP, including the incorporation of the concepts and processes of the National Incident Management System (NIMS) and the NRF.

The DRP will continue to remain dynamic and flexible as it changes and matures with each update. Each updated version will continue to reflect the knowledge gained from our experiences and lessons learned. The ultimate goal is to protect the public and respond efficiently and effectively to significant incidents that threaten life, property, public safety, economy, and the environment in the District of Columbia.

Adrian M. Fenty
Mayor
District of Columbia

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# Base Plan

## I. INTRODUCTION

The District of Columbia (District) is a unique governmental entity in the United States. It is simultaneously considered a city, a state, and a federal entity. Its capital city designation, along with the complex set of legal authorities associated with that designation, provides a distinct set of challenges in disaster response planning.

The District Response Plan (DRP) establishes the framework for the District's response to, recovery from, and mitigation of all hazards. The plan unifies and coordinates efforts of District agencies and departments, non-governmental and voluntary organizations, and regional and federal partners involved in emergency management with the goal of protecting life and property and ensuring public safety.

**DC Facts and Figures**

- 67 square miles
- 588,000 DC residents
- 5.3 million residents in the DC metropolitan area
- Seat of the federal government
- 45,300 businesses
- 12 colleges and universities
- Hundreds of museums, monuments, theaters, and attractions
- 4 military installations
- More than 15 million visitors annually

The DRP, which is designed to complement the federal emergency response structures as described in the January 2008 National Response Framework (NRF), organizes the District's agencies and departments that are involved in emergency management into functional areas according to capabilities, skills, resources, and authorities. Using this functional organization, the DRP outlines how resources will be leveraged and implemented and how federal, regional, private sector, and nonprofit partners will be engaged for support when necessary.

The DRP is organized into the following sections:

- The **Base Plan** and associated appendices contains sections that describe relevant policies, the concept of operations, roles and responsibilities, and the incident life cycle.

- The **Functional Annexes** organize the District agencies and departments into 16 Emergency Support Functions (ESFs, see *Figure 1: Organization of the District Response Plan*). Each of the ESFs describe the purpose and scope of each function, the operating policies, the planning assumptions, the concept of operations, and the responsibilities of the primary and support agencies.

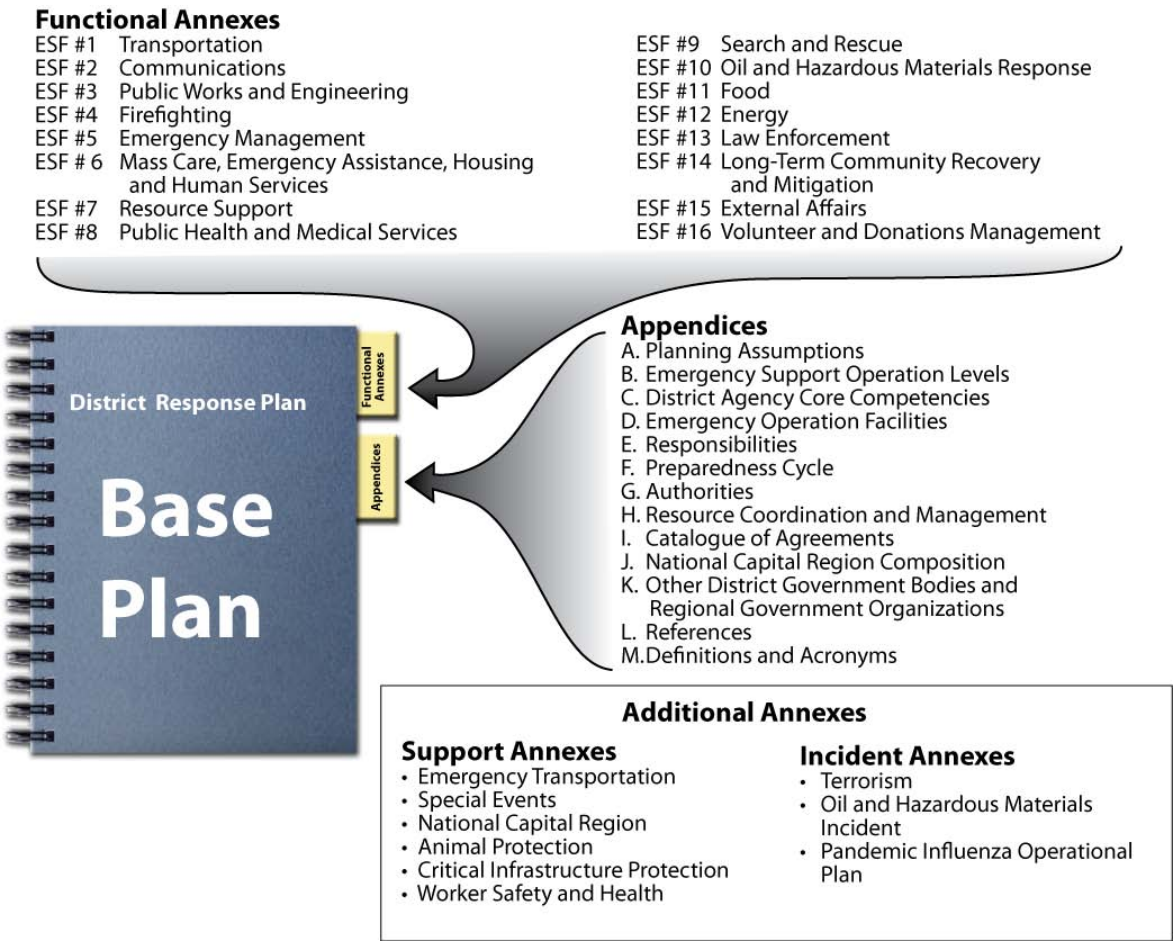
- **Appendices** contain additional supporting information and references.

While not printed in the DRP, other documents are referenced and can be provided by the Homeland Security and Emergency Management Agency:

- **Support Annexes** provide information on common functional processes and administrative requirements necessary to ensure efficient and effective emergency management. The Support Annexes include: Animal Protection; Critical Infrastructure Protection; Emergency Transportation; Special Events; National Capital Region; and Worker Safety and Health.

- **Incident Annexes** provide information on contingency or hazard situations that require more detailed guidance from the DRP. The Incident Annexes include: Oil and Hazardous Materials Incident; Pandemic Influenza Operational Plan; and Terrorism.

**Figure 1: Organization of the District Response Plan**



## A. Purpose

The DRP establishes the framework for District government entities to respond to, recover from, and mitigate an emergency in a methodical and efficient manner that protects life and property and ensures public safety. To meet this purpose, the DRP:

***The District Response Plan provides the framework for how the District of Columbia will respond to, recover from, and mitigate an emergency.***

- Establishes the concepts and policies under which elements of the District government will operate during an emergency;
- Sets forth lines of authority and organizational relationships, and focuses on measures that are essential for the protection of the public;
- Establishes a structure through which the District will implement notification and activation procedures for emergencies;
- Describes the roles and responsibilities of District agencies in executing the ESFs;
- Provides processes for the integration of ESF resources in a coordinated response effort;
- Coordinates response and recovery activities with volunteer organizations active in disasters, Neighborhood Services Coordinators, and the business community;
- Provides a framework for the District government to coordinate with regional jurisdictions;
- Addresses roles and relationships among District, regional, and federal agencies during emergencies within the District; and
- Addresses overlaps with other emergency response plans.

## B. Scope

The DRP applies to all District departments and agencies as well as to Non-Governmental Organizations (NGOs) and private entities that may be asked to provide assistance in an emergency. (For the purposes of the DRP, any reference to District agencies includes District departments.) Additionally, other non-government or quasi-governmental organizations such as the DC Water and Sewer Authority, Verizon, American Red Cross, Potomac Electric Power Company, Washington Gas Company, District universities, and volunteer organizations, function as non-governmental support agencies in coordinating

response efforts in an emergency. The plan is structured so that District agencies can respond under individual agency authorities or as part of a functional team in a collaborative effort.

The DRP concepts apply to any emergency, disaster, catastrophe, or emergency situation where the health, safety, or welfare of persons in the District is threatened by actual or imminent consequences within the District from the following threats:

- Terrorist attack, sabotage, or other hostile action;
- Severe and unanticipated resource shortage;
- Fire;
- Flood, earthquake, or other serious act of nature;
- Serious civil disorder;
- Any serious industrial, nuclear, or transportation accident;
- Explosion, conflagration, power failure;
- Injurious environmental contamination that threatens or causes damage to life, health, or property; or
- Outbreak of a communicable disease that threatens or causes damage to life, health, or property. (DC Official Code § 7-2301(3)).

***The DRP takes an all-hazards approach to disaster response.***

For coordination with the NRF, the DRP incorporates into its framework two definitions from the Robert T. Stafford Disaster Relief and Emergency Assistance Act (as amended, 42 U.S.C. 5121 *et seq*.):

- Emergency—means any occasion or instance for which, in the determination of the president, federal assistance is needed to supplement state and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States.
- Major disaster—means any natural catastrophe (including any hurricane, tornado, storm, high water, wind-driven water, tidal wave, tsunami, earthquake, volcanic eruption, landslide, mudslide, snowstorm, or drought), or, regardless of cause, any fire, flood, or explosion, in any part of the United States, which in the determination of the president causes damage of

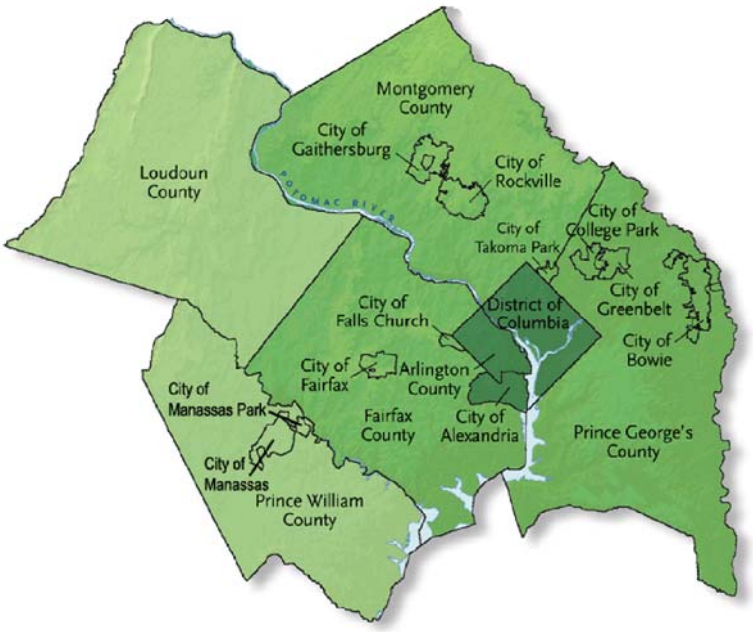
> sufficient severity and magnitude to warrant major disaster assistance under this Act to supplement the efforts and available resources of states, local governments, and disaster relief organizations in alleviating the damage, loss, hardship, or suffering caused thereby.

The DRP takes an all-hazards approach to disaster response. Regardless of the emergency, the DRP structure enhances the District's ability to collaborate with federal response partners by aligning with federal emergency response directives and plans. Examples of directives are Homeland Security Presidential Directives (HSPD), such as HSPD-5, Management of Domestic Incidents. Plans include the NRF, the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), and other national security emergency program plans and initiatives.

**Regional Response Implications**

While the DRP focuses on the coordination and capabilities of District government agencies, it also recognizes that few actions are taken by the District in major disasters operations that do not directly or indirectly impact its regional partners (*see Figure 2: Regional Map of the National Capital Region)*. The DRP is intended to address the functional interaction with jurisdictions outside of District boundaries, especially in the areas of communications, public information, transportation, public safety, health, schools, and utilities.

**Figure 2: Regional Map of the National Capital Region**



## DRP Relationship to Other Plans

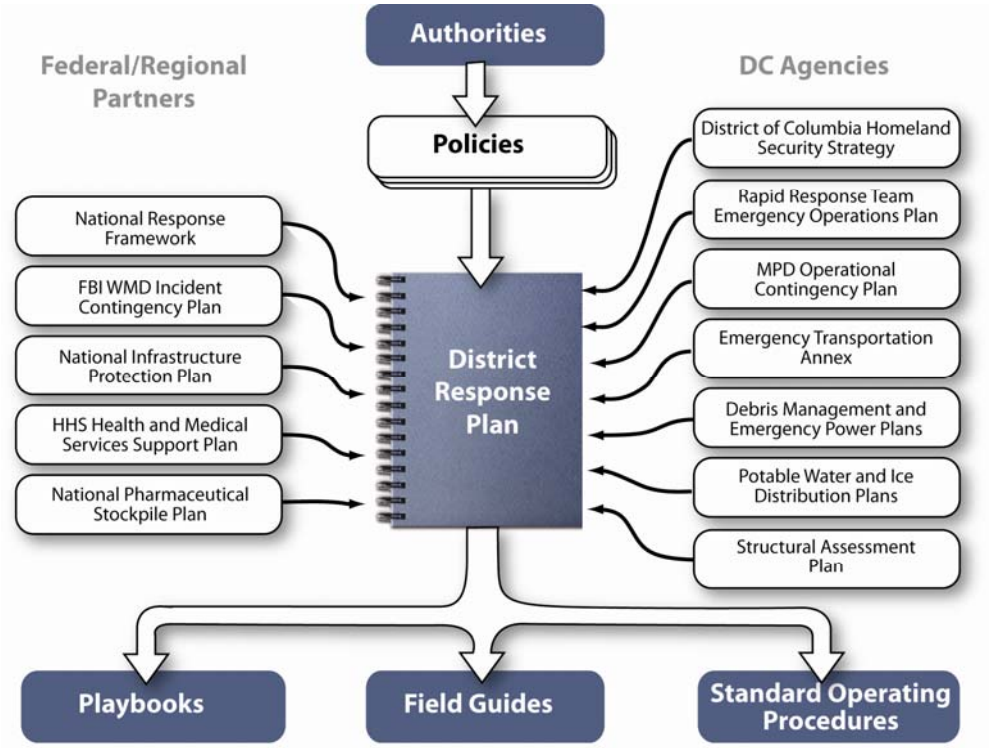
The combined emergency management authorities, policies, procedures, and resources of the District, regional partners, federal government, and other entities (e.g., international organizations, voluntary disaster relief organizations, and the private sector) constitute an intergovernmental emergency response network for providing assistance following an emergency.

Within this network, the District may provide personnel, equipment, supplies, and facilities; and managerial, technical, and advisory services in support of emergency assistance efforts. Various District, regional, and federal statutory authorities and policies establish the basis for providing these resources. A list of emergency response and recovery-related directives, together with a summary interpretation of each legal citation, has been compiled in *Appendix G: Authorities.*

The DRP may be used in conjunction with partner state and local plans, federal emergency operational plans developed under statutory authorities, and Memoranda of Understanding (MOUs) among various federal agencies. The DRP may be implemented concurrently with a number of federal and regional emergency operation plans (e.g., the NCP and the Federal Bureau of Investigation (FBI) Weapons of Mass Destruction Incident Contingency Plan; see *Figure 3: Relationship of the DRP to Other Plans*).

The DRP is supported by tactical policies and procedures (e.g., standard operating procedures), and District agencies with major operational roles also maintain operations plans specific to their agency's emergency response roles and responsibilities.

**Figure 3: Relationship of the DRP to Other Plans**




# II. POLICIES

## A. District Policies

The District of Columbia Public Emergency Act of 1980 (DC Official Code 7-2301 *et seq*.) authorizes the Mayor to:

- Establish a program of emergency preparedness that utilizes the services of all appropriate agencies;
- Set forth a comprehensive and detailed District state program for preparation against, and assistance following, emergencies and major disasters, including provisions for assistance to individuals, businesses, and affected areas within the District;
- Establish the Mayor's Emergency Preparedness Council (EPC);
- Join or enter into, on behalf of the District government, regional programs and agreements with the federal government, neighboring states, and political subdivisions for the coordination of emergency preparedness programs; and

- Issue an emergency executive order, when confronted by an emergency, to preserve the public peace, health, safety, or welfare of the District. The issuance of an emergency executive order may do the following:

    - Expend funds appropriated to the District government sufficient to carry out emergency service missions and responsibilities;

    - Implement provisions of the DRP, not withstanding established operating procedures relating to the day-to-day responsibilities of public works, entering into contracts, incurring obligations, employment of temporary workers, rental of equipment, purchase of supplies and materials, and expenditure of public funds;

    - Prepare for, order, and supervise the implementation of measures designed to protect persons and property in the District;

    - Require the shutting off, disconnection, or suspension of service from, or by, gas mains, electric power lines, and other public utilities;

    - Issue orders related to public utilities, hazardous materials, sales of goods and services, and curfews;

    - Establish emergency services units, as appropriate;

    - Expand existing departmental and agency units concerned with emergency services, as appropriate;

    - Exercise operational direction over all District government departments and agencies during the period when an emergency executive order may be in effect;

    - Take all preparatory steps, including the partial or full mobilization of emergency services units in advance of an actual event. Such programs can be integrated and coordinated with the emergency services plans and programs of the federal government and of the neighboring states and political subdivisions thereof;

    - Request pre-disaster assistance or a declaration of an emergency from the federal government, certifying the need for federal disaster assistance and committing the use of a certain amount of District government funds to alleviate the damage, loss, hardship, and suffering resulting from the event; and

    - Declare that response to lifesaving and life-protecting requirements under the DRP has precedence over other District response activities, with possible exceptions in cases of national security.

Under DC Official Code sec. 7-2201 *et seq.*, Civil Defense Declaration of Intent, the District of Columbia HSEMA has been delegated primary responsibility for coordinating District emergency preparedness, planning, management, and disaster assistance functions.

## B. Federal Policies

If the Mayor determines that assistance supplementing District capabilities is necessary, the Mayor may request that the president declare a major disaster or an emergency under the Stafford Act to engage supplemental federal assistance. If a joint Federal-District Preliminary Damage Assessment (PDA) finds that damages are of sufficient severity and magnitude to warrant assistance under the Act, the president may grant a major disaster or emergency declaration. ***Note****: In a particularly fast-moving or major disaster, the PDA process may be deferred until after the declaration.*

If an emergency involves an area or facility for which the federal government exercises exclusive or primary responsibility and authority, the president may unilaterally direct the provision of emergency assistance under the Stafford Act. If possible, he or she will consult with the Mayor.

Normally, federal assistance is provided to jurisdictions under the Stafford Act pursuant to a presidential declaration of major disaster or emergency (disaster declaration). However, federal disaster assistance may be obtained without a presidential declaration. The USDHS/Federal Emergency Management Agency (FEMA) may place liaisons in an Emergency Operations Center (EOC)—a central facility for command and control of emergency operations—and move commodities to sites near an incident prior to a declaration. Federal departments and agencies may provide immediate lifesaving assistance under their own statutory authorities without a formal presidential declaration. Also, under other multiagency federal response plans, the federal government may provide assistance in unique situations where there is federal cognizance, such as under the National Contingency Plan and the National Response Framework.

## C. Authorities

There are several authorities that provide the legal basis for the District's emergency management efforts, including this DRP (see *Appendix G: Authorities*).

# III. CONCEPT OF OPERATIONS

## A. General

District agencies respond to a large number of emergencies on a daily basis. Normally, emergencies are handled by agencies using established, traditional protocols and policies that guide them through the response. As the magnitude of an emergency increases, the requirement for non-traditional support also increases, resulting in the need for additional resources and personnel from the District. The District's process for coordinating resources and managing an emergency is described in *Appendix H: Resource Coordination and Management.*

The District will manage the response to emergencies using the DRP Base Plan and the Functional Annexes. During a response:

- The District's Consequence Management Team (CMT)—a central operational organization led by HSEMA, composed of liaison officers of all District ESFs as well as liaisons from all other organizations that are engaged or have potential roles in coordinating the response to an emergency—is activated as warranted by the level of an emergency (see *Appendix B: Emergency Support Operation Levels*). The CMT provides guidance and overall management for District response operations;

- Command of departments or agencies involved in emergency management is not altered by an event unless the Mayor declares otherwise;

- Each department or agency director is in command of the overall operation of his or her organization;

- Use of mutual aid agreements for cooperative response will be entered into and maintained with adjoining political subdivisions for the purpose of reciprocal assistance in the event of emergencies. HSEMA will maintain these mutual aid agreements;

- Normal communications and reporting channels will be used to the maximum practical extent possible. Emergency communications systems will be fully operational and will be used in the event that commercial communications systems are disrupted, saturated, or otherwise unavailable for security purposes;

- District agencies will employ their standard business continuity and business resumption planning principles to ensure the continuity of essential services; and

- Day-to-day functions that do not contribute directly to the operation may be suspended for the duration of the emergency. Efforts that would normally be required of those functions will be redirected to accomplish the emergency task.

In the event that District resources and capabilities are exceeded, the District may call upon neighboring jurisdictions to provide mutual aid in accordance with standing agreements (see *Appendix I: Catalogue of Agreements*). The District also may call upon the federal government to provide supplemental financial or physical resources necessary to deal with the overall impacts of an emergency, as described in the section above. The combined resources of the District, its partners, and the federal government represent a standardized emergency response system able to respond to any emergency.

**NIMS and ICS**

Recognizing the need for a standardized emergency response system, the DRP adopts the principles of the National Incident Management System (NIMS) and the Incident Command System (ICS). As designed by HSPD-5, NIMS is a consistent, nationwide approach for federal, state, tribal, and local governments to work effectively and efficiently together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

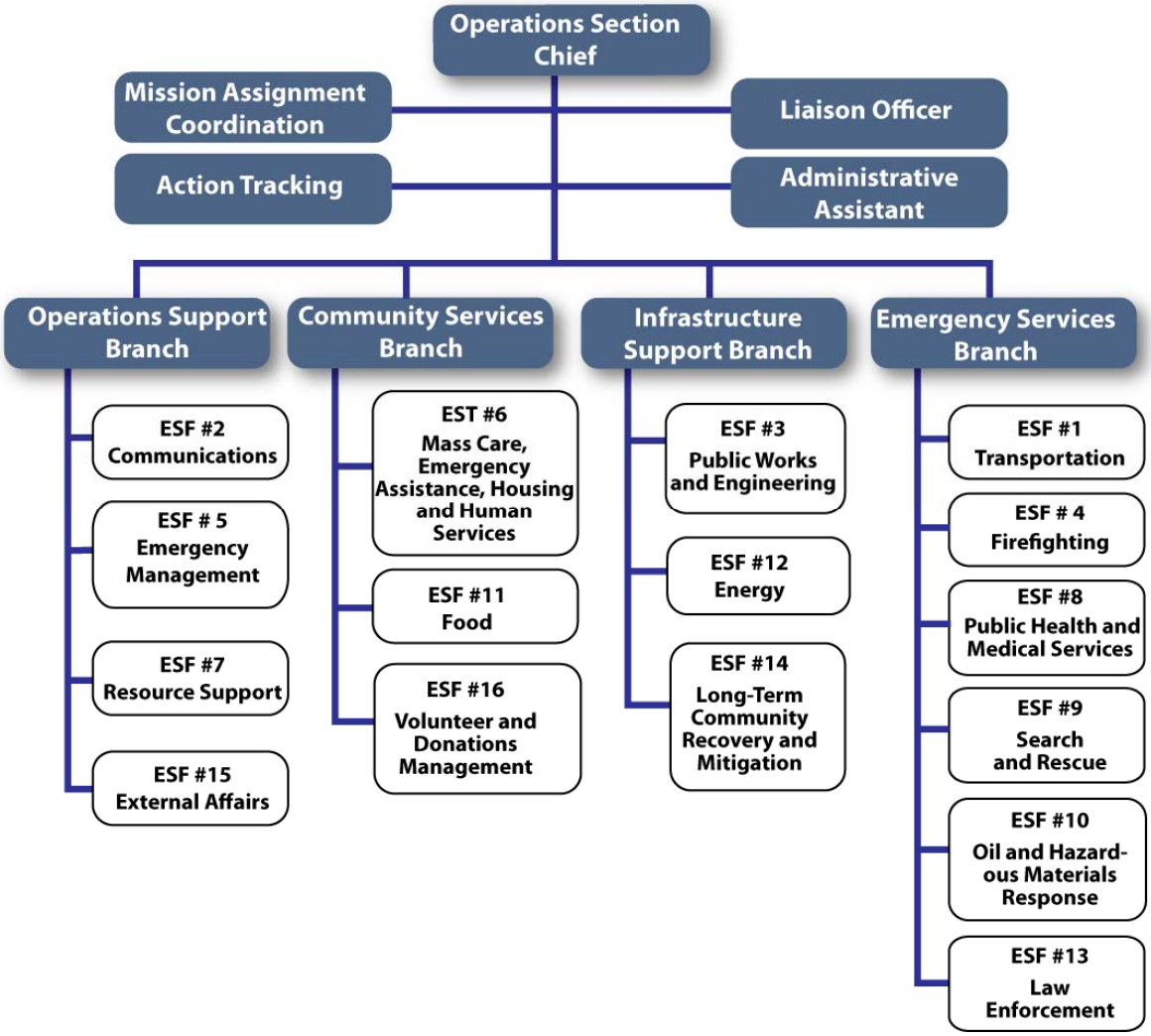
***The District Response Plan adopts the principles of the National Incident Management System and the Incident Command System.***

ICS can be used in any size or type of emergency to control response personnel, facilities, and equipment. ICS principles are inclusive of common terminology, modular organization, integrated communications, unified command structure, action planning, manageable span-of-control, pre-designated facilities, and comprehensive resource management. The basic functional modules of ICS (e.g., operations, logistics, etc.) can be expanded or contracted to meet requirements as an event progresses.

The CMT organizational structure is based on ICS and employs the principles of unified command when organizations with parallel and overlapping authorities are operating in the District's EOC, located at 2720 Martin Luther King Jr. Avenue, SE.

The structure of the District's EOC parallels the USDHS/FEMA Regional Response Coordination Center (RRCC) and the USDHS National Response Coordination Center (NRCC). This allows clear paths of communication between these organizations as well as between responders at the local, regional, and federal levels. Most important is having coordination among the federal and District ESF agencies (see *Figure 4: Emergency Operations Center Operations Section Organization* and *Figure 5: Consequence Management Team Structure.).*

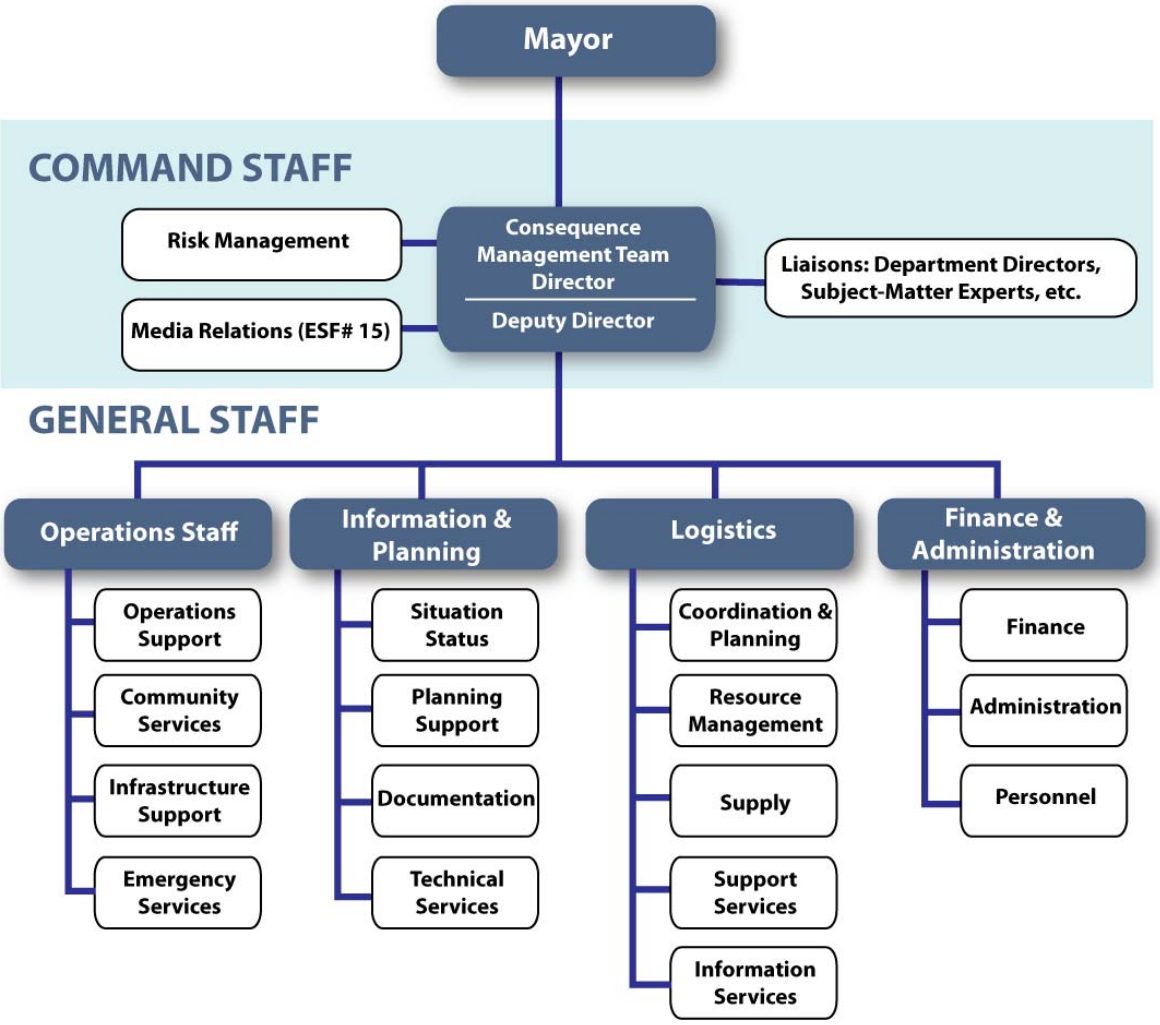
**Figure 4: Emergency Operations Center Operations Section Organization**




## B. Organizational Roles, Responsibilities, and Relationships

The Mayor, supported by the CMT, will lead and manage the agencies engaged in the emergency responses coordinated under this plan. The CMT is the primary body coordinating the response to emergencies and is composed of three major organizational groupings—Policy Group (Mayor), Command Staff, and General Staff (see *Figure 5: Consequence Management Team Structure*).

**Figure 5: Consequence Management Team Structure**




The Policy Group, led by the Mayor, provides overarching objectives and guidance to the team and receives situation reports from the Command Staff, permitting District leadership to have centralized control over team activities. The Policy Group also manages the Joint Information Center (JIC) through the Mayor's Office of Communications.

The Command Staff is responsible for the overall management of the incident and they follow Policy Group guidance to formulate the prioritized activities that become the Incident Action Plan. Department Directors, subject-matter experts, and other liaisons augment the Command Staff.

The General Staff provide the tactical level activities during an emergency and follow the direction of the Command Staff. The General Staff has four sections that support emergency operations:

- The Operations Section is responsible for all activities focused on reduction of the immediate hazard, saving lives and property, establishing situational control, and restoration of normal operations.

- The Information and Planning Section collects, evaluates, and disseminates incident situation information and intelligence to Command Staff and the Policy Group, prepares status reports, displays situation information, maintains status of resources, and documents the Incident Action Plan.

- The Logistics Section supports logistics requirements needed to facilitate effective and efficient incident management across all specialties.

- The Finance and Administrative Section provides financial, reimbursement, and administrative service to support incident management.

Although the actions of emergency responders are centrally controlled, those actions are executed through District departments and agencies. The head of each District department and agency has a responsibility to its employees and to the public to prepare for potential hazards that might impact the District. Among those responsibilities are the execution of their mission under emergency conditions and the protection of employees in emergency situations.

***The head of each department and agency of the District government has an implicit responsibility to employees and to the public to prepare for potential hazards that might impact the District.***

Certain agencies have clearly identified missions and functions under the DRP in addition to agency-specific missions and functions. These agencies have been grouped into ESFs by the nature of the type of assistance they normally provide. When the Emergency Liaison Officers (ELOs) of these ESFs are co-located in the EOC, they are further grouped into sections that cluster similar functions in order to better coordinate the overall District response.

When the EOC is activated and the CMT is convened at HSEMA, agency heads are still responsible for executing their normal agency missions and functions with priority given to supporting the emergency missions of the District as defined by the CMT Director. Ordinarily, the Mayor delegates to the CMT Director the responsibility of managing the CMT, setting operational priorities, developing action plans, and providing general direction to the ESF agencies engaged in the operation. The CMT Director may be the Mayor or his designee, and is usually the Director of HSEMA.

ELOs augment the CMT by providing all of the key District emergency response functions in a single location under the direction of the CMT Director. ELOs provide significant subject-matter expertise to the CMT through positions placed under the Operations Section. They are organized into four branches as depicted in *Figure 4: Emergency Operations Center Operations Section Organization*.

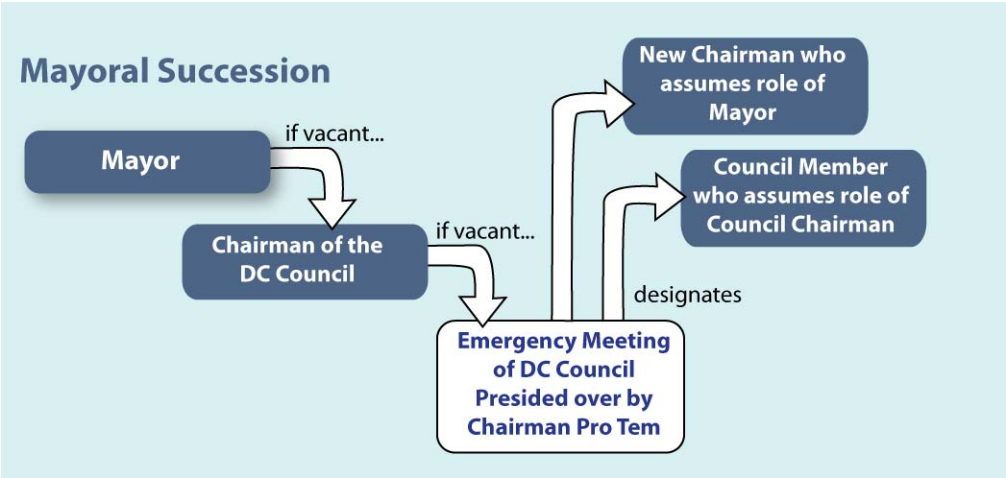
The following individuals, positions, and agencies have emergency responsibilities in non-operational periods as well as in emergencies. Those responsibilities include the following:

1. **Executive Office of the Mayor**
   The Mayor is responsible for the overall preparedness of the District of Columbia government. As the Chief Executive, the Mayor provides leadership and direction in setting the vision, mission, goals, and objectives for the District emergency preparedness program.

   In an emergency, the Mayor and staff assess the situation and determine the necessary level of response based upon the operational requirements and District government capabilities. The Mayor may choose to operate from the EOC together with the CMT, or he or she may delegate the direction of the CMT. The Mayor will declare a State of Emergency if required by the situation (*see Appendix G: Authorities*). The Mayor and mayoral staff will direct the District response using the DRP framework. Should the situation require the resources of the federal government, the Mayor may request federal assistance through the U. S. Department of Homeland Security under the provisions of the Stafford Act. The Mayor may call the president directly to request expedited assistance.

   The District leadership structure establishes a line of permanent mayoral succession (*See Figure 6: Mayoral Succession of Power)*. In the event of a mid-term vacancy of the Office of Mayor, as provided in the Home Rule Charter Act, the line of succession from the Mayor is to the Chairman of the DC Council. Should the positions of both the Mayor and the Chairman become vacant, the Chairman Pro Tem of the DC Council will immediately call an emergency meeting of the Council for the purpose of designating a Chairman, who then assumes the role of Mayor, and a Council member, who assumes the role of Chairman (D.C. Official Code 1-204.21(c)(2), as amended).

**Figure 6: Mayoral Succession of Power**

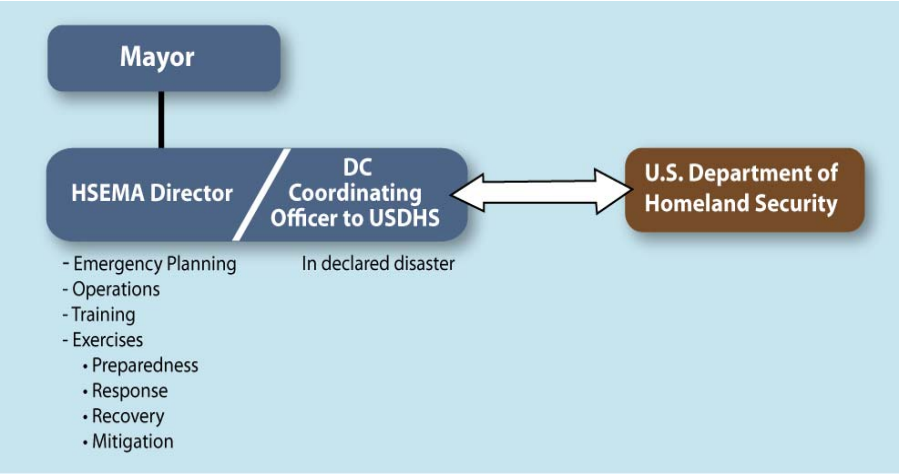



Additionally, there exists a line of interim governmental direction. As a matter of executive policy, the Mayor has designated the City Administrator (CA) to provide executive direction of the District government when the Mayor is outside of the District or otherwise temporarily unable to provide such executive direction. In the situation where neither the Mayor nor the CA is available, the Mayor's Chief of Staff will fill the role.

2. **Office of the City Administrator**
The CA oversees and coordinates District agencies for effective delivery of citywide services through government operations, customer service, managed competition service, and justice grant programs. In situations where the Mayor is absent, the CA will assume the responsibilities of the Mayor and may choose to operate at HSEMA with the CMT.

3. **Homeland Security and Emergency Management Agency**
HSEMA is responsible for the city's planning and emergency preparedness, response and recovery, and mitigation activities. The HSEMA Director chairs the EPC, which is the principal body that addresses DRP planning and implementation. HSEMA coordinates the city's response to emergencies, disasters, severe weather conditions, and other major events. The HSEMA Director is responsible to the Mayor for program management of all aspects of the District emergency management program. The HSEMA Director coordinates all emergency planning, operations, training, and exercises for preparedness, response, recovery, and mitigation missions of the District. In a declared disaster, the Mayor will appoint the HSEMA Director as the DC Coordinating Officer to represent the District in operational relationships with the U. S. Department of Homeland Security *(See Figure 7: Designation of a DC Coordinating Officer*).

**Figure 7: Designation of a DC Coordinating Officer**




The Director of HSEMA maintains the EOC on a 24-hour/7 days-per-week basis. In the event of a major disaster, the EOC may be staffed with a partial or full CMT composed of HSEMA, District, and outside agency ELOs necessary to effect centralized coordination of the overall operation. The HSEMA Director is responsible for the staffing and effective operation of the EOC and CMT, and for ensuring that alternate operating locations are available to continue organizational functions should the EOC become inoperable.

**4. Emergency Support Functions**

The DRP identifies 16 areas of functional responsibility, called Emergency Support Functions (ESFs). Each ESF is headed by a primary District agency designated on the basis of its authorities, resources, and capabilities in the particular functional area. Each primary agency is supported by an array of agencies that have similar functional roles and responsibilities. The primary and support agency designations are shown in *Appendix E: Responsibilities*.

In addition, each District ESF is partnered with the federal agency that leads the corresponding federal ESF under the National Response Framework. The DRP has an additional ESF #16, Volunteer and Donations Management, which corresponds to the Volunteer and Donations Management Support Annex in the National Response Framework.

District response assistance is provided using some or all District ESFs, as necessary. Through the application of ESFs, the DRP separates the types of direct District assistance that are most likely needed (e.g., mass care, health and medical services) as well as the kinds of operations support necessary to sustain District response actions (e.g., transportation, communications). ESFs are expected to support each other in carrying out their respective

missions. The primary agency may task support agencies if needed. Specific ESF missions, organizational relationships, response actions, and primary and support agency responsibilities are described in the Functional Annexes to the DRP following this Base Plan.

In cases where required assistance is outside the scope of an ESF, federal agency resources will be accessed in order to assist in the emergency operation. Requests for federal assistance from the District are channeled to the DC Coordinating Officer in accordance with the DRP and then to the Federal Coordinating Officer (FCO) or designee for consideration. The FCO is the primary federal official responsible for coordinating, integrating, and synchronizing federal response activities. Based on specific response needs, lead ESF agencies coordinate with their support agencies to provide the assistance required. Federal operational resources deploying to the field such as fire, rescue, and emergency medical responders are integrated into the ICS structure and will be available as resources to the incident commander. (*Appendix E: Responsibilities* provides a table and detailed list of ESF primary and support agency responsibilities.)

**5. Agency Directors**

Each District agency head must assess the mission-critical functions of the organization to ensure that those functions can be effectively executed in case of emergency. Each agency should have a plan for the protection of its employees in a wide range of hazards as well as a means to notify them of the status of operations of the agency in situations that might adversely affect them. Agency heads are responsible to support the provisions of the DRP and to anticipate potential support missions that might arise in emergency situations. Agency heads should create internal plans and procedures as necessary to ensure mission continuity and protection of employees.

**6. Council of the District of Columbia**

The Council of the District of Columbia is the legislative branch of the District government. All legislative powers are vested in the Council. It oversees the programs and operations of government agencies, including emergency preparedness. The Council proposes, considers, and passes legislation. Additionally, the Council approves the District's annual budget and financial plan and sets the revenue required to fund the budget. This includes those activities that support preparedness and operational capability of District agencies.

The Council is composed of 13 members, including a representative elected from each of the City's eight wards. Five members, including the Chairman, are elected at-large. The Council conducts its work through standing committees and it establishes special committees as needed.

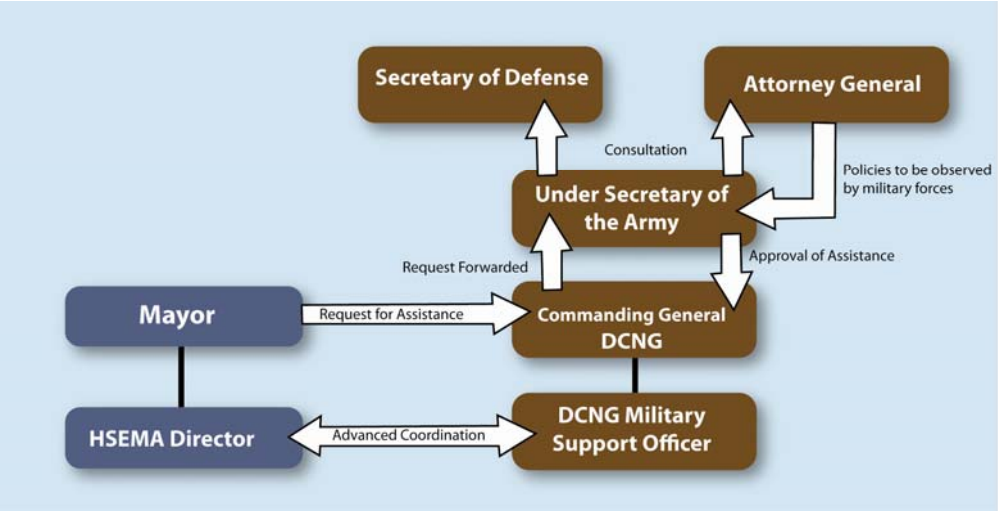
In an emergency, the Council's standing committees conduct oversight hearings on the effectiveness of the government response, which could result in the enactment of new laws or appropriate funds to support the District operation. In addition, members assist citizens in accessing government services.

**7. DC National Guard**

The DC National Guard (DCNG) has personnel power and materials that may be used to support the District government during emergency operations, when requested through the appropriate military channels. The DCNG may provide support to a number of ESFs including: transportation; communications; medical resources; security; traffic control; mass care; and other operations.

When DCNG assistance is needed, the Mayor must coordinate the request through the Commanding General of the DCNG. The Commanding General notifies the Under Secretary of the Army of the request and its nature. The Under Secretary consults with the Attorney General and the Secretary of Defense on the request. The Attorney General establishes policies to be observed by military forces in the event they are used for Military Support to Civil Authorities in the District. If approved by the Under Secretary of the Army, the Commanding General advises the Mayor of the decision and commits resources as necessary to assist within the parameters established by the Under Secretary and the Attorney General. If advance coordination is possible, it should be coordinated by HSEMA with the DCNG Military Support Officer *(See Figure 8: Activation of the DC National Guard).*

**Figure 8: Activation of the DC National Guard**



**8. National Capital Region Partners**

The District must coordinate its preparedness activities closely with the Commonwealth of Virginia, the State of Maryland, and local jurisdictions that comprise the National Capital Region (NCR, see *Appendix I: National Capital Region Composition*). In addition, during an emergency, these entities may be requested to assist the District under the Emergency Management Assistance Compact (EMAC).

The NCR jurisdictions are operationally interdependent in many functional areas such as transportation, business, government, and workforce. There are as many or more plans than there are jurisdictions, and they must be compatible in order to be effective. The District encourages the promotion of common terminology and functional planning operating systems such as an incident management system and a functional response planning approach such as the DRP and the NRF. The DRP has been shared individually with all federal, state, and local partners within the NCR for review and input. This practice will be continued with each update.

**9. Federal Partners**

The District will maintain close coordination with its federal agency partners in non-emergency periods through HSEMA and each ESF primary agency. The District receives financial assistance from a number of federal grant programs that support District readiness for all hazards. Among those agencies with grant programs are the USDHS, FEMA, the U.S. Department of Justice, the U.S. Department of Transportation, and the U.S Environmental Protection Agency. These preparedness relationships, built over time between federal and District agencies, prove invaluable in an actual response operation.

Because of the large federal presence and the importance of the nation's capital, during a no-notice event, federal coordination will occur prior to a presidential declaration under the Stafford Act. The USDHS/FEMA Office of National Capital Region Coordination (ONCRC) serves as this federal coordination point, working with the National Response Coordination Center (NRCC) and the disaster operations directorate at FEMA headquarters, until such time as a federal coordinating officer (FCO) is on scene and a joint field office has been established.

Upon presidential declaration, the Mayor, the Director of FEMA Region III, and a representative in the federal government execute a Federal-District Agreement for a major disaster. The agreement provides the manner in which federal assistance is made available and contains the assurance of the Mayor that a reasonable amount of District government funds has been or will be expended in alleviating damage caused by the emergency.

The HSEMA Director or other authorized representative of the Mayor serves as the DC Coordinating Officer (DCCO, not to be confused with the Defense Coordinating Officer designated by the U.S. Department of Defense) who coordinates requests for federal assistance. The DCCO is the District's senior representative for purposes of requesting federal assistance from the USDHS under the provisions of the Stafford Act and he or she is specified in the Federal-District Agreement as the key agent for processing official requests for assistance under USDHS direction. The DCCO is normally located in the Joint Field Office during the early phases of an operation and works closely with the Federal Coordinating Officer, the senior federal representative.

In any emergency, the Director of FEMA Region III may direct federal agencies to utilize, donate, or lend their equipment and supplies to state or local governments for their use and distribution. The District will extend services, facilities, and personnel to the federal agencies as necessary without regard to normal working hours, holidays, etc. If emergency work is to be performed by federal agencies, the District will provide the federal government with unconditional rights of entry and an authorization for the work to be performed.

**10. Military**

Federal military assistance can be requested in accordance with the provisions of the First U.S. Army Military Assistance Plan (Short Title 1A-MAP, dated November 30, 1973). The Director of HSEMA coordinates all requests for such assistance with the Director of FEMA Region III and the First U.S. Army Headquarters. The regional Defense Coordinating Official (DCO) serves as the single point of contact for requesting assistance from U.S. Department of Defense (DoD). Mutual support agreements between the District and local military installations are coordinated and negotiated by the HSEMA Director.

The Joint Force Headquarters National Capital Region (JFHQ-NCR) is responsible for land-based homeland defense, defense support of civil authorities, and military incident management in the NCR. JFHQ-NCR command location for military civil support is at Fort McNair. During incidents of national significance, JFHQ-NCR can activate to provide appropriate levels of military support to save lives, prevent human suffering, or mitigate great property loss. Support is primarily land-based. Support may be in response to a planned event, such as security support during a presidential inauguration, or in response to a natural disaster, insurrection, or terrorist attack.

Requests for assistance that requires the use of military assets that cannot be provided directly by JFHQ-NCR Joint Task Force are elevated to and coordinated with U.S. Northern Command (USNORTHCOM).

USNORTHCOM possesses planning cells that will determine the best military asset available to complete the mission requirement. USNORTHCOM command and control agencies will coordinate use of the asset(s) with FEMA, JFHQ-NCR, and the Director of HSEMA.

## C. Emergency Operations Teams

In addition to the groups previously mentioned, two additional teams provide emergency operations support. Those teams and their responsibilities are provided below:

**1. Rapid Response Teams**

When an incident occurs, District rapid response teams are deployed in order to assess damages and determine the immediate needs from the impacted area. The teams are generally composed of HSEMA, Department of Public Works, and other elements with field operating capability.

**2. Joint Field Office Liaison Team**

The Joint Field Office Liaison Team is composed of District representatives from HSEMA and District ESFs that deploy to the USDHS Joint Field Office in order to establish liaison between the District operations and the federal agency operations when there has been a disaster declaration by the president.

## D. Integration of Response and Recovery

Following an emergency, immediate response operations to save lives, protect property, and meet basic human needs have precedence over longer-term objectives of recovery. However, initial recovery planning should commence at once and in tandem with response operations. Actual recovery operations will be initiated commensurate with District priorities and based on availability of resources immediately required for response operations. In recognition that certain response and recovery activities may be conducted concurrently, coordination at all levels is essential to ensure consistent District and federal actions throughout the emergency.

## E. Mitigation Actions

Mitigation opportunities should be actively considered throughout emergency operations. Decisions made during response and recovery operations can either enhance or hinder subsequent mitigation activities. The urgency to rebuild as soon as possible must be weighed against the longer-term goal of reducing future risk and lessening possible impacts should another emergency occur.

# IV. INCIDENT LIFE CYCLE

District agencies are prepared to take a variety of actions to respond to and recover from an emergency. These actions—ranging from initial notification of an emergency to preparation of a final after-action report—are summarized below. They are not necessarily in sequential order; some may be undertaken concurrently.

## A. Initial Actions

### Notification

- The HSEMA EOC will notify relevant agencies in accordance with its Emergency Response Notification Matrix. The matrix identifies key personnel and agencies that are notified during a confirmed or unconfirmed emergency that has affected or could affect the District.

- HSEMA contacts select regional and federal response partners based on the severity of the emergency and the potential for the incident to create an impact outside District boundaries.

- In a major disaster, the HSEMA Director notifies the USDHS/FEMA Office of National Capital Region Coordination, which is the DHS contact for the District during a major disaster.

- Following an alert relating to an emergency deemed significant by the HSEMA director, HSEMA convenes a conference call with the Mayor and key advisory personnel to discuss the situation and evaluate the City's operation level.

- CMT members may be notified to convene at HSEMA for an initial meeting, depending on the nature of the emergency. CMT members or alternates remain on call to meet at any time during the response.

### Activation

- With an increase to Operation Level 4 or 5 (see *Appendix B: Emergency Support Operation Levels)*, HSEMA informs ESF primary agencies that the CMT is being activated and provides a time for each activated ESF to report to HSEMA as part of the CMT.

- Primary agencies are responsible for activation of their support agencies if required.

- Agencies may activate their headquarters' EOCs to provide coordination and direction to their response elements in the field.

- The CMT assembles at HSEMA to assist in assessing the impact of the situation, collecting damage information, and determining requirements.

- The CMT briefs the Mayor or the Mayor's designated liaison officer at the EOC on the assessment of the situation. This information is evaluated to determine whether a State of Emergency needs to be declared.

- As set forth in the Stafford Act, the Mayor must seek a presidential declaration by submitting a written request to the president through the FEMA regional office. Both District and federal officials conduct a Preliminary Damage Assessment (PDA) to estimate the extent of the disaster and its impact. This may, but not always, be included in the declaration request. In this request, the Mayor certifies that the combined District resources are insufficient and that the situation is beyond their recovery capabilities. Following a FEMA regional and national office review of the request and the findings of the preliminary damage assessment, FEMA provides the president an analysis of the situation and a recommended course of action.

- The CMT Logistics Section supports the establishment of a Joint Field Office and mobilization center(s).

- The EOC coordinates District support of requirements until the DCCO assumes those responsibilities.

- The JIC is established, as required, to provide a central point for coordinating emergency public information activities.

- The CMT coordinates damage assessment and selection of locations for field facilities. It also coordinates mission assignments for direct assistance and procurement of goods and services.

- ESFs, under the direction of an incident commander, act quickly to determine the impact of an emergency on their own capabilities and to identify, mobilize, and deploy resources to support response activities in the affected area.

## B. Continuing Actions

### Response Operations

- The EOC augments the CMT to full operations with the addition of staff, including ELOs.

- The CMT is located at HSEMA and assumes command responsibility for coordinating emergency assistance by identifying needs and priorities.

- The ELOs in the EOC coordinate District assistance under their respective ESF missions. To the extent necessary and possible, they maintain contact with their regional and federal counterparts.

- The CMT Policy Group convenes as needed to address policy issues such as allocation of scarce District resources.

- The JIC conducts briefings for media, Neighborhood Services Coordinators, District Council Members, and Members of Congress and staff as appropriate.

- Working with environmental agencies, the District Environmental Officer identifies environmental and historic assets that might require consideration under the law as response and recovery efforts are implemented.

- Once immediate response missions and lifesaving activities conclude, emergency teams are demobilized and the emphasis shifts from response to recovery operations. During response operations, the CMT Information and Planning Section develops a demobilization plan for the CMT.

**Operational Cycle**

The decision-making process of the CMT is enhanced through an operational cycle of planning and execution, which ensures that incident action plans are developed and executed to achieve incident goals and objectives. The operational cycle may begin with the scheduling of a planned event, the identification of a credible threat, or with the initial response to an actual or impending event.

Whatever the cause, the operational cycle starts with guidance from the Mayor who provides clear strategic direction to the Command Staff. That direction is developed into a plan listing comprehensive, tactical objectives with a detailed analysis of the resources and support needed to accomplish tactical objectives by the Command Staff. This plan is called the Incident Action Plan (IAP) and is accomplished during each cycle of planning and execution. Typically, the operational cycle follows the shift cycle (8-hour or 12-hour shifts) so the plans of one shift are executed by the Operations Section and revised by the Information and Planning Section on the next shift.

IAP development follows five phases:

- Develop situational awareness and an understanding of the emergency;

- Establish incident objectives based on the understanding of the emergency and develop a strategy that tie objectives into an executable plan;

- Develop the IAP;

- Document and disseminate the IAP; and
- Evaluate and revise the IAP.

To accomplish this, the Information and Planning Section Chief conducts a planning meeting with the CMT Director, Command Staff members, the General Staff Section Chiefs, and appropriate technical specialists. During this meeting and based on strategic direction from the Mayor, control objectives are determined; policy, legal, and fiscal constraints identified; and emerging issues developed.

The Information and Planning Section Chief uses this information to prepare the IAP and to coordinate tasking for interdisciplinary "task groups," who are charged with the resolution of problems that could interfere with the attainment of the objective. Task group assignments are given to either ELO members or ESF technical experts, depending on the complexity of the issue and availability of ESF technical experts. The Information and Planning Section conducts administrative oversight of the task groups.

Incident goals and objectives established by the Command Staff and implemented by the General Staff form broad guidance that continually changes based on the immediate priorities of the event. The IAP is used in directing CMT response operations by establishing priorities for ESF actions and providing "task group" solutions to execution issues.

**Situational Awareness**

Situational Awareness is the ability to identify, process, and comprehend the critical elements of information about what is happening as an event unfolds. From the CMT perspective, this means knowing: where emergency needs are greatest; what assets are needed; how to get assets into areas where they are needed; and what the status is of assets as they move on-scene and perform actions.

The ability to maintain situational awareness occurs through effective communication of event information from and to Mayor, Command Staff, and General Staff; ESF Primary and Support Agencies; and on-scene personnel. Situational awareness may be maintained and/or improved by:

- Following and completing actions specified in the IAP;
- Recognizing and making others aware when actions deviate from standard procedures;
- Monitoring the performance of immediate team members;

- Providing information in advance when possible;
- Identifying potential or existing problems;
- Continually assessing and reassessing action plan progress as it relates to Policy Group objectives;
- Updating information on WebEOC (a Web-enabled crisis information management system) and on Regional Boards; and
- Clarifying expectations and outcomes with other team members.

**Documenting Actions**

The documentation of actions is paramount to effective communications. Individuals with emergency event information can use this information to adjust their actions. When individuals input emergency event information into an information system (such as WebEOC), in an accurate and timely fashion, that information is available to every agency connected to the system. Accurate and timely documentation of event actions into information systems and situation reports provide all agencies involved in the event with the effective communication they need to maintain situational awareness.

## C. Recovery Operations

- The CMT Operations Section is the central coordination point among District, regional and federal agencies, and voluntary organizations for delivering recovery assistance programs. The Community Services and Infrastructure Support Branches of the Operations Staff Section assess District recovery needs at the outset of the emergency and the relevant time frames for program delivery. The branches ensure that District agencies with appropriate recovery assistance programs are notified of the emergency event and share relevant applicant and damage information with all involved agencies.
- The DCCO determines the need for Disaster Recovery Centers in the emergency area. District agencies staff the centers with knowledgeable officials who provide recovery program information, advice, counseling, and technical assistance related to mitigation.
- The Community Services Branch of the CMT coordinates assistance programs to help individuals, families, and businesses meet basic needs and return to self-sufficiency.

- The Infrastructure Support Branch of the CMT coordinates assistance programs to aid the District government and eligible private non-profit organizations to repair or replace damaged public facilities.

- Community Services and Infrastructure Support Branches assist in: identifying appropriate agency assistance programs to meet applicant needs; synchronizing assistance delivery; and encouraging incorporation of mitigation measures where possible. Additionally, they track overall progress of the recovery effort, particularly noting potential program deficiencies and problem areas.

**Stand Down**

Once incident goals and objectives have been achieved and/or a centralized District coordination presence is no longer required, the CMT implements the demobilization plan to transfer responsibilities to recovery assistance program oversight and monitoring. Following complete demobilization, responsibilities shift back to individual agencies' District offices.

**After-action Critique**

Following an emergency, the DCCO submits an after-action report through the CMT Information and Planning Section to HSEMA, detailing problems encountered and key issues affecting District performance. Data from these issues and targeted reviews are analyzed and provided, as appropriate, to HSEMA management and to the EPC for consideration. After a major disaster or unique emergency operation, HSEMA may convene an interagency forum to identify lessons learned. Each District agency involved is encouraged to keep records of its activity to assist in preparing its own after-action report.

# Emergency Support Function #1
# Transportation

**Primary District Agency:** District Department of Transportation

**Support District Agencies:**
DC Public Schools
Department of Employment Services
Department of Health
Department of Human Resources
Department of Human Services
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Metropolitan Police Department
Office on Aging
Office of the Chief Technology Officer
Serve DC

**Other Support Agencies and Organizations:**
AMTRAK
DC Housing Authority
DC Water and Sewer Authority
Federal Highway Administration, Division Office
Maryland Department of Transportation
Maryland Transit Authority
Metropolitan Washington Council of Governments
Potomac Electric Power Company
Virginia Department of Transportation
Virginia Rail Express
Washington Metropolitan Area Transit Authority

**Primary Federal Agency:** U.S. Department of Transportation

**Support Federal Agency:** District of Columbia National Guard

# I. Introduction

## A. Purpose

The District Department of Transportation (DDOT) is the primary agency for Emergency Support Function (ESF) #1—Transportation. ESF #1 supports the District Response Plan (DRP) by providing direct assistance to District, federal, regional, and other responding agencies as they respond to potential or actual emergencies that require transportation assets and/or that affect the transportation network. The transportation network refers to the multimodal system within the District that includes: surface; transit; maritime; and aviation assets.

## B. Scope

ESF #1, when activated by the Homeland Security and Emergency Management Agency (HSEMA), provides emergency transportation support and guidance to District agencies, citizens, and visitors during an emergency. The scope of ESF #1 activities includes:

- Provide traffic management to ensure the effective movement of goods and services;
- Coordinate transportation logistics;
- Perform normal emergency transportation activities under the direct authority of ESF #1 primary agency, DDOT; and
- Report the status of and, when necessary, restore the transportation infrastructure.

The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Emergency Transportation Annex—May 2008;
- Internal Operations Plans of DDOT; and
- Standard Operating Procedures of DDOT.

# II. Policies

A. In the event of ESF #1 activation, all ESF #1 agencies will be organized and operate under a unified command and in accordance with the Incident Command System (ICS).

B. As part of the incident command system, in the event an ESF #1 support agency arrives at the incident scene first, ESF #1 duties will be delegated to that support agency until DDOT arrives.

C. ESF #1 provides transportation policy as well as logistical and operational support during emergencies.

D. ESF #1 establishes and maintains a listing of critical transportation infrastructure.

E. ESF #1 information coordination occurs at the HSEMA Emergency Operations Center (EOC) located at 2720 Martin Luther King Jr. Avenue, SE.

F. Initial ESF #1 information coordination will occur at the Traffic Management Center (TMC) located on the second floor of the Reeves Building. The TMC is the 24-hours-per-day/7-days-a-week traffic monitoring center for the District.[1]

G. If incident response surpasses ESF #1 capabilities, requests for additional resources from the private sector and/or other regional government agencies will occur through HSEMA and/or through the Emergency Management Assistance Compact (EMAC) process.

H. Due to the unique nature of the District, the deployment and assistance of federal assets may be required prior to a presidential declaration of an emergency. In this case, all transportation activities will be coordinated through ESF #1.

I. DDOT is responsible for tracking all ESF #1 expenses and data collected during the ESF activation.

J. All public information regarding transportation issues and ESF #1 will be coordinated through the DDOT Public Information Officer (PIO).

## *III. Situation*

### A. Disaster Condition

By nature, a transportation network is an extremely fragile system. Local transportation activities can be hampered due to damaged infrastructure, a surge in use, and/or a loss in capacity. Most emergencies will create a demand for local transportation resources to support the response, recovery, and restoration of the transportation system.

### B. Planning Assumptions

1. The HSEMA EOC will activate ESF #1 at the appropriate level of risk presented by a perceived or actual emergency.

2. An emergency occurring within the National Capital Region (NCR) will have a negative impact on the District transportation network.

3. During an emergency the transportation infrastructure will be impacted, which could limit access to and from the incident area.

[1] The TMC may move all shifts to the HSEMA Emergency Operations Center in the future.

4. An emergency within or adjacent to the District has the potential to cause loss of life, property, and/or disruption of normal life support.

5. Infrastructure damage and communications disruptions will inhibit efficient coordination of transportation support during the immediate and post-disaster period.

6. Regional emergency transportation coordination and planning is critical to ensure regional transportation stability.

7. During an emergency, sheltering in place may be determined to be the appropriate protective action versus an evacuation.

## *IV. Concept of Operations*

### A. General

1. ESF #1 agencies will coordinate and execute their respective authorities and program responsibilities during and immediately following an emergency affecting transportation.

2. While activated, ESF #1 will provide situational and status information to ESF #5—Emergency Management on all transportation activities. ESF #1 support agency representatives will collaborate with field personnel to coordinate support with their agencies through various agency operations centers, as necessary.

3. All transportation related requests for District assistance and mission assignments are submitted to the ESF #1 Emergency Liaison Officer (ELO) at the HSEMA EOC for action.

### B. Organization

1. **District Emergency Operations Centers**— During large transportation public emergencies, DDOT will operate through its Consequence Management Center (CMC) located on the 7th Floor of the Reeves Building. DDOT may request support agency ELOs to report to its CMC if the emergency situation warrants.

   During small transportation emergencies, DDOT will operate the emergency through the TMC. The TMC will always be DDOT's initial information and coordination location, since it operates 24-hours-per-day/7-days-per-week.

2. **HSEMA EOC**—DDOT and/or an ESF #1 supporting agency will provide the necessary representation at the EOC and the Consequence Management Team (CMT) until deactivated or released by the CMT Director.

3. **Interagency Liaisons**—DDOT may assign ELOs to various District agency operations centers to ensure transportation actions are properly coordinated. For small emergencies requiring ESF #1 assistance, transportation operations and command personnel may operate out of that agency's operations center, or the HSEMA EOC.

## C. Notification

1. The HSEMA EOC will notify DDOT of an emergency situation and the need to activate ESF #1. Then DDOT will immediately notify the appropriate primary and support agency personnel of activation. DDOT also will provide notification to regional stakeholders to promote regional coordination.

2. DDOT may receive notification through other means of communication other than the HSEMA EOC. In this case, DDOT will notify the HSEMA EOC of the emergency and begin coordination.

3. If timing permits, DDOT will notify Washington Metropolitan Area Transit Authority (WMATA) three hours prior to emergency activation to provide for the coordination of staff to meet increased demand on the transit network.

## D. Response Actions

### 1. Initial Actions

a. Immediately upon notice of an imminent or actual emergency, DDOT will activate the emergency on-call alert roster. Priority attention will be directed toward staffing the HSEMA EOC and activating the support agencies at the DDOT CMC and TMC.

b. Notification will be made to regional stakeholders of the actions being taken as a result of the emergency.

c. DDOT will deploy its transportation response teams and Roadway Operations Patrol to the field to assist in reestablishing the transportation network and to develop initial diversionary plans for rerouting traffic around and away from the incident scene.

d. DDOT and ESF #1 support agencies will execute their emergency response plans in accordance with their internal operation plans, Standard Operating Procedures (SOPs), and concurrently prepare to send representatives to appropriate locations as directed.

e. The DDOT TMC will immediately begin assessing the impact of the incident on the District's transportation system and report findings to DDOT management at the HSEMA EOC or the DDOT CMC. The TMC also will initiate alternative traffic-signaling plans along routes where appropriate.

f. The Emergency Transportation Annex (ETA) will be implemented as directed.

**2. Continuing Actions**

a. Continue to monitor, analyze, and report on the transportation network and the stability of the transportation infrastructure.

b. Coordinate on issues related to evacuation, accessibility of relief services, and emergency supplies. Issues include identifying staging areas for supplies and routing information for carriers.

c. DDOT or its designee will process all requests for assistance and mission assignments for ESF #1 support and services for distribution, validation, and/or action in accordance with this ESF and its annexes.

d. ESF #1 personnel will continue transportation network damage assessment for all modes of transportation. ESF #1 will implement strategies aimed at analyzing the effects of the emergency on the regional transportation system, monitoring transportation network capacity and roadway congestion, and implementing management controls as required.

e. The DDOT TMC will establish communications, maintain communications, and report and receive assessments and status information.

f. The DDOT TMC will continue to coordinate with its regional counterparts regarding traffic-signal timing and overall surface-street strategies to ensure consistency.

g. ESF #1 will coordinate with the various District agencies, private utilities, federal and regional agencies, and private interests to determine status of construction and other work developments that could impact traffic along designated emergency routes, gateways, and regional routes.

h. ESF #1, in coordination with the Metropolitan Police Department (MPD) and Department of Public Works (DPW), will identify vehicles

that require towing due to the emergency. ESF #1 also will coordinate the use of the heavy-equipment-towing crane.

i. ESF #1 will coordinate with DPW Fleet Management Administration (FMA) for the issuing of additional vehicles, if needed during the emergency.

j. ESF #1 will assist ESF #3—Public Works and Engineering with the clearing and restoration of the transportation network. ESF #1 will provide priority guidance on critical traffic routes to be cleared.

k. An ESF #1 representative will coordinate with DPW FMA for the use of District-owned vehicles for emergency movement of personnel and relief supplies. The representative also will determine whether non-District vehicles are needed and will make requests for assistance.

l. ESF #1 ELOs at District control centers will remain at their duty locations until deactivated or released by the designated HSEMA official.

## *V. Responsibilities*

### A. Primary District Agency

**District Department of Transportation (DDOT)—**DDOT will manage and coordinate emergency transportation response operations and restoration of the transportation network during emergencies. DDOT will ensure ESF #1 is represented at the HSEMA EOC and other District control centers when requested. DDOT will ensure that situation reports are completed, expenses are tracked, and information is given to HSEMA when requested. DDOT personnel serve as the Mayor's primary point of contact (POC) regarding transportation issues.

### B. Support District Agencies

1. **DC Public Schools (DCPS)—**DCPS will provide its fleet of school buses to assist with transport of evacuees to shelters. DCPS also will notify ESF #1 regarding the movement of students during an emergency.

2. **Department of Employment Services (DOES)—**DOES will assist in recruitment of emergency manpower, as needed, to assist in the emergency.

3. **Department of Health (DOH)—**DOH will provide support for persons requiring special transportation (transportation of patients requiring medical care). DOH employees and/or volunteers may be requested to staff transportation facilities to provide emergency medical first aid. DOH will

provide ESF #1 with guidance on the distribution of the Strategic National Stockpile.

4. **Department of Human Resources (DHR)—**DHR will provide ESF #1 with human resource guidance during an emergency. For instance, in the case of a Pandemic Flu incident, DHR can provide guidance on which employees to call-in.

5. **Department of Human Services (DHS)—**DHS is the primary agency coordinating the transportation of persons to and from District shelters. DHS also will coordinate the movement of persons who require special transportation.

6. **Department of Mental Health (DMH)—**DMH will support the movement of persons who require special transportation. DMH will provide support during the movement of mental health patients.

7. **Department of Parks and Recreation (DPR)—**DPR will mobilize its staff, fleet, and volunteers to assist with transportation activities, which may include providing transportation to or assisting with the operation of shelter facilities. City parks and recreational facilities may be used as transfer points for people leaving an evacuation area who need assistance.

8. **Department of Public Works (DPW)—**DPW will coordinate, obtain, and stage vehicle fleets and crews as designated by ESF #1. DPW will coordinate the clearing of debris from emergency routes. DPW will coordinate the staging and use of towing cranes. DPW and DDOT also will advise on the use of equipment and supplies when developing strategies for protecting the transportation infrastructure.

9. **Fire and Emergency Medical Services Department (FEMS)—**FEMS is responsible for emergency transport from the incident scene to medical facilities. FEMS also will coordinate on transportation issues regarding the decontamination and transportation of victims exposed to a toxic element and the decontamination of District and regional vehicles.

10. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will support the ESF #1 coordination process. The HSEMA will work as an honest broker in resolving issues and multiple requests among multiple ESFs. All ESF #1 requests will go through the ELO stationed at the HSEMA EOC.

11. **Metropolitan Police Department (MPD)—**MPD will provide critical-intersection control and will report on any area transportation disruptions. The MPD will provide escort service for emergency response vehicles when requested. The MPD will be responsible for the coordination of street

closings with DDOT and other regional law enforcement agencies. The MPD, in coordination with DPW, will provide towing cranes, if necessary, to remove parked vehicles from designated emergency evacuation routes during an emergency. An ESF #1 ELO will be stationed at the Command Information Center (CIC) when requested for coordination.

12. **Office on Aging (DCOA)—**DCOA will coordinate on the movement of seniors requiring special transportation to shelter facilities. DCOA will identify and coordinate, to the extent possible, the location of District seniors in need of transport to mass feedings, congregate meals, and food distribution centers. DCOA, through its contractors, will assist in shelter-in-place operations and the coordination of mobile feeding units to serve District senior citizens.

13. **Office of the Chief Technology Officer (OCTO)—**OCTO will provide communication and geographic information systems (GIS) support to ESF #1.

14. **Serve DC—**Serve DC will support ESF #1 when ESF #1 requests transportation related volunteers. This could include, but is not limited to, administrative and/or logistical support.

## C. Other Support Agencies and Organizations

1. **AMTRAK—**AMTRAK will provide emergency transit support and coordination during an emergency. During an AMTRAK transit rail failure, AMTRAK will work with DDOT to establish transfer points and obtain sufficient transportation assets for the follow-on movement of its users.

2. **DC Housing Authority (DCHA)—**DCHA may be contacted to coordinate the use of its fleet and crews for the movement of supplies and resources.

3. **DC Water and Sewer Authority (DCWASA)—**DCWASA will provide information on waterway emergency access routes during emergencies. DCWASA will coordinate with ESF #1 pertaining to construction of critical water and sewer facilities and/or destruction or stabilization of structures that affect the transportation system.

4. **Federal Highway Administration (FHWA), Division Office—**FHWA will provide guidance and assistance to DDOT regarding federal laws, assistance, and regulations.

5. **Maryland Department of Transportation (MDOT)—**MDOT will provide emergency coordination and support to DDOT for the transportation network.

6. **Maryland Transit Authority (MTA)—**MTA will provide emergency transit support and coordination during an emergency. During a MTA transit rail failure, MTA will work with DDOT to establish transfer points and obtain sufficient transportation assets for the follow-on movement of its users.

7. **Metropolitan Washington Council of Governments (COG)—**COG will provide support via the Regional Incident Communication and Coordination System (RICCS) to ESF #1.

8. **Potomac Electric Power Company (PEPCO)—**PEPCO will provide support and coordination in the reestablishment of the District's traffic-signaling system. PEPCO, in conjunction with DDOT, ESF #3—Public Works and Engineering and ESF #12—Energy will provide support in the reestablishment of power caused by down trees.

9. **Virginia Department of Transportation (VDOT)—**VDOT will provide emergency coordination and support to DDOT for the transportation network.

10. **Virginia Rail Express (VRE)—**VRE will provide emergency transit support and coordination during an emergency. During a VRE transit rail failure, VRE will work with DDOT to establish transfer points and obtain sufficient transportation assets for the follow-on movement of its users.

11. **Washington Metropolitan Area Transit Authority (WMATA)—** WMATA is a key provider of regional emergency transit service during an emergency. The WMATA will work closely with ESF #1 to ensure continuity regarding transportation information, logistics, and operations. WMATA also will work closely with DDOT by obtaining and funding additional buses or other equipment during an emergency. WMATA will have a liaison at the HSEMA EOC during an emergency.

## D. Primary Federal Agency

**U.S. Department of Transportation (USDOT)—**USDOT is the primary federal agency for ESF #1 under the National Response Framework (NRF) and will provide direct, technical, and other support to the District through the District ESF #1 and the District's primary agency for ESF #1, DDOT.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**DC National Guard (DCNG)—**DCNG will provide intersection control support and transportation infrastructure security, facilitate the transport of disaster-relief supplies, and assist in the evacuation or relocation of persons during emergencies, at the request of HSEMA.

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# Emergency Support Function #2
# Communications

| | |
|---|---|
| **Primary District Agency:** | Office of the Chief Technology Officer |
| **Primary Support District Agency:** | Office of Unified Communications |
| **Support District Agencies:** | DC Public Schools<br>Department of Corrections<br>Department of Employment Services<br>Department of Health<br>Department of Human Services<br>Department of Parks and Recreation<br>Department of Public Works<br>District Department of the Environment<br>District Department of Transportation<br>Fire and Emergency Medical Services Department<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office of Cable Television and Telecommunications<br>Office of Communications, Executive Office of the Mayor<br>Office of Property Management |
| **Other Support Agencies and Organizations:** | DC Water and Sewer Authority<br>Radio Emergency Associated Communication Teams<br>Verizon<br>Washington Metropolitan Area Transit Authority |
| **Primary Federal Agency:** | U.S. Department of Homeland Security/National Protection and Programs Directorate/Cyber Security and Communications Division/National Communications System |
| **Support Federal Agency:** | District of Columbia National Guard |

# *I. Introduction*

## A. Purpose

Emergency Support Function (ESF) #2—Communications ensures the provision of communications support to District response efforts following an emergency under the District Response Plan (DRP). The primary agency coordinating ESF #2 is the Office of the Chief Technology Officer (OCTO) and the primary support agency is the Office of Unified Communications (OUC).

OCTO is responsible for maintaining the communications infrastructure, including voice and data connectivity. OCTO works with District and industry partners to ensure the integrity of the system through assessment, mitigation, and recovery activities.

OUC is responsible for communications assets (i.e., radio caches); communication systems (i.e., 9-1-1 and 3-1-1); and policies, directives, and interoperable public safety communications.

## B. Scope

ESF #2 coordinates District actions to provide the required communications support to District emergency response elements. This ESF will coordinate the establishment of required temporary communications and the restoration of permanent communications. Where appropriate, services may be furnished under the provisions of the Telecommunications Service Priority system. ESF #2 applies to all District departments and agencies that may require communications services or whose communications assets may be employed during an emergency response.

The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- State Communications Interoperability Plan (SCIP);
- Tactical Communications Interoperability Plan (TCIP); and
- Standard Operating Procedures of OCTO and OUC.

# *II. Policies*

A. The SCIP and TCIP plans prescribe the planning and use of District communications assets and resources in support of the provisions of the federal communication acts.

B. DC Code 1-1401 *et seq*, contains the authority for OCTO to develop plans and coordinate and manage communications support for District organizations during emergencies.

C. When an emergency is of sufficient severity and magnitude to surpass local agencies' capabilities, an appropriate request for private sector support or federal assistance will be initiated.

D. Emergency response agencies as well as appropriate support agencies and applicable volunteer organizations will provide Emergency Liaison Officers (ELOs) to support the Homeland Security and Emergency Management Agency (HSEMA) Emergency Operations Center (EOC) when it is activated, as required.

E. Agencies have designated certain personnel as normal, critical, or super-critical users. These designations were made based on each agency staff member's responsibilities during an emergency.

F. The following voice/text messaging services have been arranged by ESF #2 for personnel in key emergency preparedness agencies in the following categories:

1. Plain telephone service is available for the normal user. Users will compete with the balance of the District population and will likely experience severe competition for dial tone.

2. 1-800 number access allows normal users access to less competitive federal government long-distance circuits to complete local calls to pre-assigned District 1-800 numbers.

3. Cingular and Verizon Wireless provide normal cellular service. Users compete with other subscribers for dial tone.

4. Two-way, combination cellular and digital two-way radio service (Sprint/Nextel) provides private network cellular service and point-to-point two-way radio service. Users compete with other Sprint/Nextel subscribers for services provided by Sprint/Nextel. Users do not compete when connecting to another Sprint/Nextel device (Direct Connect).

5. Switch Redirect (SR) relocates District government telephone numbers and subscribed services to District government incident command centers and other emergency locations. SR telephone numbers must be predesignated, and "unused" phones must be available to activate at the incident command centers or emergency locations.

6. National Security Emergency Preparedness (NSEP) priority cellular service provided by Cingular and Sprint/Nextel gives priority, non-encrypted service for emergency use over Verizon's regular cell networks.

7. The Government Emergency Telecommunications Service (GETS) landline card provided by the National Communications System (NCS), with

AT&T, Verizon, and Sprint circuits/lines, provides high-priority long-distance circuits to complete local and long-distance calls. By dialing a pre-designated number, local and long-distance calls will compete on the NSEP federal government long-distance network. Users compete with other high-priority NSEP government users. Call completion depends on first obtaining local dial tone, which GETS does not provide [but it is provided by Essential Service Protection (ESP) (see below)].

8. ESP offers priority local dial tone, and Wireless Service Protection (WSP) offers priority wireless dial tone for voice and data.

9. Home Phone ESP is provided for home phones for a select group of super-critical users.

10. Unified 460 and 800 MHz radio network allows Metropolitan Police Department (MPD) and Fire and Emergency Medical Services (FEMS) first responders to communicate. FEMS first responders also can communicate seamlessly on 800 MHz radios with first responders in the National Capital Region.

G. Two additional systems that can be accessed are the Washington Area Warning Alert System (WAWAS) and the National Warning System (NAWAS). These systems are set up through the Federal Emergency Management Agency (FEMA) and located at the HSEMA, which serves as the central communications control point within the District as well as the region. They provide communication with and access to local and national military and law enforcement support. The Fire Mutual Aid Response System (FMARS), Police Mutual Aid Response System (PMARS), and public emergency alert system, powered by Roam Secure, can be utilized as well. The public emergency alert system provides comprehensive public alerts to household landlines and cellular data terminals.

H. OCTO is responsible for establishing, implementing, and maintaining an Information Technology (IT) security program. The IT security program establishes standards, procedures, and guidelines to assure security is maintained on all District government networks. The program conducts surveillance of computer user activities through the use of variety of monitoring tools.

## *III. Situation*

### A. Disaster Condition

1. During an emergency, commercial communications facilities may sustain widespread damage. At a time when the need for real-time electronically-processed information is greatest, the capability to acquire it may be seriously restricted or nonexistent. In such situations, all surviving

communications assets of the various government agencies, augmented by extra assets, will be needed immediately to ensure a proper response to the event.

2. When activated, ESF #2 will coordinate and support communications requirements across the emergency continuum.

### B. Planning Assumptions

1. Initially, District officials will focus on coordinating lifesaving activities concurrent with reestablishing control in the disaster area. Working with the communications industry, officials will restore and reconstruct communications facilities as the situation permits.

2. Initial damage reports may be fragmented and provide an incomplete picture concerning the extent of damage to communications facilities.

3. Weather and other environmental factors may restrict the ability of suppliers to deploy mobile or transportable communications equipment into the affected area.

4. The affected area's ability to communicate with the rest of the District may be impaired. Some key individuals may be isolated from their offices and/or operations centers.

## *IV. Concept of Operations*

### A. General

1. OCTO will be the primary point of contact (POC) for the communications industry in the emergency area for District communications requirements and will coordinate the industry's response. OCTO will coordinate with the federal communications officer regarding possible federal communications requirements.

2. OCTO, in coordination with OUC, has overall responsibility for the coordination of communications support in the response area. When communications assistance is requested during an emergency response, OCTO and OUC will prioritize conflicting requests and recommend solutions.

3. HSEMA controls its communications assets (i.e., Mobile Command Posts) in the emergency areas, but coordinates their use with the OUC Director. Other agencies, such as MPD and FEMS also control their communications assets in support of the emergency response, and coordinate their use with

OUC and HSEMA Directors. OCTO provides technical support for the Mobile Command Posts.

4. Communications management will occur on a bottom-up basis; decisions will be made at the lowest level, with only those issues requiring adjudication or additional resources being referred to the next higher management level.

5. Previously distributed emergency telecommunications capabilities and devices will be used throughout the entire ESF #2 operating environment. These capabilities and devices are described above.

## B. Organization

1. Response operations for an emergency other than regular duties will normally begin when the Consequence Management Team (CMT) is activated. ESF #2 will selectively activate specific support activities based on the nature and scope of the event, the types of service disruption (e.g., voice, data, e-mail, Internet), and the OCTO, OUC, and other District resources required to support response efforts.

2. District ESF #2 operations will normally commence when the CMT is activated.

## C. Notification

OCTO and OUC are always available to assist industry response operations during day-to-day planning and coordination of communications support, including emergency response activities. If ESF #2 is activated by HSEMA, HSEMA will notify the Chief Technology Officer and the OUC Director. The agencies will dispatch Emergency Liaison Officers (ELOs) to the EOC in support of ESF #2 response activities. OCTO and OUC will then alert all emergency communications personnel and industry partners and assume District-level coordination of communications assets, as necessary.

## D. Response Actions

### 1. Initial Actions

a. Immediately upon notification of an emergency, OCTO will begin gathering damage assessment data from the District government and industry representatives. OCTO, in coordination with the OUC, HSEMA, and the CMT Director, will determine the appropriate level

of response for ESF #2 elements. The initial focus of OCTO, in coordination with OUC, will be to:

- Determine operational communications assets available for use within the affected area;
- Identify communications assets not within the affected area that may be brought physically or employed electronically to support the affected area;
- Assess actual and planned actions of the commercial communications companies toward recovery and reconstruction of their facilities;
- Validate operational status of Operation Data Center (ODC) 1 and 2 as primary, physical relocation sites as designated in the Continuity of Operations (COOP) plan (if necessary, move to pre-established plan and relocate critical staff to alternate/ backup site);
- Dispatch telephone, GIS, Internet, and network technicians to EOC;
- Relocate to ODC 2 and await further instruction from HSEMA EOC for location and deployment of resources;
- Ensure relocation of critical staff;
- Establish and validate telephone connections to EOC;
- Gather initial data, voice, broadcast, data communications, and data processing damage information;
- Ensure continuing operations of principal data processing and communications operations. If this is not possible, institute previously established gradual degradation processes and inform the EOC of the institution of these processes; and
- Remain in continual contact with the EOC, advising of near-term actions being taken to restore priority data processing and communications capabilities.

b. Communications personnel will begin an inventory of District communications assets available to support the recovery mission. District agencies with communications assets may be asked to contribute these assets to the response effort. CMT will be kept informed of these assets and their status. Potential ESF #2 actions include the following:

- Obtaining information from ESF #1—Transportation about road, rail, and all transportation conditions in the area, and whether ESF #1 can be used to get mobile telecommunications systems into the area;
- Assessing the need for mobile and transportable communications equipment when notified; and

- Assessing the need for communications industry support in coordination with the HSEMA Director and ensuring that such support is available as needed.

c. ESF #2 support agency representatives will be aware of their capabilities to provide mobile or transportable resources for communications activities.

d. Support agencies with assets in the disaster area will have representation in ESF #2 and will coordinate required connections to commercial or government communications resources through OCTO.

## 2. Continuing Actions

a. ESF #2 will provide information to ESF #5—Emergency Management for situation reports and action planning.

b. The ESF #2 member organizations that have been tasked to provide assets will confirm with OUC that those assets have been prepared for movement to the emergency area. ESF #2 member organizations also will provide reports to ESF #2 when they have been deployed and have become operational.

c. ESF #2 is responsible for:
- Coordinating District communications support to responding agencies and quasi-governmental and voluntary relief organizations;
- Recommending the release of District communications resources when they are no longer required;
- Maintaining a record for audit of all communications support provided (ESF #2 member organizations' procedures will be used to accomplish this audit);
- Providing damage information to the CMT Director and other ESFs regularly as well as to other District agencies upon request;
- In coordination with ESF #5—Emergency Management, develop and promulgate information collection guidelines and procedures in order to enhance assessment, allocation, and coordination of government and industry telecommunications assets.

# *V. Responsibilities*

## A. Primary District Agency

**Office of the Chief Technology Officer (OCTO)—**OCTO will ensure the provision of adequate communications support to District response operations. OCTO is responsible for:

- Coordinating with ESF #12—Energy, for information regarding the communications industry, emergency fuel resupply, and safe access for telecommunications work crews into emergency areas;
- Monitoring the recovery efforts and, as required, coordinating the provision of telecommunications needed by the District government;
- Providing situation status to the HSEMA Director or the CMT Director, as required;
- Monitoring the status of critical situations that have the potential for developing into an emergency to determine that adequate communications services are being provided to support response operations;
- Assessing the impact on existing District government communications services;
- Coordinating the restoration and/or rerouting of existing District government communications services and the provisioning of new communications services;
- Coordinating with communications service providers and prioritizing requirements, as necessary, when providers are unable to satisfy all communications service requirements or when the allocation of available resources cannot be fully accomplished at the field level;
- Coordinating with ESF #2 member organizations to obtain additional communications specialists to augment ESF #2;
- Coordinating with District agencies those special telecommunications industry requests for assistance that support activities, and safe access for communications work crews into emergency areas;
- Coordinating with appropriate government and industry representatives to meet user requirements for cellular phone assets; and
- Continually evaluate and update communication technology.

## B. Primary Support District Agency

**Office of Unified Communications (OUC)—**OUC, in coordination with OCTO, will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies. OUC is responsible for:

- Supporting EOC ESF #2 response activities;
- Ensuring that all information regarding potential and/or actual emergency situations with significant communications implications is brought to the attention of the CMT;

- Coordinating response activities with ESF #2 and supporting agencies;
- Monitoring the status of crucial situations that have the potential for developing into an emergency and that may require emergency communications support;
- Providing situation status to the CMT, as required;
- Assisting OCTO in the assessment of the impact on existing District government communications services; and
- Coordinating with ESF #2 member organizations to obtain additional communications specialists to augment ESF #2.

## C. Support District Agencies

1. **DC Public Schools (DCPS)—**DCPS will utilize the 800-MHz radio system as its secondary communications system and will have a liaison in the EOC.

2. **Department of Corrections (DOC)—**DOC will utilize its own systems that have an interface with the EOC to conduct operations inside and outside of jail facilities.

3. **Department of Employment Services (DOES)—**DOES will follow OCTO communications procedures. In the event of a telephone system communication failure, DOES will utilize cellular phones, pagers, and computer modems. DOES will participate in the OCTO emergency communications plan, including switching to the 800-MHz radio system, and/or Citywide Channel 1, to ensure that critical information is communicated.

4. **Department of Health (DOH)—**DOH will utilize the 800-MHz radio system as the primary means of communication. DOH will employ communications work-around procedures such as local commercial telephone systems, including cellular telephones, pagers, and computer modems in the event of 800-MHz radio system failure.

5. **Department of Human Services (DHS)—**DHS will maintain emergency communication by telephone capabilities and will utilize the 800-MHz radio system as a means of communication. DHS will employ communications work-around procedures such as local commercial telephone systems, including cellular telephones, pagers, and computer modems in the event of 800-MHz radio system failure.

6. **Department of Parks and Recreation (DPR)—**DPR will utilize the 800-MHz radio system to coordinate response efforts during a telecommunications outage. Additionally, DPR, due to its proximity to the EOC, will be able to provide some communications backup equipment

using older, non-date-dependent radios during a telecommunications outage.

7. **Department of Public Works (DPW)—**DPW will respond and provide support via personnel, vehicles, and/or supplies.

8. **District Department of the Environment (DDOE)—**DDOE will coordinate with ESF #2 to help facilitate the restoration of energy systems and fuel supplies following an emergency.

9. **District Department of Transportation (DDOT)—**DDOT will utilize the communications systems as described in the policies section. In addition, DDOT will operate on Zone A, Group 1 DPW-BTS channel on the 800-MHz radio.

10. **Fire and Emergency Medical Services Department (FEMS)—**FEMS will utilize the current 800-MHz radio system as the primary communications link.

11. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will utilize its 800-MHz radio; coordinate the use of its communications assets with OCTO as well as its interfaces with MPD when required. Additionally, when the situation warrants, HSEMA will notify surrounding jurisdictions and give updates as required on the WAWAS. HSEMA will request additional communication assistance through FEMA upon a disaster declaration. HSEMA will activate local Radio Amateur Civil Emergency Services (RACES) and Radio Emergency Associated Citizens Teams (REACT) to compliment or augment emergency communications systems.

12. **Metropolitan Police Department (MPD)—**MPD will utilize the UHF radio system as the primary communications link. MPD Emergency 9-1-1 support is co-located with FEMS at the Unified Communications Center and is capable of receiving and dispatching incoming emergency phone calls.

13. **Office of Cable Television and Telecommunications (OCTT)—**OCTT will, in conjunction with District radio stations, broadcast the Emergency Alert System to inform District residents of pending or occurring emergencies and of what actions they should take to protect themselves.

14. **Office of Communications (OC), Executive Office of the Mayor—**As necessary, OC will keep the public advised of the status of voice and other communication mechanisms.

15. **Office of Property Management (OPM)—**The OPM Protective Services Police (PSP) is equipped with hand-held walkie-talkies and telephones as well as radios. During emergencies, the OPM liaison at the EOC will keep PSP aware of all situations within District facilities. OPM will utilize the 800-MHz radio system as the primary communications link.

## D. Other Support Agencies and Organizations

1. **DC Water and Sewer Authority (DCWASA)—**DCWASA will be available in the EOC to coordinate information with the DCWASA Command Center to restore service. DCWASA will utilize the 800-MHz system and other alternative methods to communicate in the event of an outage to all of the alternative communications capabilities provided.

2. **Radio Emergency Associated Communication Teams (REACT)—** REACT will support and provide an auxiliary communications network in the event of a breakdown in the District's communication system, and it will provide a liaison to the EOC.

3. **Verizon—**Verizon will provide a liaison to the EOC to ensure continuity of services and integrity of its communications infrastructure and coordination efforts during emergencies. Verizon will review restoration processes priorities and provide technical explanations to EOC liaisons as well as provide status briefings to OCTO.

4. **Washington Metropolitan Area Transit Authority (WMATA)—** WMATA provides situational awareness information and communications assets that can be leveraged for response activities.

## E. Primary Federal Agency

**U.S. Department of Homeland Security(USDHS)/National Protection and Programs Directorate (NPPD)/Cyber Security and Communications Division (CSCD)/National Communications System (NCS)—**The USDHS/ NPPD/CSCD/NCS is the coordinator for ESF #2 and will provide direct, technical and other support to the District through the District counterpart ESF #2.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## F. Support Federal Agency

**DC National Guard (DCNG)—**DCNG will operate on its frequency, which has an interface with the EOC, and will provide a liaison to the EOC, at the request of HSEMA.

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# Emergency Support Function #3
# Public Works and Engineering

| | |
|---|---|
| **Primary District Agencies:** | Department of Public Works |
| **Support District Agencies:** | DC Public Schools<br>Department of Consumer and Regulatory Affairs<br>Department of Parks and Recreation<br>District Department of the Environment<br>District Department of Transportation<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office of Contracting and Procurement<br>Office of Property Management<br>Office of Unified Communications |
| **Other Support Agencies and Organizations:** | DC Water and Sewer Authority |
| **Primary Federal Agency:** | U.S. Department of Defense/U.S. Army Corps of Engineers |
| **Support Federal Agency:** | National Park Service |

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #3—Public Works and Engineering provides technical advice and evaluation, and coordinates engineering services, structural inspection, emergency repair of water and wastewater treatment facilities, distribution of emergency potable water and ice, debris removal, and emergency power support to predetermined facilities.

### B. Scope

The policies and responsibilities discussed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Reference A: Debris Management Plan—December 2005
- Reference B: Emergency Power Plan—December 2005

- Reference C: Ice Distribution Plan—December 2005
- Reference D: Potable Water Distribution Plan—December 2005
- Reference E: Structural Assessment Plan—December 2005
- Reference F: Snow Plan—December 2005

Throughout this annex, reference to these plans will be made by letter. When subordinate plans are updated, changes to the title or date will be made in this section.

ESF #3 activities include the following:

1. Participation in pre-emergency activities, such as pre-positioning of equipment assessment teams and contractors, and deployment of other advance elements.

2. Participation in needs/damage assessments immediately following an emergency.

3. If requested by ESF #1—Transportation and resources are available, ESF # 3 will support emergency clearance of debris to enable reconnaissance of damaged areas and passage of emergency personnel and equipment for lifesaving, property protection, and health and safety (see Reference A).

4. Management of debris removal and disposal from public property for lifesaving, property protection, and health and safety (see Reference A).

5. If requested by ESF #1—Transportation and resources are available, ESF # 3 will clear emergency access routes to damaged waterways for access to victims.

6. Provide emergency water supplies until public water utility operations can be restored.

7. Through the District Department of Consumer and Regulatory Affairs (DCRA), ESF # 3 will assist with contracting for emergency demolition or stabilization of damaged structures and facilities designated by state or local governments as immediate hazards to public health and safety or, as necessary, to facilitate lifesaving operations (e.g., temporary protective measures to abate immediate hazards to the public for health and safety reasons until demolition is accomplished).

8. Assist with emergency contracting to support public health and safety, such as providing for debris removal, potable water, ice, and power (see References A, B, C, and D).

9. In conjunction with DCRA, the District Office of Property Management (OPM) and the DC Public Schools (DCPS), ESF #3 will coordinate technical assistance, including inspection of private residential structures and commercial structures, District-owned and operated buildings, and public school facilities (see Reference E).

10. Provide basic sanitation support to include street cleaning, litter can removal, fleet services, parking enforcement, and towing of illegally parked or abandoned vehicles (excluding portable sanitation facilities which are supported by ESF #7—Resource Support).

## *II. Policies*

A. The roles and responsibilities of the Department of Public Works (DPW), District Department of Transportation (DDOT), DC Water and Sewer Authority (DCWASA), OPM, DCRA, Department of Parks and Recreation (DPR), DCPS, and District Department of the Environment (DDOE) must be closely coordinated to execute ESF #3. Detailed plans for ESF #3 operations for emergency power, debris operations, potable water distribution, ice distribution, and structural assessments can be found at DPW, Office of Safety and Emergency Preparation.

B. Homeland Security and Emergency Management Agency (HSEMA) Standard Operating Procedures for Debris and Wreckage Removal (January 2006) provides guidance for planning, coordinating, and implementing the debris wreckage removal process following an emergency.

C. If incident response surpasses ESF #1—Transportation capabilities, requests for additional resources from the private sector and/or other regional government agencies will occur via request by HSEMA and/or through the Emergency Management Assistance Compact (EMAC) process.

## *III. Situation*

### A. Disaster Condition

In an emergency, damage to public works and engineering systems may be significant. Structures may be destroyed or severely weakened. Homes, public buildings, and other facilities may have to be reinforced or demolished to ensure safety. Public utilities may be damaged and may be partially or fully inoperable. Debris may make streets and highways impassable. An emergency may affect the lives of many local response personnel and their facilities and prevent them from performing their prescribed emergency duties. Similarly, equipment in the immediate emergency area may be damaged or inaccessible. Sufficient resources may not be available to local agencies to meet emergency requirements. Federal and/or private assistance may be required to identify and deploy resources from outside the affected area to ensure a timely, coordinated effective response.

## B. Planning Assumptions

1. Access to emergency areas will be dependent upon the reestablishment of ground and water routes. In many locations, debris clearance (DDOT and DPW) for access and emergency road repairs will be given top priority to support immediate lifesaving emergency response activities.

2. Early damage assessments will be general and incomplete and may be inaccurate. Rapid assessment of the emergency area is required to determine critical needs and to estimate potential workload or requirements for federal assistance.

3. To minimize threats to public health, emergency environmental waivers and legal clearances will be needed to dispose of emergency debris and materials from demolition activities. Under federal regulations, local authorities are responsible for obtaining required waivers and clearances. Federal agencies are responsible for complying with appropriate federal environmental and historic preservation statutes.

4. Construction equipment and materials and significant numbers of personnel having engineering and construction skills might be required from outside the disaster area.

5. Primary agencies and support agencies will perform tasks under their own authorities, as applicable, in addition to missions received under the authority of the DRP.

6. With the loss of essential public services, basic needs such as refrigeration, electrical power, and water may be lost. Expedient temporary means to provide power to predetermined facilities, water, and ice supplies must be coordinated by ESF #3 (see References B, C and D).

7. In terrorist incidents, including the use of Weapons of Mass Destruction (WMD), response leadership functions will be taken on by the Federal Bureau of Investigation (FBI), specifically those related to assuming control during debris removal operations. *Additional detail regarding WMD can be found in the National Response Framework, ESF #3, March 2008.*

# *IV. Concept of Operations*

## A. General

The agencies that comprise ESF #3 will execute their respective authorities and program responsibilities during and immediately following an emergency. ESF #3 will be represented by an Emergency Liaison Officer (ELO) in the HSEMA Emergency Operations Center (EOC) and activities will be tracked and monitored. The ESF #3 team will provide damage information to ESF #5—Emergency Management for overall damage assessment, the damage situation, and ESF activities. Support agency representatives will collaborate with District field personnel to coordinate support with their agencies through agency operations centers and ESF #3 ELO, as necessary.

## B. Organization

1. **DPW EOC**—As the primary agency, DPW will operate from its EOC in the Director's Conference Room on the 6th Floor of the Reeves Center and from its Debris Operations Center at 2750 South Capitol Street, S.E. DPW may request support agency liaison representatives to report to its EOC if the emergency situation warrants. ESF #3 support agencies will work with DPW in the 6th Floor Director's Conference Room.

2. **HSEMA EOC**—DPW, OPM, DCPS, and DCWASA will provide the necessary representation at the EOC and the Consequence Management Team (CMT) ELO will remain at the EOC until deactivated or released by the CMT Director.

3. **Interagency Liaisons**—DPW will coordinate with HSEMA to ensure that necessary representatives are immediately provided for the formation of any interagency coordination groups that are established based on the magnitude and scope of the emergency. The damage assessment representative will be an infrastructure specialist.

## C. Preparedness Actions and Storm Damage Mitigation

### 1. Citywide Disaster Preparedness

In a significant rain event where flooding is anticipated, HSEMA, in coordination with DPW, will decide if the District's sandbag operation should activate. Once the decision has been made to activate, DPW will contact Serve DC, who will provide volunteers to assist in the distribution of the sandbags. DPW will contact ESF #1—Transportation to provide Traffic Control Officers and the Roadway Operations Patrol (ROPE) unit will be asked to provide traffic cones, traffic setup, signs, and automated message boards to assist in traffic-flow management in the distribution area(s). Metropolitan Police Department (MPD) will be notified and asked to

provide officers to assist in traffic control and security. HSEMA, in coordination with DPW, will decide on the number of locations that will be made available for residents to pick up sandbags. Normally, the main location is in the cul de sac at 1240 W. Street, N.E., off of Brentwood Road, N.E.

DPW, through its public information officer (PIO), will distribute a press release informing residents where they may go to get sandbags. Residents with proper identification can come to the location(s) and pick up five sandbags per household. The bags will only be distributed to residents and not to businesses within the District.

### 2. Individual Home and Property Preparedness

In addition to sandbags, DPW's PIO also may release the following information for residents who live in flood prone areas. There are several steps they should take to safeguard property and valuables, including:

- Elevate the furnace, water heater, and electric panel if susceptible to flooding;
- Seal walls in basements with waterproofing compounds to avoid seepage;
- Have gloves, boots or waders and shovels on hand;
- Clean debris from all outside drains, gutters, and downspouts;
- Contact DCWASA if there are catch basins in the neighborhood that have debris;
- Ensure that sump pumps are working;
- Ensure that any photos or videos of all important possessions are stored in a safe place;
- Plan and practice a flood evacuation route with the family; and
- Remember to include pets in the family emergency plans.

## D. Notification

### 1. Primary Agency

The HSEMA EOC will notify DPW, the lead agency of ESF #3, of an emergency situation. DPW will then immediately notify the appropriate emergency response team members within the ESF #3 support function. Upon activation of the HSEMA EOC, the ESF #3 ELO will be dispatched to and stay in contact with HSEMA's EOC.

### 2. Support Agencies

Upon receiving notification of EOC activation, DPW, the primary agency for ESF #3, will determine support agency requirements based on the magnitude and scope of the emergency and coordinate with HSEMA.

### E. Response Actions

#### 1. Initial Actions

The member agencies of ESF #3 will execute their programs in accordance with their operations plans and concurrently prepare to send representatives to the HSEMA EOC and the DPW EOC to coordinate ESF #3 functions as designated in the ESF Liaison Officer, Standard Operating Guide, December 2005. If there is a presidential declaration of emergency or major disaster, a liaison may be provided to the Joint Field Office (JFO) upon request, and the U.S. Army Corps of Engineers (USACE) may send a liaison to the EOC and DPW to coordinate public works activities.

#### 2. Waivers and Clearances

ESF #3 agencies will obtain the necessary environmental waivers and legal clearances required for removal and disposal of emergency debris and materials from demolition (see Reference A). This will be accomplished in coordination with DDOE and the Department of Health (DOH).

#### 3. Continuing Actions

ESF #3 will continue to staff the EOC as long as there is a requirement to coordinate among ESF #3 support agencies and HSEMA.

## *V. Responsibilities*

### A. Primary District Agency

**Department of Public Works (DPW)**—DPW will provide solid waste and debris removal and, in coordination with the DDOT's Infrastructure Project Management Administration and OPM, will assist with the inspection of facilities, as required. DPW, in concert with DCWASA, as necessary, and DOH, will ensure that the water and sewer sanitation within the emergency area are safe.

### B. Support District Agencies

1. **DC Public Schools (DCPS)**—DCPS, jointly with OPM and DCRA, is responsible for the emergency inspection and demolition or stabilization of damaged public school structures and facilities designated by the District government as immediate hazards to public health and safety. This responsibility extends, as necessary, to facilitate lifesaving operations such as temporary protective measures to abate immediate hazards to the public for health and safety reasons until demolition can be accomplished (see Reference E). DCPS personnel also will support the ESF #3 Emergency

Power mission by providing immediate access to affected public school facilities (see Reference B).

2. **Department of Consumer and Regulatory Affairs (DCRA)**—DCRA will cooperate in the coordination effort of HSEMA for District-wide emergencies where DCRA is deemed an appropriate agency to assist in emergency response operations. DCRA will participate with other agencies in the preparation of damage survey reports and damage assessments. DCRA will support the ESF #3 structural assessment process by providing leadership and inspection staff to perform structural assessments throughout the city (see Reference E).

3. **Department of Parks and Recreation (DPR)**—DPR is responsible for clearing, removing, and disposing of debris on DPR property. DPR also supports ESF #3 as needed in its efforts to remove and dispose of vegetative debris during the response and recovery phases of an emergency event by providing temporary debris management sites, personnel, equipment, and vehicles. Through ESF #16—Volunteer and Donations Management, DPR provides volunteers to ESF #3 for water and ice distribution (see References A, C, and D).

4. **District Department of the Environment (DDOE)—**DDOE will coordinate with ESF #3 to help facilitate the restoration of energy systems and fuel supplies following an emergency.

5. **District Department of Transportation (DDOT)**—DDOT will dispatch emergency teams to inspect and report on the stability and availability of emergency routes, streets, bridges, and ports. DDOT will assist with procurement and execution of contracting for construction management and inspection services. DDOT will coordinate and offer, when available, commercial driver licensed (CDL) drivers and commercial vehicles to support debris removal, the clearing of roadways, and the reestablishment of the District's infrastructure. DDOT will need to coordinate with PEPCO regarding down power lines, when supporting debris removal activities that include trees.

6. **Homeland Security and Emergency Management Agency (HSEMA)**—HSEMA will receive and assemble damage reports from all sources and prepare an incident report for the CMT. The CMT will assess the emergency and provide a copy of their assessment to the primary ESF agencies. The ESF primary agencies will notify their support agencies and implement their Continuity of Operations Plans (COOPs) and follow their Standard Operations Guides (SOGs). The ESF primary agencies will communicate response actions and any changes in operating status to the EOC through their ELOs.

7. **Metropolitan Police Department (MPD)**—MPD will provide police escorts for mobile fueling units. MPD also will clear traffic lanes to enable debris removal operations to proceed along access ways (see Reference A).

8. **Office of Contracting and Procurement (OCP)**—OCP provides ESF #3 with pre-positioned and emergency contracts for required equipment and services (as detailed in all references).

9. **Office of Property Management (OPM)**—OPM will be the lead agency in implementing facilities management for District-owned and operated facilities. This includes emergency restoration of critical District-owned and operated facilities, building security, maintenance and repairs, custodial services, and snow removal (from sidewalks, driveways, etc.) of District-owned and operated facilities. This also includes energy management, which is the purchasing and distribution of fuel oil to supplement DPW Fleet Management Administration's fuel supply. Energy services also will track utility services within the District government. OPM's Facilities Operations Maintenance Administration (FOMA) can assist in restoring facilities.

   OPM, DCPS, and DCRA are jointly responsible for the emergency inspection, contracting, and managing of the demolition or stabilization of damaged structures and facilities designated by the District governments as immediate hazards to public health and safety or, as necessary, to facilitate lifesaving operations such as temporary protective measures to abate immediate hazards to the public for health and safety reasons until demolition is accomplished. OPM will support the ESF #3 Emergency Power mission by providing leadership to oversee the process and personnel to provide access to facilities and to install standby generators (see Reference E).

10. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

## C. Other Support Agencies and Organizations

**DC Water and Sewer Authority (DCWASA)**—DCWASA will provide maintenance of the public water distribution system, will aide in the collection of wastewater and storm water, will help with the delivery of wastewater to the wastewater treatment facility, and will treat the wastewater. DCWASA will provide overall information to the ESF #3 ELO on supply of adequate amounts of water, temporary restoration of water supply systems, wastewater, and the provision of water for fire fighting. DCWASA will provide emergency access routes to waterways. DCWASA will provide emergency restoration of critical water and sewer facilities, including the temporary restoration of water supplies and wastewater treatment systems.

## D. Primary Federal Agency

**U.S. Department of Defense/U.S. Army Corps of Engineers (DOD/USACE)—**DOD/USACE is the coordinator for ESF #3 under the National Response Framework (NRF) and will provide direct, technical, and other support to the District through the District lead agency for ESF #3, DPW. Coordination with all federal agencies that have a support role to ESF #3 will be accomplished by DOD/USACE in accordance with the NRF.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**National Park Service (NPS)—**NPS is the primary Federal ESF #3 agency for clearing, removing, and disposing of debris from federal park properties and monuments.

# Emergency Support Function #4
# Firefighting

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|---|---|
| **Primary District Agency:** | Fire and Emergency Medical Services Department |
| **Support District Agencies:** | Department of Consumer and Regulatory Affairs<br>Department of Health<br>Department of Human Services<br>Department of Mental Health<br>Department of Public Works<br>District Department of the Environment<br>District Department of Transportation<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office of the Chief Medical Examiner |
| **Other Support Agencies and Organizations:** | DC Water and Sewer Authority<br>Potomac Electric Power Company<br>Washington Gas Company<br>Washington Metropolitan Area Transit Authority<br>Washington Suburban Sanitary Commission |
| **NCR Fire Departments:** | Signatories on the Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan |
| **Primary Federal Agency:** | U.S. Department of Agriculture/Forest Service |
| **Support Federal Agencies:** | U.S. Army Golden Eagles - Engineering Battalion<br>U.S. Environmental Protection Agency |

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #4—Firefighting, through the Fire and Emergency Medical Services Department (FEMS), supports the District of Columbia (District) with the prevention, response, and suppression of urban and brush fires resulting from, or occurring coincidentally with, an emergency in an extraordinary situation.

### B. Scope

ESF #4 manages and coordinates firefighting activities including search, rescue, containment, suppression, coordination of evacuation in hazard areas, and delivery of emergency medical services.

The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan; and
- Standard Operating Guidelines of FEMS.

## *II. Policies*

A. Priority will be given to saving lives and protecting property, in that order.

B. The Incident Command System (ICS) will be implemented to manage and control resources at the scene of emergencies.

C. The FEMS Personnel Accountability System will be used to track and control the movement of FEMS personnel.

D. FEMS will operate at incidents using standard operating guidelines (SOGs), which are predetermined, standardized practices that enable the firefighting units to operate in a coordinated and safe manner.

E. FEMS utilizes the National Capital Region Mutual Aid Agreement (NCR-MAA) and the Metropolitan Washington Council of Governments (COG) Fire and Rescue Mutual Aid Operations Plan (MAOP) to support expanding incidents, to coordinate response throughout the region, and to share unique resources.

## *III. Situation*

### A. Disaster Condition

1. The management of a large firefighting operation is complex, often involving dozens of firefighting resources. Fire resulting from, or independent of, but occurring coincidentally with, an emergency may place extraordinary demands on available resources and logistics support systems.

2. An emergency may result in numerous urban fires. The damage potential from fires in urban areas during and after an emergency exceeds that of all other causes. Fires may have the potential to spread rapidly, cause extensive damage, and pose a serious threat to life and property. Available

firefighting resources may be difficult to obtain and utilize because of massive disruption of communication, transportation, utility, and water systems.

3. Fires in the District may go beyond urban fires to include brush fires. These have the potential to occur in locations like Rock Creek Park, and at other parks and recreational facilities in the District. Brush fires also may spread to residential areas posing a threat to both life and property.

### B. Planning Assumptions

1. Urban fires may result from a natural disaster. They also may occur as the result of another significant event. Large, damaging fires may be common.

2. At the time of an emergency, there may be fires burning in multiple locations in the District. These fires will draw upon the same resources (engines or other tactical and support resources) that would be needed to support firefighting and other emergency operations. It must be assumed that some firefighting resources will become scarce, resulting in the emergency and firefighting operations competing for resources.

3. Telephone communications may be interrupted.

4. FEMS 800 MHz radio communication may be interrupted in certain situations.

5. Bridge failures, traffic, landslides, damaged road systems, air traffic restrictions, and so forth, may hamper access, making conventional travel to the fire location extremely difficult or impossible.

6. The NCR-MAA defines efficient and effective mutual aid among the various local, state, and federal fire-suppression agencies. The MAOP requires the use of ICS in accordance with the National Incident Management System (NIMS), together with compatible firefighting equipment and communications.

## *IV. Concept of Operations*

### A. General

1. ESF #4 will manage and coordinate firefighting and fire suppression activities, by mobilizing fire and rescue resources in support of urban firefighting operations. ESF #4 will use established firefighting and support organizations, processes, and procedures. Responsibility for situation assessment and determination of resource needs lies primarily with incident commanders.

2. During activation of fire-related emergency notification protocols, the fire chief or designee will notify all senior command staff officials via established systems.

## B. Organization

FEMS is an integrated system of firefighting, rescue, and emergency medical units strategically located throughout the city. These units are continually staffed with highly-trained firefighters, emergency medical technicians, and paramedics. FEMS uses ICS to effectively manage and control resources at the scene of emergencies.

## C. Notification

1. The fire chief or designee will request support locally through the NCR-MAA through the Office of Unified Communications (OUC) and coordinated through the Homeland Security and Emergency Management Agency (HSEMA) when necessary.

2. Resources requested from outside the NCR will go through HSEMA according to the Emergency Management Assistance Compact (EMAC).

## D. Response Actions

### 1. Initial Actions

a. The ESF #4 Coordinator—a FEMS Emergency Liaison Officer (ELO) with the rank of fire captain or higher who has a working knowledge of SOGs, resources, and capabilities of FEMS—will do the following:

1. Locate at the HSEMA EOC within two hours of notification;

2. Establish communication links with primary and/or support agencies;

3. Establish communication links with the incident commanders;

4. Establish communications links with the FEMS senior command staff;

5. Obtain an initial fire situation and damage assessment through established intelligence procedures; and
6. Contribute to situation reports.

b. FEMS operations will do the following:

1. Provide command and control of incidents.
   - Institute an incident management system, including unified command as necessary.

2. Provide trained firefighters to the scene.
   - Maintain an adequate on-duty force as first responders.
   - Activate the FEMS' Mobilization Plan as necessary to call in off-duty personnel.

3. Provide sufficient firefighting apparatus to the scene, as required by immediate firefighting needs.
   - Maintain sufficient front-line fire apparatus for immediate response.

4. Perform search and rescue as necessary.
   - Provide trained search and rescue personnel to the scene.

5. Perform technical rescue as necessary.
   - Provide trained technical rescue personnel with appropriate equipment to the scene.

6. Provide emergency medical technicians and paramedics to the scene with appropriate equipment.
   - Perform triage and emergency medical treatment as necessary.

7. Provide EMS transport units to the scene, as required.
   - Perform emergency medical transportation as necessary.
   - Maintain sufficient in-service ambulances.

8. Determine if evacuations are needed.
   - Direct and coordinate as needed.

## 2. Continuing Actions

a. Obtain, maintain, and provide fire situation and damage assessment information through established intelligence procedures.

b. Determine and resolve, as necessary, issues regarding resource shortages, slow processing, and interagency conflicts.

c. Maintain close coordination with the support agencies.

d. Maintain a complete log of actions taken, resource orders, records, and reports.

e. Document resource expenditures.

f. Request additional resources as necessary from support agencies, mutual aid providers, EMAC, and federal agencies.

g. Procure and maintain sufficient reserve fire apparatus to enable additional units to be placed in service as required.

h. Activate mutual aid agreements to ensure additional immediate response if necessary from surrounding jurisdictions.

i. Procure and maintain an adequate stock of medical supplies.

j. Activate agreements for emergency resupply as needed.

k. Procure and maintain sufficient reserve ambulances to enable additional units to be placed in service as required.

l. Activate mutual aid agreements to enable requests for immediate mutual aid ambulance units.

m. Perform fire/arson investigation.

n. Maintain an on-duty investigation team for the duration of the investigation.

## *V. Responsibilities*

### A. Primary District Agency

**Fire and Emergency Medical Services Department (FEMS)—**FEMS responds to calls from residents, visitors, and organizations in the District. FEMS will provide an ELO to the HSEMA EOC to provide FEMS's operations status. The department accomplishes this responsibility through five areas of operations:

1. Fire Prevention—preventing fires before they occur;

2. Fire Suppression—extinguishing fires that do occur;

3. Special Operations—technical rescue;

4. Emergency Medical Services—providing state-of-the-art pre-hospital emergency medical treatment and transport services; and

5. Support Services—including administration, finance, communication, fleet maintenance, research and development, risk management, professional standards, management information and technology services, and departmental training.

## B. Support District Agencies

Support agencies will assist at the scene of a fire in accordance with their mission and responsibilities assigned under the DRP.

1. **Department of Consumer and Regulatory Affairs (DCRA)—**DCRA will provide engineers to assess structural damage and provide building plans as available for affected structures.

2. **Department of Health (DOH)—**DOH will coordinate health and medical assistance in the District as needed in firefighting efforts. This will be done through clinical assessment and management of health care facilities, mental health assistance for those affected, assessment of health and medical needs, and notification to local hospitals for mass medical care activities. DOH will establish Casualty Collection Points (CCP) in coordination with FEMS.

3. **Department of Human Services (DHS)—**DHS will assist in providing for evacuees including food, bedding, supplies, and transportation using contractual services of the American Red Cross of the National Capital Area.

4. **Department of Mental Health (DMH)—**DMH will coordinate mental health activities within the District though needs assessment and provision of critical incident stress management (CISM) for first responders and crisis counseling for victims/families and special vulnerable populations.

5. **Department of Public Works (DPW)—**DPW will provide on-site sand and salt for slippery conditions, and refueling as necessary. DPW will coordinate with DCWASA to ensure an adequate water supply is maintained to support firefighting efforts.

6. **District Department of the Environment (DDOE)—** DDOE will work to find air quality monitoring support among local and federal agencies, collect surface water runoff samples for analysis at a District contracted laboratory, and other support to monitor the affected area of contaminants. DDOE also will contact the National Response Center (NRC) to report the declared incident; and, if the On Scene Coordinator (OSC) is deployed, DDOE will coordinate with the OSC in the monitoring and analysis of data.

7. **District Department of Transportation (DDOT)—**DDOT will assist with traffic control and provide traffic operations support to the emergency location.

8. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will activate the EOC and require ESFs to staff the Consequence Management Team (CMT) and perform an assessment of the situation through Situation Reports (SITREPS), determining the immediate critical needs and the need for federal assistance. The Mobile Command Center may be dispatched to the scene to gather information on the type of hazardous material involved as well as other data.

9. **Metropolitan Police Department (MPD)—**MPD will provide site perimeter security, traffic control, staging area security, and assistance with emergency evacuations during and after a fire to protect the health and safety of persons and the integrity of the fire scene. MPD also will perform criminal investigations as necessary.

10. **Office of the Chief Medical Examiner (OCME)—**After the incident scene is secured and notification to OCME by MPD, OCME will respond to the scene and take charge of fatality management. OCME will coordinate all mass fatality efforts, including: investigating; establishing a temporary morgue(s); coordinating transportation of remains; performing postmortem examinations and identifications; securing evidence; certifying cause and manner of death; and releasing remains.

## C. Other Support Agencies and Organizations

1. **DC Water and Sewer Authority (DCWASA)—**DCWASA will ensure that adequate water supply is maintained to support firefighting efforts and will increase area pressure if required.

2. **Potomac Electric Power Company (PEPCO)—**PEPCO will provide an Emergency Response Team (ERT) to address electric power utility disconnects as necessary.

3. **Washington Gas Company (WGC)—**WGC will provide an ERT to address natural gas utility disconnects as necessary.

4. **Washington Metropolitan Area Transit Authority (WMATA)—**WMATA will respond with FEMS to any incident involving Metro property; provide backup resources when District agency resources, personnel, and equipment must be supplemented in response to an incident that impacts Metro property; and provide Metro buses, as needed, for evacuating the population.

5. **Washington Suburban Sanitary Commission (WSSC)—**WSSC supplies water for firefighting operations through a gridded system of hydrants. WSSC officials work with the incident commander to assure a sufficient supply of water for fire suppression operations.

## D. NCR Fire Departments

The following fire departments are signatories on the Metropolitan Washington Council of Governments Fire and Rescue MAOP. The intent of the Fire and Rescue MAOP is to ensure the fullest cooperation among fire prevention and suppression and emergency medical services agencies in the NCR. In the event of a major disaster, all departments in this MAOP will call upon each other for response and recovery support. The NCR fire departments included in this are:

1. City of Alexandria Fire Department;
2. Arlington County Fire Department;
3. The District of Columbia Fire and Emergency Medical Services Department;
4. City of Fairfax Fire Department;
5. Fairfax County Fire Department;
6. Frederick County Fire Department;
7. Loudoun County Fire Department;
8. City of Manassas Fire Department;
9. City of Manassas Park Fire Department;
10. Montgomery County Fire Department;
11. Prince George's County Fire Department;
12. Prince William County Fire Department;
13. Metropolitan Washington Airports Authority Fire Department; and
14. Naval District of Washington Fire Department.

## E. Primary Federal Agency

**U.S. Department of Agriculture/Forest Service (USDA)—**USDA is the coordinating federal agency for ESF #4 and will provide direct, technical, and other support to the District through ESF #4.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## F. Support Federal Agencies

1. **U.S. Army Golden Eagles – Engineering Battalion**—This resource can be accessed through HSEMA. They provide heavy equipment that can be used to assist FEMS operations.

2. **U.S. Environmental Protection Agency (USEPA)**—USEPA will provide direct, technical, and other support to the District through FEMS.

# Emergency Support Function #5
# Emergency Management

**Primary District Agency:** Homeland Security and Emergency Management Agency

**Support District Agencies:**
DC Public Schools
Department of Health
Department of Human Resources
Department of Human Services
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
District Department of Transportation
Executive Office of the Mayor
Fire and Emergency Medical Services Department
Metropolitan Police Department
Office of the Attorney General
Office of Cable Television and Telecommunications
Office of the Chief Financial Officer
Office of the Chief Technology Officer
Office of the City Administrator
Office of Communications, Executive Office of the Mayor
Office of Unified Communications
Serve DC

**Other Support Agencies and Organizations:**
American Red Cross of the National Capital Area
DC Housing Authority
DC Water and Sewer Authority
Potomac Electric Power Company
Washington Gas Company

**Primary Federal Agency:** U.S. Department of Homeland Security/Federal Emergency Management Agency

**Support Federal Agency:** District of Columbia National Guard

## *I. Introduction*

### A. Purpose

The District of Columbia Homeland Security and Emergency Management Agency (HSEMA) is the primary agency for Emergency Support Function (ESF) #5—Emergency Management. ESF #5 provides information on how the District will collect, analyze, process, and disseminate information about a potential or actual emergency to facilitate the overall activities of the District government in providing

assistance. ESF #5 also coordinates all planning and preparedness efforts and facilitates a common operating picture. This common operating picture will achieve situational awareness and, where possible, eliminate or minimize conflicting information received from numerous sources. Fulfilling this mission supports planning and decision making in the field, at operations centers, and by the Consequence Management Team (CMT).

### B. Scope

During emergency operations, ESF #5 becomes the Information and Planning Section of the CMT located at the Emergency Operations Center (EOC).

## *II. Policies*

For events occurring in or around the District of Columbia, ESF #5:

A. Activates the EOC as needed in anticipation of, or immediately following, an emergency.

B. Performs a lead coordination and facilitation function in support of District leadership.

C. Processes information that is common to one or more operational elements and that contributes to overall emergency situational awareness.

D. Collects, evaluates, and disseminates incident situation information and intelligence to the Command Staff and Mayor; prepares status reports; displays situation information; maintains status of resources; and prepares and implements the Incident Action Plan.

E. Provides technical expertise and information necessary to develop accurate assessment and analysis of a developing or ongoing situation.

F. Contacts other organizational elements to provide daily information updates for reporting and analysis requirements of ESF #5.

G. Determines the status of critical operating facilities.

H. Notifies the District community through the Emergency Text Alert, Voice Alert Systems and other means of communication that are available, as appropriate.

I. Manages the EOC, where the CMT and Agency Emergency Liaison Officers (ELOs) deploy.

# *III. Situation*

## A. Disaster Condition

An emergency or other significant event may be of such severity and magnitude as to require District response and recovery assistance to save lives and protect property. ESF #5 will support initial assessment of developing situations and will provide timely and appropriate information to support District agencies in determining whether regional or federal assistance will be required.

## B. Planning Assumptions

1. In an emergency situation, there is a need for a central-collection point in the EOC, where situation information can be compiled, analyzed, prioritized, and prepared for use by decision makers.

2. The field units are the most immediate source of vital information for the EOC staff regarding damage and initial response needs.

3. There will be an immediate and continuous demand by officials involved in response and recovery efforts for information about the developing or ongoing emergency situation.

4. There may be a need to rapidly deploy field observers or assessment personnel to the emergency area to collect additional critical information about resource requirements for victims or to conduct an immediate situation assessment to determine initial District response requirements.

5. Initial Information and Planning Section activities at the EOC may require 24-hour operations.

# *IV. Concept of Operations*

## A. General

1. HSEMA will collect, analyze, process, and disseminate information regarding hazard threats, emergencies, and disasters. Under the oversight of the Mayor, HSEMA will coordinate District assets to provide the necessary emergency assistance before, during, and after an emergency. HSEMA will lead development of the application for federal disaster assistance, if necessary.

2. Immediately upon arrival, emergency responders assess the situation to identify needs. Responders report to the incident commander, who informs HSEMA of the event's status. HSEMA will develop a situation assessment in order to:
   - Evaluate emergency impacts including the identification of injuries and boundaries of the damage area, type, and severity of damages, including the status of critical facilities;
   - Assess the status of government operations; and
   - Validate the status of operating facilities.

3. In the EOC, HSEMA gathers and displays critical information to facilitate response and recovery activities. If the decision is made to activate the CMT, information required by ESF #5 will be provided by other ESFs. HSEMA will report critical information as it develops, and develop situation reports that include, but not be limited to, the information charted below.

4. Each ESF will provide situational awareness reports to ESF #5.

5. The CMT will supply information to the Mayor's Office of Communications for dissemination. ESF #5 will prepare situation reports for the Mayor, City Administrator, and other key District officials. HSEMA and the public information officers (PIOs) will coordinate the input required for official statements for the District to ensure that information is clear and consistent. HSEMA will use all available modes of communication to disseminate the required information in a timely manner.

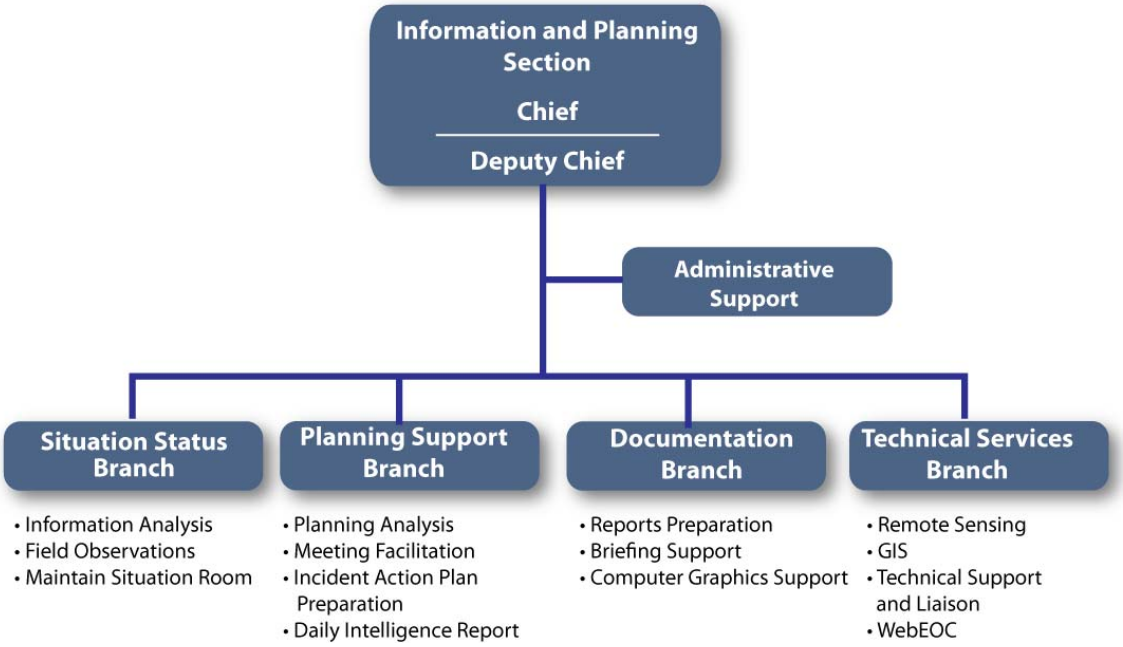
## B. Organization

Leadership for the Information and Planning Section rests with the Information and Planning Section Chief who reports directly to the Director of the CMT. A Deputy Information and Planning Section Chief shall support the Section Chief. A second deputy may be necessary in a situation where a night shift would be operating. Each branch should have a minimum of staff as the event requires.

### 1. Basic Organizational Structure for ESF #5

The organization chart in *Figure 5-1: ESF #5 Section Organization* shows a full Information and Planning Section that would operate at the EOC or alternate EOC location. The ESF #5 Section Chief may adjust the size and structure of the section to fit the needs of the specific situation. The Section Chief consults with the CMT Director to determine the timetable for situation report (SITREP) inputs, SITREP publishing times, and times for daily status briefings. These consultations may include discussions with the Office of the Mayor.

**Figure 5-1: ESF #5 Section Organization**




**2. Situation Status Branch**

a. Collects, analyzes, and displays information regarding the public emergency and the location of critical resources. Critical resources include special teams, task forces, deployed personnel, and data from resource tracking information maintained by the Logistics Section.

b. Maintains the Situation Room for information displays and collects and analyzes information to be used in the SITREPs, the status briefings, and by other responders.

c. Develops appropriate media for displaying information, including the overall CMT organizational chart and daily meeting information.

**3. Planning Support Branch**

a. Receives information from the Situation Status Branch and uses it to support the Mayor's and HSEMA's planning needs.

b. Analyzes mid- and long-term trends and assists team leadership in developing strategic plans.

c. Identifies critical planning issues and provides general planning for response and recovery operations support to the CMT.

d. Facilitates daily or special planning meetings.

e. Produces and disseminates daily incident action plans based on: other branches' functional plans; issue-based contingency plans; and long-range management plans for personnel or operational priorities.

f. Produces and disseminates a Daily Intelligence Summary or other reports as requested by the CMT Director and other disaster managers for distribution.

**4. Documentation Branch**

a. Receives information from the Situation Status Branch, as well as from other ESFs and other sources, to prepare its products, which include SITREPs, status and informal briefings, and special reports.

b. Uses agency and ESF status reports to describe response efforts in the SITREPs.

c. Solicits input and prepares the after-action report, which the CMT Director signs.

d. Maintains the information entered into WebEOC and monitors significant events and position logs.

**5. Technical Services Branch**

a. Maintains WebEOC, the Crisis Information Management System (CIMS) used during an emergency event.
- WebEOC will be the tool used to collaborate, coordinate, and communicate during an emergency event.
- WebEOC will be the primary system to enter and retrieve information related to an emergency event.

b. Establishes and maintains a Geographical Information Systems (GIS) capability within the Information and Planning Section, including:
- Providing GIS capability with critical infrastructure mapping integrated into WebEOC.
- Making copies of the maps, and maintaining all GIS programs in the EOC.
- Generating GIS products and analyses, including maps and tables, and/or coordinating with Federal Emergency Management Agency (FEMA) Headquarters Information Technology Services Directorate Mapping and Analysis Center to obtain these products.
- Providing hazard-specific technical advice to support operational planning.
- Using additional subject-matter experts or technical specialists such as a meteorologist or seismologist, as needed.

c. Facilitates plume modeling though the following sources:
   - National Atmospheric Release Advisory Center's (NARAC) hosted system accessed via the Internet.
   - Computer-Aided Management of Emergency Operations (CAMEO) system developed and distributed by the National Oceanic and Atmospheric Administration's (NOAA).

### 6. District ESF #5 Interface with Federal ESF #5

a. In circumstances where federal support to the District is necessary under the National Response Framework (NRF), the Information and Planning Section will contact the FEMA Region III Regional Response Coordination Center (RRCC) in Philadelphia and establish information sharing relationships with them. In events where coordination of immediate federal response is necessary, the Information and Planning Section will coordinate with the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC) though the NCR Watch Desk via established protocols.

b. In certain circumstances, such as a terrorist event, the CMT shall work in close coordination with the USDHS NRCC in Washington, D.C. The NCR Watch Desk at the NRCC shall be the reporting element through which CMT would report to USDHS about incidents and actions.

## C. Notification

HSEMA will notify relevant agencies in accordance with the Emergency Response Notification Matrix. The matrix identifies key personnel and agencies that are notified during a confirmed or unconfirmed event that could impact the District.

The Situational Reporting and Emergency Notification Standard Operating Procedure (SOP) establishes a framework for the HSEMA EOC to notify the Mayor, City Administrator, other members of the Executive Office of the Mayor, District agency directors, and other senior officials and staff at District government agencies as well as public utility agencies of events that affect public safety in the District.

The HSEMA EOC will be responsible for distributing information to District senior officials and regional partners. The Metropolitan Police Department (MPD) the District Department of Transportation (DDOT), the Department of Health (DOH) and the Office of Unified Communications (OUC) will not initiate any notifications to senior officials, but will send notifications only to their agency specific personnel. All members can post to the WebEOC Daily Operations Board any incident that could affect the District of Columbia or the National Capital Region.

HSEMA will make notifications through the emergency text alert system or by telephone for all incidents. The HSEMA EOC uses the emergency text alert system to send alert pages to any device that receives text messaging.

The District Alert System is a citizen notification system that also utilizes any device that receives text messaging through desktops, cell phones, and pagers. This system is accessed through dc.gov and 72hours.dc.gov and allows citizens to register for different types of pre-set alerts, including the following:

- Transportation accidents;
- Weather information;
- Utility outages;
- Government closures; and
- General alerts.

These alerts are informational and, in some cases, provide a protective action that could be sent to a particular neighborhood. The EOC will issue pages to any impacted neighborhoods.

## D. Response Actions

### 1. Initial Actions

The Information and Planning Section begins operations in the EOC when an emergency occurs or upon a pre-incident emergency declaration. In some instances, this could precede the onset of an emergency (e.g., during an approaching hurricane), and the HSEMA Information and Planning Section would operate a small monitoring section.

a. District CMT operations will be initiated, District ESF ELOs will staff the CMT and the Information and Planning Section will be activated. The section will initiate contact with the FEMA RRCC and/or USDHS NRCC through the NCR Watch Desk.

b. District ESF activities for Information and Planning begin at the EOC. District information processing operations shall commence simultaneously at the District EOC or other District-designated locations. Then the CMT, including key Information and Planning staff, may be deployed to the emergency response locations.

c. In cases where the District must coordinate with USDHS, the Information and Planning Section initiates communications with the NCR Watch Desk officer in the USDHS NRCC and establishes initial liaison with the FEMA RRCC and/or the Emergency Response Team–Advance (ERT-A).

### 2. Continuing Actions

Information and Planning Section actions last as long as necessary. Over time, emergency operations will transition from response to recovery. This transition does not change the Information and Planning mission, nor does it affect the basic functions of information gathering, analysis, dissemination, and planning. As the tempo of disaster operations slows, the staff of the Information and Planning Section is gradually reduced.

a. The focus shifts to the economic impact of the emergency, program delivery effectiveness, and identifying recovery issues. Normally, there will be an increased need for specific economic and demographic information provided by the Technical Services Branch.

b. The emphasis in planning during the recovery phase shifts from the daily incident action plan to long-range management plans. Staff within individual branches will do much of this planning; Information and Planning Section staff collates the information and facilitates the process.

c. Situation reporting and formal briefings should continue through the recovery phase, although the frequency of both should be gradually reduced.

d. Facilitate emergency management by coordinating District-wide Continuity of Operations (COOP) implementation.

## *V. Responsibilities*

### A. Primary District Agency

**Homeland Security and Emergency Management Agency (HSEMA)**—HSEMA has the responsibility for collecting, analyzing, processing, and coordinating the dissemination of information regarding emergencies. Under the direction of the Mayor, HSEMA will coordinate District assets to provide the necessary emergency assistance before, during, and after the occurrence of emergencies. HSEMA will execute actions to facilitate access to the federal disaster assistance process upon depletion of District resources.

### B. Support District Agencies

1. **DC Public Schools (DCPS)**—DCPS will provide student awareness programs of hazards particular to the District through disaster preparedness training, presentations, and communications, and will provide regular status updates on DCPS resource needs and issues directly affecting District schools and students, including information on school closings, restrictions, shelters, and so forth. Additionally, school buildings may be used as shelters and DCPS buses may be used for emergency transportation.

2. **Department of Health (DOH)**—DOH will function as a medical consultant; assist in collecting health and medical related information; develop plans; and assist in disseminating health and medical related information to the public, through ESFs #5 and ESF #15—External Affairs.

3. **Department of Human Resources (DHR)**—The DHR will manage all personnel issues that arise during emergency operations, including union and management relations, leave policies, personal and workplace safety, special payroll provisions and temporary hiring, and workplace relocation issues.

4. **Department of Human Services (DHS)**—DHS will provide HSEMA information on social service providers relative to any risk associated with any emergency, including but not limited to situations involving special needs populations. DHS will plan any contingency services for these populations. DHS will provide information on social services through its command center to HSEMA and the Joint Information Center (JIC). DHS will also collect and analyze social services information to plan public awareness of emergencies and it will produce and disseminate information to the public. In addition, DHS is the primary agency for ESF #6—Mass Care, Emergency Assistance, Housing and Human Services coordinating the district's effort to provide mass care needs (including but not limited to shelter and food) to victims of a public emergency.

5. **Department of Mental Health (DMH)**—DMH will provide the CMT with a regular assessment of first responders' "burn out" symptoms and report on counseling and preventative mitigating actions for the public.

6. **Department of Parks and Recreation (DPR)**—DPR will provide updates to ESF #5 on their emergency operation activities, including parks and recreation sites, personnel, and equipment. Additionally, they may provide facilities for shelters.

7. **Department of Public Works (DPW)**—DPW will provide updates to ESF #5 on their disaster operation activities, including debris removal and disposal operations.

8. **District Department of Transportation (DDOT)—**The DDOT Public Information Officer will assist in gathering and disseminating public transportation information. DDOT will provide updates and transportation-related information to ESF #5.

9. **Executive Office of the Mayor (EOM)**—The EOM will be the executive-level resource ensuring the planning and the cooperative coordination of all District agencies. The EOM has ultimate responsibility to ensure continuation and restoration of services from District agencies. The Mayor's Communications Director serves as spokesperson for the Mayor on all

activities of DC government agencies. HSEMA will coordinate the release of emergency public information concerning consequence management with the Communications Director.

10. **Fire and Emergency Medical Services Department (FEMS)**—The FEMS Public Information Officer will take the lead in disseminating FEMS information to the public through the JIC. FEMS will provide regular field status updates to HSEMA via its communications center and/or incident command post.

11. **Metropolitan Police Department (MPD)**—MPD will provide all pertinent information concerning police activities and emergency or emerging situations to HSEMA to disseminate to city officials, the press, other agencies, and the public. Also, MPD's Public Information Officer will be available to answer questions and provide information to the public, coordinated through the JIC in ESF #15—External Affairs.

12. **Office of the Attorney General (OAG)**—OAG will provide legal advice and take legal action for supporting agencies, unless lawyers in the supporting agencies normally perform these functions for their agencies. They will provide legal advice and take legal action for the District government.

13. **Office of Cable Television and Telecommunications (OCTT)**—The OCTT will utilize Channel 16 and Channel 13 to cablecast emergency information as it becomes available. News briefings by city officials, including the Mayor, the City Administrator, and other top officials, will be cablecast live over both channels, preempting regular programming, as required.

14. **Office of the Chief Financial Officer (OCFO)**—The OCFO will be the lead agency to ensure that disbursement of District funds continues in an orderly manner, including employee pay, vendor payments, and direct transfers. The OCFO will coordinate with the Office of Contract and Procurement to ensure that unforeseen and emergency procurements of critical goods are effected as quickly as possible.

15. **Office of the Chief Technology Officer (OCTO)**—OCTO will develop and enforce policies and standards for information technology in the District government. OCTO will ensure provisions of adequate communications to support District response operations, including providing GIS capabilities and a Wide-Range Area Network Support Center.

16. **Office of the City Administrator (OCA)**—The OCA will perform the EOM's oversight and advisory functions for the information and planning facets of the DRP.

17. **Office of Communications (OC), Executive Office of the Mayor**—The OC will establish and manage a JIC to release critical information to the public and the media under the direction of the Mayor's Communications Director.

18. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

19. **Serve DC**—Serve DC will provide ESF #5 information on volunteer availability and provide donations management information to responding agencies. The agency will keep a cadre of trained ELOs and respond to the EOC when necessary.

## C. Other Support Agencies and Organizations

1. **American Red Cross (ARC) of the National Capital Area—**ARC in coordination with HSEMA will provide information on its assistance efforts under: ESF #6—Mass Care, Emergency Assistance, Housing and Human Services; ESF #8—Public Health and Medical Services; ESF #11—Food; and ESF #16—Volunteer and Donations Management.

2. **DC Housing Authority (DCHA)**—DC Housing Authority manages and provides subsidized public housing for low-income, elderly, and disabled District residents. Additionally, DCHA possesses contracts to identify temporary housing and provide housing counseling.

3. **DC Water and Sewer Authority (DCWASA)**—DCWASA will be available in the HSEMA EOC to coordinate information with DCWASA's Command Center to restore service. DCWASA will collect, analyze, and disseminate information to the EOC to aid in the overall response and recovery operations.

4. **Potomac Electric Power Company (PEPCO)—**PEPCO provides electrical services to the public and businesses of the District. PEPCO will ensure communications with the EOC and provide an ELO to the EOC to ensure effective communications and coordination of public emergencies, specifically monitoring the power grid and its impact on the District. PEPCO will provide operational/restoration information reports on response activities to the EOC. Additionally, PEPCO will help HSEMA prepare an impact statement outlining the effects of a long-term power outage on government operations and on the potential threat to the health, welfare, and safety of citizens in the affected areas.

5. **Washington Gas Company (WGC)**—WGC will be available in the HSEMA EOC to coordinate information on the company's efforts to restore service. WGC will collect, analyze, and disseminate information to the EOC, to aid in the overall response and recovery operations.

### D. Primary Federal Agency

**U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**USDHS/FEMA is the primary federal agency for ESF #5 and will provide direct, technical, and other support to the District through the District counterpart ESF #5, as needed.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

### E. Support Federal Agency

**District of Columbia National Guard (DCNG)—**The DCNG will provide support during an emergency at the request of HSEMA. DCNG will provide to the HSEMA EOC information on its efforts under the ESF assignments.

## *VI. Terms and Definitions*

### A. Types of Plans Employed during EOC Operations

1. **Contingency Plan—**Targets a specific issue or event that arises during the course of emergency operations and presents alternative actions to respond to the emergency.

2. **Functional Plan—**A subset of the action plan developed by individual elements, setting out their operational priorities for addressing the most pressing problems.

3. **Incident Action Plan—**A verbal or written plan reflecting the Mayor's priorities with tactical objectives for the next operational period being implemented through the HSEMA/CMT Director.

4. **Long-Range Management Plan—**The Mayor shall approve the Long-Range Management Plan, which the CMT will use in a large-scale disaster to address internal staffing and disaster organization and team requirements.

5. **Strategic Plan—**Addresses long-term issues such as impact of weather forecasts, time-phased resource requirements, and problems such as permanent housing for displaced disaster victims, environmental pollution, and infrastructure restoration.

## B. Essential Elements of Information

To assess quickly and accurately the effect of an emergency on the area's population and infrastructure, emergency managers require early intelligence essential element of information (EEI) on the areas noted below. This information facilitates accurate assessment of what response activities and material are required to save lives, relieve human suffering, protect property and the environment, and expedite response and recovery operations.

During the early hours of a disaster and in the absence of "ground truth," information such as actual on-site surveys or imagery, GIS, computerized predictive modeling, and damage estimation software may be used to develop *initial* damage estimates. As soon as possible, actual on-site ground surveys will be performed. Sources may include a federal-district preliminary damage assessment and information from federal and District government agencies, among others, to establish "ground truth" for the following EEI as needed:

- Location of the impacted area;
- Social, economic, and political impacts;
- Jurisdictional boundaries involved;
- Status of transportation systems and critical transportation facilities;
- Status of communications systems;
- Access points to the disaster area;
- Status of operating facilities;
- Hazard-specific information;
- Weather data affecting operations;
- Seismic or other geophysical information;
- Status of critical facilities and distribution systems;
- Status of remote sensing and reconnaissance activities;
- Status of key personnel;
- Status of ESF activation;
- Status of disaster or emergency declaration;
- Major issues and activities of ESFs;
- Resource shortfalls and status of critical resources;
- Overall priorities for response;
- Status of upcoming activities;
- Donations;
- Historical and demographic information;
- Status of energy systems;
- Estimates of potential impacts based on predictive modeling (as applicable);
- Status (statistics) on recovery programs (human services, infrastructure, Small Business Administration);
- Status and analysis of initial assessments (needs assessments and damage assessments, including preliminary damage assessments); and
- Status of efforts under federal emergency operations plans, if known.

## Figure 5-2: ESF Essential Elements of Information

| Essential Elements of Information | ESF Provider | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
| Status of transportation systems | ✓ | | | | | ✓ | ✓ | ✓ | | | | ✓ | ✓ | | | |
| Status of communication systems | | ✓ | | ✓ | ✓ | | | | | | | | ✓ | | | |
| Access points to emergency areas | ✓ | | ✓ | ✓ | | | | | ✓ | ✓ | | | ✓ | | | |
| Status of operating facilities | ✓ | ✓ | ✓ | ✓ | | ✓ | | | | | | | | | | |
| Hazard-specific information | | | ✓ | ✓ | | | | ✓ | | ✓ | | | ✓ | | | |
| Status of critical facilities | | | | ✓ | ✓ | | | | | | | | | | | |
| Status of key personnel | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Status of emergency/ disaster declaration | | | | | ✓ | | | | | | | | | | | |
| Major issues/activities of ESFs | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Resource shortfalls | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Overall priorities for response | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Status of upcoming events | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Location of the impacted area | ✓ | | ✓ | ✓ | | ✓ | | ✓ | | ✓ | | ✓ | ✓ | | | |
| Social, economic, and political impacts | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Jurisdictional boundaries involved | ✓ | | ✓ | ✓ | | ✓ | | ✓ | | ✓ | | ✓ | ✓ | | | |
| Weather data affecting operations | | | | | ✓ | | | | | | | | | | | |
| Seismic or other geophysical information | | | | | ✓ | | | | | | | | | | | |
| Status of remote sensing and reconnaissance activities | ✓ | | ✓ | ✓ | ✓ | | | | | | | | ✓ | | | |
| Status of ESF activation | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Donations | | | | | | | | | | | | | | | | ✓ |
| Historical and demographic information | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

| Essential Elements of Information | ESF Provider | | | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
| Status of energy systems | | | ✓ | | | | | | | | | ✓ | | | | |
| Estimates of potential impacts based on predictive modeling | | | | | ✓ | | | | | | | | | | | |
| Status (statistics) on recovery programs (human services, infrastructure, Small Business Administration) | | | | | ✓ | ✓ | | | | | | | | ✓ | ✓ | ✓ |
| Status and analysis of initial assessments (needs assessments and damage assessments, including Preliminary Damage Assessments) | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Status of efforts under federal emergency operations plans | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |
| Injuries and medical emergencies | ✓ | | ✓ | ✓ | | ✓ | | ✓ | ✓ | ✓ | | ✓ | ✓ | | | |
| Crowd control problems | | | ✓ | | | | | | | | | | ✓ | | | |
| Citizen assistance requests | | | | | | | | | | | | | | ✓ | ✓ | |
| Logistical problems | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ | ✓ |

# Emergency Support Function #6
# Mass Care, Emergency Assistance, Housing and Human Services

**Primary District Agency:** Department of Human Services

**Support District Agencies**:
Child and Family Services Agency
DC Public Libraries
DC Public Schools
Department of Corrections
Department of Employment Services
Department of Health
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
Department of Youth Rehabilitation Services
District Department of Transportation
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Metropolitan Police Department
Office of Property Management
Office on Aging
Office on Asian and Pacific Islander Affairs
Office on Latino Affairs
Office of Unified Communications

**Other Support Agencies and Organizations:**
American Red Cross of the National Capital Area
Consortium of Universities of the Washington Metropolitan Area
DC Housing Authority
DC Voluntary Organizations Active in Disaster and Its Member Agencies

**Primary Federal Agency:** U.S. Department of Homeland Security/Federal Emergency Management Agency

**Support Federal Agency:** District of Columbia National Guard

## *I. Introduction*

Emergency Support Function (ESF) #6—Mass Care, Emergency Assistance, Housing and Human Services coordinates the District's efforts to provide mass care needs to

victims of an emergency. These services could include, but are not limited to, providing shelter, food, and emergency first aid assistance to those impacted by an emergency. ESF #6 also covers other basic needs and services such as food, drinking water, temporary sewage/waste management receptacles, basic medical and hygiene needs, and related services. Additionally, ESF #6 supports the establishment and maintenance of systems to provide bulk distribution of emergency disaster relief supplies to disaster victims and response personnel and the collection of information to operate a Disaster Welfare Information (DWI) system for the purpose of reporting victim status and assisting family reunification.

## A. Purpose

The purpose of ESF #6 is to promote and ensure a coordinated District capability to provide mass care, housing, and human service assistance to victims that have been impacted by an emergency, including a Weapons of Mass Destruction (WMD) event.

## B. Scope

1. ESF #6 promotes the delivery of services and the implementation of programs to assist individuals, households, and families impacted by potential or actual incidents. This includes economic assistance and other services for individuals impacted by the incident. ESF #6 includes three primary functions: mass care, housing, and human services.

   Initial response activities will focus on meeting urgent needs of disaster victims on a mass care basis. Initial recovery efforts will commence as response activities are taking place. As recovery operations are introduced, close coordination will be required between those organizations responsible for recovery operations and voluntary organizations, such as the American Red Cross and other national voluntary organizations, local religious and civic groups, and other entities providing recovery assistance, including federal government agencies.

2. Mass care involves the coordination and provision of services to include sheltering of victims, organizing feeding operations, providing emergency first aid at designated sites, collecting and providing information on victims to family members, and coordinating bulk distribution of emergency relief items. It specifically includes the following:

   a. Emergency shelter for disaster victims using pre-identified shelter sites in existing structures, creating temporary facilities, or construction of temporary shelters, and, in the event of an evacuation, using similar facilities outside the disaster affected area. Coordinate, with the assistance of ESF #6 support agencies, temporary services to victims such as drinking water, temporary sewage/waste management

receptacles, basic medical, and personal hygiene needs. Types of mass care shelters include overnight shelters, evacuation shelters, reception centers, and evacuation transfer stations. (Medical needs that require specialized care must be handled by ESF #8—Public Health and Medical Services. This includes the sheltering of any individual with medical conditions requiring specialized care where the individual is neither self-sufficient nor has a care-giver with them).

b. Food will be provided to disaster victims and emergency workers through a combination of fixed sites, mobile feeding units, and bulk distribution of food and potable water. Such feeding operations will apply sound nutritional standards and will, to the extent possible, meet requirements of disaster victims with special dietary needs.

c. Emergency first aid will be provided to victims and emergency workers at mass care facilities and at designated sites within the emergency area. This service will be supplemental to, or in conjunction with, emergency health and medical services established to meet the needs of disaster victims under ESFs #4—Firefighting and ESF #8—Public Health and Medical Services.

d. DWI regarding individuals residing within the affected area will be collected and provided to immediate family members outside the affected area through a DWI system. DWI also will be provided to aid in the reuniting of family members within the affected area who were separated at the time of the emergency. In addition, the DWI system also will be used to assist pet owners in tracking down pets lost as a result of an emergency and found by District employees or brought to the attention of the District by citizens or response personnel. The Department of Human Services (DHS) and the American Red Cross will coordinate the dissemination of DWI through ESF #5—Emergency Management, ESF #15—External Affairs, and ESF #16—Volunteer and Donations Management to both inform the public and receive inquiries.

e. Sites will be established within the affected area for bulk distribution of emergency relief items to meet the urgent needs of disaster victims. These items may include clothing, blankets, basic medicine, food and dietary supplements, and so forth.

f. Mental health professionals will provide support for the mental health needs of disaster victims. This support includes monitoring the mental health of first responders, support agency staff, and volunteers.

3. Housing involves the provision of assistance for short-term and transitional housing needs of victims.

4. Human services include providing victim-related recovery efforts such as counseling, identifying support for persons with special needs, and expediting mail services in affected areas.

5. Family Assistance Centers will provide a full-range of primary recovery services including reunification of families following an emergency.

6. ESF #6 will be used in transitioning from basic mass care services to longer-term recovery services.

7. The policies and responsibilities detailed in this annex are supported by a number of agreements that detail response timing and procedures. These subordinate documents include:
   - Agreement between the American Red Cross and the District on the Administration of Shelter Care;
   - Agreements between the District and county municipal governments in Maryland and Virginia; and
   - American Red Cross shelter guidelines and policies.

## *II. Policies*

A. ESF #6 will provide mass care activities and services without regard to color, national origin, sex, age, marital status, personal appearance, sexual orientation, familial status or responsibilities, disability, matriculation, animal ownership, economic status, or racial, religious, political, ethnic, or other affiliation. All mass care activities and services will be provided with reasonable accommodations for individuals with special needs and compliant with universal design principals where practicable.

B. ESF #6 support may vary depending on an assessment of incident impact(s), the magnitude and type of event, and the stage of the response and recovery efforts.

C. All mass care activities and services will be provided in accordance with existing District and federal rules and regulations.

D. District and non-governmental organizations' (NGOs) personnel will be expected to support ESF #6 functions in accordance with the rules and regulations of their respective parent agencies.

E. District department and agency personnel assigned to ESF #6 shall be self-sufficient for a minimum of 72 hours following an emergency occurrence.

F. All appropriate governments, volunteers, and private sector resources will be utilized, as available.

G. The DWI system is established and operated by the American Red Cross. The DWI system will consist of those persons identified on shelter lists, National Disaster Medical System (NDMS), casualty lists, and any other information made available by District or federal emergency management agencies and hospitals. This information will be collected, verified, and made available to immediate family members upon the consent of the sought person within or outside the affected area. Since it is consent-based, people will have the opportunity to opt out by withholding consent.

Information on those injured and remaining within the affected area will be limited to information provided by local medical units to the DWI system. Information on casualties evacuated from the affected area to other medical facilities will be restricted to information provided by the appropriate tracking capabilities. The listing of public emergency-related deaths will be limited to officially confirmed fatalities. The DWI operation will be discontinued as soon as it is practical.

H. The Homeland Security and Emergency Management Agency (HSEMA) is responsible for coordinating with other ESFs directly, or through ESF #5—Emergency Management, regarding response, recovery, and mitigation assistance, as appropriate. The success of ESF#6 activity is contingent upon strong coordination with ESFs #8—Public Health and Medical Services, ESF #11—Food, ESF #14—Long-Term Community Recovery and Mitigation, ESF #15—External Affairs, and ESF #16—Volunteer and Donations Management.

## *III. Situation*

### A. Disaster Condition

1. The magnitude of the emergency will be such that the District will be too overwhelmed to assess the emergency and respond effectively to basic human needs using routine operations. Damage to roads, airports, communications systems, and so forth will hamper emergency response efforts. The movement of emergency supplies may be seriously impeded. People's homes may be destroyed or damaged to the point that entry will not be safe. People may not be able to access homes and other buildings due to damage to the city's infrastructure and transportation systems.

2. Hundreds or thousands of emergency victims will be forced from their homes, depending on such factors as time of occurrence, area demographics, building construction, and existing weather conditions. There may be large numbers of dead and injured, which will leave large numbers of specialized population groups (e.g., elderly, children, interned)

without support. Families may be separated and unable to reunite, communications systems may be damaged or destroyed such that individuals will not be able to locate their friends or families or be able to identify alternative housing, feeding, emergency medical care, or other basic needs. Hundreds or thousands of transients such as tourists, students, foreign and domestic visitors, and homeless persons may be involved.

## B. Planning Assumptions

1. An emergency occurs that produces significant casualties and widespread damage. Individuals may develop serious physical, emotional, or psychological problems requiring specialized medical services.

2. Mass care facilities will receive priority consideration for structural inspections to ensure safety of occupants.

3. Mass care operations and logistical support requirements will be given high priority by city agencies.

4. Primary city shelter facilities will be available, and/or alternative, secondary sites will be identified in the District or in cooperation with neighboring government counties and states in adjacent locations outside the District.

5. It is likely that during a disaster a significant portion of dislocated residents and visitors will not be self-sufficient during the initial 72 hours. DHS and support agencies, in conjunction with local voluntary organizations, will need to be able to coordinate the evacuation and registration of victims, administer emergency first aid treatment and mental health counseling, and provide other initial mass care needs for at least the first 72 hours after an emergency.

6. For significant emergencies, it is anticipated that federal and national assistance will be forthcoming to support mass care operations, including assistance from the American Red Cross of the National Capital Area, and the federal government under the auspices of the National Response Framework (NRF) and the Stafford Act.

7. Historically, shelter stays by District residents have been 72 hours or less. However, for certain catastrophic events, the restoration of basic infrastructure (e.g., communications, roads, transportation services, and electricity) may take days, weeks, or even months. Ongoing assistance under ESF #6 may be required as response activity transitions to recovery activity.

8. If some percentage of the sheltered population requires shelter for an extended period of time, interim housing will be coordinated with the American Red Cross, the DC Housing Authority, and appropriate partners from the commercial sector. Additionally, as part of their housing regulatory and inspection mission, the Department of Consumer and Regulatory Affairs possesses contracts for hotel accommodations that may be utilized for short term or interim housing.

9. Individuals will be anxious to identify the location and health/condition of friends, family, and loved ones. The makeup of the dislocated will likely be diverse and will require attention to cultural, ethnic, language, and other related needs.

10. DHS and support agency staff will be trained and certified by the American Red Cross in shelter management and emergency relief and support services.

11. There are agreements in place between the American Red Cross and the agents of the District government for the administration of shelter care, including shelter registration and the implementation of a DWI system.

12. Verbal or written mutual aid agreements exist between the District government and federal law enforcement agencies and surrounding county municipal governments in Maryland and Virginia.

## *IV. Concept of Operations*

### A. General

1. Initial response activities focus on meeting urgent mass care needs of victims.

2. Recovery efforts are initiated concurrently with response activities. Close coordination is required among those local, state, and federal agencies responsible for response operations and recovery activities, and other nongovernmental organizations providing assistance.

3. ESF #6 functions are divided into three main areas. The principal activities for each functional area are described in the following sections.

    a. Mass care—The ESF #6 mass care function includes overall coordination, shelter, feeding, and other activities to support emergency needs of victims as described below:

        i. Coordination: This includes coordination of local, state, and federal assistance in support of mass care services, and the

gathering of information related to sheltering and feeding operations in the impacted area.

ii. Shelter: Emergency shelters, reception centers, and safe havens include the use of pre-identified shelter sites in existing structures, the creation of temporary facilities or the temporary construction of shelters, and the use of similar facilities outside the incident area, should evacuation be necessary.

- Ensure registration of all shelter residents upon arrival.
- Maintain a system for checking residents in and out when they leave for any period of time.
- Manage the system of record keeping for shelter registrations.
- Set up and organize shelter areas including sleeping areas, recreations/play areas, feeding areas, etc.
- Ensure the safety, security, and sanitation of the shelter.
- Procure, store, and distribute supplies and equipment at the shelter.
- Work with the representatives of the facility to ensure that the building is maintained properly.
- Establish protocols for interacting with the news media to minimize disruption of shelter operations and protect privacy of shelter residents.

iii. Feeding: Feeding is provided to victims through a combination of fixed sites, mobile feeding units, and bulk distribution of food. Feeding operations are based on sound nutritional standards to include meeting requirements of victims with special dietary needs to the extent possible.

- Supervise on-site food preparation and service for shelter residents and workers.
- Advise the logistics supervisor of needed supplies.
- Ensure that food ordering system is established and implemented.
- Keep accurate records of food and supplies received and expended.
- Prepare and monitor the food service staff work schedule.

iv. Emergency First Aid: Emergency first aid, consisting of basic first aid and referral to appropriate medical personnel and

facilities, is provided at mass care facilities and at designated sites.

v. DWI: DWI collects information regarding individuals residing within the affected area and provides it to immediate family members outside the affected area. The system also aids in reunification of family members within the affected area.

vi. Bulk Distribution: Emergency relief items to meet urgent needs are distributed through sites established within the affected area. These sites are used to coordinate mass care food, water, and ice requirements, and distribution systems with federal, state, local, and tribal governmental entities and NGOs.

b. Housing—The ESF #6 housing function addresses needs of victims in the affected areas, and is accomplished through the implementation of programs and services designed to:

i. Provide assistance for the short-term and transitional housing needs of victims.

ii. Identify the various factors that could impact the incident-related housing needs and help develop a plan of action to provide housing assistance in the most effective, expedited, and efficient manner available at the time.

iii. Identify solutions for short-term and transitional housing for victims, as appropriate. Housing assistance provided to victims may include referral or direct service to rental assistance, temporary housing, loans for the repair and/or replacement of primary residences, etc.

c. Human Services—The ESF #6 human services component implements programs and provides services to assist victims. This includes, but is not limited to:

i. Coordinating and assessing the situation and implementing an appropriate plan based on the resources available to assist all victims.

ii. Supporting various services impacting individuals and households, including a coordinated system to address victims' incident-related recovery efforts through crisis counseling and other supportive services.

iii. Identifying and coordinating the needs of individuals with special needs within the impacted area, to include the elderly, people with disabilities, and people communicating in languages other than English (including sign language).

iv. Supporting immediate, short-term assistance for individuals, households, and groups dealing with the anxieties, stress, and

trauma associated with a disaster, act of terrorism, and/or incident of mass criminal violence.

v. Supporting expedited processing of new federal, state, and local benefits claims (e.g. Social Security, veterans benefits, disaster unemployment assistance, and federal tax refunds).

vi. Supporting federal, state, and local efforts to provide assistance and crime victim compensation in incidents resulting from terrorism or acts of mass criminal violence, as appropriate.

vii. Ensuring water, ice, and other emergency commodities and service requirements are delivered to appropriate entities.

viii. Providing support to expedite mail services in affected areas.

ix. Establishing Family Assistance Centers when appropriate.

4. As part of routine operations, the District Office of Property Management (OPM), the District Department of Parks and Recreation, and DC Public Schools, in agreement with the American Red Cross, and in accordance with American Red Cross protocols, routinely survey designated shelter space in the District in preparation for a potential event that will require the temporary sheltering of citizens. In addition, the Office of Contracting and Procurement (OCP) establishes procurement agreements from compiled lists of potential supplies, resources, and supply vendors that will be able to provide goods and services in the event of an emergency.

5. The shelter management team will: maintain liaison with and coordinate requests for assistance through the HSEMA Emergency Operations Center (EOC) for food, clothing, and medical assistance; provide assistance in the dissemination of public emergency assistance information; provide an evacuees locator service for family members and public officials; maintain and submit records of shelter operations and resource expenditures; and close the shelter(s) when they are no longer needed. Shelters operated by the American Red Cross will follow American Red Cross guidelines and policies.

## B. Organization

1. At the District level, DHS, assisted by the American Red Cross and HSEMA, will coordinate all ESF #6 activity. Since support agencies will be represented at the EOC, DHS will maintain contact with those representatives, as necessary, at those locations for the duration of the emergency response period. Support agency representatives will have sufficient knowledge of the capabilities and resources of their agencies, with appropriate authorities to commit resources to the response effort.

2. If a presidential disaster declaration is issued, DHS is the point of contact (POC) within the District and will represent this ESF in its dealings with the District Consequence Management Team (CMT) operating from the EOC. The DC Coordinating Officer (DCCO) will coordinate requests to the Federal Coordinating Officer for federal assistance from the District to the Federal Emergency Management Agency (FEMA). DHS will have an ESF #6 Emergency Liaison Officer (ELO) present or available for duty at the Joint Field Office (JFO) on a 24-hour basis for the duration of the emergency response period.

3. There are designated shelters in every ward in case of major disruptions impacting citizens' safety. DHS, with support from the American Red Cross, the Salvation Army, and HSEMA will direct the delivery of food, cots, blankets, and other supplies for sheltered individuals. If the situation warrants, ESF #6 will coordinate with HSEMA to request that the DC National Guard (DCNG) deploy mobile food kitchens to assist with the food programs and help with shower facilities and decontamination if needed.

4. Following ESF #6 activation, the primary agencies convene at the direction of the CMT or the lead agency to evaluate the situation and respond accordingly.

5. Primary and support agencies are available on an "as needed" basis for the duration of the emergency response period.

6. ESF #6 will provide an ELO to the HSEMA EOC, as required.

## C. Notification

1. Upon notification from HSEMA, DHS will notify designated staff, including the emergency coordinator and the ESF #6 ELO, to initiate response operations. The ELO will immediately deploy to the HSEMA EOC and serve as the primary POC, information gatherer, and coordinator for DHS and ESF #6 response operations.

2. The DHS Emergency Coordinator will notify DHS staff in support of ESF #6 operations depending on the event and he/she will coordinate with the American Red Cross and other agencies, as required.

## D. Response Actions

### 1. Initial Actions

a. DHS, supported by HSEMA, will assess the emergency situation and assess mass care response needs.

b. The American Red Cross will provide technical assistance and advice to DHS and other District and voluntary response organizations.

c. DHS, as necessary, will authorize emergency food stamps and vouchers to individuals and families to purchase food on the open market as required.

d. DHS and support agencies also may provide other disaster relief supplies that may be needed by individuals residing in the shelters.

e. In the event of an emergency within the city, in which many of the pre-designated shelters have been damaged or destroyed, DHS will work in conjunction with HSEMA to identify additional, alternative locations within the District or to coordinate with neighboring communities and governments to identify potential shelter locations and facilities.

f. As opportunities present themselves, DHS, in concert with the Department of Health (DOH) and appropriate animal services organizations, will help displaced families locate lost pets and provide information on lost pets returned to the city's care.

g. DHS will provide planning information to ESF #5—Emergency Management for the evacuation of victims, including the elderly, persons with disabilities, and children in DHS managed buildings, as necessary.

h. HSEMA has designated shelters in every ward in case of a major disturbance or emergency impacting citizen safety. When conditions warrant, DHS and the American Red Cross will operate the established community-based emergency/disaster shelters for residents. Persons needing shelter are asked to bring clothing, bathing and sanitary supplies, pre-filled prescriptions and other medical needs, denture and eye care materials, and special dietary supplies or requirements. Guide dogs are permitted in shelters. If the situation warrants, HSEMA will coordinate a request for the DCNG to deploy mobile food kitchens to assist with the feeding program and shower facilities.

i. As needed, mobile food kitchens and other mass care support will be provided outside the shelter system to support response personnel and individuals in need of such services outside of shelters.

j. As required, DHS will coordinate with HSEMA and the District Department of Transportation (DDOT) and ESF #1—Transportation

to identify helipad locations for use of helicopter landings for the delivery and pick up of people and goods on an as-needed basis.

**2. Continuing Actions**

a. DHS, with the support of the American Red Cross, will continue to operate the shelters once recovery operations commence and families and individuals can return to their homes, find temporary housing, or seek alternative arrangements.

b. DHS with the support of the American Red Cross will continue to coordinate the relocation and reuniting of families until all displaced conditions are resolved.

c. This effort will include continued assistance to non-residents (e.g., tourists, visitors, etc.) caught in the emergency and stationed in the shelters until they are able to return to their homes or next destination.

## *V. Responsibilities*

### A. Primary District Agency

1. **Department of Human Services (DHS)—**DHS will coordinate ESF #6 for the District. DHS will ensure that any shelter is appropriately staffed to direct the operation of the facility:

- Staff will be prepared to register all shelter occupants, either individually or by family. Information on the registration form will include each occupants needs for health services, any special medications or medical equipment requirements, contagious diseases, physical disabilities, or other special needs.
- Coordinate with the American Red Cross of the National Capital Area to assist in administration of the shelter and registration.
- Coordinate supervision and services for persons in emergency shelters with special needs.
- Coordinate with ESF #8—Public Health and Medical Services for medical needs shelters and support ESF #8 with materials, supplies, and food for such shelters.

DHS will reasonably assure that individuals have access to health care, required medications, and appropriate food, especially for people with special needs. The agency will coordinate and assist with emergency feeding in and out of the shelter environment:

- Coordinate food purchases and reimbursement for emergency food during the crisis period.

- Coordinate delivery of emergency food to the appropriate service delivery locations.

DHS, under ESF #6, also will:

- Assess and ensure community behavioral health needs following an emergency/disaster.
- Assist or provide personnel, supplies, and other resources to assist in shelter operations for victims of the effected emergency/disaster area.
- Assess and ensure provision of emergency medical support at the shelter sites.
- Assist or provide the development and maintenance of a shelter operations plan.
- Oversee and approve all Memoranda of Agreement (MOA).
- Assist or provide counseling for short-term case management and crisis intervention services.
- Serve as a resource providing referrals for additional services for mental health, substance, mental retardation, disability services, child welfare, and public assistance.
- Monitor the compliance with the Americans with Disabilities Act (ADA).
- Assist or provide services for seniors and their families and individuals with disabilities.
- Ensure response for adult and child protective services.
- Assist or provide for the mass feeding of evacuees and relief workers at the shelter facilities.
- During shelter operations provide frequent updates as to the shelter status to the EOC.
- Maintain records of cost and expenditures and forward them to the Finance and Administration Section Chief.
- Assist or provide the coordination of the DWI center.
- Develop and maintain a shelter operations plan.

## B. Support District Agencies

1. **Child and Family Services Agency (CFSA)—**CFSA will mobilize its staff and volunteers to assist in District-wide responses. These resources will primarily be used in emergency shelter operations and staffing. CFSA, in concert with the Metropolitan Police Department (MPD), will oversee the identification, processing, and protection of any children who may be

separated from their parent(s) or guardian, or children identified or reported to be at risk for neglect or abuse while in the emergency shelters or in the community during an emergency.

2. **DC Public Libraries—**DC Public Libraries will assist with the staffing of designated emergency shelter care facilities and other emergency relief sites; help to staff alternate emergency shelter and/or feeding sites; and assist with providing activities at emergency shelter facilities and other emergency relief sites for all age groups.

3. **DC Public Schools (DCPS)—**DCPS will provide school facilities to be utilized as shelters for emergency sheltering operations, as required. DCPS will facilitate the opening of emergency shelter sites upon request; provide personnel, equipment, supplies, and other resources needed to assist in shelter operations for victims of the affected emergency/ disaster area; provide personnel to assist in the mass feeding of evacuees and relief workers at the shelter sites; and provide emergency food, food storage, and cooking facilities for bulk food issuance as needed. DCPS will coordinate approval for the food distribution from U.S. Department of Agriculture or other District and federal agencies, as required. DCPS will provide emergency medical support at the shelter sites by utilizing nursing staff. DCPS will provide the ESF coordinator with frequent updates as to the shelter status and assist in the development and maintenance of a shelter operations plan.

4. **Department of Corrections (DOC)—**DOC will use internal plans and procedures to ensure safe and secure housing of inmates in the event of an emergency that requires the closure of part or all of an institution. DOC will coordinate with HSEMA, MPD, DHS, and Department of Parks and Recreation to address issues related to safe and secure shelter of both citizens near correctional institutions and the inmates during emergencies that affect correctional institutions. DOC will identify facilities that have capacity to provide shelter and complete congregate care services if needed. (It may be necessary to move residents away from a correctional facility if a prison incident is in progress.)

5. **Department of Employment Services (DOES)—**DOES will ensure that facilities will be available as emergency shelters/mass feeding centers should they be needed; assist in the provision of staff and volunteer resources and recruit emergency manpower to work at emergency shelters, as necessary; and coordinate with DHS and human services partners to provide employment services to disaster clients if/when such services might be needed.

6. **Department of Health (DOH)—**DOH will provide medical care for impacted populations either in or outside the shelter locations; provide

emergency first aid services, with medical staff and credentialed volunteers, to shelter clients and workers, and assist with medical supply resources when requested and as DOH inventory permits; and ensure oversight and quality of health care that is provided to shelter clients and staff and monitor the administration of medications and the provision of special dietary requirements. DOH will provide the ESF coordinator with frequent updates as to the shelter status and ensure health standards, including food, sanitation, and water, are maintained at all service sites.

DOH also will protect animals during an emergency, including providing for animal sheltering facilities, if/when appropriate; protect the public from disease, injury, or other public health safety risks associated with an animal- or animal-industry-related emergency or disaster; and promote information sharing in order to assist animal owners in protecting themselves and their animals in case of an emergency or disaster. DOH will promote information sharing in order to assist the animal industry in protecting itself in case of an emergency or disaster and evaluating public health and safety risks potentially associated with animal emergencies and considering ways to avoid or minimize their effects.

DOH will provide for the establishment of Medical Needs Shelters to provide shelter for people who have function or medical support needs beyond what can be provided at the general population shelters.

7. **Department of Mental Health (DMH)—**DMH will coordinate with private and federal mental health professionals to serve the mental health needs of the disaster victims. DMH will assess mental health needs following an emergency/disaster considering the stress resulting from a possible long-term recovery period; monitor the mental health of first responders, agency staff, and volunteers providing mass care services; support continued patient care; provide emergency psychiatric care for residents, workers, and visitors; and provide public mental health education on critical incident stress and stress management techniques. DMH will coordinate with mental health service providers to monitor mental health issues and ensure appropriate crisis management support to victims, responders, their families, and others impacted by the emergency.

8. **Department of Parks and Recreation (DPR)—**DPR will mobilize its staff and volunteers to assist in District-wide responses and provide transportation to or assistance with the operation of shelter facilities. City parks and recreational facilities may be used for staging areas, storage areas, temporary open-air shelter sites, and for other uses in support of mass care response efforts. DPR will assist with providing children’s activities.

9. **Department of Public Works (DPW)—**DPW will provide solid waste removal and debris removal; coordinate the inspection of facilities as

needed, in conjunction with the DC Department of Consumer and Regulatory Affairs; coordinate with DC Water and Sewer Authority, as necessary, and DOH, to ensure that the water and sewer sanitation within the emergency area are safe; and ensure that shelter facilities have clean water and working sewerage hookups.

10. **Department of Youth Rehabilitation Services (DYRS)—**DYRS has custody over youth detained by or committed to the District's juvenile justice system. DYRS will use internal plans and procedures to ensure safe and secure housing of youth in the event of an emergency that requires the closure of part or all of a facility.

11. **District Department of Transportation (DDOT)—**DDOT will provide DHS and HSEMA with current traffic conditions and roadway operation information to support the identification of mass care facilities. The agency will coordinate with ESF #6 agencies in establishing a system for providing transportation assistance for victims and for needed supplies within a shelter. DDOT will coordinate with ESF #6 agencies and transit providers to provide transportation for the population in the effected area, which is requested to evacuate; coordinate with DOH and appropriate animal services agencies to assist with the transportation of shelter resident pets from mass care shelters to appropriate facilities; and will provide similar coordination for transportation of pets for people required to evacuate. DDOT will coordinate with the Department of Disabilities Services, transit providers and appropriate disability service providers in establishing a system for providing transportation assistance for disaster victims with disabilities requiring specialized transportation.

12. **Fire and Emergency Medical Services Department (FEMS)—**FEMS will assist with evacuation of specific locations (e.g., Metro stations, buildings, etc.) and provide for decontamination, if public safety becomes an issue.

13. **Homeland Security and Emergency Management Agency (HSEMA)**—HSEMA will assist in establishing priorities and coordinating the transition of mass care operations with recovery activities based on emergency situation information and the availability of resources that can be appropriately applied. HSEMA will provide logistics support, including communications for emergency operations; coordinate the designation and opening of shelters with the building owner or controlling agency; and coordinate with DHS and appropriate agencies to arrange for bedding, cots, food, security, and other essential resources needed at shelters. HSEMA will consider the potential duration of a shelter opening, number of persons needing shelter, and location of an emergency when opening a shelter.

HSEMA will coordinate the various District and federal agencies and private group responses to emergency feeding requirements; coordinate the use of federal stockpiles of food through FEMA (the designated lead agency for federal mass care provisions under the NRF), if federal assistance is deemed necessary by the Mayor. HSEMA will assess the situation and execute an evacuation order after consultation with adjacent jurisdictions. If the movement crosses boundaries and the decision is to evacuate, established evacuation routes will be used unless roads are hazardous or blocked. Alternative evacuation routes will be determined after consultation with HSEMA, MPD, DPW and DDOT. Citizens will be advised and prepared for the evacuation by information announcements over radio and television, and by use of the emergency broadcast system, if necessary.

14. **Metropolitan Police Department (MPD)—**MPD will provide support and assistance in cooperation with the HSEMA and other city agencies in the event that emergency shelters are established. MPD will maintain security of emergency shelters, including control of ingress and egress in coordination with DHS and the American Red Cross. MPD also will provide support and assistance to facilitate the delivery of emergency food and supplies; assist in the notification of the public by providing direction and security along predetermined evacuation routes; and assist in ensuring that any evacuation is conducted in an orderly and safe manner.

15. **Office of Property Management (OPM)—**OPM will provide equipment, materials, and trade persons to support mass care efforts and identify alternative shelter sites, temporary staging locations, storage locations, and other related services in the event of an emergency.

16. **Office on Aging (DCOA)—**DCOA will assist with the management and care, including the distribution of emergency relief items to District senior citizens at designated sites. DCOA will assist, potentially through contractors, with operation of shelter-in-place and mobile feeding units to serve District senior citizens. DCOA also will coordinate the transport and relocation of District senior citizens to emergency shelter care facilities, in concert with other agencies; assist with staffing emergency shelter facilities situated in communities with large senior citizen populations; and assist with the operation of designated feeding and health care service sites for District senior citizens.

17. **Office on Asian and Pacific Islander Affairs (OAPIA)—**OAPIA will assist with staffing and language translation services at emergency shelter and health care facilities and emergency relief sites and assist with family reunification efforts for displaced, non- and limited-English-speaking individuals. OAPIA also will assist with the provision of volunteer translators for emergency medical intervention, routine health care services,

crisis intervention, and psychiatric services, at designated emergency response sites and on the mobile units. OAPIA will work with communicators to ensure that all messages are properly translated or interpreted for speakers of other languages, and that messages are culturally appropriate.

18. **Office on Latino Affairs (OLA)—**OLA will assist with staffing and language translation services at emergency shelter and health care facilities and emergency relief sites; assist with family reunification efforts for displaced, non- and limited-English-speaking individuals; and assist with the provision of volunteer translators for emergency medical intervention, routine health care services, crisis intervention, and psychiatric services, at designated emergency response sites and on the mobile units. OLA also will work with communicators to ensure that all messages are properly translated or interpreted for speakers of other languages, and that messages are culturally appropriate.

19. **Office of Unified Communications (OUC)—**OUC will provide for information and referral to human services providers. As appropriate, OUC will provide information to the public regarding other ESF #6 services. Services also are available online through 211metrodc.org

## C. Other Support Agencies and Organizations

1. **American Red Cross (ARC) of the National Capital Area—**ARC will assist or provide with the management and care of the shelter facilities; arrange for bedding, cots, food, and other essential resources needed at shelters in coordination with DHS and HSEMA; and assist or provide personnel, equipment, supplies, and other resources to support the setting up and running of shelter facilities. ARC also will assist or provide for the mass feeding of evacuees and relief workers at the shelter facilities; assist or provide first aid stations at shelter facilities. ARC will assist or provide in the coordination of DWI services; assist or provide the development and maintenance of a shelter operations plan; assist in providing mental health counseling and support services; and facilitate the opening of emergency shelter sites upon request.

2. **Consortium of Universities of the Washington Metropolitan Area—**The universities will identify and make available alternative sites for emergency shelters. The universities will endeavor to prepare and activate educational and recreational facilities for their use as shelters, as needed. The universities will provide language and cultural resources as available to assist in the shelters.

3. **DC Housing Authority (DCHA)—**DCHA manages and provides subsidized public housing for low-income, elderly, and disabled District

residents. DCHA will utilize contracts to identify temporary housing and provide housing counseling.

4. **DC Voluntary Organizations Active in Disaster (DC VOAD) and Its Member Agencies—**DC VOAD will establish a process for involving member organizations in the mitigation of, preparedness for, response to, and recovery from an emergency. Member agencies provide a wide variety of emergency services in the realm of mass care, housing and human services.

## D. Primary Federal Agency

**U. S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**The primary federal agency for ESF #6 will provide direct, technical, and other support to the District through the District ESF #6 primary agency, DHS.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**District of Columbia National Guard (DCNG)—**As requested by HSEMA, the DCNG will assist with security, both on the streets and in the designated shelters. DCNG will facilitate the transport of disaster relief supplies and equipment. DCNG will provide assistance with mobile kitchens and shower facilities, if required for sheltering. DCNG will assist in the evacuation or relocation of victims, as necessary.

# Emergency Support Function #7
# Resource Support

**Primary District Agency**: Office of Contracting and Procurement

**Support District Agencies:**
DC Public Schools
Department of Employment Services
Department of Health
Department of Human Resources
Department of Human Services
Department of Parks and Recreation
Department of Public Works
District Department of Transportation
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Metropolitan Police Department
Office of the Attorney General
Office of the Chief Financial Officer
Office of the Chief Technology Officer
Office of Property Management

**Other Support Agencies and Organizations**:
Consortium of Universities of the Washington Metropolitan Area
University of the District of Columbia

**Primary Federal Agency:** U.S. General Services Administration

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #7—Resource Support provides logistical/resource support following an emergency and establishes lines of communication between the primary and supporting ESF #7 agencies and other ESFs.

### B. Scope

ESF #7 provides equipment, materials, supplies, and personnel to District of Columbia (the District) entities for emergency operations. It sets the stage for the District to continue operations even in the event of an emergency, while being self-sufficient from the local stocks, private sector, and other District

jurisdictions for up to 72 hours. The Chief Procurement Officer (CPO) is the primary executive manager for ESF #7. The powers and authorities of the CPO are delegated, as needed, to other officials within ESF #7. Resource requirements include emergency relief supplies, space, office equipment, office supplies, telecommunications, contracting services, transportation services, and personnel.

Provision of care, food, and water to support victims is within the existing authorities of the Office of Contracting and Procurement (OCP). Provision of care, food, and water for staff in circumstances active in District Response Plan (DRP) operations requires additional authorization.

The policies and responsibilities detailed in ESF #7 are supported by a number of subordinate plans of OCP that detail response timing and procedures. These subordinate plans include:

- Internal Operations Plans of OCP; and
- Standard Operating Procedures of OCP.

## *II. Policies*

A. In accordance with assigned responsibilities and upon activation of the DRP, ESF #7 agencies will provide assistance to the affected areas.

B. Support agencies will furnish resources to support ESF #7 requirements, including agency-specific lists of emergency supplies and procurement personnel necessary to establish operations effectively at the national and regional levels. Support of ESF #7 will continue as needed throughout the response effort.

C. Equipment and supplies will be provided from current District stocks and warehouses, or, if necessary, from the private sector and surrounding jurisdictions.

D. OCP and the Homeland Security and Emergency Management Agency (HSEMA) support of other ESFs will be through ESF #7 as part of Consequence Management Team (CMT) responsibilities.

E. When possible, all procurement will be supported by a written justification. However, the urgency associated with a resource need may necessitate verbal tasking directly from the Command Staff. In such situations, ESF #7 will document who is requesting the procurement and the reason for the request.

F. OCP will maintain a written inventory of resources obtained from the various ESF Primary and Support Agencies that are most likely to be needed in an emergency. This list will be maintained as a separate document from the DRP in order to keep it current.

# *III. Situation*

## A. Disaster Condition

An emergency could cripple the response capabilities of the District's key agencies as well as those agencies of the surrounding metropolitan area. The District government, with the assistance of the federal government as needed, will have the capacity to meet the most foreseeable requirements. Critical resource shortages may include power, fuel in winter, and potable water in times of drought, or water supply interruption or as a secondary effect of flooding. There will be shortages in the local area of a wide variety of supplies necessary for emergency population survival, such as cots, sheets, blankets, pillows, pillowcases, tents for temporary shelter, and plastic and paper items for mass feeding. This support is generally provided to ESF #6—Mass Care, Emergency Assistance, Housing and Human Services.

## B. Planning Assumptions

1. In some emergencies, shortages of critical resources can be predicted by government officials, which allows for measures to be taken in order to lessen the impact. However, shortages also will occur completely without warning.

2. Local businesses and organizations are willing, whenever possible, to assist the community and the District government during a period of resource shortage, particularly following a large-scale disaster. The District's mutual aid agreements with Maryland and Virginia and neighboring counties also should be accessed when available.

3. OCP maintains lists of all categories of critical resources, personnel, supplies (mass care, in particular), and equipment that may be needed in the District. Additionally, the lists will include the names, addresses, and telephone numbers of government and private agencies that have and may provide the resources.

   Agency and departmental critical resources lists are fundamental to the effective response of the District government to emergency activations. Procurement transactions, pricing, and vendor relationships need to be established prior to events requiring activation of the HSEMA Emergency Operations Center (EOC). Protracted procurement processes may result from insufficient or nonexistent critical resource lists.

4. In any emergency, donations will be received and managed by ESF #16—Volunteer and Donations Management. Media coverage, managed by ESF #15—External Affairs, should continue to provide public awareness about the need for donations.

5. Federal government assistance will be requested to supply unmet needs of response agencies.

## *IV. Concept of Operations*

### A. General

1. When it becomes apparent that additional resources (materials and services) will be needed, HSEMA will take the lead role in ensuring coordination of District government agencies in implementing contingency plans and recommending courses of action through the CMT to the Mayor.

2. OCP has the authority and the emergency procurement mechanisms (credit cards) activated by an officially executed Mayoral declaration of a state of emergency. OCP staff, working out of the HSEMA EOC, expect to use existing inventories and stores as defined by departmental materials lists. In the event emergency procurement transactions are required by the circumstances, both competitive and noncompetitive procurements actions are authorized and sought.

3. The Chief Financial Officer (CFO) will finance emergency procurements charged to the OCP credit cards. The CFO will determine the budget unit to be charged for each transaction. Procurement transactions occurring within departments and agencies are the financial responsibility of the executing department.

4. When possible, separate emergency procurement accounts will be established within the Procurement Automated Support System (PASS) to help account for emergency expenditures. In this way, emergency procurement orders are entered into PASS and paid for via purchase cards held by OCP. This permits orders to be tracked from requisition through receipt and payment.

5. Blanket purchase agreements may be utilized to obtain office supplies, equipment, and response gear (e.g., gloves, masks, disinfectant). Requests for response-related resources from any District agency should be processed through ESF #7 by a designated resource manager, who will:
   - Direct/supervise the activities of personnel involved in managing resources;
   - Coordinate with the EOC manager and key organizations' representatives in the EOC regarding needs/priorities;
   - Monitor potential resource shortages and advise key staff on the need for action; and
   - Identify facilities/sites that may be used to store needed resources and donations.

6. Emergency victims will take precedence in the allocation of resources. The HSEMA Director in consultation with CMT will set the specific priorities. Response agencies will sustain themselves during an emergency for the first 24 hours and up to three days.

7. The primary source of personnel, equipment, materials, and supplies will be from existing District and federal agencies, as necessary. Support that cannot be provided from District agencies may be secured from federal sources or donations.

8. Under the provision of DC Law 3-149, the Mayor has the authority to restrict the sale of commodities, goods, and resources during periods of shortage, as well as alter businesses' hours of operations.

9. Each agency of the District government will be required to prepare an impact statement showing the adverse effects, if any, that the shortage or emergency condition would have on the overall operation of the agency and the disruption of services to the public.

10. Purchase prices and contract costs, where possible, should be established prior to an event in order to prevent price gouging and the use of "no-bid" contracts. Prepositional contracts are a method to ensure the availability and cost of emergency resources and should be established as part of the ESF planning process. Additionally, during an emergency, District agencies will communicate with neighboring jurisdictions to reduce competition for the same resource.

## B. Organization

1. HSEMA serves as the central clearinghouse for coordinating District government resources supporting emergencies. HSEMA, the CMT, and other critical agency liaisons will work together to allocate critical resources on a priority basis. The CMT will address the efforts and activities necessary to evaluate, locate, procure, and provide essential material resources for mission critical agencies.

2. OCP will work directly with HSEMA to quickly identify sources and purchase the required goods as deemed necessary by the CMT Director. The OCP CPO has an established delegation of powers and authority to the Assistant Director for Human Services, the Assistant Director for the Integrated Product Team and to the Attorney General. The CPO and the four positions identified above have the legal authority to bind the District in procurement actions. They may act independently in the absence of the CPO.

### C. Notification

The designated resource manager within OCP will be among those initially notified of an emergency. When warning is available, suppliers with whom agreements exist should be notified of the intent to activate the agreements.

### D. Response Actions

#### 1. Initial Actions

a. The resource manager should determine whether to activate additional facilities or personnel, such as a Donations Coordination Team and associated telephone banks, donation receiving areas, and warehouses.

b. Donations Management planning will coordinate its resource management activities in conjunction with ESF #16—Volunteer and Donations Management, with voluntary organizations and federal agencies and organizations such as the American Red Cross and the Federal Emergency Management Agency (FEMA).

c. OCP will conduct ongoing needs assessments, including gathering information from agencies on what is needed, how much is needed, who needs it, where it is needed, and when it is needed.

#### 2. Continuing Actions

a. The District will continue to conduct needs assessments and prioritize identified needs.

b. Resource requests will be logged and prioritized. The resource manager will be updated regularly about needs and status of requests.

c. Documented purchase prices and contract costs will be compared to pre-event pricing for resources and similar contracts.

## *V. Responsibilities*

### A. Primary District Agency

**Office of Contracting and Procurement (OCP)—**OCP will coordinate with the appropriate agencies to ensure that procurement processes are expedited. OCP will work directly with HSEMA to quickly identify sources and purchase the required goods as deemed necessary by the CMT Director.

Resource support will be conducted from the EOC. However, resource support should be prepared to continue operations from alternate sites in the National Capital Region should the primary site be compromised. Alternate sites for resource support activities will be identified and may be activated at the direction of the CPO or those with delegated authority.

## B. Support District Agencies

1. **DC Public Schools (DCPS)—**DCPS will provide school facilities to be utilized as shelters for emergency sheltering operations and storage and distribution of procured items to District agencies. DCPS will provide a liaison to the EOC.

2. **Department of Employment Services (DOES)—**DOES, in cooperation with HSEMA, will manage issues related to the recruitment of manpower during an emergency and will serve as the central clearinghouse for mobilization and referral of paid and unpaid workers. DOES, in coordination with all other critical agency liaisons will work together to allocate critical manpower resources on a priority basis. DOES will ensure the continuation of unemployment benefits payments and employer tax collections, disability and workers compensation payments, summer youth employment programs, Job Training Partnership Act (JTPA) programs, and Job Services activities.

3. **Department of Health (DOH)—**DOH will identify, obtain, and allocate needed medical resources; recommend policy direction; and direct resources according to needs and potential impact on District-wide services.

4. **Department of Human Resources (DHR)**—DHR will coordinate with agencies to identify and deploy personnel resources before, during, and after an emergency.

5. **Department of Human Services (DHS)—**DHS will manage procurements with its service providers and ensure that payments are made to providers. DHS and the CFO will assist in providing HSEMA with resources and supplies for District-wide emergencies in concurrence with availability. DHS will fully mobilize resources to restore the operational functions of its facilities throughout the District. DHS will activate its DHS EOC to ensure continuity of DHS services.

6. **Department of Parks and Recreation (DPR)—**DPR has a volunteer organization of approximately 1,000 individuals with a variety of skills and abilities. DPR, at the direction of the HSEMA Director, will mobilize its staff to assist in District-wide responses.

7. **Department of Public Works (DPW)—**DPW will supply fuel, as needed, via fueling operations or mobile fuel trucks. DPW will also provide personnel and equipment to assist the District in any emergency response operations.

8. **District Department of Transportation (DDOT)—**DDOT will provide the needed information to OCP in order to receive the needed resources for reestablishing damaged infrastructure. DDOT also will coordinate with OCP in acquiring additional transportation resources whether it is for construction or for the movement of the population.

9. **Fire and Emergency Medical Services Department (FEMS)—**FEMS will coordinate with HSEMA in managing critical resources under their control, including notification when resources are about to be or have been depleted.

10. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will compile reports and data on the availability or shortage of critical resources in the District that may have to be controlled by Executive Order for the duration of an emergency. HSEMA receives and compiles status reports from key District agencies on the availability or shortage of needed supplies and resources to alleviate the problem. HSEMA, the CMT, and other critical agency liaisons will work together to allocate critical resources on a priority basis. HSEMA will address the efforts and activities necessary to evaluate, locate, procure, and provide essential material resources for mission critical agencies.

11. **Metropolitan Police Department (MPD)—**MPD will maintain security of emergency area(s), including ingress and egress in coordination with HSEMA. MPD will notify HSEMA of any critical resource shortfalls. During an emergency, MPD will maintain security of facilities used to store large inventories of emergency physical resources. MPD also will provide escort and security services for large shipments of emergency physical resources to the disaster site.

12. **Office of the Attorney General (OAG)—**OAG will provide legal advice and take legal action for the supporting agencies, unless lawyers in the supporting agencies normally perform these functions for their agencies. OAG will provide legal advice and take legal action for the District government.

13. **Office of the Chief Financial Officer (OCFO)—**OCFO will be the lead agency to ensure that disbursement of District funds continues in an orderly manner, including employee pay, vendor payments and direct transfers. The CFO will coordinate with OCP to ensure that unforeseen and emergency procurements of critical goods are dispersed as quickly as possible.

14. **Office of the Chief Technology Officer (OCTO)—**OCTO will establish and maintain an office for the purpose of monitoring and reporting information system failures (i.e., DCnet, District intranet, etc.) throughout District agencies. The public information function will create, prepare, and disseminate information related to the emergency.

15. **Office of Property Management (OPM)—**OPM will be mobilized during an emergency to monitor and provide continued services to District agencies. OPM will have available the necessary and technical personnel to provide continuous services to critical agencies. OPM's Facilities Operations Maintenance Administration (FOMA) can provide equipment, materials, and trade persons on a reimbursable basis.

## C. Other Support Agencies and Organizations

1. **Consortium of Universities of the Washington Metropolitan Area—**The Consortium of Universities will serve as an information agent for student volunteers and facility shelters and will broker information concerning resources and requirements among the consortium members.

2. **University of the District of Columbia (UDC)—**UDC will serve as an information agent for student volunteers and facility shelters. UDC can serve as a Field Operation Unit, and offers the use of its large gymnasium and large sports field.

## D. Primary Federal Agency

**U.S. General Services Administration (GSA)—**GSA through a mission assignment/request for federal assistance from FEMA (or other federal agency) can provide technical and other support to the District government through OCP, the District counterpart ESF.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

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# Emergency Support Function #8
# Public Health and Medical Services

**Primary District Agency:** Department of Health

**Support District Agencies:**
Child and Family Services Agency
Department of Human Services
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
District Department of the Environment
District Department of Transportation
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Metropolitan Police Department
Office of the Chief Medical Examiner
Office of the Chief Technology Officer
Office of Contracting and Procurement
Office of Unified Communications
Serve DC

**Other Support Agencies and Organizations:**
American Red Cross of the National Capital Area
DC Health Care Alliance
DC Hospital Association
DC Nurses Association
DC Primary Care Association
DC Water and Sewer Authority
Medical Chirurgical Society of DC
Medical Society of DC
National Medical Association
Nursing Home Association

**Primary Federal Agency:** U.S. Department of Health and Human Services

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #8—Public Health and Medical Services provides mechanisms for coordinating District assistance and resources to identify and respond to public health and medical care needs during an emergency. Assistance provided under ESF #8 is directed and coordinated by the Department

of Health (DOH) and is supported by several federal and District agencies and private health service providers.

## B. Scope

ESF #8 provides a coordinated and effective District government approach to providing health and medical assistance in the immediate aftermath of an emergency that impedes routine health and medical services provided within the District. The support is categorized in the following functional areas:

1. Health surveillance, including infectious disease surveillance and epidemiological investigation;
2. Communicable disease control including isolation and quarantine;
3. Assessment of health/medical needs, including in-patient and out-patient capacity;
4. Decontamination of victims and health and medical personnel;
5. Public health and medical information/risk communication on public health issues;
6. Reception of the Strategic National Stockpile;
7. Distribution of medications for prophylaxis and treatment;
8. Distribution of medications, medical supplies and equipment;
9. Medical care personnel;
10. Health/medical/veterinary equipment, supplies, and pharmaceuticals;
11. Emergency Medical Service (EMS) provision and coordination;
12. All-hazard public health and medical consultation, coordination, control, technical assistance and support;
13. Patient distribution and evacuation;
14. Patient tracking;
15. In-hospital care;
16. Mass fatality management and victim identification;
17. Food/drug/biological/medical device safety and security;
18. Worker health/safety;
19. Radiological/chemical/biological hazards consultation and technical assistance;
20. Behavioral health care for victims, worried well, response personnel, health and medical personnel and the general public;
21. Potable water/wastewater and solid waste disposal testing;
22. Vector control;
23. Veterinary medical support services, sheltering, and animal control;
24. Coordination of and assistance with security services at health and medical facilities;
25. Coordination of blood and blood product distribution;
26. Public health laboratory capabilities; and
27. Medical intelligence.

## *II. Policies*

A. The Health Emergency Coordination Center (HECC) at DOH and the Emergency Operations Center (EOC) at the Homeland Security and Emergency Management Agency (HSEMA) will be used to closely coordinate ESF #8 roles and responsibilities of: DOH; the Department of Mental Health (DMH); Fire and Emergency Medical Services Department (FEMS); District Department of the Environment (DDOE); and other supporting agencies.

B. ESF #8 will be implemented when an emergency has occurred and the Mayor has determined that a response is warranted.

C. Each support agency will contribute to the overall response in accordance with assignment of responsibilities in ESF #8, and further tasking by the primary ESF #8 agency. The support agency will retain control over its own resources and personnel.

D. ESF #8 is the primary source of public health and medical response/information for all District officials involved in response operations.

E. All local and regional organizations (including other ESFs participating in response operations) will report public health and medical requirements to the ESF #8 lead agency through the HSEMA Emergency Operations Center (EOC) who will then inform the Consequence Management Team (CMT).

F. To ensure patient confidentially, ESF #8 will not release medical information on individual patients to the general public.

G. Appropriate information on casualties/patients will be provided, as needed, to the Department of Human Services (DHS), other ESF #8 support agencies, and other medical facilities.

H. Requests for recurring reports of specific types of public health and medical information will be submitted to ESF #8. ESF #8 will develop and implement procedures for providing these recurring Situation Reports (SITREPS) to the CMT and others through ESF #5—Emergency Management.

I. The primary Joint Information Center (JIC) located at the EOC is established to support the District Response Plan (DRP) and will be authorized to release general medical and public health response information to the public.

J. DOH will be the lead agency in ensuring enhanced surge capacity as needed. The triage and treatment of large numbers of casualties/patients will utilize ESF #8 resources and regional mutual aid agreements. Surge capacity also will be coordinated through area hospitals, Fire/EMS services, and community health centers.

K. ESF #8 will coordinate food and water safety.

L. DOH will coordinate sheltering evacuation, care for pets, and disease management of wildlife.

M. DOH will provide medical support to shelters (i.e., medical special needs).

N. DOH will provide medical intelligence and information to contribute to the development of a health threat picture for the District.

O. The policies and responsibilities detailed in ESF #8 are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:
   a. Internal Operations Plans of DOH; and
   b. Standard Operating Procedures of DOH.

## *III. Situation*

### A. Disaster Condition

1. A significant emergency may impede or prohibit the delivery of routine health and medical services. Hospitals, nursing homes, ambulatory care centers, pharmacies, and other facilities for medical/health care and special needs populations may be severely damaged or destroyed. Facilities that survive with little or no structural damage may be rendered unusable or only partially usable because of a lack of utilities (power, water, sewer) or because staff are unable to report for duty as a result of personal injuries and/or damage/disruption of communications and transportation systems. Medical and health care facilities that remain in operation and have the necessary utilities and staff will probably become overwhelmed. In the event of a sudden increase in the need for health and medical services, medical supplies and equipment may quickly run out, including pharmaceuticals, blood products, medicines, equipment, and other related consumable supplies.

2. Critical and long-term patients in damaged or inoperable hospitals or health care facilities may need immediate relocation. Persons who require routine medical assistance for diabetes, cardiac conditions and dialysis, may have difficulty in obtaining these medications and treatments because of damage/destruction of normal supply locations, general shortages, or lack of access due to damaged transportation infrastructure.

3. If the event’s negative impacts last for several days or weeks, there could be health and medical complications and issues involving relocation, shelters, and multiple public health concerns.

4. A major medical and environmental emergency resulting from chemical, biological, or nuclear Weapons of Mass Destruction (WMD) could produce a large concentration of specialized medical casualties and environmental conditions overwhelming District health care facilities. (See Bioterrorism Annex.)

## B. Planning Assumptions

1. Emergency Medical resources routinely available may be inadequate to clear casualties from the scene or treat them in nearby/immediate health care facilities. Mobilization of city resources, and possibly those of neighboring communities according to memoranda of agreements, may be urgently needed for casualty triage, treatment and transportation to the closest appropriate hospital or other health care facility.

2. Medical resupply may be needed throughout the emergency area. ESF #8 will have the responsibility of identifying, ordering, receiving, and distributing such supplies.

3. In a mass casualty event, ESF #8 agencies may be required to set up and staff Mass Casualty Collection Points where patients can be stabilized while they await transportation to appropriate medical care facilities.

4. In a major public health emergency, operational necessity may require the transportation of patients to other medical health facilities by alternative means.

5. A WMD event, industrial accident, or other hazardous material event may lead to an environmental health situation, such as toxic water/air/land environments. Both public and response personnel health are threatened through exposure to hazardous chemicals, biological agents, radiological substances, and contaminated food, and water supplies.

6. Infrastructure damage and destruction during an emergency event may result in mass casualties. Coordinated outside resources may be required for body/remains location and recovery, extrication, examination, identification, storage, and release. Law enforcement for evidentiary purposes also is required.

7. The damage and destruction from a major emergency may result in the injury and death of pets and other animals in and around the disaster zone. Veterinary services and animal control capabilities may be limited, and zoonotic disease and vector control issues may become a problem. These issues associated with animal fatalities may impact public health in and around the emergency location.

8. The mental health aspects of an emergency may limit the accessibility of the District's behavioral health system. The system may become overwhelmed and require urgent mental health services for victims, their families, and first responders.

9. Assistance in maintaining the continuity of health and medical services may be required for citizens with long-term and ongoing health care needs as well as for critical or acute care patients.

10. Disruption of sanitation services and facilities, loss of power, and massing of people in shelters may increase the potential for disease transmission and injury. Disruptions to public transportation and in lodging facilities may dislocate tourists and visitors, who may be unfamiliar with the District. They may require assistance in identifying and locating health and medical support services. Tourists and visitors may have difficulty in accessing needed medications. Unavailable medical and treatment records of tourists and visitors may limit the effectiveness of treatment.

11. Primary medical treatment facilities may be damaged or inoperable; thus, assessment and emergency restoration to necessary operational levels or the establishment of alternate medical care facilities is a basic requirement to stabilize the medical support system.

12. The presence of multiple federal agencies and facilities and foreign embassies and missions in the District presents special planning, training, coordination, and response requirements and agreements.

## *IV. Concept of Operations*

### A. General

1. ESF #8 will coordinate with support agencies to monitor events and track health and medical needs and requirements during its activation. Based on this ongoing assessment, DOH will direct resources and coordinate the delivery of services. DOH will collect information from and coordinate with government agencies. DOH also will collect information from and coordinate among and between government agencies, private sector health and medical service providers.

2. For as long as ESF #8 is activated, it will continue to provide input to ESF #5—Emergency Management on general medical and public health response activities. Should the HSEMA EOC be activated, ESF #8 will dispatch an Emergency Liaison Officer (ELO) to HSEMA and maintain at least one ELO on duty for each shift until the response is terminated.

3. DOH will notify ESF #8 partners of any District-wide emergency via the Health Alert Network. Critical staff and key decision-makers also will be contacted directly to ensure their input. DOH response will be initiated at the Health Emergency Coordination Center (HECC) and will provide comprehensive feedback while remaining in close contact with the DOH ELO in the EOC.

## B. Organization

1. **ESF #8 Operations Centers**—As a primary agency, DOH will operate from its HECC and link with the operations centers of the other support agencies.

2. **HSEMA EOC**—DOH and other ESF #8 support agencies will provide representation at the EOC as part of the CMT as required and they will remain until deactivated or released by the CMT Director or designee.

3. **Interagency Liaisons**—DOH will coordinate with HSEMA to ensure that appropriate representatives are immediately available to participate in interagency coordination groups that may have been established based on the type and scope of the emergency.

## C. Notification

1. Upon notification by HSEMA that an emergency has occurred, DOH will alert appropriate personnel and activate and staff the DOH HECC to facilitate communications with DOH providers and to assist HSEMA with the coordination of DOH activities with the overall District response. DOH ELOs will be posted at the EOC, and DOH liaisons and operations personnel will be posted at other command and control sites as requested (e.g., HSEMA Mobile Command Centers; DOH Mobile Command Center; and FEMS Mobile Command Center).

2. In conjunction with HSEMA and with other appropriate primary agencies and support agencies, DOH will make a rapid initial assessment of the situation and, as appropriate, notify and activate one or more ESF #8 support agencies. Additionally, the DOH liaison at the EOC will begin initial discussions and coordination with the primary agencies of other ESFs to ensure that effective health and medical services will continue to be provided to those impacted by the event.

3. It should be noted that notification of a covert bioterrorism incident might flow from DOH to HSEMA when such an event is detected by health surveillance systems.

## D. Response Actions

### 1. Initial Actions

a. When activated under this plan, DOH will implement its Emergency Operations Plans. If appropriate, DOH also will activate its Bioterrorism Annex.

b. DOH will coordinate with support agencies to assist in providing health and medical services to citizens directly and indirectly impacted by the emergency as well as to response personnel and others involved in the incident. This will include providing direction and assistance to ESF #8 support agencies and the primary agencies of other ESFs that have public health components, including: ESF #1—Transportation; ESF #3—Public Works and Engineering; ESF #4—Firefighting; ESF #6—Mass Care, Emergency Assistance, Housing and Human Services; ESF #9—Search and Rescue; ESF #10—Oil and Hazardous Materials Response; ESF #11—Food; ESF #12—Energy; and ESF #15—External Affairs.

c. As needed, DOH will request and coordinate the delivery of health and medical services with the U.S. Department of Health and Human Services (DHHS).

d. In the event of a mass-fatality incident, an on-site, temporary facility will be established for initial recovery, case number assignment, and documentation of remains (as permitted by hazardous conditions). If necessary, decontamination will be conducted, prior to moving remains to other facilities. Remains will be removed from this staging site to a temporary mortuary facility for further examination and identification. If a mass-casualty event approaches or exceeds the District's capacity to handle fatalities, Federal Disaster Mortuary Operational Response Teams (DMORTs) also may be requested.

e. The District's Strategic National Stockpile Plan and the Cities Readiness Initiative (CRI) will be implemented, if indicated.

f. The District's Fatalities Management Plan will be implemented as required.

g. DOH will coordinate with District health and medical service providers, including the DC Hospital Association, hospitals, and health care facilities, by ensuring that the DC Hospital Association's Hospital Mutual Aid Radio System (HMARS) is activated. DOH will:

1. Coordinate the protection of the public from communicable diseases;
2. Coordinate the systems to monitor and report on the safety of food and water supplies to citizens not displaced but impacted, relief workers, and displaced citizens residing in temporary shelters;
3. Coordinate systems to monitor health information and inspect and control sanitation measures;
4. Coordinate the systems to monitor and respond to vector and epidemic control needs and provide immunizations;
5. Assist, as needed, with the acquisition of medical supplies, resources, medications, and other needs;
6. Assist, as needed, with laboratory testing and release of results and related activities;
7. Assist in the coordination of the delivery of injured victims to hospitals and service providers to reduce overcrowding or overwhelming service providers;
8. If necessary, activate the Medical Reserve Corps to supplement existing medical resources;
9. Ensure that HMARS is activated and regularly monitored;
10. Coordinate resources with area hospitals and EMS service providers to ensure appropriate and reliable service and access to service within and around the emergency zone; and
11. Assist with the tracking and identification of injured victims and provide information, as appropriate, to the media, the public, and other community stakeholders through ESF #15—External Affairs.

## 2. Continuing Actions

a. As the event begins to stabilize, DOH will continue to monitor health- and medical-related activities by performing situational assessments. DOH will continually acquire and assess information about the emergency situation. DOH will continue to attempt to identify the nature and extent of health and medical problems and establish appropriate monitoring and surveillance of the situation to obtain valid, ongoing information.

b. Based on the specific needs of a particular incident, DOH may determine that specialized support teams (e.g., behavioral health team, vector management and control team, veterinary services support

team, etc.) may need to be formed to support health and medical service providers; deliver assistance to the community; coordinate activities; provide technical and consultation advice; assist in coordinating with federal service providers; and address intermediate and long-term health and medical needs up to the time that normal and routine operations are achieved.

c. As fatality examinations are completed, identified remains will be made available for release to funeral homes. Remains not yet identified will be held and catalogued. Further testing by other means (radiographs, fingerprints, or DNA) may be necessary to confirm identification prior to release of remains, which may require services of other entities. DOH, in coordination with the Office of Chief Medical Examiner (OCME), will coordinate with ESF #13—Law Enforcement and ESF #6—Mass Care, Emergency Assistance, Housing and Human Services through the Family Assistance Center to receive data to make identifications and to provide notification to families. OCME will provide information to ESF #5—Emergency Management concerning the results of fatality examinations and to ESF #15—External Affairs for release of information to the public.

## *V. Responsibilities*

### A. Primary District Agency

**Department of Health (DOH)—**DOH acts as the lead agency for ensuring the provision of emergency health and medical services to District residents, workers, and visitors. DOH coordinates the health and medical response from appropriate District, regional, federal, and private agencies, working through HSEMA to assist with coordination of the District's overall emergency response.

1. Provide leadership in directing, coordinating, and integrating the overall efforts to provide medical and public health assistance.
2. Coordinate and direct the activation and deployment of resources of health/medical personnel, supplies, and equipment.
3. Coordinate the evacuation of patients from the disaster area when evacuation is deemed feasible and appropriate.
4. Arrange for the establishing of active and passive disease surveillance systems for the protection of public health.
5. Coordinate with the support agencies to direct and prioritize health and medical activities.
6. Coordinate with DHS, ESF #16—Volunteer and Donations Management and the Medical Reserve Corps to ensure that a sufficient number of trained medical and support personnel are stationed at each mass care site.
7. Coordinate with ESF #2—Communications to ensure that a working system of communications with the EOC has been established. This may include

radio, telephone, cellular telephones, or alphanumeric pagers.

8. Coordinate with ESF #7—Resource Support for key supplies and equipment.
9. Coordination with ESF #7— Resource Support and ESF #16—Volunteer and Donations Management for supply information pertaining to potential volunteer groups, contract vendors, and other entities that may be able to supplement local resources.
10. In addition to those activities previously stated, ESF #8 will coordinate with ESF #16—Volunteer and Donations Management regarding the activities of volunteers actively engaged in providing assistance.
11. Develop and maintain a roster of personnel that staff the ESF. Sufficient staffing will be available for 24-hours-per-day, 7-days-per-week.
12. Record incoming requests for assistance, track who was assigned to respond and that action has been taken.
13. Establish a protocol for prioritizing response activities.
14. Coordinate activities with other ESFs.
15. Coordinate food and water safety.
16. Coordinate the sheltering, evacuation, and care of pets.
17. Monitor the local wildlife population and perform disease management operations during the response.
18. Perform laboratory testing and analysis during response operations.
19. Provide medical intelligence to the fusion center and other ESFs, as needed.

## B. Support District Agencies

**1. Child and Family Services Agency (CFSA)—**CFSA will ensure the safety of the children under its care and provide emergency intake services for children separated from their families as a result of the public health emergency.

**2. Department of Human Services (DHS)—**DHS will be the lead agency in providing mass care and sheltering. Through its Office of Facilities Management, DHS will operate it facilities management services, including supplying generators, water, and security personnel to mass-care centers and shelters. DHS also will maintain the family reunification centers, which coordinate with DOH's patient tracking efforts.

**3. Department of Mental Health (DMH)—**DMH will provide emergency mental health care for District residents, workers, and visitors. DMH will monitor and respond to behavioral health issues and coordinate with behavioral health service providers to ensure appropriate support to victims, responders, their families, and others impacted by the emergency.

**4. Department of Parks and Recreation (DPR)—**DPR will assist other support agencies in providing facilities and personnel as needed for mass

care, sheltering, alternative triage and treatment sites, and Points of Dispensing (POD).

5. **Department of Public Works (DPW)—** DPW, in coordination with DC Water and Sewer Authority (DCWASA), will ensure that the water and sewer sanitation within the emergency area are safe. DPW as need will support DDOT in the transportation of the Strategic National Pharmaceutical Stockpile.

6. **District Department of the Environment (DDOE)—**DDOE will coordinate with DOH to monitor environmental quality during an emergency. DDOE also will contact the National Response Center (NRC) to report the declared incident and, if the On-scene Coordinator (OSC) is deployed, DDOE will coordinate with the OSC in the monitoring and analysis of data.

7. **District Department of Transportation (DDOT) and Department of Public Works (DPW)—**DDOT with DPW will coordinate with DOH on the requirements for the transportation of the Strategic National Stockpile. DDOT will support the Metropolitan Police Department on perimeter control during a public health emergency and provide traffic management plans around closed locations.

8. **Fire and Emergency Medical Services Department (FEMS)—**FEMS will coordinate response activities with DOH and will report to the CMT on the capacity and capability of hospital emergency rooms, space availability, and related matters. FEMS will provide pre-hospital care and transport during emergencies. FEMS will respond to emergency medical calls for residents, visitors, and organizations in the District.

9. **Homeland Security and Emergency Management Agency (HSEMA)—** HSEMA will initiate the emergency notification process, establish the citywide EOC, and provide overall inter-agency coordination.

10. **Metropolitan Police Department (MPD)—**MPD will assist with enhancing security at hospitals, mass casualty collection points, PODs, and other sites providing public health services during a public health emergency. Hospitals or other health care facilities will make security requests to DOH through ESF #8 who will then contact MPD for assistance.

11. **Office of the Chief Medical Examiner (OCME)—**After MPD notifies OCME that the incident scene is secured, OCME will respond to the scene and take charge of fatality management. OCME will coordinate all mass-fatality efforts including: investigating; establishing a temporary morgue(s); coordinating transportation of remains; performing postmortem examinations and identifications; securing evidence; certifying cause and

manner of death; and releasing remains. In coordination with DHS through ESF #8, OCME will coordinate with District area hospitals for examination and storage or release of remains and will deputize some hospital physicians to allow some in-house hospital examinations.

12. **Office of the Chief Technology Officer (OCTO)—**OCTO will provide telecommunications support to ESF #8, maintain the area networks, and provide GIS capabilities.

13. **Office of Contracting and Procurement (OCP)—**OCP will assist in obtaining emergency supplies, equipment, and services.

14. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

15. **Serve DC—**Serve DC will support ESF #8 when volunteers are requested. This could include, but is not limited to, administrative and/or logistical support. Information on the types of donations that would be most beneficial to assist victims during the disaster will be provided to Serve DC.

## C. Other Support Agencies and Organizations

1. **DC Water and Sewer Authority (DCWASA)—**DCWASA will coordinate activities with the appropriate divisions of the DDOE in order to ensure the maintenance of sewage and the safety and potability of the District's water supplies.

2. **Non-governmental Organizations (NGOs)**—NGOs, such as the American Red Cross, DC Health Care Alliance, DC Hospital Association, DC Nurses Association, DC Primary Care Association, Medical Chirurgical Society of DC, Medical Society of DC, National Medical Association, and Nursing Home Association will provide advice, assistance, and help in locating additional providers in their specialty areas.

## D. Primary Federal Agency

**U.S. Department of Health and Human Services (DHHS)—**U.S. DHHS is the primary federal agency for ESF #8 and will provide direct, technical, and other support to the District through ESF #8.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the

Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

# Emergency Support Function #9
# Search and Rescue

| | |
|---|---|
| **Primary District Agency:** | Fire and Emergency Medical Services Department |
| **Support District Agencies:** | Department of Consumer and Regulatory Affairs<br>Department of Health<br>Department of Human Services<br>Department of Mental Health<br>Department of Public Works<br>District Department of the Environment<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office of the Chief Medical Examiner<br>Office of Contracting and Procurement<br>Office of Unified Communications |
| **Other Support Agencies and Organizations:** | George Washington University Medical Center<br>Howard University Hospital<br>Potomac Electric Power Company<br>Washington Gas Company<br>Washington Metropolitan Area Transit Authority |
| **NCR Fire Departments:** | Signatories on the Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan |
| **Primary Federal Agency:** | U.S. Department of Homeland Security/Federal Emergency Management Agency |
| **Support Federal Agencies:** | District of Columbia National Guard<br>U.S. Army Golden Eagles–Engineering Battalion<br>U.S. Marine Corps–Chemical, Biological Incident Response Force |

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #9—Search and Rescue (SAR) rapidly deploys components of the District of Columbia Fire and Emergency Medical Services Department (FEMS) to provide specialized lifesaving assistance in the

event of an emergency involving structural collapse or other technical rescue. There are several types of search and rescue operations that are included under the term "SAR" and are supported under
ESF #9; they include:

- Structural Collapse (Urban) Search and Rescue (US&R);
- Waterborne Search and Rescue;
- Inland/Wilderness Search and Rescue; and
- Aeronautical Search and Rescue.

SAR services include the performance of distress monitoring, communications, location of distressed personnel, coordination, and execution of rescue operations including extrication or evacuation along with the provisioning of medical assistance and civilian services through the use of public and private resources to assist persons and property in potential or actual distress.

### B. Scope

Operational activities include conducting physical search and rescue in collapsed buildings; providing emergency medical care to trapped victims; assessment and control of gas, electricity, and hazardous materials; and evaluating and stabilizing damaged structures. Additional capabilities include trench-collapse rescue, confined-space rescue, high-angle rescue, and swift-water rescue.

The policies and responsibilities detailed in ESF #9 are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Internal Operations Plans of FEMS; and
- Standard Operating Procedures of FEMS.

## *II. Policies*

A. As the primary agency for ESF #9, FEMS develops SAR policy, provides planning guidance and coordination assistance, standardizes unit procedures, evaluates operational readiness, and funds special equipment and training requirements.

B. An Incident Command System (ICS) will be implemented to effectively manage and control resources at the scene of emergencies, in accordance with the National Incident Management System (NIMS).

C. The Personnel Accountability System will be used as an incident site SAR accountability system to track and control the movement of FEMS personnel.

D. Standard operating guidelines (SOGs) are predetermined standardized SAR practices that enable the firefighting units to operate in a coordinated and safe manner.

E. FEMS utilizes the National Capital Region Mutual Aid Agreement (NCR-MAA) and the Metropolitan Washington Council of Governments (COG) Fire and Rescue Mutual Aid Operations Plan (MAOP) to support expanding incidents, coordinate response throughout the region, and share unique resources.

## *III. Situation*

### A. Disaster Condition

SAR emergencies can vary widely in scope, degree of devastation, threat to human life, and onset (i.e. notice versus no notice). For example:

1. In situations that entail structural collapse, large numbers of people may require rescue and medical care.

2. Because the mortality rate among trapped victims rises dramatically after 72 hours, SAR must be initiated without delay.

3. In the course of response, rescue personnel may encounter extensive damage to the infrastructure, such as buildings, roadways, public works, communications, and utilities. Such damage can create environmental safety and health hazards, such as down power lines, unsafe drinking water, and unrefrigerated food.

4. Weather conditions such as temperature extremes, snow, rain, and high winds may pose additional hazards for emergency victims and rescue personnel.

5. In some circumstances, rescue personnel may be at risk from terrorism, civil disorder, or crime.

### B. Planning Assumptions

1. Many structural collapses may result from a natural disaster. They also may occur as the result of a significant manmade event.

2. At the time of an emergency, there may be structural collapses elsewhere in the District. These structural collapses will draw upon the same resources (engines or other tactical and support resources) that would be needed to support SAR and other emergency operations. It must be assumed that some SAR resources will become scarce, resulting in the disaster-related SAR operations competing for resources.

3. Telephone communications may be interrupted.

4. FEMS 800-MHz radio communication may be compromised, either totally or in part.

5. Access may be hampered by bridge failures, traffic, landslides, damaged road systems, air traffic restrictions, etc., making conventional travel to the incident location extremely difficult or impossible.

6. Depending on the scope of the incident, Mutual Aid Agreements (MAAs) may need to be enacted to allow FEMS to access additional SAR resources from surrounding jurisdictions.

7. Efficient and effective mutual aid among the various local, state, and federal SAR teams requires the use of ICS together with compatible SAR equipment and communications.

8. Local residents, workers, and/or converging volunteers may initiate SAR efforts but will usually lack specialized equipment and training. (See ESF #16—Volunteer and Donations Management.)

9. In situations where there are significant SAR shortfalls in the area, and a presidential declaration of disaster or emergency has been made, ESF #9 may request federal assistance from FEMA as well as federal ESF #9 resources through the Consequence Management Team (CMT).

## *IV. Concept of Operations*

### A. General

FEMS, as the primary agency for ESF #9, will activate the SAR system for any incident or anticipated incident that is determined likely to result in collapsed structures. The likelihood of activation depends on the nature and magnitude of the event, the suddenness of onset, and the existence of SAR resources in the affected area. The FEMS SAR team is able to remain self-sufficient for approximately 72 hours.

### B. Organization

1. The SAR system is an integrated system of SAR units, support teams, and technical specialists.

2. The system is built around core units prepared to deploy immediately and initiate SAR operations on activation of ESF #9 of the District Response Plan (DRP). Primarily, FEMS personnel, who are experienced and trained in collapsed structure SAR operations, staff these units.

3. Incident Support Teams (ISTs) provide coordination and logistical support to SAR units during emergency operations. They also conduct needs assessments and provide technical advice. Teams are formed with personnel from SAR units, District government emergency response organizations, and private sector organizations.

4. A NCR Regional Incident Management Team (IMT) can be activated to support ICS functions.

5. Technical specialists provide expertise in various SAR disciplines. They are mobilized as needed from within the District and surrounding jurisdictions.

## C. Notification

1. In most cases, these types of incidents are reported directly to 9-1-1 at the Office of Unified Communications (OUC).

2. During activation of fire-related emergency notification protocols, the Fire Chief or designee will notify senior command staff officials via established systems.

3. The Fire Chief or designee will request support locally through the NCR-MAA through the OUC and coordinated through HSEMA when necessary.

4. Resources requested from outside the NCR will go through HSEMA according to the Emergency Management Assistance Compact (EMAC).

5. Numerous sources may notify the Emergency Operations Center (EOC) of incidents with the potential for structural collapse. HSEMA will notify FEMS.

## D. Response Actions

### 1. Initial Actions

a. The ESF #9 Coordinator—a FEMS officer with the rank of fire captain or higher who has working knowledge of the SOPs, resources, and capabilities of FEMS—will:
   - Report to the HSEMA EOC within two hours of notification;
   - Establish communication links with primary and/or support agencies;
   - Establish communication links with the incident commanders;
   - Establish communications links with the FEMS senior command staff;
   - Obtain an initial situation and damage assessment through established intelligence procedures; and

- Contribute to situation reports.

b. Immediately following initiation of operations, the ESF #9 Coordinator will establish and maintain a chronological log of SAR events and information obtained from the field.

c. FEMS operations will:
   - During the initial stages of the emergency, serve as the single point of contact (POC) for responding task forces and IST members for situation information and response status of SAR resources.
   - Provide command and control of incidents and institute the incident management system including unified command as necessary.
   - Assign trained SAR personnel to the scene and activate the FEMS' Mobilization Plan, as necessary, to call back off-duty personnel.
   - Provide sufficient technical equipment for immediate delivery to the scene.
   - Perform search and rescue as necessary.
   - Perform triage and emergency medical treatment as necessary and assign emergency medical technicians and paramedics to the scene with appropriate equipment.
   - Perform emergency medical transportation, as necessary, and provide EMS transport units to the scene.

**2. Continuing Actions**

a. Retain an adequate on-duty force of SAR-trained personnel.

b. Maintain preloaded shoring and bracing equipment truck(s).

c. Maintain readily available back-up supplies.

d. Ensure critical medical supplies are replenished.

e. Activate agreements for emergency resupply as needed.

f. Procure and maintain sufficient reserve ambulances to enable additional units to be placed in service as required.

g. Request additional resources as necessary.

## *V. Responsibilities*

### A. Primary District Agency

**Fire and Emergency Medical Services Department (FEMS)—**FEMS will coordinate the SAR operations and the use of rescue and extrication resources during emergencies. The FEMS SAR team is dispatched with fire and emergency medical units to incidents involving SAR efforts. Fire and emergency medical units will provide on-scene, pre-hospital emergency medical care.

FEMS establishes, maintains, and manages the SAR response system, including pre-emergency activities such as training, equipment purchase, and evaluation of operational readiness.

FEMS maintains a memorandum of understanding (MOU) with appropriate agencies to ensure a functional SAR team is maintained by having necessary specialists, not available with FEMS, trained and ready to respond as needed. FEMS also maintains mutual aid agreements to ensure additional immediate response if necessary from surrounding jurisdictions.

FEMS responds to and coordinates SAR operations for incidents of collapsed structures and provides rescue and extrication resources during acts of terrorism.

### B. Support District Agencies

1. **Department of Consumer and Regulatory Affairs (DCRA)—**DCRA will provide information and building plans for unsafe or collapsed structures to the extent that such information is available and plans exist. DCRA also will provide structural engineers to inspect these structures and serve on the IST.

2. **Department of Health (DOH)—**DOH will provide technical assistance on the health and medical impact of hazardous materials and determine appropriate care for victims. DOH will provide information to the public about self-protection. DOH will help the District Department of the Environment assess environmental damage and assist in cleanup and recovery planning (e.g., toxic substance, air quality, water quality, and radiological sampling.)

   DOH's Health Emergency Preparedness and Response Administration (HEPRA) will provide medical consultation to the incident commander, provide advice on health risks and recommendations, and support pre-hospital care. Other offices, such as the Preventive Health Service Administration and the Medical Assistance Administration, will be involved, as needed. DOH will provide assistance in the direction and control responsibilities at a hazardous materials accident scene to determine

the environmental damage and suggest course of action involving oil spills, hazardous chemicals, or radioactive material. DOH will establish Casualty Collection Points (CCP) in coordination with FEMS.

3. **Department of Human Services (DHS)—**DHS will provide for evacuees' needs, including food, bedding, supplies, and transportation, using contractual services of the American Red Cross of the National Capital Area.

4. **Department of Mental Health (DMH)—**DMH will coordinate mental health activities within the District through needs assessment and provision of critical incident stress management (CISM) for first responders and crisis counseling for victims/families and special vulnerable populations.

5. **Department of Public Works (DPW)—**DPW will provide on-site refueling and on-site sand and salt, as necessary, for slippery conditions. DPW will provide debris removal in accordance with their Debris Removal Plan. In concert with the Office of Contracting and Procurement (OCP), DPW will help coordinate heavy equipment, operators, and riggers to support SAR efforts as necessary. DPW, with OCP, will assist with additional resources for delivery of shoring lumber to the site, as necessary.

6. **District Department of the Environment (DDOE)—**DDOE will provide air quality support, ground water runoff testing, and other support to monitor the affected area for contaminants. DDOE also will contact the National Response Center (NRC) to report the declared incident; and, if the On Scene Coordinator (OSC) is deployed, DDOE will coordinate with the OSC monitoring and analysis of data.

7. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will activate the EOC and required ESFs under the CMT; gather, collate, analyze, and distribute necessary information and intelligence to support the incident; and perform assessment of the situation through Situation Reports (SITREPS), determining the immediate critical needs and the need for federal assistance. The mobile command van will be dispatched to the scene to gather information on the type of hazardous material involved and other data. HSEMA, in conjunction with the DC Local Emergency Planning Committee (DCLEPC), shall maintain copies of Tier I and/or Tier II hazardous materials reports for reference by the CMT.

8. **Metropolitan Police Department (MPD)—**MPD will provide site perimeter security, traffic control, staging area security, and assistance with emergency evacuations during and after an incident to protect the health and safety of persons and the integrity of the incident scene. MPD also will perform criminal investigations as necessary, and provide canine assistance as available for SAR activities.

9. **Office of the Chief Medical Examiner (OCME)—**OCME will respond to the scene and provide coordination of mass fatality efforts, including investigating, establishing temporary morgue(s), coordinating transportation of remains, performing postmortem examinations and identifications, securing evidence, certifying cause and manner of death, and releasing remains, in coordination with DOH through ESF # 8—Public Health and Medical Services.

10. **Office of Contracting and Procurement (OCP)—**OCP will provide procurement specialist to assist ISTs in acquiring necessary contracts, services, and resources.

11. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

## C. Other Support Agencies and Organizations

1. **George Washington University Medical Center and Howard University Hospital—**These hospitals will provide "go teams" for specific medical care, such as response for entrapped trauma patients.

2. **Potomac Electric Power Company (PEPCO)—**PEPCO will provide emergency response teams to address electric power utility disconnects as necessary.

3. **Washington Gas Company (WGC)—**WGC will provide emergency response teams to address natural gas utility disconnects as necessary.

4. **Washington Metropolitan Area Transit Authority (WMATA)—** WMATA will respond with FEMS to any incident involving Metro property; provide backup resources when District agency resources, personnel, and equipment must be supplemented in response to an incident that impacts Metro property; and provide Metro buses, as needed, for evacuating the population.

## D. NCR Fire Departments

**Signatories on the Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan (MAOP)—**The intent of the Fire and Rescue MAOP is to ensure the fullest cooperation among fire prevention and suppression and emergency medical services agencies in the National Capital Region. In the event of a major disaster, all departments in this MAOP will call

upon each other for response and recovery support. The NCR fire departments included in this are:

1. City of Alexandria Fire Department;
2. Arlington County Fire Department;
3. The District of Columbia Fire and Emergency Medical Services Department;
4. City of Fairfax Fire Department;
5. Fairfax County Fire Department;
6. Frederick County Fire Department;
7. Loudoun County Fire Department;
8. City of Manassas Fire Department;
9. City of Manassas Park Fire Department;
10. Montgomery County Fire Department;
11. Prince George's County Fire Department;
12. Prince William County Fire Department;
13. Metropolitan Washington Airports Authority Fire Department; and
14. Naval District of Washington Fire Department.

## E. Primary Federal Agency

**U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**USDHS/FEMA is the coordinating federal agency for ESF #9 under the National Response Framework (NRF) and will provide direct, technical, and other support to the District through the District counterpart ESF, in this case FEMS, if needed, including calling in SAR teams from across the country.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

USDHS/FEMA SAR teams will deploy to the disaster site when requested to assist the incident commander in operations.

## F. Support Federal Agencies

1. **District of Columbia National Guard (DCNG)—**As requested through HSEMA, DCNG provides SAR capability as well as temporary emergency shelters. DCNG also can provide traffic control, emergency transportation, evacuation of civilian population, communications assistance, area security, protection from theft and looting, medical services, aircraft for monitoring, surface radiation monitoring, radiation hazard plotting, wind and weather data, and control of reentry, as needed, during SAR.

2. **U.S. Army Golden Eagles–Engineering Battalion**—located at Ft. Belvior may also serve as a response support during a large scale event.

3. **U.S. Marine Corps**—During a HAZMAT event, the U.S. Marine Corps may provide support to the District through their Chemical, Biological Incident Response Force (CBIRF).

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# Emergency Support Function #10
# Oil and Hazardous Materials Response

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|---|---|
| **Primary District Agency:** | Fire and Emergency Medical Services Department |
| **Support District Agencies:** | Department of Consumer and Regulatory Affairs<br>Department of Employment Services<br>Department of Health<br>Department of Human Services<br>Department of Mental Health<br>Department of Public Works<br>District Department of the Environment<br>District Department of Transportation<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office of the Chief Medical Examiner<br>Office of Unified Communications |
| **Other Support Agencies and Organizations:** | DC Hospital Association<br>Washington Metropolitan Area Transit Authority |
| **NCR Fire Departments:** | Signatories on the Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan |
| **Primary Federal Agency:** | U.S. Environmental Protection Agency |
| **Support Federal Agencies:** | District of Columbia National Guard<br>Maryland National Guard<br>Virginia National Guard<br>U.S. Army Golden Eagles–Engineering Battalion<br>U.S. Coast Guard<br>U.S. Department of Energy<br>U.S. Marine Corps–Chemical, Biological Incident Response Force |

## *I. Introduction*

Response to oil and hazardous materials incidents is generally carried out in accordance with the National Oil and Hazardous Substances Pollution Contingency Plan (NCP), 40 CFR Part 300. For purposes of this annex, “hazardous materials” is a

general term intended to mean hazardous substances, pollutants, and contaminants as defined in the NCP. Hazardous materials include chemical, biological, and radiological substances, whether accidentally or intentionally released.

### A. Purpose

Emergency Support Function (ESF) #10—Oil and Hazardous Materials Response provides a coordinated response to actual or potential discharges and/or releases of oil, chemical, biological, radiological, or other hazardous substances in the District of Columbia.

### B. Scope

Major activities include the control, containment, identification, assessment, mitigation, and monitoring of hazardous material released into the environment. This ESF addresses the delivery of emergency medical services to victims of hazardous material incidents as well as the decontamination of victims, pets, remains, and emergency responders by the District Fire and Emergency Medical Services Department (FEMS). ESF #10 also coordinates the removal and disposal of hazardous materials with appropriate agencies and/or contractors.

## *II. Policies*

A. As the primary agency for ESF #10, FEMS develops hazardous materials policy, provides planning guidance and coordination assistance, standardizes unit procedures, evaluates operational readiness, and funds special equipment and training requirements.

B. The Incident Command System (ICS) will be implemented to effectively manage and control resources at the scene of emergencies involving hazardous materials, in accordance with the National Incident Management System (NIMS).

C. The FEMS Personnel Accountability System will be used to track and control the movement of FEMS personnel at emergency incidents.

D. The District executes responses to hazardous materials incidents according to the policies outlined in the following documents:

- DC Comprehensive Hazardous/Toxic Materials Emergency Response and Weapons of Mass Destruction (October 2001);
- DC Fire and Emergency Medical Services Department ICS/Standard Operating Guidelines (SOG) for Hazardous Materials Incidents;
- DC Fire and Emergency Medical Services Department Medical Protocols for Patient Care;
- DC Fire and Emergency Medical Services Guidelines for Response to Weapons of Mass Destruction Incidents;

- DC Fire and Emergency Medical Services Standard Operating Guidelines for Response to Bombing Incidents; and
- National Response Framework (NRF) ESF #10—Oil and Hazardous Materials Response Annex for applicable federal laws and related annexes.

E. FEMS utilizes the National Capital Region Mutual Aid Agreement (NCR-MAA) and the Metropolitan Washington Council of Governments (COG) Fire and Rescue Mutual Aid Operations Plan (MAOP) to support expanding incidents, coordinate response throughout the region, and share unique resources.

## *III. Situation*

### A. Disaster Condition

Natural or human-caused disasters could result in numerous situations in which hazardous materials are released into the environment. Fixed facilities that produce, generate, use, store, or dispose of hazardous materials could be damaged so severely that existing spill-control apparatus and containment measures are not effective. Facilities that use large quantities of hazardous chemicals, such as wastewater treatment plants, significantly contribute to this risk. Areas at risk for hazardous materials transportation accidents lie along highways, rail lines, pipelines, rivers, and port areas. These risks are further compounded by other hazards such as floods and hurricanes. Terrorist incidents involving Weapons of Mass Destruction (WMDs), including chemical, biological, and radiological material, represent additional risks associated with hazardous materials. (See Terrorism Annex).

### B. Planning Assumptions

1. An extensive transportation system serves the area in and around the District and is used by both commercial and private vehicles, making a technological emergency an increasing possibility. The Department of Public Works (DPW) has designated and posted hazardous cargo routes for trucks throughout the city. Maps have been created showing the railroad system and barge routes. Areas adjacent to these transportation systems are most at risk from the occurrence of an incident. Additionally, terrorist incidents that involve the intentional release of hazardous materials as well as the possible use of chemical, biological, radiological, and other WMDs, place other areas of the city under additional risks.

2. Immediately prior to a hazardous materials incident, all emergency support systems are fully operational.

3. Densely populated areas will be adversely affected by a hazardous materials incident.

4. Major hazardous materials incidents can produce extremely hazardous situations when they occur in or near commercial plants or public facilities.

5. Hazardous materials incidents may result from a natural disaster. They also may occur as the result of accidental or intentional releases and terrorist acts.

6. At the time of an emergency, hazardous material (HAZMAT) incidents may occur anywhere in the District. These incidents will draw upon the same resources (engines or other tactical and support resources) that would be needed to assist other emergency operations. It must be assumed that some resources will become scarce, resulting in disaster-related hazardous materials operations competing for resources.

7. Telephone communications may be interrupted.

8. The FEMS 800-MHz radio communication may be compromised, either totally or in part.

9. Access may be hampered by bridge failures, traffic congestion, damaged road systems, air traffic restrictions, and so forth, making conventional travel to incident locations extremely difficult or impossible.

10. Efficient and effective mutual aid among the various local, state, and federal HAZMAT teams requires the use of ICS together with compatible HAZMAT equipment and communication systems.

11. Several federal agencies are on a 24-hour standby to assist with cleanup of hazardous materials incidents. These include the U.S. Environmental Protection Agency (USEPA), the U.S. Department of Energy (USDOE), and the U.S. Coast Guard.

## *IV. Concept of Operations*

### A. General

ESF #10 will manage and coordinate hazardous materials incident control, containment, and mitigation activities, including rescue and fire suppression activities. This will be accomplished by mobilizing hazardous materials resources in support of hazardous material containment and rescue operations. ESF #10 will use established hazardous materials support organizations, processes, and procedures. Responsibility for situation assessment and determination of resource needs lies primarily with the FEMS Incident Commander.

## B. Organization

The HAZMAT team is an integrated system of hazardous material units, support teams, and technical specialists.

1. The system is built around core units prepared to deploy immediately and initiate hazardous material control, containment, and rescue operations on activation of ESF #10 of the District Response Plan (DRP). FEMS personnel who are experienced and trained in hazardous materials operations primarily staff these units.

2. The FEMS Hazardous Material Task Force provides support and coordination to the Hazardous Material Unit during emergency operations.

3. Hazardous materials technicians and specialists provide expertise in hazardous materials disciplines.

## C. Notification

1. During activation of fire-related emergency notification protocols, the Fire Chief or designee will notify all senior command staff officials via established systems.

2. The Fire Chief or designee will request support locally through the NCR-MAA through the Office of Unified Communications (OUC) and coordinated through the Homeland Security and Emergency Management Agency (HSEMA) when necessary.

3. Resources requested from outside the NCR will go through HSEMA according to the Emergency Management Assistance Compact (EMAC).

## D. Response Actions

### 1. Initial Actions

a. The ESF #10 coordinator—a FEMS officer with the rank of fire captain or higher who has working knowledge of the SOGs, resources, and capabilities of the FEMS—will:
   - Report to the EOC as a member of the Consequence Management Team (CMT) within two hours of notification;
   - Provide an Emergency Liaison Officer (ELO) to the HSEMA EOC during activation;
   - Establish communication links with primary and/or support agencies;
   - Establish communication links with the Incident Commander;

- Establish communications links with the FEMS senior command staff;
- Obtain an initial hazardous materials incident situation and damage assessment; and
- Contribute to situation reports.

b. FEMS operations will:

1. Provide command and control of the incident.
   - Institute the incident management system including unified command as necessary, in accordance with NIMS.
   - Notify the Metropolitan Police Department (MPD) Command Information Center (CIC), who will then notify all appropriate law enforcement agencies.

2. Provide trained hazardous materials personnel to the scene.
   - Activate FEMS' Mobilization Plan as necessary to call back off-duty hazardous materials trained personnel.

3. Provide sufficient technical equipment for immediate delivery to the scene.
   - Maintain hazardous materials frontline response unit for immediate response.

4. Perform triage and emergency medical treatment as necessary.
   - Provide emergency medical technicians and paramedics to the scene with appropriate equipment.

5. Perform patient decontamination as necessary.
   - Provide ready-deployable decontamination equipment including tents and heaters, showers and water heaters, and other necessary supplies.
   - Provide mass decontamination using fire apparatus and other means, if necessary.
   - Decontaminate emergency responders when indicated.

6. Perform emergency medical triage, treatment, and transportation, as necessary.
   - Provide EMS transport units to the scene.
   - Maintain sufficient in-service ambulances.

### 2. Continuing Actions

a. Activate additional mutual aid agreements with appropriate jurisdictions to ensure that adequate back-up support for hazardous materials units is available as needed.

b. Maintain an adequate on-duty force of hazardous materials technicians as first responders throughout the duration of the incident.

c. Procure and maintain a cache of necessary supplies to perform extended operations, on an emergency basis as necessary throughout the duration of the incident.

d. Procure and maintain an adequate stock of medical supplies, including antidote kits, on an emergency basis as necessary throughout the duration of the incident.

e. Activate agreements for emergency resupply as needed.

f. Procure and maintain sufficient reserve ambulances and other reserve apparatus to enable additional units to be placed in service as required.

g. Activate and maintain mutual aid agreements requesting immediate mutual aid ambulance units, as needed.

h. Request additional resources, as needed.

## *V. Responsibilities*

### A. Primary District Agency

**Fire and Emergency Medical Services Department (FEMS)—**FEMS will maintain the protection of life and property from fire hazards in emergency situations with emphasis on incidents involving the release of hazardous materials and the use of WMD. FEMS will provide emergency medical care to victims affected by chemical, biological, and radiological contaminants and will provide patient decontamination prior to transport to a hospital emergency department. Specific responsibilities will be to:

- Establish a Command Post and institute incident command or unified command, as necessary;
- Isolate the area with the assistance of law enforcement agencies;
- Deny entry to the hazardous areas with the assistance of law enforcement agencies;
- Identify the hazardous materials involved;
- Assess the situation;
- Establish Isolation Zones (hot, warm, cold);

- Perform rescues in contaminated areas;
- Conduct operations in contaminated areas;
- Provide the delivery of emergency medical services including triage treatment and transportation to victims of hazardous materials incidents;
- Control/contain the incident;
- Decontaminate victims and emergency responders when indicated;
- Monitor downwind/downhill/downstream hazards;
- Evacuate/shelter in place, as needed, with the assistance of law enforcement agencies, when needed;
- Request additional resources, as needed;
- If indicated, preserve the crime scene and notify law enforcement officials of a potential criminal/terrorist event;
- Coordinate decontamination, containment, public notification, etc. with the Department of Health (DOH) and HSEMA.

## B. Support District Agencies

Support agencies will assist at the scene of a hazardous materials incident in accordance with their mission and responsibilities assigned under the DRP.

Under the terms of the NCR-MAA, NCR jurisdictions may assist in responding to a hazardous materials emergency in the District when the FEMS resources are unavailable and/or require added assistance. A regional Incident Management Team (IMT) can be requested through the mutual aid compact.

1. **Department of Consumer and Regulatory Affairs (DCRA)—**DCRA has a regulatory role in hazardous materials. Additionally, DCRA will provide information on building plans and licenses.

2. **Department of Employment Services (DOES)—**DOES provides technical support (e.g., fit testing) through their Office of Occupational Safety and Health.

3. **Department of Health (DOH)—**DOH will provide technical assistance on the health and medical impact of hazardous materials and determine appropriate care for victims. DOH will provide information to the public about self-protection. DOH will help the District Department of the Environment assess environmental damage and assist in cleanup and recovery planning (e.g., toxic substance, air quality, water quality, and radiological sampling.)

   DOH's Health Emergency Preparedness and Response Administration (HEPRA) will provide medical consultation to the Incident Commander, provide advice on health risks and recommendations, and support pre-hospital care. Other offices, such as the Preventive Health Service

Administration and the Medical Assistance Administration, will be involved, as needed. DOH will provide assistance in the direction and control responsibilities at a hazardous materials accident scene to determine the environmental damage and suggest course of action involving oil spills, hazardous chemicals, or radioactive material. DOH will establish Casualty Collection Points (CCP) in coordination with FEMS.

4. **Department of Human Services (DHS)—**DHS will assist in providing for evacuees' needs, including food, bedding, supplies, and transportation, using contractual services of the American Red Cross of the National Capital Area.

5. **Department of Mental Health (DMH)—**DMH will coordinate mental health activities within the District through needs assessment and provision of critical incident stress management (CISM) for first responders and crisis counseling for victims/families and special vulnerable populations.

6. **Department of Public Works (DPW)—**DPW will provide on-site refueling and on-site sand and salt, as necessary for slippery conditions. DPW will provide debris removal, in accordance with its Debris Removal Plan, and emergency vehicle removal. In concert with the Office of Contracting and Procurement (OCP), DPW will help coordinate the removal of hazardous materials in public space through the use of a contractor.

7. **District Department of the Environment (DDOE)—**DDOE will provide air quality support, ground water runoff testing, and other support to monitor the affected area for contaminants. DDOE also will contact the National Response Center (NRC) to report the declared incident; and, if the On-scene Coordinator (OSC) is deployed, DDOE will coordinate with the OSC monitoring and analysis of data.

8. **District Department of Transportation (DDOT)—**DDOT will assist FEMS with traffic management and incident coordination during hazardous material incidents that occur along the District transportation network.

9. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will activate the EOC and required ESFs under the CMT; gather, collate, analyze, and distribute necessary information and intelligence to support the incident; and perform assessments of the situation through SITREPS, determining the immediate critical needs and the need for federal assistance. The Mobile Command Center will be dispatched to the scene to gather information on the type of hazardous material involved and other data. HSEMA, in conjunction with the Local Emergency Planning Committee (LEPC), shall maintain copies of Tier I and/or Tier II hazardous materials reports for reference by the CMT.

10. **Metropolitan Police Department (MPD)—**MPD will provide perimeter security and staging area security to protect life and property from hazardous material accidents. If necessary, MPD will conduct door-to-door warnings in an area impacted by a hazardous material accident. MPD will assist with traffic control in pedestrian/vehicle areas, if necessary, and help notify the public of any emergency evacuation. MPD also will assist with explosive ordinance processing and disposal with the Military District of Washington, and will perform criminal investigations, as necessary.

11. **Office of the Chief Medical Examiner (OCME)—**After the incident scene has been cleared for entry by FEMS (HAZMAT), is secured, and notification made to OCME by MPD/FEMS, OCME will respond to the scene and take charge of fatality management. OCME will coordinate all mass fatality efforts, including: investigating; establishing temporary morgue(s); coordinating transportation of remains; performing postmortem examinations and identifications; securing evidence; certifying cause and manner of death; and releasing remains.

12. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

## C. Other Support Agencies and Organizations

1. **DC Hospital Association—**DC Hospital Association will work with FEMS to coordinate information from hospitals regarding external decontamination facilities for use at site and/or before entering hospitals. The DC Hospital Association also serves as a clearinghouse communications center to disseminate information to response personnel regarding hospital capacity and effective transportation of victims, and to avoid overcrowding.

2. **Washington Metropolitan Area Transit Authority (WMATA)—** WMATA will respond with FEMS to any incident involving Metro property; provide backup resources when District agency resources, personnel, and equipment must be supplemented in response to an incident that impacts Metro property; and provide Metro buses, as needed, for evacuating the population. Standard Operating Procedures (SOPs) are in place for implementing appropriate actions and providing logistical support for all incidents involving HAZMAT situations/releases.

## D. NCR Fire Departments

**Signatories on the Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan (MAOP)—**The intent of the Fire and Rescue MAOP is to ensure the fullest cooperation among fire prevention and suppression and emergency medical services agencies in the National Capital Region. In the event of a major disaster, all departments in this MAOP will call upon each other for response and recovery support. The NCR fire departments included in this are:

1. City of Alexandria Fire Department;
2. Arlington County Fire Department;
3. The District of Columbia Fire and Emergency Medical Services Department;
4. City of Fairfax Fire Department;
5. Fairfax County Fire Department;
6. Frederick County Fire Department;
7. Loudoun County Fire Department;
8. City of Manassas Fire Department;
9. City of Manassas Park Fire Department;
10. Montgomery County Fire Department;
11. Prince George's County Fire Department;
12. Prince William County Fire Department;
13. Metropolitan Washington Airports Authority Fire Department; and
14. Naval District of Washington Fire Department.

## E. Primary Federal Agency

**U.S. Environmental Protection Agency (USEPA)—**USEPA is the coordinating federal agency for ESF #10 and will provide direct, technical, and other support to the District through FEMS.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999,

federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

Also, EPA and/or the U.S. Coast Guard may initiate operations without a presidential declaration under the National Contingency Plan (NCP), providing an OSC to manage the federal assets employed in the operation. The OSC will operate with the incident commander in a Unified Command arrangement.

The National Response Team (NRT), composed of the 16 federal agencies with major environmental and public health responsibilities, is the primary vehicle for coordinating federal agency activities under the NCP. The NRT carries out national planning and response coordination and is the head of a highly organized federal oil and hazardous substance emergency response network. EPA (Director, Office of Emergency Management) serves as the NRT Chair and the USCG serves as Vice-Chair. Other members of the NRT include:

- Federal Emergency Management Agency;
- General Services Administration;
- National Oceanic Atmospheric Administration;
- Nuclear Regulatory Commission;
- U.S. Department of Defense;
- U.S. Department of Energy;
- U.S. Department of Agriculture;
- U.S. Department of Health and Human Services;
- U.S. Department of Interior;
- U.S. Department of Justice;
- U.S. Department of Labor;
- U.S. Department of Transportation;
- U.S. Department of State; and
- U.S. Department of the Treasury.

## F. Support Federal Agencies

1. **District of Columbia National Guard (DCNG)—**At the request of HSEMA, DCNG will loan specific equipment and mobilize units to provide the following:
   - Traffic control;
   - Emergency transportation;
   - Evacuation of civilian population;
   - Search and rescue;
   - Communications assistance;
   - Area security;
   - Protection from theft and looting;
   - Medical services;

- Aircraft for monitoring;
- Surface radiation monitoring;
- Radiation hazard plotting;
- Wind and weather data; and
- Control of reentry.

2. **Maryland and Virginia National Guard—**During a HAZMAT event, the National Guard will provide support through the Civilian Support Teams (CST).

3. **U.S. Army Golden Eagles–Engineering Battalion—**U.S. Army Golden Eagles–Engineering Battalion located at Ft. Belvoir may serve as a response support during a large scale event.

4. **U.S. Coast Guard—**The U.S. Coast Guard will assist with the containment and cleanup of a hazardous materials spill on waterways.

5. **U.S. Department of Energy (USDOE)—**The USDOE may provide support in a large scale event by coordinating the supply of energy and fuel required for response activities.

6. **U.S. Marine Corps—**During a HAZMAT event, the U.S. Marine Corps may provide support to the District through the Chemical, Biological Incident Response Force (CBIRF).

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# Emergency Support Function #11
# Food

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| **Primary District Agency:** | Department of Human Services |
| **Support District Agencies:** | Child and Family Services Agency<br>DC Public Schools<br>Department of Employment Services<br>Department of Health<br>Department of Mental Health<br>Department of Parks and Recreation<br>Homeland Security and Emergency Management Agency<br>Metropolitan Police Department<br>Office on Aging<br>Office of Contracting and Procurement |
| **Other Support Agencies and Organizations***:* | American Red Cross of the National Capital Area<br>Consortium of Universities of the Washington Metropolitan Area |
| **Primary Federal Agency:** | U.S. Department of Agriculture |
| **Support Federal Agency:** | District of Columbia National Guard |

## *I. Introduction*

### A. Purpose

The purpose of Emergency Support Function (ESF) #11—Food, coordinated by the Department of Human Services (DHS), is to identify, secure, and arrange for the transportation and provision of food assistance to affected victims and response staff/volunteers following an emergency or other event.

### B. Scope

ESF #11 will determine food assistance needs, obtain appropriate food supplies, and arrange for transportation of those food supplies to designated shelters and/or staging areas within the disaster area.

The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Internal Operations Plans of DHS; and
- Standard Operating Procedures of DHS.

## *II. Policies*

A. ESF #11 will be activated by District of Columbia (District) officials once an emergency is declared or is imminent.

B. Food supplies secured and delivered by ESF #11 will be suitable for either off-site distribution or mass meal service, as appropriate.

C. ESF #11 will lead and coordinate the transportation and distribution of food supplies by federal, District, local, and voluntary organizations.

D. Agencies responsible for ESF #6—Mass Care, Emergency Assistance, Housing and Human Services involved in mass feeding will coordinate with and support ESF #11 as needed. (e.g., Office on Aging, Meals on Wheels, etc.)

E. The use of mass feeding arrangements is the preferred method for disaster related food distribution.

F. Priority will be given to moving critical supplies of food into areas of acute need and then into areas of moderate need.

G. Upon notification that commercial channels of trade have been restored, District officials may authorize and activate the disaster food stamp program within ESF #6—Mass Care, Emergency Assistance, Housing and Human Services.

## *III. Situation*

### A. Disaster Condition

An emergency may deprive substantial numbers of people access to food or the means to prepare food. In addition to significant disruption to the commercial food supply and distribution network, a major disaster may destroy, partially or totally, food supplies stored in the affected area.

### B. Planning Assumptions

1. Within 12 hours of an emergency, approval of requests from the Mayor or disaster relief organizations for access to and/or distribution of food may be given.

2. Within the emergency area, the following conditions may exist:
   a. Fifty percent of the food processing and distribution capabilities in the District are disrupted.

   b. Seventy-five percent of the water supply is unusable, requiring potable water supplies to be made available to the affected population. (Note: Potable water also will be supplied by ESF #3—Public Works and Engineering.)

   c. There is a near-total disruption of energy sources (e.g., electricity and gas). The only sources available are oil for generators and propane tanks.

   d. Most commercial cold storage and freezer facilities are inoperable.

3. On the border of the geographic areas affected, there may be schools and small institutions with large food inventories that are estimated to be sufficient to feed up to 10,000 people for three days and supply their fluid needs for one day. A minimum of 1,800 calories and 3 gallons of liquid per day per person is suggested. Additionally, within the District, there are pre-staged food bank inventories as well as the American Red Cross food inventory. Food banks include the Capital Area Food Bank, Bread for the City, and DC Central Kitchen.

## *IV. Concept of Operations*

### A. General

1. ESF #11 will provide emergency food supplies to designated disaster staging areas. This function also is located under ESF #6—Mass Care, Emergency Assistance, Housing and Human Services.

2. Requests for food, including types, amounts, and destination locations, will be coordinated and approved through the Consequence Management Team (CMT) and the Homeland Security and Emergency Management Agency (HSEMA) at the Emergency Operations Center (EOC).

3. After initial food assistance requests are forwarded to the EOC, ESF #11 will coordinate efforts, in conjunction with HSEMA, to obtain and transport food and/or authorize disaster food stamps. During the first 72 hours following a notification of an emergency, ESF#11 will be staffed in the EOC 24/7. After a 72-hour period, continuation of 24-hour operations will be reconsidered by the CMT and the District ESF #11 Emergency Liaison Officer (ELO), who is the official point of contact (POC) within DHS for any matter pertaining to ESF #11.

## B. Organization

1. At the District level, DHS, assisted by the American Red Cross and HSEMA, will coordinate all ESF #11 activity. Since each support agency will be represented at the EOC, DHS will maintain contact with those representatives, as necessary, at those locations for the duration of the emergency response period. Support agency representatives will have sufficient knowledge of the capabilities and resources of their respective agencies and have the appropriate authorities to commit resources to the response effort.

2. If a presidential disaster declaration is issued, DHS will process its requests for federal assistance through the EOC to the DC Coordinating Officer (DCCO), who will make a formal request to the Federal Coordinating Officer (FCO). After a mission assignment has been made from the Federal Emergency Management Agency (FEMA) to ESF #11, ESF #11 will coordinate the delivery of assistance. DHS will have a representative present or available for duty at the Joint Field Office (JFO) on a 24-hour basis for the duration of the emergency response period.

## C. Notification

1. Upon HSEMA notification, DHS will alert designated staff, the DHS Emergency Coordinator, and the ESF #11 ELO to respond. The ELO will immediately deploy to the HSEMA EOC and serve as the primary POC, information gatherer, and coordinator for DHS and ESF #11 response operations.

2. The DHS Emergency Coordinator will, depending on the event, notify additional DHS staff to support ESF #11 operations and he or she will coordinate with the American Red Cross and other agencies, as required.

## D. Response Actions

### 1. Initial Actions

a. DHS will assess the critical needs of the affected population in terms of numbers of people, their location, and usable food preparation facilities for mass feeding.

b. DHS and the American Red Cross will catalog available resources of food, transportation, equipment, storage, and distribution facilities, and be able to locate these resources geographically.

c. The American Red Cross will evaluate the adequacy of available resources relative to need on a geographical basis.

d. The Department of Health (DOH) will develop procedures to maximize the inspection of all food to determine, to the extent possible, that all identified food is safe and fit for human consumption.

e. DHS and the American Red Cross, with the assistance of the Metropolitan Police Department (MPD), the District Department of Transportation (DDOT), and the Department of Public Works (DPW), will coordinate the shipment of food to staging areas within the emergency area.

f. The Office of Contracting and Procurement (OCP) will initiate direct market procurement of critical food supplies not available from existing DHS inventories or other authorized sources.

### 2. Continuing Actions

a. DHS will expedite requests for emergency issuance of food stamps after access to commercial food channels has been restored, as necessary.

b. DHS and the American Red Cross will activate pre-established agreements and set up logistical links with organizations involved in long-term mass meal services.

c. DHS and the American Red Cross will establish need for and use of a predetermined process for the replacement of food products transferred from existing program inventories.

## *V. Responsibilities*

### A. Primary District Agency

**Department of Human Services (DHS)—**DHS will respond to the activation of the ESF and will assist the American Red Cross with bulk food or meal acquisition and emergency feeding both inside and outside of the shelter environment. DHS will coordinate the deployment of District agency staff for feeding, facilitating food acquisition and distribution through the coordination of purchases and reimbursements, and overseeing logistics for emergency food supplies during the crisis period. DHS also will activate the Disaster Food Stamp and Voucher Issuance Program within 72 hours, which will authorize emergency issued food stamps and vouchers. Eligible customers and families will then be able to purchase food on the open market, as necessary. DHS will assess, in coordination with the American Red Cross, HSEMA, the Salvation Army, and other agencies, the critical needs of the affected population in terms of numbers

of people, their location, and usable food preparation facilities for congregate feeding.

## B. Support District Agencies

1. **Child and Family Services Agency (CFSA)—**CFSA will mobilize its staff and volunteers to assist in District-wide feeding and will help staff the Disaster Food Stamp and Voucher Issuance program sites, as necessary. CFSA also will oversee the identification, administrative processing, protection, and feeding of any children who may be separated from their parent(s) or guardian(s), or identified or reported to be at risk for neglect or abuse, either in the shelters or in the community during the emergency period.

2. **DC Public Schools (DCPS)—**DCPS will provide food storage and mass feeding/food distribution center sites, if needed. DCPS also will help identify emergency food vendors, especially those who offer pre-packaged food in children's portions, as needed.

3. **Department of Employment Services (DOES)—**DOES, in coordination with HSEMA, will help recruit emergency manpower to assist in emergency feeding requirements and in the delivery of emergency food and supplies.

4. **Department of Health (DOH)—**DOH will monitor the emergency food assistance program to ensure that food is transported, stored, handled, prepared, and served in accordance with safe food practices.

5. **Department of Mental Health (DMH)—**DMH will provide bag meals in emergency situations. A three-hour lead-time will be required for preparation of meals. DMH will provide storage space, refrigeration, and food preparation at St. Elizabeth's Hospital for bulk meals/food supply stockpiles.

6. **Department of Parks and Recreation (DPR)—**DPR will mobilize its staff and volunteer organization as directed by DHS to assist in District-wide responses. Activities may include providing transportation or assisting with mass feeding.

7. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA will help coordinate the various District and federal agencies and private group responses to emergency feeding requirements, including community food banks. HSEMA will help DHS coordinate use of federal stockpiles of food through FEMA if federal assistance is deemed necessary by the Mayor.

8. **Metropolitan Police Department (MPD)—**MPD, in cooperation with DHS and other District agencies, will provide support and assistance in the event that emergency food is required. MPD will maintain security around emergency feeding areas including control of ingress and egress, in coordination with DHS and HSEMA. MPD will provide support and assistance to facilitate the delivery of emergency food and supplies. MPD will help notify the public by providing direction and security along predetermined routes to reach central food locations and will assist in ensuring that any ingress and egress to such locations is conducted in an orderly and safe manner.

9. **Office on Aging (DCOA)—**DCOA will provide technical assistance in the management and feeding of the elderly housed in DCOA shelters. DCOA will identify, to the extent possible, the location of seniors in need of transport to mass feedings, congregate meals, and food distribution centers.

10. **Office of Contracting and Procurement (OCP)—**OCP will manage the development and execution of emergency food/meal contracts to supplement DHS supplies for emergency events and mass care feedings or food distribution to large staging areas.

## C. Other Support Agencies and Organizations

1. **American Red Cross (ARC)—**ARC will assist DHS in coordinating with HSEMA in the identification and processing of food requests and will coordinate with DHS and other support agency personnel upon the receipt of food or meals for distribution to or the feeding of persons housed in shelters or in mass feeding staging areas.

2. **Consortium of Universities of the Washington Metropolitan Area—**The universities will advise HSEMA and DHS on the availability of alternative feeding sites or food preparation centers that may be in proximity to the emergency site(s). The universities will provide any available facility resources and volunteer staff for the preparation, serving, or distribution of meals and bulk food. The universities will also provide support services such as language interpreters or cultural interventions, as needed and as available.

## D. Primary Federal Agency

**U.S. Department of Agriculture (USDA)—**USDA is the coordinating federal agency for ESF #11 and will provide direct, technical, and other support to the District through the District's lead agency for ESF #11.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999,

federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**District of Columbia National Guard (DCNG)—**DCNG will, at the request of HSEMA, coordinate and provide mobile feeding facilities and personnel, and will assist with the delivery of bulk food and cooking supplies.

# Emergency Support Function #12
# Energy

| | |
|---|---|
| **Primary District Agency:** | District Department of the Environment |
| **Support District Agencies:** | Department of Public Works<br>District Department of Transportation<br>Homeland Security and Emergency Management Agency |
| **Other Support Agencies and Organizations:** | Maryland Energy Administration<br>Potomac Electric Power Company<br>Public Service Commission<br>Virginia Department of Mines, Minerals and Energy<br>Washington Gas Company |
| **Primary Federal Agency:** | U.S. Department of Energy |
| **Support Federal Agencies:** | District of Columbia National Guard<br>U.S. Department of Defense/U.S. Army Corps of Engineers |

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #12—Energy helps restore the District of Columbia's (the District's) energy systems during and/or following an emergency. The District Department of the Environment (DDOE) is the primary agency in the District responsible for coordinating with all other governmental department response elements and utilities to restore the District's energy systems.

### B. Scope

ESF #12 gathers, assesses, and shares information on energy system damage and estimates the impact of energy system outages/shortages within the District. The purpose of this ESF is to facilitate restoration of energy systems and fuel supplies[1] during and/or following an emergency. Power and fuel are critical to protecting lives and property and maintaining the continuity of the government,

[1] The Department of Public Works also has an emergency power support role. See ESF #3.

business, transportation, emergency services, and other critical infrastructures within the District.

ESF #12 agencies have a variety of assets and resources available to them to mitigate energy or hazardous problems. Damage to an energy system in one geographic region may affect energy supplies in other regions that rely on the same delivery systems.

The policies and responsibilities detailed in ESF #12 are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Internal Operations Plans of DDOE; and
- Standard Operating Procedures of DDOE.

## *II. Policies*

A. The ESF #12 priorities will be to aid in the restoration of damaged energy systems.

B. DDOE will assign an ESF Emergency Liaison Officer (ELO) to temporary duty at the Homeland Security and Emergency Management Agency (HSEMA) Emergency Operations Center (EOC) or other augmentation facility, as needed, to be a member of the Consequence Management Team (CMT).

## *III. Situation*

### A. Disaster Condition

An emergency, to include a fuel shortage emergency, may sever key energy infrastructure, constraining supply in affected areas and, most likely, adversely impacting adjacent areas, especially those with supply links to the directly affected areas. Such an event also could affect transportation, communications, and other infrastructure necessary for sustaining public health and safety. It also could affect continuity of government as well as a number of critical infrastructures within the District.

### B. Planning Assumptions

1. There may be widespread and possibly prolonged electric power outages or interruptions.

2. There may be widespread and possibly prolonged disruption to the supply and distribution of natural gas.

3. Transportation and telecommunication infrastructures may be affected by a disruption in power.

4. Delays in the delivery of petroleum-based products may occur as a result of loss of commercial electric power.

## *IV. Concept of Operations*

### A. General

1. ESF #12 will consolidate utility reports, identifying the assessment of fuel and electric power damage, energy supply and demand, and estimates to repair such systems, as follows:

    a. Coordinate closely with officials to establish priorities to restore critical customer facilities and coordinate the provision of temporary, alternate, or interim sources of emergency fuel and power; and

    b. Obtain current information regarding damage to energy supply and distribution systems and obtain estimates for restoration.

2. ESF #12 will provide timely and credible energy supply assessments and restoration forecasts in times of disaster in coordination with the U.S. Department of Energy (USDOE).

3. ESF #12 will coordinate with technical experts on energy supply production and delivery to facilitate energy information exchange.

4. ESF #12 will coordinate with other ESFs in order to provide timely and accurate energy impact information and recommend options to mitigate impacts.

5. ESF #12 will provide an ELO to the HSEMA EOC during an emergency situation.

6. ESF #12 will attain information regarding energy impacts and provide input to situation and other reports through the EOC.

7. ESF #12 will coordinate among federal and mutual aid state officials and energy industries in the region regarding priorities to repair damaged energy systems.

### B. Organization

DDOE will coordinate all ESF #12 activity. Because each support agency may be represented at the HSEMA EOC, ESF #12 will maintain 24-hour contact with those representatives, as necessary, at those locations for the duration of the emergency response period. Support agency representatives will have sufficient

knowledge of the capabilities and resources of their agencies, with appropriate authority to commit resources to the response effort.

If a presidential disaster declaration is issued, the ESF #12 Team Leader is the POC within the District and will represent this ESF in its dealings with the District of Columbia Coordination Officer (DCCO), who will issue requests for federal assistance to the Federal Coordinating Officer (FCO). After a mission assignment is issued by the U.S. Department of Homeland Security/ Federal Emergency Management Agency (USDHS/FEMA) to a federal ESF or agency, DDOE will coordinate the delivery of assistance for ESF #12. The ESF will have an ESF Liaison Officer present or available for duty at the Joint Field Office (JFO) on a 24-hour basis for the duration of the emergency response period.

## C. Notification

1. The EOC will notify ESF #12 of the activation of the CMT. ESF #12 will then notify ESF#12 support agencies and appropriate officials by telephone, pager, and/or e-mail regarding the nature of the event and any potential ESF # 12 issue.

2. The ESF #12 Team Leader will attend any CMT meetings and be available, as necessary, for the duration of the initial response period.

## D. Response Actions

### 1. Initial Actions

a. Activate disaster response procedures.

b. Send an ESF #12 ELO to the EOC.

c. Coordinate with utility representatives to establish priorities to repair damage and communicate those priority facilities.

d. Coordinate with utility representatives to identify government actions that will help obtain needed resources to repair or restore damaged energy systems.

e. Use available information to determine the status and assess the energy impacts of the emergency, including public agency and government resources needed to respond.

f. Coordinate with USDOE to access fuel supplies in the petroleum reserve, in the event of a fuel shortage.

g. Provide periodic situation and any other reports to the EOC as directed by HSEMA.

h. Receive and respond to requests for information from neighboring states, local governments, regional bodies, federal agencies, and industry.

**2. Continuing Actions**

a. Serve as the focal point for receipt of reports on damage to energy supply and distribution systems and requirements for system restoration.

b. Advise and assist industry, District, and local authorities on priorities and actions for energy restoration and supply.

c. Locate fuel for transportation, communications, and emergency operations. Coordinate with the U.S. Army Corps of Engineers (USACE) and the District of Columbia National Guard (DCNG) for the transportation of that fuel.

d. Coordinate the collection and reporting of energy supply information to the public.

e. Recommend actions to conserve petroleum fuel, electric power, and natural gas, and to ration energy, as necessary.

f. Monitor the fuel supply system in coordination with gas station owners and companies to ensure the District possesses and maintains adequate supplies.

## *V. Responsibilities*

### A. Primary District Agency

**District Department of the Environment (DDOE)—**As the primary District agency for ESF #12, DDOE gathers, assesses, and shares information on energy system damage and estimates on the impact of energy system outages within affected areas during plan activation. DDOE coordinates with all the support agencies to help facilitate the restoration of energy systems and fuel supplies following an emergency.

### B. Support District Agencies

**1. Department of Public Works (DPW)—**DPW will provide generator fuel supplies as needed.

2. **District Department of Transportation (DDOT)—**DDOT will facilitate and coordinate in the restoration of damaged transportation infrastructure within the public right-of-way to reestablish utilities. DDOT will coordinate with PEPCO regarding down power lines caused by trees.

3. **Homeland Security and Emergency Management Agency (HSEMA)—**HSEMA provides the administrative and logistical mechanism through which ESF #12 interacts with the other ESFs in the EOC at a specified operating location.

## C. Other Support Agencies and Organizations

1. **Maryland Energy Administration (MEA)**—MEA is the lead agency for Maryland for ESF #12. MEA may provide support as requested under the Emergency Management Assistance Compact (EMAC).

2. **Potomac Electric Power Company (PEPCO)—**PEPCO provides electrical services to the public and businesses of the District. PEPCO will ensure communications with the EOC and provide an ELO to the EOC to ensure effective communications and coordination of emergencies, specifically monitoring the power grid and its impact on the District. PEPCO will provide operational/restoration information reports on response activities to the EOC. Additionally, PEPCO will help HSEMA prepare an impact statement outlining the effects of a long-term power outage on government operations and on the potential threat to the health, welfare, and safety of citizens in the affected areas.

3. **Public Service Commission (PSC)—**PSC will provide emergency regulatory action as appropriate to facilitate PEPCO, Washington Gas Company, and any other suppliers under its mandate in the restoration of services to their customers.

4. **Virginia Department of Mines, Minerals and Energy (DMME)**—DMME is the lead agency for Virginia for ESF #12. DMME may provide support as requested under EMAC.

5. **Washington Gas Company (WGC)**—WGC provides natural gas to the public and business of the District. WGC will ensure communications with the EOC and provide an ELO to the EOC to ensure effective communications and coordination of emergencies, specifically monitoring the natural gas supply and its impact on the District. WGC will provide operational/restoration information reports on response activities to the EOC. Additionally, WGC will help HSEMA prepare an impact statement outlining the effects of a long-term natural gas outage on government operations and on the potential threat to the health, welfare, and safety of citizens in the affected areas.

## D. Primary Federal Agency

**U.S. Department of Energy (USDOE)—**USDOE is the primary federal agency for ESF #12 and it will provide direct, technical, and other support and guidance to the District through its District counterpart, DDOE. In addition, USDOE will support the District in the event of a Weapons of Mass Destruction (WMD) incident. This USDOE support is outlined in Attachment J to the "National Capital Region Weapons of Mass Destruction Incident Contingency Plan."

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agencies

1. **DC National Guard (DCNG)—**DCNG will support the distribution of fuels and other services when requested and coordinated, as requested by HSEMA.

2. **Department of Defense/U.S. Army Corps of Engineers (DOD/USACE)—**In support of USDOE during a federally-declared disaster and as the coordinating federal agency for ESF #3, DOD/USACE will provide electrical generators and other support services as needed to supplement the District's efforts in the temporary restoration of electrical service.

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# Emergency Support Function #13
# Law Enforcement

**Primary District Agency:** Metropolitan Police Department

**Support District Agencies:**
DC Public Schools
Department of Corrections
Department of Health
Department of Public Works
Department of Youth Rehabilitation Services
District Department of Transportation
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Office of the Attorney General
Office of the Chief Medical Examiner
Office of Property Management
Office of Unified Communications

**Other Support Agencies and Organizations:** DC Housing Authority

**Primary Federal Agency:** U.S. Department of Justice

**Support Federal Agency:** District of Columbia National Guard

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #13—Law Enforcement provides for the safety of citizens and security of property during emergencies. It prescribes the procedures for the command, control, and coordination of the ESF #13 primary District agency and ESF #13 support District agencies to conduct emergency operations. It also establishes interagency relationships between the ESF #13 agencies and federal law enforcement agencies.

### B. Scope

During emergency operations, ESF #13 manages and coordinates law enforcement activities and provides personnel and equipment resources to execute response activities in the public safety and security area. Fulfilling this mission supports public safety and security operations in the field, enhances situational awareness at

operations centers, and aids planning and decision making by the Consequence Management Team (CMT).

## *II. Policies*

The Metropolitan Police Department (MPD) has primary responsibility for law enforcement and security. In larger scale incidents, additional resources will be obtained through the activation of response plans and mutual aid and assistance agreements with ESF #13 support agencies and organizations.

The policy of the MPD is to set an appropriate department response level based on present known threats. The Chief of Police, or his/her designee, will determine the response level. The response level shall ensure a state of readiness that permits a comprehensive, coordinated response.

## *III. Situation*

### A. Disaster Condition

An emergency or other significant event may be of such severity and magnitude as to require a law enforcement response to address public safety and security.

### B. Planning Assumptions

1. There may be little or no warning before the onset of an event.

2. The Mayor of the District has sufficient legislative authority (District of Columbia Public Emergency Act of 1980; D.C. Code § 7-230) to act during emergencies to preserve the public peace, health, and safety of the citizens of the District.

3. In an emergency, law enforcement resources may be directly impacted and potentially degraded. In the event that the District cannot effectively control the situation, the Mayor can request federal assistance through proper channels.

## *IV. Concept of Operations*

### A. General

1. When the Homeland Security Emergency Management Agency (HSEMA) activates its Emergency Operations Center, the MPD will dispatch an Emergency Operations Liaison (ELO) to perform all duties assigned to the position.

2. When an emergency situation is anticipated or erupts, MPD will dispatch personnel to the affected area. MPD will establish mutual aid liaisons, as

appropriate, and assess the situation. MPD personnel will coordinate any requests for additional District law enforcement resources and make requested resources available.

3. Coordination of the use of other city, local, and federal law enforcement agencies will be managed by MPD. Should the situation escalate or require additional law enforcement resources from outside the affected area, such resources will be dispatched in conjunction with the support agencies. The police will provide necessary security to the DC Fire and Emergency Medical Services Department (FEMS), medical personnel, and public utility personnel while performing emergency tasks if needed.

4. When an emergency is caused by a terrorist act, MPD will lead response management coordination for the District of Columbia, including close coordination with the Federal Bureau of Investigation (FBI), U.S. Secret Service, U.S. Capitol Police, U.S. Park Police, and other federal law enforcement agencies and organizations as necessary. The FBI will be the lead federal agency for criminal investigations of terrorist acts or terrorist threats and intelligence collection activities, and the U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA) will be the primary federal agency for domestic incident management.

## B. Response Actions

ESF #13 agencies are prepared to take a variety of actions to respond to and recover from an emergency. These actions may include, but are not limited to, the following activities, when appropriate:

### 1. Initial Actions

**Notification**
Upon notification of an emergency, MPD will alert appropriate personnel and activate and staff the Joint Operations Command Center (JOCC) to facilitate communication. To assist the Homeland Security and Emergency Management Agency (HSEMA) in the coordination of MPD activities with the overall District response, MPD Emergency Liaisons Officers (ELO) will be posted at the EOC and at other command and control sites, as determined by the Chief of Police (e.g., Mobile Command Center).

**Activation**
In conjunction with HSEMA and with appropriate other primary agencies and support agencies, MPD will make a rapid initial assessment of the situation and, as appropriate, notify and activate one or more ESF #13 support agencies.

## 2. Continuing Actions

### Direction and Control

The Chief of Police or designee will direct and control all law enforcement operations and activities relating to the management of the emergency. The command center will be activated at police headquarters from which MPD will:

- Monitor and coordinate police field operations;
- Receive reports from police commanders;
- Maintain logs on essential elements of information relating to arrests, injuries, deaths, personnel distribution, traffic control, and property damage;
- Initiate requests for law enforcement assistance under existing required mutual aid agreements;
- Coordinate through the HSEMA Emergency Operations Center (EOC) all requests from non-law enforcement agencies for resources and/or equipment required by the federal government, other DC government agencies, or the private sector;
- Brief the Mayor and other DC government officials on the status of events and the measures being taken to bring the emergency under control; and
- Ensure adequate police coverage is provided to all neighborhoods.

### Response Operations

Based on the circumstances of an emergency, ESF #13 agencies will be expected to execute several or all of the following response operations:

- **Law Enforcement & Investigation**—MPD will conduct crime scene investigations as well as provide basic law enforcement services during incidents (routine patrol and arrest functions);
- **Intelligence Collection and Analysis**—MPD's Homeland Security Bureau, Intelligence Fusion Division will collect, assess, and disseminate intelligence from multiple sources to provide additional situational awareness about the event;
- **Crime Scene Processing, and Evidence Preservation**—MPD will conduct investigations, assess and document crime scenes, and collect, analyze, and preserve potential evidence recovered from crime scenes;
- **Site Management**—MPD will coordinate the following:
  - **Perimeter Control**: MPD and select ESF #13 support agencies, when needed, will provide security forces and establish protective measures around the incident site, critical infrastructure, and/or critical facilities;
  - **Traffic and Crowd Control**—MPD and select ESF #13 support agencies, when needed, will provide emergency protective services to address public safety and security requirements;
  - **Force Protection**—MPD and select ESF #13 support agencies, when needed, will provide for the protection of emergency responders and other workers operating in a high-threat environment, and for the operational security of emergency response operations;

- **Evacuation (Area and/or Law Enforcement Related**): MPD and select ESF #13 support agencies, when needed, will evacuate people from dangerous areas to a safe environment.
- **Water Search & Recovery:** MPD will conduct search and recovery activities on the surface and beneath water in search of human remains and/or evidence of crime.
- **Specialized Security Resources/CBRNE/Hazardous Materials Assessment and Investigation (Crime Scene/Terrorism)** MPD's Homeland Security Bureau, Special Operations Division will provide specialized security assets such as traffic barriers; chemical, biological, radiological, nuclear, and high-yield explosives detection devices; canine units; law enforcement personal protective gear; etc.
- **Crush Investigation:** MPD will investigate automobile traffic crushes.
- **VIP Protection:** MPD will provide protection of individuals at the request of federal authorities.
- **Arson Investigation (Major Case):** MPD and select ESF #13 support agencies, when needed, will investigate intentionally set fires that result in serious bodily injury and/or death.

**Recovery Operations**
ESF #13 agencies will prepare complete and detailed reports of procedures and operations. These reports shall include comments regarding effectiveness, obstacles and problems encountered when carrying out assigned activities and recommendations for improvement and corrective actions taken to address obstacles and problems.

## *V. Responsibilities*

### A. Primary District Agency

**Metropolitan Police Department (MPD)—**MPD will be in direct liaison with HSEMA and other city agencies via the EOC in order to coordinate interagency responses to any emergencies that may arise. MPD will keep HSEMA apprised of police operations with regular status reports to the EOC. All emergency police responses for major incidents or other critical situations shall be coordinated through the MPD JOCC. MPD will be responsible for the delivery of both emergency and non-emergency police service to the public. If necessary, the entire department will be fully mobilized to ensure a continuity of service and effective police response in the event of an emergency or other critical situation. In addition to existing internal standard operating procedures (SOPs), MPD will be in contact with other city, local, and federal police agencies to ensure that the safety of the public is not compromised by domestic or foreign terrorist threats or acts.

## B. Support District Agencies

1. **DC Public Schools (DCPS)**—DCPS will coordinate with MPD to ensure the safety of the system's students, faculty, and staff, as well as to protect the school facilities and other DCPS properties.

2. **Department of Corrections (DOC)—**DOC will direct operations inside the institution affected by any emergency. DOC will coordinate all actions necessary to restore the institution to normal operations. DOC will coordinate with MPD during operations outside of the facility.

3. **Department of Health (DOH)—**DOH will coordinate health and medical assistance in the District. This will be done through clinical assessment and management of health care facilities, mental health assistance for those affected, assessment of health and medical needs, and notification to local hospitals for mass medical care activities.

4. **Department of Public Works (DPW)—**DPW will assist MPD and HSEMA via communication and contact with the Emergency Coordinator in the DPW.

5. **Department of Youth Rehabilitation Services (DYRS)—**DYRS has custody over youth detained by or committed to the District's juvenile justice system. DYRS will use internal plans and procedures to ensure safe and secure housing of youth in the event of an emergency that requires the closure of part or all of a facility.

6. **District Department of Transportation (DDOT)—**DDOT will help identify traffic posts, develop emergency routes, identify staging areas, and establish access routes for emergency vehicles. DDOT also will supply vehicles and equipment, when available, to serve as perimeter devices to secure a location or a road closure.

7. **Fire and Emergency Medial Services Department (FEMS)—**FEMS is the primary agency for the Fire Investigation Team and a member of the DC Arson Task Force (ATF). FEMS also will perform search and rescue operations and coordinate that activity with MPD.

8. **Homeland Security and Emergency Management Agency (HSEMA)—**The operational command and control for recovery management in any emergency is the EOC operated by HSEMA. A liaison from HSEMA will be provided to the JOCC. A liaison from MPD will be provided to the EOC as a representative of ESF #13 to ensure effective and seamless communication between the two command and control centers.

9. **Office of the Attorney General (OAG)—**OAG will provide legal advice and take legal action for the supporting agencies, unless lawyers in the supporting

agencies normally perform these functions for their agencies. OAG will provide legal advice and take legal action for the District government.

10. **Office of the Chief Medical Examiner (OCME)—**OCME will respond to the scene and provide coordination of mass fatality efforts, including investigating, establishing temporary morgue(s), coordinating transportation of remains, performing postmortem examinations and identifications, securing evidence, certifying cause and manner of death, and releasing remains.

11. **Office of Property Management (OPM)—**Protective Service in OPM is responsible for security at the District's leased or owned property.

12. **Office of Unified Communications (OUC)**—OUC will facilitate communications and coordination among local, state, and federal authorities during regional and national emergencies.

## C. Other Support Agencies and Organizations

**DC Housing Authority (DCHA)—**DCHA will use its law enforcement capabilities and security personnel to coordinate with MPD to ensure public safety at District housing sites, specifically, and the District population, in general.

## D. Primary Federal Agency

**U.S. Department of Justice (USDOJ)—US**DOJ is the coordinating federal agency for ESF #13 and will provide direct, technical, and other support and guidance to the District through the counterpart ESF primary District agency, MPD.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the U.S. Department of Homeland Security (USDHS) National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**District of Columbia National Guard (DCNG)—**DCNG will provide manpower to MPD to assist in management of the designated 142 critical intersections in the city, and in other capacities, at the request of HSEMA.

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# Emergency Support Function #14
# Long-Term Community Recovery and Mitigation

| | |
|---|---|
| **Primary District Agency:** | Homeland Security and Emergency Management Agency |
| **Support District Agencies:** | Department of Employment Services<br>Department of Health<br>Department of Housing and Community Development<br>Department of Human Services<br>Department of Public Works<br>Department of Small and Local Business Development<br>District Department of the Environment<br>District Department of Transportation<br>Housing Finance Agency<br>Office of the Chief Medical Examiner<br>Office of Contracting and Procurement<br>Office of Partnerships and Grants Development<br>Serve DC |
| **Other Support Agencies and Organizations**: | DC Housing Authority |
| **Primary Federal Agency:** | U.S. Department of Homeland Security/<br>Federal Emergency Management Agency |
| **Support Federal Agencies:** | U.S. Department of Health and Human Services<br>U.S. Department of Housing and Urban Development<br>U.S. Environmental Protection Agency |

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #14 provides a framework for federal government support to regional, District of Columbia (District), and local governments; non-governmental organizations (NGOs); and the private sector to enable community recovery from long-term consequences of a disaster affecting the District.

### B. Scope

Assistance under this function consists of two components:

1. Long term recovery activities are those actions that enable disaster victims to begin the process of rebuilding their homes, replacing property, resuming employment, restoring businesses, and permanently repairing, rebuilding, or relocating public infrastructure.

2. Mitigation activities are those actions that either prevent the occurrence of an emergency or reduce the community's vulnerability in ways that minimize the adverse impact of a disaster or other emergency.

3. The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:
   - Internal Operations Plans of HSEMA; and
   - Standard Operating Procedures of HSEMA.

## *II. Policies*

A. Recovery involves actions needed to help individuals and communities return to normal after a disaster. The federal Joint Field Office (JFO) is the central coordination point among regional, District, and local agencies and volunteer organizations for delivering recovery assistance programs.

B. Long-term environmental recovery may include cleanup and restoration of public facilities, businesses, and residences; re-establishment of habitats and prevention of subsequent damage to natural resources; protection of cultural or archeological sites; and protection of natural, cultural, and historical resources from intentional damage during other recovery operations.

C. The Human Services and Infrastructure Support Branches of the JFO Operations Section assess District recovery needs at the outset of an incident and develop relevant timeframes for federal long-term recovery program delivery.

D. Hazard mitigation involves reducing or eliminating long-term risk to people and property from hazards and their side effects. The federal JFO is the central coordination point among regional, District, and local agencies and NGOs for beginning the process that leads to the delivery of federal mitigation assistance programs.

E. The Community Recovery and Mitigation Branch of the JFO Operations Section coordinates the delivery of all federal mitigation programs within the District.

F. While the federal government possesses substantial resources that can be used in time of disaster, regional, District, and local governments, and the private sector primarily define and address risk reduction and long-term community recovery priorities.

G. District agencies will continue to coordinate federal immediate recovery assistance to the District under appropriate authorities while additional, long-term assistance is coordinated through ESF #14.

H. Long-term community recovery and mitigation efforts are forward-looking and market-based, focusing on permanent restoration of infrastructure, housing, and the local economy, with attention to mitigating the future impacts of a similar nature.

I. The federal government uses the post-incident environment as an opportunity to measure the effectiveness of previous community recovery and mitigation efforts.

J. Assistance through ESF #14 should include the application of loss-reduction and building science expertise to rebuild critical infrastructure.

## *III. Situation*

### A. Disaster Condition

An emergency or other significant event may be of such severity and magnitude as to require long-term community recovery and mitigation. ESF #14 will provide the overall coordination to recover from long-term consequences of a disaster affecting the District and the private sector.

### B. Planning Assumptions

1. The probable shortage of a critical resource may be known to District government officials in advance of the actual shortage, allowing measures to be undertaken in order to lessen the impact. In some cases, shortages will occur completely without warning.

2. Local businesses and organizations are willing, whenever possible, to assist the community and the District government during a period of resource shortage, particularly following a large-scale disaster. The city's mutual aid agreements with Maryland and Virginia and neighboring counties should also be accessed if these areas have not been impacted by the emergency.

3. The District government maintains lists of all classes of critical resources, personnel, supplies (mass care, in particular), and equipment that may be

needed in the city as well as the names, addresses, and telephone numbers of government and private agencies that have the resources.

4. Agency and departmental critical resources lists are fundamental to the effective response of the District government to emergency activations. Procurement transactions, pricing, and vendor relationships need to be established prior to events requiring activation of the Homeland Security and Emergency Management Agency (HSEMA) Emergency Operations Center (EOC). Protracted procurement processes may result from insufficient or nonexistent critical resource lists.

5. In any emergency, donations will be received and managed by ESF #16—Volunteer and Donations Management, and media coverage requesting donations should be a sustained effort.

6. Federal government assistance will be requested to supply unmet needs of response agencies.

## *IV. Concept of Operations*

### A. General

1. HSEMA is responsible for all ESF #14 administrative, management, planning, preparedness, mitigation, response, and recovery activities to include developing, coordinating, and maintaining standard operating procedures (SOPs). All ESF #14 supporting agencies will assist HSEMA in planning and executing the above responsibilities. All ESF #14 personnel will be trained on the principles of the National Incident Management System (NIMS) and will integrate those principles into all ESF #14 planning and response operations.

2. Coordination with all supporting and other appropriate departments/ agencies and organizations will be performed to ensure continual operational readiness.

### B. Organization

ESF #14 will normally activate with the opening of the JFO. ESF #5 will coordinate ESF #14 functions until the JFO opens.

### C. Notification

The HSEMA EOC will notify relevant agencies in accordance with ESF #5 SOPs.

## D. Response Actions

1. The EOC will be staffed according to EOC policy and procedures. Necessary actions to protect the public will have been implemented. Initial recovery activities will begin after the disaster assessment is complete.

2. When conditions allow, rapid and thorough assessments must be conducted to:

    a. Assess the overall damage to homes and businesses;

    b. Assess the overall damage to critical public facilities and services; and

    c. Determine whether those damages are sufficient to warrant supplemental federal disaster assistance.

3. Predictive modeling will be used (e.g., HAZUS-MH multi-hazard loss estimation methodology) to determine vulnerable critical facilities as a basis for identifying recovery activities.

4. Depending on the results of the damage assessment, the Mayor may request a presidential disaster declaration, which would make the District eligible for a variety of federal assistance programs. To assist in coordinating these programs, the Mayor will appoint a DC Coordinating Officer (DCCO) and a District Hazard Mitigation Officer (DHMO).

5. Upon activation of a JFO, District EOC operations may terminate transfer to the JFO.

6. Following a presidential disaster declaration, the DCCO will coordinate with the DHMO to develop and execute a mitigation plan. This plan will:

    a. Reduce socio-economic consequences of the emergency;

    b. Assign staff to identify and document economic impact and losses avoided due to previous mitigation and new priorities for mitigation in affected areas;

    c. Identify appropriate federal and state programs to support implementation of long-term recovery plans; and

    d. Include a procedure for the assessment and revision of mitigation plans, as necessary.

7. The DHMO will work with the Public Assistance Program to ensure that all Stafford Act Section 406 mitigation opportunities are identified. Section 406 provides for direct federal assistance for repairs and improvements to eligible damaged public facilities.

8. The DHMO will work with the Federal Emergency Management Agency (FEMA) and appropriate District agencies to develop a disaster specific mitigation implementation strategy. The implementation strategy will include an overview of the disaster, geographical and mitigation measure priorities, and a JFO action plan.

## *V. Responsibilities*

### A. Primary District Agency

**Homeland Security and Emergency Management Agency (HSEMA)—** HSEMA will coordinate long-term community recovery and mitigation efforts under ESF #14. To accomplish this, HSEMA will identify, train, and assign personnel to staff ESF #14 in the JFO, and notify all ESF #14 supporting agencies upon activation. Specific responsibilities include:

- Develop predictive modeling systems, to include HAZUS-MH multi-hazard loss estimation methodology, in order to determine vulnerable critical facilities as a basis for identifying recovery activities;
- Coordinate with other District agencies to address key issues for disasters such as temporary and permanent housing, debris removal, decontamination, environmental restoration, restoration of public facilities and infrastructure, and short- and long-term economic recovery;
- In coordination with the federal government, assign staff to identify and document economic impact and losses avoided due to previous mitigation projects and new priorities for mitigation in affected areas;
- Develop and organize damage assessment teams and plans to obtain and analyze damage assessment data;
- Coordinate identification of appropriate federal and state programs to support implementation of long-term recovery plans;
- Coordinate assessment and revision of existing risk analysis and mitigation plans;
- Provide technical assistance in community planning; and
- Coordinate recovery and mitigation grant programs.

## B. Support District Agencies

1. **Department of Employment Services (DOES)—**DOES will manage issues related to the recruitment of manpower during an emergency and will serve as the central clearinghouse for mobilization and referral of paid and unpaid workers. DOES will work with Emergency Liaison Officers (ELOs) to allocate critical manpower resources on a priority basis. DOES will ensure the continuation of unemployment benefits payments; employer tax collections, disability, and workers compensation payments; summer youth employment programs; Job Training Partnership Act (JTPA) programs; and Job Services activities.

2. **Department of Health (DOH)**—DOH will identify, obtain, and allocate needed medical resources; recommend policy direction; and direct resources according to needs and potential impact on District-wide services. Additionally, DOH will plan for and provide technical assistance for contaminated debris management and environmental remediation.

3. **Department of Housing and Community Development (DHCD)**—DHCD will plan for and provide economic recovery and growth assistance, and provide technical assistance in community planning and economic assessment. Additionally, DHCD will identify, train, and assign personnel to maintain contact with ESF #14 and prepare to execute missions in support of ESF #14.

4. **Department of Human Services (DHS)—**DHS will identify and advise on long-term recovery housing options for displaced victims. DHS will reasonably ensure that disaster victims care, required medication and food.

5. **Department of Public Works (DPW)**—DPW will plan for and coordinate debris management.

6. **Department of Small and Local Business Development (DSLBD)**—DSLBD will foster economic growth and development of Local, Small and Disadvantaged Business Enterprises (LSDBEs) through supportive legislation, business development programs, and agency and public/private contract compliance. Additionally, DSLBD will identify, train, and assign personnel to maintain contact with ESF #14 and prepare to execute missions in support of ESF #14.

7. **District Department of the Environment (DDOE)—**DDOE will assist in ensuring energy needs are met for long-term recovery efforts. In addition, DDOE will advise on environmental impacts of long-term recovery efforts.

8. **District Department of Transportation (DDOT)**—DDOT will provide status and resource information concerning reestablishing any part of the

transportation infrastructure that is damaged. Additionally, DDOT will plan for and provide technical assistance in transportation planning and engineering, and will coordinate transportation assistance programs.

9. **Housing Finance Agency (HFA)**—HFA will help stimulate and expand home ownership and rental opportunities by issuing tax-exempt Mortgage Revenue Bonds to lower costs of single-family and rental housing. HFA will identify, train, and assign personnel to maintain contact with ESF #14 and prepare to execute missions in support of ESF #14.

10. **Office of the Chief Medical Examiner (OCME)**—Through the Family Assistance Center, OCME will continue to coordinate with the Metropolitan Police Department (MPD) on family/next-of-kin death notification. OCME will continue to work with families/next-of-kin to identify and release remains.

11. **Office of Contracting and Procurement (OCP)**—OCP will assist in obtaining critical resources needed for long-term community recovery.

12. **Office of Partnerships and Grants Development (OPGD)**—OPGD will offer services and assistance to increase the capacity of District government agencies and nonprofit organizations to ensure they are informed of and can successfully compete for federal, District, and foundation grant dollars. Additionally, OPGD will identify, train, and assign personnel to maintain contact with ESF #14 and prepare to execute missions in support of ESF #14.

13. **Serve DC—**Serve DC will provide information on volunteer availability and donation management with regard to long-term recover efforts.

## C. Other Support Agencies and Organizations

**DC Housing Authority (DCHA)**—DCHA manages and provides subsidized public housing for low-income, elderly, and disabled District residents. Additionally, DCHA possesses contracts to identify temporary housing and provide housing counseling.

## D. Primary Federal Agency

**U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**USDHS/FEMA is the coordinator for ESF #14 under the National Response Framework (NRF) and will provide direct, technical, and other support to the District through the District counterpart ESF #14. Federal support is tailored based on the type, extent, and duration of the event and long-term recovery period, and on the availability of federal resources.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agencies

1. **U.S. Department of Health and Human Services (DHHS)—**DHHS provides support for long-term recovery including, but not limited to: collaboration with State, tribal, and local officials on prioritizing restoration of the public health and private medical and healthcare service delivery infrastructures to accelerate overall community recovery; technical consultation and expertise on necessary services to meet the long-term physical and behavioral health needs of affected populations, as well as encouraging short- and long-term public financing to meet these needs; coordination of linking DHHS benefit programs with affected populations; technical assistance in the form of impact analyses and recovery planning support of public health and private medical and other healthcare service delivery infrastructure, where appropriate; and coordination of all potential DHHS sources of recovery funding.

2. **U.S. Department of Housing and Urban Development (HUD)—**HUD provides building technology technical assistance, and assistance for housing, community redevelopment and economic recovery, public services, infrastructure, mortgage financing, and public housing repair and reconstruction.

3. **U.S. Environmental Protection Agency (USEPA)—**USEPA provides technical assistance in contaminated debris management, environmental remediation, and watershed protection, planning, management, and restoration; provides technical assistance in developing appropriate drinking water and wastewater infrastructure projects and in identifying financial assistance options; and provides technical assistance on using environmentally sound and sustainable approaches in rebuilding businesses and communities.

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# Emergency Support Function #15
# External Affairs

**Primary District Agency:** Office of Communications, Executive Office of the Mayor

**Support District Agencies:**
DC Public Schools
Department of Health
Department of Human Services
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
District Department of Transportation
Executive Office of the Mayor
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Mayor's Office of Community Relations and Services
Metropolitan Police Department
Office on Aging
Office on Asian and Pacific Islander Affairs, Executive Office of the Mayor
Office of the Attorney General
Office of Cable Television and Telecommunications
Office of the Chief of Staff, Executive Office of the Mayor
Office of the Chief Technology Officer
Office on Latino Affairs, Executive Office of the Mayor
Serve DC

**Primary Federal Agency:** U.S. Department of Homeland Security / Federal Emergency Management Agency

## *I. Introduction*

### A. Purpose

Emergency Support Function (ESF) #15—External Affairs which includes media relations and community outreach provides guidance on District of Columbia's (the District) ability to help citizens prepare and recover from the effects of an emergency. This function supports District agencies, as needed, after an emergency in gathering and disseminating information. ESF #15 serves as a direct link to media outlets, community leaders, and District residents and works

in close coordination with other program elements to develop and deliver critical information during and immediately following an emergency.

In the event of a declared emergency, ESF #15 will coordinate with the federal community and other District response agencies to support information collection and dissemination to the public, the media, and other interested parties. Similarly, in the event of a multi-jurisdictional event involving both the District and surrounding areas, ESF #15 will coordinate and collaborate with the National Capital Region R-ESF #14 Media Relations and Community Outreach and the media, community, and public information personnel from surrounding jurisdictions to support communities and provide the media and public with needed and useful information.

### B. Scope

This annex discusses the policies, responsibilities, and concept of operations for the ESF #15 elements in a potential, imminent, or declared disaster. The mission of ESF #15 is to contribute to the well being of the community following an emergency by disseminating accurate, consistent, timely, and easy-to-understand information. Specific objectives are to:

- Assess and quickly convey the nature of the emergency to the public in a form that is accessible, factually accurate, and easily understood;
- Provide critical information to the media and general public about the District's response to the emergency;
- Provide critical information about support assistance during the emergency, including shelter information, recovery assistance, and District and federal assistance availability; and
- Provide accurate authoritative information to minimize rumors and false information.

The policies and responsibilities detailed in this annex are supported by a number of subordinate plans that detail response timing and procedures. These subordinate plans include:

- Internal Operations Plans of EOM; and
- Standard Operating Procedures of EOM.

## *II. Policies*

A. ESF #15 is responsible for coordinating an assessment and documentation of the social, political, and cultural aspects of a disaster area that might affect the emergency response and recovery effort.

B. ESF #15 is designed to ensure that affected citizens are aware of available District and/or federal disaster assistance programs and how to access them.

C. All information being disseminated to the public must follow the guidelines established by the Office of Communications, the Executive Office of the Mayor (EOM).

D. ESF #15 will establish and staff the Joint Information Center (JIC), as needed.

## *III. Situation*

### A. Disaster Condition

1. After an emergency, normal means of communications in the affected area may be destroyed or severely disrupted; therefore, only limited and incomplete information may be expected from the area until communications can be restored.

2. The period immediately following an emergency is critical in setting up the large and complex mechanism that will be needed to respond to the emergency public information and news requirements generated by the incident.

3. After an emergency, District and federal assistance may be available and a need will exist to inform the public on the types of assistance being offered.

### B. Planning Assumptions

1. ESF #15 personnel will deploy simultaneously with other initial disaster response elements as warranted by the situation.

2. Up-to-date and pre-programmed resource databases will be available to provide established contacts, relationships, and rosters of District government officials, media, and appropriate community groups and organizations. Hardcopies of contacts, relationships, and rosters will be maintained by EOM.

3. ESF #15 will coordinate with all elements of the District's government to ensure that disseminated information is accurate, timely, and consistent.

## *IV. Concept of Operations*

### A. General

1. Preparation by Homeland Security and Emergency Management Agency (HSEMA) staff for an anticipated or actual event will include coordinating with District agencies, collecting relevant information about the situation, alerting required staff, and deploying ESF #15 personnel to the Emergency

Operations Center (EOC), the Executive Office of the Mayor, and any mobile command centers in or near the affected area.

2. In coordination with other staff elements, an initial media relations and community outreach plan, with disaster-specific guidance and objectives, will be prepared jointly by the Director of Communications, the Director of the Mayor's Office of Community Relations and Services, and representatives of the appropriate District agencies at the beginning of each emergency operation.

3. ESF#15 will be performed jointly by personnel from the various involved District organizations and other involved organizations (e.g., the American Red Cross (ARC), other neighboring states, and the federal government), as appropriate, who will work to achieve the objectives specified in the Media Relations and Community Outreach Plan.

4. As needed, field personnel will be organized and dispersed throughout the affected area. They will include trained personnel who know the community. The cultural, racial, and ethnic makeup of the affected population (including languages spoken) will be taken into consideration to the extent possible when making field team assignments.

5. The Community Outreach element coordinates closely with the affected District response agencies to identify community leaders (e.g., grassroots, political, religious, educational, business, labor, and ethnic) and neighborhood advocacy groups that will assist in rapidly disseminating information, identifying unmet needs, establishing ongoing dialogue and information exchange, and facilitating collaborative multi-organizational and multi-level planning and mutual support for emergency recovery (e.g., federal and/or District, as appropriate, based on the conditions and nature of the emergency).

## B. Organization

1. The Director of Communications and the Director of the Mayor's Office of Community Relations and Services have been designated as the lead ESF #15 coordinators to support public and community information dissemination at the earliest possible moment upon District awareness that an emergency is imminent or has occurred.

2. The community outreach element is responsible for organizing and managing the field component, which interfaces with response entities, community organizations, and emergency victims. The field component is organized similarly to the District government Ward structure. There are two Neighborhood Services Coordinators designated in each Ward. During an emergency, Neighborhood Services Coordinators may assist in the

supervision of Ward teams to enhance day-to-day communications. If required, Neighborhood Services Coordinators will report to the Community Outreach Coordinator or designee located at the EOC.

## C. Notification

In response to an anticipated or actual event, ESF #15 critical staff will be notified, activated, and deployed. Staff from other District agencies and departments may be used to augment operations in an emergency, as needed.

## D. Response Actions

1. Initial Actions of Media Personnel

    a. Direction of and decision-making about media relations and public information operations at the JIC will be the responsibility of the Mayor's Director of Communications.

    b. An individual at the JIC will be designated to take the lead on all housekeeping activities (maintenance, equipment supplies, etc.).

    c. A coordination desk will be established in the public JIC area, staffed by public information officers. This will serve as a central point from which all information (announcements, status reports, responses to queries, plans for briefings, etc.) will be disseminated. There will also be a work area for public information within the EOC.

    d. An initial news release will be issued no later than one hour from the time a operation level-3 condition has been declared.

2. Initial Actions of Outreach Personnel

    a. Direction of and decision-making about community outreach activities will be the responsibility of the individual District department or agency.

    b. Establish contact via fax/phone with District Councilmembers; Members of Congress, including Members from the region, Congressional leadership and members of the House and Senate District Committees, and the Governors of Virginia and Maryland.

    c. Receive status reports from Neighborhood Service Coordinators personnel concerning emergencies and casualties in the neighborhoods.

e. Translate media advisories and press releases into foreign languages for dissemination.

f. Determine need to engage volunteer corps and to which specific areas they should be deployed.

3. Continuing Actions of Media Personnel

a. In an emergency, oral communications (e.g., briefings and responses to queries) become the primary method of informing the news media.

b. News briefings will be conducted on a regular basis or as events dictate. All official news briefings shall be conducted by senior officials, preferably by the Mayor, and shall be held at the EOC whenever possible. Technical briefers and well-versed public information officers will be available to handle queries by phone and in person between news briefings.

c. Organizations wishing to speak at news briefings will coordinate with the JIC. The JIC will determine where public messages will be disseminated and by whom.

d. Mass distribution channels will be used by JIC staff for distribution of information (fax, e-mail, and broadcast) that is available in writing.

e. Significant rumors that surface in calls from the public or news media should be reported to the JIC, particularly if a pattern is observed which indicates that an erroneous rumor is circulating. Accurate information on the subject will then be provided by the coordination desk to all organizations and to the news media at the JIC.

f. Emergency advisories utilizing Channel 16 or Channel 13 may be activated to provide additional emergency information as it becomes available. The Office of Cable Television and Telecommunications will coordinate with the appropriate local radio stations to broadcast emergency advisories.

g. The federal Emergency Alert System can be activated if needed when directed by the Mayor, or his or her designee.

h. The District's Web site is a critical source of information for the news media and the public, and will be updated every 30 minutes or as needed.

i. Additional agency public information officers will be identified and may be located at non-JIC response sites.

4. Continuing Actions of Outreach Personnel

a. Maintain a two-way exchange of information between JIC personnel and Neighborhood Services Coordinators.

b. Provide updated information (via fax and phone) to key community and civic leaders, JIC media personnel, DC Councilmembers, Members of Congress, District Agencies, Governors of Maryland and Virginia, and necessary ESFs.

c. Communicate community needs with service providing agency contacts such as: the Department of Health (medical), the Department of Human Services (food), and the Department of Parks and Recreation (shelter).

d. As necessary, engage volunteer corps, in coordination with Serve DC.

## *V. Responsibilities*

### A. Primary District Agency

**Office of Communications, Executive Office of the Mayor (EOM)—**The Office of Communications, EOM will ensure that the ESF #15 function promotes equal access to disaster assistance consistent with appropriate District and federal laws, regulations, mandates, and policies (e.g., Title VI of the Civil Rights Act, American with Disabilities Act).

Under ESF #15, the Office of Communications, EOM will establish and adhere to standardized procedures that provide for an effective level of community relations services to disaster victims, the public, the media, and other interested and involved organizations. The Office of Communications, EOM, with support from representatives from other District offices and organizations, volunteer organizations, and other sources, will prepare briefings, communication plans, press releases, fact sheets, newsletters, pamphlets, and other communications and outreach materials. These actions will take place through the JIC. Furthermore, other assistance related to outreach functions will be provided (e.g., creating and updating District Web sites, conducting public meetings, providing translators to visitors/tourists impacted by the disaster), as needed.

In the event of an emergency involving a District and/or federal government response, the Media Relations Coordinator will collaborate with federal public information officers (PIOs) from the U.S. Department of Homeland

Security/Federal Emergency Management Agency (USDHS/FEMA) and other organizations to ensure that timely, reliable, consistent, and accurate information is made available to the public, affected communities, and other relevant parties. This collaboration will take place through the JIC, located at the Unified Command Center (UCC), 2720 Martin Luther King Jr. Avenue, S.E., and will be activated by the EOM Chief of Staff. Responsibilities of the JIC include, but are not limited to:

- Monitoring news reports and media outlets to track information concerning the event, ensuring accuracy of reporting, and taking action to correct misinformation and incorrect information concerning the disaster response, recovery and mitigation operations that appear in the news media;
- Maintaining contact with and gathering information from federal, regional, District, and voluntary organizations taking part in disaster response operations;
- Handling news conferences and press operations for disaster area tours by government officials and the press;
- Coordinating with the Logistics Section to provide basic facilities, such as communications, office space, and supplies, to help the news media disseminate information to the public; and
- Providing staff and other resources for a JIC operation.

## B. Support District Agencies

Each District agency has specific responsibilities to provide timely, effective, and accurate information to the citizens and visitors of the District. In the event of an emergency, each District entity shall coordinate the distribution of information to ESF #15 for dissemination to the public, the media, and other involved organizations through the Office of Communications, EOM, to ensure accurate, consistent, timely, and reliable information.

The following District agencies will provide staff and resources to support the collection of information and the dissemination of messages and information to disaster victims and the general public to promote public health and safety:

1. DC Public Schools;
2. Department of Health;
3. Department of Human Services;
4. Department of Mental Health;
5. Department of Parks and Recreation;
6. Department of Public Works;
7. District Department of Transportation;
8. Executive Office of the Mayor;
9. Fire and Emergency Medical Services Department;
10. Homeland Security and Emergency Management Agency;
11. Mayor’s Office of Community Relations and Services;
12. Metropolitan Police Department;

13. Office on Aging;
14. Office on Asian and Pacific Islander Affairs, Executive Office of the Mayor;
15. Office of the Attorney General'
16. Office of Cable Television and Telecommunications;
17. Office of the Chief of Staff, Executive Office of the Mayor;
18. Office of the Chief Technology Officer;
19. Office on Latino Affairs, Executive Office of the Mayor; and
20. Serve DC.

## C. Primary Federal Agency

**U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**The USDHS is the coordinator for ESF #15 and will provide direct, technical, and other support to the District through the District ESF #15 Emergency Liaison Officer, in conjunction with ESF #5—Emergency Management. USDHS/FEMA is able to provide the District with a number of communication resources to include:

- **Mobile Emergency Response Support (MERS)—**a deployable broadcast radio capability for multimedia communications, information processing, logistics, and operational support to federal, state, and local authorities during incidents requiring a coordinated federal response;
- **National Preparedness Network (PREPnet)—**delivers information via cable television, satellite services, personal digital devices, cell phones, and webcasts to both the public at large and to emergency responders; and
- **Recovery Radio Support—**provides official information hourly, several times a day, about the incident response and recovery effort by offering a pool feed to local stations.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO. Wherever FEMA chooses to establish its operation, there will be a JIC established to coordinate the joint federal-District message to the public.

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# Emergency Support Function #16
# Volunteer and Donations Management

**Primary District Agency:** Serve DC

**Support District Agencies:**
DC Public Schools
Department of Health
Department of Human Services
Department of Mental Health
Department of Parks and Recreation
Department of Public Works
Executive Office of the Mayor
Fire and Emergency Medical Services Department
Homeland Security and Emergency Management Agency
Mayor's Office of Community Relations and Services
Metropolitan Police Department
Office of the Chief Technology Officer
Office of the City Administrator
Office of Communications
Office of Partnerships and Grants Development
Office of Property Management
Office of Unified Communications

**Other Support Agencies and Organizations**:
American Red Cross, Headquarters
American Red Cross of the National Capital Area
Consortium of Universities of the Washington Metropolitan Area
DC Volunteer Organizations Active in Disasters
Other Non-governmental Organizations:
- Adventist Community Service
- Capital Area Food Bank
- Catholic Charities, USA
- Church World Services
- Vision DC
- Friendship Public Charter School
- Greater DC Cares
- Humane Society of the United States
- Local and Community Organizations
- Lutheran Social Services
- Mennonite Disaster Services
- National Catholic Disaster Relief Committee
- National Organization of Victims Assistance
- National Organization on Disability

Nonprofit Roundtable of Greater Washington
Southern Baptist Disaster Relief
University of the District of Columbia
Volunteers of America
Salvation Army

**Primary Federal Agency:** U. S. Department of Homeland Security
Federal Emergency Management Agency

**Support Federal Agency:** District of Columbia National Guard

# *I. Introduction*

## A. Purpose

Emergency Support Function (ESF) #16—Volunteer and Donations Management provides guidance for the engagement and coordination of volunteers, volunteer services and donations management in an emergency, and establishes a consistent framework for coordinating with volunteer organizations supporting a response. This plan does not conflict with the established procedures of voluntary agencies regarding their respective procedures for soliciting goods and services, or mobilizing their trained volunteers. However, in a District emergency, voluntary agencies are expected to abide by this document. ESF #16 strives to adhere to the Volunteer and Donations Management Support Annex as outlined in the National Response Framework (NRF). *(Note: Any reference to donated goods and services in this plan means all donated goods, all donated services, and all volunteers.)*

**Volunteers**
ESF #16 provides guidance for recruiting, managing, and appropriately deploying affiliated, unaffiliated, and spontaneous volunteers in an emergency. This plan provides the volunteer management framework for the District, which can be activated for a potential, imminent, or declared disaster, or during an emergency. Volunteers may be utilized and included in plans concerning emergency preparation, mitigation, response, and recover.

**Donations**
ESF #16 provides guidance for the coordination, management, and the acceptance, control, receipt, storage, distribution, and disposition of donated goods. This document provides the donations management framework for the District, which can be activated for a potential, imminent, or declared disaster, or during an emergency. Donations management may be utilized during emergency preparation, mitigation, response, and recover.

Serve DC is the primary District agency responsible for ESF #16. The overall mission of Serve DC is to strengthen and promote volunteer activities through three

focus areas: partnerships; national service; and volunteerism. Serve DC will accomplish ESF #16 through Volunteer and Donations Coordination Teams (VDCT). The response areas of the VDCT include phone bank operations, donations processing, resource management (logistics), volunteer engagement, volunteer coordination, and media relations.

### B. Scope

This plan applies to all agencies, organizations, and personnel with direct or indirect volunteer and donations management responsibilities under the District Response Plan (DRP).

Three key aspects of this plan include:

- Volunteer Management;
- Volunteer Reception Center; and
- Donations Management.

## *II. Policies*

### A. Volunteer

1. Response activities for volunteer deployment and management (which may be undertaken by Serve DC before a mayoral or presidential declaration), will be closely coordinated with District officials including the DC Homeland Security and Emergency Management Agency (HSEMA), and appropriate volunteer agency representatives.

2. The District government looks principally to ESF #16 to coordinate voluntary organizations with *established* volunteer management structures in order to receive, process, and deploy volunteers to emergency operations.

3. Serve DC will direct the designated volunteer center (Greater DC Cares) to stand up the District's Volunteer Reception Center (VRC) for the purposes of processing and managing *unaffiliated/spontaneous* volunteers. The District government encourages spontaneous volunteers to affiliate with a recognized volunteer organization that can facilitate their involvement in emergency relief activities.

4. Serve DC will deploy and/or manage affiliated and trained volunteers to coordinate their involvement in emergency relief activities according to the needs entered through one of our established emergency management databases (WebEOC, etc).

### B. Donations

1. Response activities for donations management in the form of in-kind, services, materials, etc. (which may be undertaken by Serve DC before a mayoral or presidential declaration) will be closely coordinated with other District officials, DC HSEMA, and appropriate volunteer agency representatives.

2. The District government looks principally to ESF #16 to coordinate those voluntary organizations with established donation management protocols in order to receive and deliver appropriate donated goods to impacted communities in the recovery phase.

3. The District government encourages donors interested in making financial contributions to connect with recognized and recommended voluntary organizations in order to encourage their support for emergency relief actions based on what is needed as expressed by other government officials and supporting parters.

4. The Aid MATRIX Donation System will be used during emergency preparation, mitigation, response and recovery.

## *III. Situation*

### A. Disaster Condition

1. During and after an emergency, volunteer assistance will likely be required. During an emergency the city will likely experience a high volume of requests for various services. An emergency may affect the lives of many local response personnel and their facilities and prevent them from performing their prescribed emergency duties. Therefore supplemental support will be needed from volunteers to assist with satisfying needs registered across the city.

2. Volunteers may be called on to support various needs including outreach, sheltering, mass care, debris removal, light first aid and triage, crowd control, supply distribution, etc

3. The period immediately following an emergency is critical in engaging volunteers to assist in the response to the emergency.

## B. Planning Assumptions

### Volunteers

1. Volunteer management response activities will be necessary in a potential, imminent or declared disaster, or during an emergency, all of which require rapid coordination in order to mitigate potential donations issues in the response phase of disaster operations.

2. In a potential, imminent, or declared disaster, or during an emergency, volunteers will support the primary District response agency, supporting agencies, or partnering volunteer organizations.

3. All communications based on the volunteer needs of an agency and availability of volunteers will be made through Serve DC, unless the volunteer is affiliated with a partnering volunteer organization.

4. In the aftermath of a disaster, community members may self deploy with the hopes of offering assistance and potentially disrupt the critical first responder operations. Serve DC and its partners, will accept, vet, coordinate, and appropriately deploy such spontaneous volunteers through the Volunteer Reception Center Plan.

5. In smaller emergencies, volunteer management may be handled by voluntary organizations with or without federal, District, or Serve DC coordination.

6. Serve DC will work closely with ESF #15—External Affairs to produce clear, consistent, and regular messages to the media. Serve DC also will conduct volunteer engagement analysis, particularly by monitoring news sources for appeals for volunteers.

7. Key preparedness steps are critical for the successful activation of ESF #16. Those steps include but are not limited to:

    a. Outreach to an affiliated and trained network of volunteers;

    b. Public education, recruitment, and training of volunteers to serve various agencies during an emergency;

    c. Exercising the activation and operation of Volunteer Reception Centers;

    d. Evaluation of Volunteer Reception Center procedures; and

    e. Production of after-action briefings on volunteer management operations and revise Standard Operating Procedures (SOPs) accordingly.

8. Efficient and effective mutual aid among the various local, state, and federal volunteer agencies requires the use of Incident Command Structure in accordance with the National Incident Management System (NIMS), together with compatible equipment and communications

**Donations**

1. Donations management response activities will be necessary in a potential, imminent, or declared disaster, or during an emergency, all of which require rapid coordination in order to mitigate potential donations problems in the response phase of disaster operations.

2. In an emergency, donors will offer assistance including but not limited to: cash; goods; equipment and loan of equipment; food; services; etc.

3. Serve DC will be notified of all offers of assistance made directly to all levels of government—federal and District—as well as to voluntary organizations for coordination purposes.

4. In smaller-scale emergencies, donations management may be handled by voluntary organizations with or without federal, District or Serve DC coordination.

5. Serve DC will work closely with ESF #15—External Affairs to produce clear, consistent and regular messages to the media pertaining to the ongoing needs as relayed by District officials and community partners.

6. Key preparedness steps are critical for the successful activation of ESF #16. Those steps include but are not limited to:

    a. Communication with participating organizations about their potential role in donations management;

    b. Training of ESF #16 representatives in the Donations Management System (Aid MATRIX);

    c. Conducting donations management exercises;

    d. Dissemination of public information in coordination with ESF #15—External Affairs, regarding donations acceptance protocols; and

    e. Conducting after-action briefings on donations management operations and revise SOPs accordingly.

# *IV. Concept of Operations*

## A. General

The VDCT will coordinate with the Joint Information Center (JIC) and ESF #15—External Affairs to release timely information to the public. The types of information released will include updates on community needs, agencies involved in emergency relief, acceptable donations, volunteer needs, and points of contact (POCs) for the public to volunteer and/or make donations.

**Volunteers**

1. Serve DC will stand up the VRC to serve as the primary agency for managing *spontaneous/unaffiliated* volunteers during an emergency. Management of volunteers requires a coordinated effort by all involved government entities, voluntary and community-based organizations, the business sector, and the media.

2. VDCT coordinating activities may include:
   - Enhancing voluntary organization coordination;
   - Establishing a VRC;
   - Coordinating with government officials and partners to determine volunteer needs and designation of VDCTs;
   - Providing volunteer management communications support as necessary, creating parameters and instructions for proper donation of time and effort;
   - Working with ESF #15—External Affairs to disseminate information to the general public about volunteer needs;
   - Coordinating with appropriate federal agencies for international offers of assistance that meet acceptance criteria established by the District and the U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA); and
   - Coordinating with ESF #5—Emergency Management to provide updates for situation and after-action reports.

**Donations**

1. Serve DC will serve as the primary agency for managing donations during an emergency. Management of donations requires a coordinated effort by all involved government entities, voluntary and community-based organizations, the business sector, and the media.

2. The VDCT will work closely with voluntary organizations and agencies. In times of emergency, the team will activate donations management plan.

3. VDCT coordinating activities may include:
   - Enhancing coordination with volunteer organizations;
   - Securing District warehouse spaces, points of entry, and checkpoints through the Office of Property Management;

- Activating the Aid MATRIX Donations System;
- Coordinating with appropriate federal agencies for international offers of assistance that meet acceptance criteria established by the District and the U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA; excluding solicitation of donations to non-District government organizations); and
- Coordinating with ESF #5—Emergency Management to provide information for situation and after-action reports.

## B. Organization

### 1. Volunteer and Donations Coordination Team Leader

a. A VDCT leader will be determined by Serve DC based on the specific needs related to the emergency.

b. The VDCT leader will serve as the liaison to the Consequence Management Team (CMT).

c. This team will facilitate efficient, effective, and fair distribution of donations to vetted organizations that have registered their needs through AidMatrix or WebEOC.

d. The VDCT leader will have a clear understanding of the National Response Framework (NRF) and the DRP to ensure actions are conducted in accordance with the incident command system and the NRF Volunteer and Donations Management Support Annex.

### 2. Volunteer and Donations Coordination Team (VDCT)

The VDCT is an operational team led by Serve DC and made up of representatives from District government agencies, voluntary agencies, and community-based organizations.

a. The VDCT is created, trained, vetted, and operational before a disaster strikes as part of the preparation phase of ESF #16.

b. The VDCT *can* be organized into six response areas:
   1) Phone Bank Operations;
   2) Donations Processing;
   3) Resource Management (Logistics);
   4) Volunteer Engagement;
   5) Volunteer Coordination; and
   6) Media Relations.

c. Determined by the nature of the disaster, Serve DC will utilize AidMATRIX, which serves as a portal to relay consistent messaging to the public, a clearinghouse for donation registration, a registration tool for needs from vetted partners, and a means to document official needs as identified by district officials. All partners and supporting agencies will recognize AidMatrix as the approved donations management system and will promote this tool through their various modes of communication.

d. The VDCT will activate a warehouse management system to hold all donations and shipments at a safe distance from the disaster area.

e. The VDCT will obtain an active needs survey coordinated through the WebEOC, operating from the Emergency Operations Center (EOC).

f. The VDCT will identify the number and type of volunteers needed based on information captured from agencies, volunteers, and partners.

g. The VDCT will prepare an after-action report identifying strengths and weaknesses in the team's performance, and it will revise the VDCT plan and training accordingly.

h. The VDCT will provide ongoing training efforts to all team members and partners who utilize the AidMatrix portal or can provide a network of volunteers.

## C. Notification

1. If ESF #16 is activated, Serve DC Emergency Liaison Officer(s) (ELO) will immediately report to the EOC. The ELO coordinates and communicates the status of volunteers and donation management to EOC.

2. Upon notification of an emergency, the ESF #16 ELO will coordinate with ESF #5—Emergency Management to determine response needs.

## D. Response Activities

### 1. Initial Actions

As part of the EOC activation, the Executive Director of Serve DC or designee will direct the VDCT leader to initiate the following activities, as needed:

- Establish contact and begin to coordinate with representatives from the Volunteer Center and established voluntary organizations;
- Activate a VRC to welcome, process, and appropriately deploy volunteers;
- Ensure close coordination between the EOC, the VRCs, and staging areas;
- Provide status updates and other information to ESF #5—Emergency Management;

- Activate the AidMATRIX Donations System to coordinate and manage the acceptance, control, receipt, storage, distribution, and disposition of donated goods;
- Establish an incident-specific donations protocol;
- Identify donations collection and distribution sites by coordinating with representatives at the EOC; and
- Produce reports concerning donation and volunteer activities.

## *V. ESF #16-specific Terms and Definitions*

- **Affiliated Volunteer**—one who is affiliated with either a governmental agency or non-governmental organization (NGO), and who has been trained for a specific role or function in disaster relief or response during the preparedness phase. While spontaneous volunteers may bring needed skills and resources, affiliated volunteers will most likely be used first in a disaster. Examples of affiliated volunteer groups include Community Emergency Response Teams (CERT), the Auxiliary Communications Service (ACS), Search and Rescue Teams and American Red Cross' Disaster Action Teams (DAT).

- **AidMATRIX**—a national program sponsored by FEMA that enables donations managers to serve the disaster response efforts of NGOs by connecting them with private sector partners. This multi-faceted Web portal makes disaster relief management more efficient by allowing for real-time visibility into each step of disaster relief (donations management specifically). The basic program includes powerful benefits:
  - Online Web portal is secure and easy to use with minimal training;
  - Efficiently connects federal, state and local governments to the private and voluntary sector, and to each other; and
  - Allow users to match appropriate product donation offers with NGO needs.

- **Unaffiliated/Spontaneous Volunteer**—an individual who comes forward following a disaster to assist a governmental agency or NGO with disaster-related activities during the response or recovery phase without pay or other consideration. By definition, spontaneous volunteers are not initially affiliated with a response or relief agency, or pre-registered with an accredited disaster council. However, they may possess training, skills and experience that can be useful in the relief effort. Spontaneous volunteers also may be referred to as *unaffiliated, spontaneous unaffiliated, and convergent volunteers*.

- **Volunteer**—someone who willingly provides his/her services without receiving financial compensation.

## *VI. Responsibilities*

### A. Primary District Agency

**Serve DC—**Serve DC will serve as the primary agency for managing volunteers and donations during an emergency. This is done through the Donations Coordinator who works with government entities, voluntary and community-based organizations, the business sector, and the media.

### B. Support District Agencies

1. **DC Public Schools (DCPS)—**DCPS will provide space/facilities and staff to support VDCTs, and will help in receiving, organizing, and distributing donations.

2. **Department of Health (DOH)—**DOH will provide information on the types of donations and/or trained volunteers that would be most beneficial to assist victims during the disaster.

3. **Department of Human Services (DHS)—**DHS will work with volunteer organizations to coordinate the delivery of donated goods and services to shelters and will assist with FEMA procedures relative to emergency declarations.

4. **Department of Mental Health (DMH)—**DMH will provide a Clearinghouse Communication Center for volunteers to provide mental health services for those seeking assistance. This clearinghouse also acts as a referral service for local community members seeking such support.

5. **Department of Parks and Recreation (DPR)—**DPR will provide space/facilities and staff to support VDCTs, and will help in receiving, organizing, and distributing donations.

6. **Department of Public Works (DPW)—**DPW will provide transportation assistance to support the VDCTs or voluntary organizations in distributing donated goods and services.

7. **Executive Office of the Mayor (EOM)—**EOM will conduct the community relations aspects of requesting donated goods for emergencies.

8. **Fire and Emergency Medical Services Department (FEMS)—**FEMS will coordinate with Serve DC in managing donations, including notification when donations are about to be or have been depleted.

9. **Homeland Security and Emergency Management Agency (HSEMA)—** HSEMA will serve as a support agency managing requested resources. HSEMA manages the notification to Serve DC during an incident and provides requests for volunteers and donated goods through ESF #5—Emergency Management.

10. **Mayor's Office of Community Relations and Services—**The Mayor's Office of Community Relations and Services serves as the Mayor's primary constituent services organization will provide rapid, complete, coordinated, and documented responses to constituent requests, complaints, and questions. It also provides information on community-based needs and offers of assistance.

11. **Metropolitan Police Department (MPD)—**MPD will provide security at donation receiving and staging locations, and will provide escort assistance.

12. **Office of the Chief Technology Officer (OCTO)—**OCTO will provide information technology and information management support to assist in monitoring and tracking donations.

13. **Office of the City Administrator (OCA)—** OCA provides oversight and support to the Deputy Mayors and increases government effectiveness with cross-agency and targeted improvement initiatives, including the integration of strategic policy priorities, budgetary constraints, and operational directives. The office shares administration-level operational information about donations and volunteer needs.

14. **Office of Communications (OC) Executive Office of the Mayor—**OC will ensure that timely, reliable, consistent, and accurate information is made available to the public, affected communities, and other relevant parties.

15. **Office of Partnerships and Grants Development (OPGD) -** Office of Partnerships and Grants Development will provide services and assistance to increase Serve DC's capacity to track goods and services donated to impacted communities.

16. **Office of Property Management (OPM)—**OPM will be mobilized during an emergency to aid in warehousing and staging of donated goods and services.

17. **Office of Unified Communications (OUC)—**The OUC provides centralized District-wide coordination and management of public safety voice radio technology and other public safety wireless communication systems and resources and if required, may assist in providing comprehensive information to callers about donations and volunteer needs.

## C. Other Support Agencies and Organizations

1. **American Red Cross (ARC) Headquarters—**ARC will assist Serve DC and DC Volunteers Active in Disasters (DCVOAD) in donations management and distribution. The ARC will provide a referral to interested donors about drives, hotlines, or agencies that collect donated items that can be warehoused. The American Red Cross also will work with Serve DC to recruit and train local volunteers as needed in a relief operation.

2. **American Red Cross (ARC) of the National Capital Area—** The American Red Cross of the National Capital Area will assist in donations management and distribution. The ARC will provide a referral to interested donors about drives, hotlines, or agencies that collect donated items that can be warehoused. The American Red Cross of the National Capital Area also will work with Serve DC to recruit and train local volunteers as needed in a relief operation.

3. **Consortium of Universities of the Washington Metropolitan Area —** Participating DC-based colleges and universities, as part of the Consortium, will serve as information and technical expertise depots for volunteers and staging areas.

4. **DC Volunteer Organizations Active in Disasters (DCVOAD)—**DCVOAD will establish a process for involving member organizations in the mitigation of, preparedness for, response to, and recovery from an emergency.

5. **Other Non-governmental Organizations**—Other non-governmental organizations provide assistance, as needed, for the management of volunteers and donations. These NGOs include:
   - Adventist Community Service;
   - Capital Area Food Bank;
   - Catholic Charities, USA;
   - Church World Services;
   - Vision DC;
   - Greater DC Cares;
   - Humane Society of the United States;
   - Local and Community Organizations;
   - Lutheran Social Services;
   - Mennonite Disaster Services;
   - National Catholic Disaster Relief Committee;
   - National Organization of Victims Assistance;
   - National Organization on Disabilities;
   - Nonprofit Roundtable of Greater Washington;
   - Southern Baptist Disaster Relief;
   - University of the District of Columbia; and
   - Volunteers of America.

6. **Salvation Army—**The Salvation Army will assist Serve DC in donations management and will open and operate food distribution centers as needed as a result of an emergency. They also will assist in identifying and implementing a strategic warehouse plan, and will help to manage warehouses.

## D. Primary Federal Agency

**U.S. Department of Homeland Security/Federal Emergency Management Agency (USDHS/FEMA)—**USDHS/FEMA will assist the District through the National Donations Strategy, assisted by private voluntary organizations with participation by federal and District emergency management personnel. USDHS/FEMA will serve as the primary federal agency for managing donations during a federally-declared disaster.

Upon a presidential declaration of an emergency or major disaster, under the authority of the Robert T. Stafford Disaster Relief Act as Amended, April 1999, federal agencies initially will operate out of the USDHS National Response Coordination Center (NRCC). When the Joint Field Office (JFO) is established near the disaster area, ESF representatives that comprise the Emergency Response Team (ERT) will be in the JFO.

## E. Support Federal Agency

**District of Columbia National Guard—**The District of Columbia National Guard will support the safe collection and distribution of donated goods and services, at the request of HSEMA.

# APPENDIX A. PLANNING ASSUMPTIONS

The following planning assumptions were considered in the development of the District Response Plan (DRP):

- An emergency may occur with little or no warning, and may escalate more rapidly than District response organizations can support.

- An emergency may cause injury, possible fatalities, property loss, and disruption of normal support systems. A large number of casualties, heavy damage to buildings and basic infrastructure, and disruption of essential public services may overwhelm the capabilities of the District to meet the needs of the situation.

- Achieving and maintaining effective citizen and community preparedness reduces the immediate demands on response organizations. Public awareness and education programs are required to ensure that citizens will take appropriate advance actions to reduce their vulnerability, especially during the first 72 hours after an emergency.

- The District will request regional and federal assistance once it has used all its available resources, through mutual aid agreements with the Commonwealth of Virginia and the State of Maryland, and through requests to the federal government.

- If there is a terrorism incident in the District, the Mayor and the District government will coordinate directly with the U.S. Department of Homeland Security (USDHS), the U.S. Department of Justice, the Federal Bureau of Investigation (FBI) Washington Field Office, and other implicated federal agencies.

- The Emergency Operations Center (EOC) will activate and Emergency Liaison Officers (ELOs) will staff the EOC to manage emergency operations.

- The DRP anticipates communication and coordination among regional and federal partners in emergency management matters to ensure cooperation, partnership, and mutual consideration of neighboring governments.

- District agencies will respond on short notice to provide timely and effective assistance through the DRP structure. Advance planning for these efforts will be based on pre-identification of resource shortfalls and contingencies.

- Each District agency and volunteer organization will document and seek reimbursement, as appropriate, for expenses incurred during emergency operations.

- Each District agency will participate in the development of plans and procedures, training opportunities, and exercises in order to achieve and maintain a high state of readiness.

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# APPENDIX B. EMERGENCY SUPPORT OPERATION LEVELS

The District has adopted five operation levels to classify the estimated impact of an emergency event on the operations of the District government. To determine an operation level, the Homeland Security and Emergency Management Agency (HSEMA) may make an initial determination of emergency event impact. As information about an incident is gathered and the situation is better understood, the level may be modified. The operation levels will dictate the protective actions and measures taken by District public safety agencies.

**Operation Level 1**
Level 1 is the nominal posture of District agencies as they carry out daily activities, in the absence of an emergency situation, to ensure readiness. During the course of normal operations, agencies are engaged in preparedness, training, and exercise activities to ensure continual readiness. Operations plans are reviewed and equipment is checked to ensure that everything is ready, should the need arise.

**Operation Level 2**
Level 2 is triggered by a potential or actual emergency requiring the coordinated response of select District agencies. HSEMA alerts those District agencies and Emergency Support Functions (ESFs) that would need to take action if the potential event escalates. Throughout this level, HSEMA provides regular status alerts on the threat. A Level 2 event would consist almost entirely of field operations and an onsite command structure. The Emergency Operations Center (EOC) is staffed with HSEMA personnel without additional ESF augmentation.

**Operation Level 3**
Level 3 is typically triggered by an emergency or threat that requires most or all District agencies to respond or prepare to respond for a localized event that threatens life or property. A Level 3 emergency or threat consists almost entirely of field operations and onsite command structure. HSEMA alerts those District agencies and ESFs that would need to take action if the emergency or threat escalates. Throughout this level, HSEMA provides regular status alerts. The EOC is staffed with HSEMA personnel without ESF augmentation.

**Operation Level 4**
Level 4 requires activation of those agencies within the Consequence Management Team (CMT) that are directly affected by the emergency. It is triggered by highly probable hazardous conditions and a strong potential for property damage or loss of life. A Level 4 emergency or threat could have regional implications and might stretch the District's resources. All ESF primary agencies are notified. The EOC is staffed with HSEMA personnel and the necessary ESF representatives.

## Operation Level 5

Level 5 requires full activation of the CMT. It is triggered by extremely hazardous conditions that are imminent or occurring. All primary and support agencies under the DRP are notified. A Level 5 emergency is likely to have regional implications and will likely require a request for regional or federal resources to support the District's response. The EOC is fully activated with 24-hour staffing by HSEMA personnel and all necessary Emergency Liaison Officers (ELOs).

# APPENDIX C. DISTRICT AGENCY CORE COMPETENCIES

Core competencies are functional areas of expertise that relate specifically to tactical operations managed by the Operations Section. Agencies have the authority to direct operations related to their core competencies at incidents. If more than one agency is capable of performing the same tactical operations, the agency assigned a core competency will give tactical direction, by the ranking officer, to other agencies performing operations within that competency. (See *Table C-1: District Agency Core Competencies.*)

### Table C-1: District Agency Core Competencies

| |
|---|
| **Fire and Emergency Medical Services (FEMS) Department** |
| Fire Suppression |
| Pre-hospital Emergency Medical Care |
| Search and Rescue |
| Structural Evacuation |
| Chemical, Biological, Radiological, and Nuclear (CBRN) / Hazardous Materials Life Safety and Mass Decontamination |
| Arson Investigation (Cause and Origin) |
| **Metropolitan Police Department (MPD)** |
| Law Enforcement and Investigation |
| Intelligence Collection and Analysis |
| Crime Scene Processing/Evidence Preservation |
| Site Management |
| Perimeter Control |
| Traffic Control |
| Crowd Control |
| Site Security and Force Protection |
| Evacuation (Area and/or Law Enforcement Related) |
| Water Search and Recovery |
| CBRNE/Hazardous Materials Assessment and Investigation (Crime Scene/Terrorism) |
| Crush Investigation |
| VIP Protection |
| Arson Investigation (Major Case) |
| **Department of Public Works (DPW)** |
| Damage Assessment (Structural) |
| Building Re-occupancy (Structural) |
| Public Buildings: Infrastructure Assessment; Repair; and Reconstruction |
| Snow Removal Operations |
| Technical Debris Management Operations |
| Technical Stabilization, Remediation and Demolition |
| **DC Water and Sewer Authority (DCWASA)** |
| Environmental Monitoring, Sampling, Evaluation, and Analysis |
| Environmental Mitigation (Chemical) |
| Environmental Law Enforcement |
| Water and Wastewater: Infrastructure Assessment;, Repair; and Reconstruction |

| |
|---|
| **Department of Health (DOH)** |
| Disease Surveillance and Epidemiology |
| Public Health Orders, Clinical Guidance, and Risk Communication |
| Mass Prophylaxis/Vaccination |
| Laboratory Testing (Biological and Radiological) |
| Public Health Assessment |
| Environmental Mitigation (Radiological and Biological) |
| Animal-Related Surveillance and Vector Control |
| Mental Health Needs Assessment and Service Coordination |
| **DC Housing Authority (DCHA)** |
| Stabilization, Remediation, and Demolition |
| Tenant Relocation |
| **Office of the Chief Technology Officer (OCTO)** |
| Telecommunications: Infrastructure Assessment; Repair; and Reconstruction |
| **Office of Property Management (OPM)** |
| Fatality Management Operations |
| **Homeland Security and Emergency Management Agency (HSEMA)** |
| Interagency Coordination and Support |
| **Department of Parks and Recreation (DPR)** |
| Forestry |
| Parks: Infrastructure Assessment; Repair; and Reconstruction |
| **District Department of Transportation (DDOT)** |
| Bridges and Roadways: Infrastructure Assessment; Repair; and Reconstruction |
| Transportation Systems Management |
| **Potomac Electric Power Company (PEPCO), Washington Gas Company** |
| Electric, Gas and Steam: Infrastructure Assessment; Repair; and Reconstruction |
| **Verizon** |
| Telecommunications: Infrastructure Assessment; Repair; and Reconstruction |

# APPENDIX D. EMERGENCY OPERATION FACILITIES

Within the District there are numerous emergency operating facilities that may be engaged in emergency operations. Those facilities and their respective functions are described below:

1. **Emergency Operations Center (EOC)**
   The District's EOC is located at 2720 Martin Luther King Jr. Avenue, SE. It is the central facility designated for the command and control of District emergency operations. It is where the Consequence Management Team (CMT) resides and collects, analyzes, synthesizes, and disseminates critical operational information to all relevant operational entities.

2. **DC Operations Center**
   The DC Operations Center is located adjacent to the EOC and provides communications support to the operation with all available communication media.

3. **Joint Information Center (JIC)**
   The JIC is located adjacent to the EOC for collocation of the public affairs operations of the District. It is staffed 24-hours-per-day, 7-days-per-week.

4. **Regional Incident Communication and Coordination System (RICCS)**
   The RICCS is a concept cooperatively developed between the District and the Metropolitan Washington Council of Governments. RICCS is a regional notification system that provides incident-related information to regional homeland security and public safety officials.

5. **Metropolitan Police Department (MPD) Command Information Center (CIC)**
   The CIC is the command-and-control center for the MPD and other law enforcement agencies, including the Federal Bureau of Investigation and U.S. Secret Service. If the CIC becomes inoperable for any reason, MPD will establish operations at the EOC located at 2720 Martin Luther King Jr. Avenue, SE.

6. **Office of Unified Communications**
   The Office of Unified Communications (OUC) is located at 2720 Martin Luther King Jr. Avenue, SE, and is the central 9-1-1 emergency call center for the DC Fire and Emergency Medical Services (FEMS) Department and MPD.

7. **DDOT Traffic Management Center**
   The District Department of Transportation (DDOT) Traffic Management Center (TMC) is the 24-hours-per-day, 7-days-per-week centralized command center for District-wide traffic operations. The TMC controls all of the traffic signals and monitors more than 100 closed-circuit television cameras within the District. The TMC also disseminates traveler information through its highway advisory radio.

**8. Individual District Agency Operation Centers**

District agencies with designated critical missions may have operations centers through which emergency operations are coordinated. These facilities should be capable of communications with the EOC and other critical command-and-control nodes in an emergency operation.

**9. Mobile Units**

The Homeland Security and Emergency Management Agency (HSEMA) Mobile Command Vehicle serves as an extension of the EOC and is deployable to the scene of any emergency situation. The vehicle is equipped with modern technology to support communications, coordination, monitoring, supply, accountability, and security. MPD's mobile unit, the MPD Mobile Command Center, serves as a mobile command post for police operations.

**10. Pre-Designated Field Operating Areas**

The District has identified five pre-designated operating areas to stage and mobilize materials, equipment, and other resources. The three operating locations within the District are Washington Convention Center, RFK Stadium, and Anacostia Naval Station. The two locations outside the District are Andrews Air Force Base and Ronald Reagan Washington National Airport.

# APPENDIX E. RESPONSIBILITIES

## Emergency Support Function (ESF) Primary Agencies

A District agency designated as an ESF primary agency serves as the District executive agent to accomplish the ESF mission (see *Figure E-1: Primary and Support Agencies under the DRP)*. When an ESF is activated, the primary agency for the ESF has operational responsibility for the following:

- Orchestrating the District agency support within the functional area for the city;
- Providing an appropriate level of staffing for Emergency Operations Center (EOC) operations;
- Activating and subtasking support agencies;
- Managing mission assignments and coordinating tasks with support agencies, as well as other necessary organizations and federal agencies;
- Supporting and keeping other ESFs and organizational elements informed of ESF operational priorities and activities;
- Executing contracts and procuring goods and services as needed;
- Ensuring financial and property accountability for ESF activities;
- Supporting planning for short- and long-term emergency operations;
- Reviewing and updating plans and procedures associated with assigned emergency response target capabilities (see *Figure F-2: ESFs Aligned to Target Capabilities*); and
- Training and exercising with support agencies to maintain response capabilities.

## ESF Support Agencies

When an ESF is activated, each support agency for the ESF has operational responsibility for:

- Supporting the ESF primary agency, when requested, by conducting operations using its authorities, cognizant expertise, capabilities, or resources;
- Supporting the primary agency mission assignments;

- Providing status and resource information to the primary agency;
- Following established financial and property accountability procedures;
- Supporting planning for short- and long-term emergency operations;
- Supporting the review and update of plans and procedures associated with assigned emergency response target capabilities (see *Figure F-2: ESFs Aligned to Target Capabilities*); and
- Participating with primary agencies in training and exercising to maintain response capabilities.

## Other Support Agencies and Organizations

Other support agencies and organizations, such as other District agencies and government bodies, regional organizations, and private-sector organizations, which are not signatories to the District Response Plan (DRP), may have authorities, expertise, capabilities, or resources that may be required to support emergency operations. These entities may be requested to participate in city planning and operations activities and/or provide support to the field. For a list of these other entities and their respective roles in disaster preparedness and response, see Appendix K: Other District Government Bodies and Regional Government Organizations.

## Figure E-1: Primary and Support Agencies under the DRP

| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| ESF Primary and Support Agencies under the DRP | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Agency** | **Primary (P) and Support (S) Agencies** | | | | | | | | | | | | | | | |
| **Executive Office of the Mayor** | | | | | | | | | | | | | | | | |
| Executive Office of the Mayor | | | | | S | | | | | | | | | | S | S |
| - Mayor's Office of Community Relations and Services | | | | | | | | | | | | | | | S | S |
| - Office on Aging | S | | | | | S | | | | | S | | | | S | |
| - Office of the Chief of Staff | | | | | | | | | | | | | | | S | |
| - Office of the City Administrator | | | | | S | | | | | | | | | | | S |
| - Office of Communications | | S | | | S | | | | | | | | | | **P** | S |
| - Office on Asia/Pacific Islander Affairs | | | | | | S | | | | | | | | | S | |
| - Office on Latino Affairs | | | | | | S | | | | | | | | | S | |
| - Serve DC | S | | | | S | | | S | | | | | | S | S | **P** |
| **District Agencies** | | | | | | | | | | | | | | | | |
| Child and Family Services Agency | | | | | | S | | S | | | S | | | | | |
| DC Public Libraries | | | | | | S | | | | | | | | | | |
| DC Public Schools | S | S | S | | S | S | S | | | | S | | S | | S | S |
| Department of Consumer and Regulatory Affairs | | | S | S | | | | | S | S | | | | | | |
| Department of Corrections | | S | | | | S | | | | | | | S | | | |
| Department of Employment Services | S | S | | | | S | S | | | S | S | | | S | | |
| Department of Health | S | S | | S | S | S | S | **P** | S | S | S | | S | S | S | S |
| Department of Housing and Community Development | | | | | | | | | | | | | | S | | |
| Department of Human Resources | S | | | | S | | S | | | | | | | | | |
| Department of Human Services | S | S | | S | S | **P** | S | S | S | S | **P** | | | S | S | S |
| Department of Mental Health | S | | | S | S | S | | S | S | S | S | | | | S | S |
| Department of Parks and Recreation | S | S | S | | S | S | S | S | | | S | | | | S | S |

| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ESF Primary and Support Agencies under the DRP** | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Agency** | **Primary (P) and Support (S) Agencies** | | | | | | | | | | | | | | | |
| Department of Public Works | S | S | **P** | S | S | S | S | S | S | S | | S | S | S | S | S |
| Department of Small and Local Business Development | | | | | | | | | | | | | | S | | |
| Department of Youth Rehabilitation Services | | | | | | S | | | | | | | S | | | |
| District Department of the Environment | | S | S | S | | | | S | S | S | | **P** | | S | | |
| District Department of Transportation | **P** | S | S | S | S | S | S | S | | S | | S | S | S | S | |
| Fire and Emergency Medical Services Department | S | S | | **P** | S | S | S | S | **P** | **P** | | | S | | S | S |
| Homeland Security and Emergency Management Agency | S | S | S | S | **P** | S | S | S | S | S | S | S | S | **P** | S | S |
| Housing Finance Agency | | | | | | | | | | | | | | S | | |
| Metropolitan Police Department | S | S | S | S | S | S | S | S | S | S | S | | **P** | | S | S |
| Office of the Attorney General | | | | | S | | S | | | | | | S | | S | |
| Office of Cable Television and Telecommunications | | S | | | S | | | | | | | | | | S | |
| Office of the Chief Financial Officer | | | | | S | | S | | | | | | | | | |
| Office of the Chief Medical Examiner | | | | S | | | | S | S | S | | | S | S | | |
| Office of the Chief Technology Officer | S | **P** | | | S | | S | S | | | | | | | S | S |
| Office of Contracting and Procurement | | | S | | | | **P** | S | S | | S | | | S | | |
| Office of Partnerships and Grants Development | | | | | | | | | | | | | | S | | S |
| Office of Property Management | | S | S | | | S | S | | | | | | S | | | S |
| Office of Unified Communica-tions | | S | S | | S | S | | S | S | S | | | S | | | S |
| **Other Support Agencies and Organizations** | | | | | | | | | | | | | | | | |
| AMTRAK | S | | | | | | | | | | | | | | | |
| American Red Cross | | | | | S | S | | S | | | S | | | | | S |
| Consortium of Universities of the Washington Metropolitan Area | | | | | | S | S | | | | S | | | | | S |
| DC Healthcare Alliance | | | | | | | | S | | | | | | | | |
| DC Hospital Association | | | | | | | | S | | S | | | | | | |

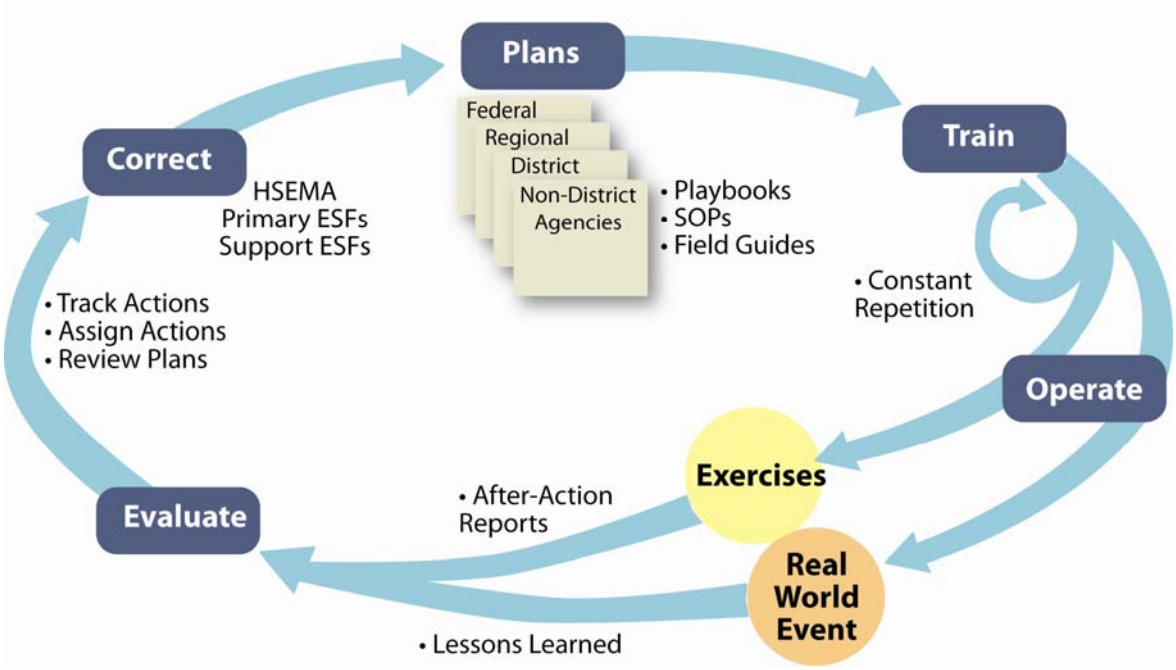
| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ESF Primary and Support Agencies under the DRP** | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Agency** | **Primary (P) and Support (S) Agencies** | | | | | | | | | | | | | | | |
| DC Housing Authority | S | | | | S | S | | | | | | | S | S | | |
| DC National Guard | S | S | | | | S | | | S | S | S | S | S | | | S |
| DC Nurses Association | | | | | | | | S | | | | | | | | |
| DC Primary Care Association | | | | | | | | S | | | | | | | | |
| DC Voluntary Organizations Active in Disaster | | | | | | S | | | | | | | | | | S |
| DC Water and Sewer Authority | S | S | S | S | S | | | S | | | | | | | | |
| Federal Highway Administration, Division Office | S | | | | | | | | | | | | | | | |
| George Washington University Medical Center | | | | | | | | | S | | | | | | | |
| Howard University Hospital | | | | | | | | | S | | | | | | | |
| Radio Emergency Associated Communication Teams | | S | | | | | | | | | | | | | | |
| Maryland Department of Transportation | S | | | | | | | | | | | | | | | |
| Maryland Energy Administration | | | | | | | | | | | | S | | | | |
| Maryland Transit Authority | S | | | | | | | | | | | | | | | |
| Medical Chirurgical Society of DC | | | | | | | | S | | | | | | | | |
| Medical Society of DC | | | | | | | | S | | | | | | | | |
| Metropolitan Washington Council of Governments | S | | | | | | | | | | | | | | | |
| NCR Fire Departments | | | | S | | | | | S | S | | | | | | |
| National Medical Association | | | | | | | | S | | | | | | | | |
| Non-governmental Organizations | | | | | | | | | | | | | | | | S |
| Nursing Home Association | | | | | | | | S | | | | | | | | |
| Potomac Electric Power Company | S | | | S | S | | | | S | | | S | | | | |
| Public Service Commission | | | | | | | | | | | | S | | | | |
| Salvation Army | | | | | | | | | | | | | | | | S |
| University of the District of Columbia | | | | | | | S | | | | | | | | | S |
| Virginia Department of Mines, Minerals and Energy | | | | | | | | | | | | S | | | | |

| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ESF Primary and Support Agencies under the DRP** | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Agency** | **Primary (P) and Support (S) Agencies** | | | | | | | | | | | | | | | |
| Virginia Department of Transportation | S | | | | | | | | | | | | | | | |
| Verizon | | S | | | | | | | | | | | | | | |
| Virginia Rail Express | S | | | | | | | | | | | | | | | |
| Washington Gas Company | | | | S | S | | | | S | | | S | | | | |
| Washington Metropolitan Area Transit Authority | S | S | | S | | | | | S | S | | | | | | |
| Washington Suburban Sanitary Commission | | | | S | | | | | | | | | | | | |

# APPENDIX F. PREPAREDNESS CYCLE

The District Response Plan (DRP) is maintained, reviewed, and updated following a preparedness cycle that includes four phases: Plan, Operate, Evaluate, and Correct (see *Figure F-1: Emergency Management Planning Cycle).* Primary and support District agencies participate in all phases of this cycle and ensure that the DRP reflects the policies, organizational structures, and methodologies they use.

**Figure F-1: Emergency Management Planning Cycle**




The Homeland Security and Emergency Management Agency (HSEMA) is responsible for coordinating overall planning under the DRP, including review and revision of the DRP, related annexes, and supporting operational procedures. Primary agencies are responsible for preparing and maintaining DRP Functional Annexes and planning and coordinating the delivery of emergency assistance. All agencies contribute to the development of DRP supporting material, including regional annexes and appendices, as well as supplements describing specific policies and procedures for emergency operations.

The Emergency Preparedness Council (EPC) is the principal body that addresses DRP planning and implementation. It reviews after-action reports, lessons learned, and significant changes to DRP planning and implementation. It also formulates and resolves DRP-related operational and other issues that involve interagency resolution. District agencies designate representatives to serve on the EPC and other regional and interagency bodies and working groups.

In the National Capital Region (NCR), a regional interagency planning group exists to coordinate interagency and intergovernmental issues related to emergency planning and operations. District agencies, Virginia and Maryland state emergency management agencies, and local municipality emergency management agencies designate representatives to serve on the regional-interagency planning group and to participate in regional preparedness activities. Federal agencies are encouraged to send representatives to regional meetings and to participate in regional exercise and training activities.

## Capabilities-Based Planning

The preparedness of District agencies is demonstrated by their capabilities to assist during emergency response. The U.S. Department of Homeland Security (USDHS) measures the development and maintenance of capability through a concept spanning: National Planning Scenarios, Target Capabilities List (TCL), and Universal Task List (UTL).

The National Planning Scenarios provide a means for the District to conceptually prepare for a range of potential emergency incidents that address all types of hazards, including terrorism, natural disasters, and health emergencies. They represent a minimum number of scenarios rather than every possible threat or hazard. The scenarios help USDHS identify the tasks that must be performed to prevent, protect against, respond to, and recover from a scenario event. Primary ESF agencies consider these scenarios when preparing for or developing exercises and training to lead their functional area.

There are currently 15 National Planning Scenarios:

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

The UTL identifies the tasks required to prevent, protect against, respond to, and recover from the incidents defined by the scenarios. It provides very detailed information on what needs to be accomplished and under what conditions accomplishment will occur. This detail serves as a very precise way for District agencies to develop training and exercise objectives, and, if necessary, refine plans. The UTL currently contains over 1,600 tasks, about 250 of which are identified as critical tasks.

To prepare for emergency incidents in an orderly way, the tasks in the UTL can be grouped into capabilities. With a focus particularly on critical tasks, it is possible to develop a series of capabilities that provide the means to achieve a measurable outcome resulting from the performance of one or more critical tasks, under specified conditions and standards of performance. These grouped tasks are collected and defined in the TCL.

There are currently 37 Target Capabilities. The capabilities and the District ESFs aligned with them are identified in *Figure F-2: ESFs Aligned to Target Capabilities,* as specified in the TCL, September 2007. The District has identified a primary ESF to be responsible for understanding the current state of the District in supporting a capability, and it will manage the improvement the District makes in expanding the capability. ESFs that support the primary ESF are also identified.

The TCL assumes that District agencies currently possess a level of capability to address steady-state operations and smaller-scale emergencies and disasters (e.g., routine firefighting, law enforcement services, or seasonal flooding). The TCL is focused on identifying the unique capabilities and incremental resources related to terrorism, very large scale disasters, or pandemic health emergencies. Establishing the plans, procedures, systems, interagency relationships, training and exercise programs, and mutual aid agreements required to build capabilities for these emergencies will enhance performance for all responses to hazards, regardless of incident size.

## Figure F-2: ESFs Aligned to Target Capabilities

| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ESF Primary Agency Target Capability Alignment** | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Target Capability** | **Primary (P) and Support (S) ESFs** | | | | | | | | | | | | | | | |
| **Common Target Capabilities** | | | | | | | | | | | | | | | | |
| Planning | S | S | S | S | **P** | S | S | S | S | S | S | S | S | | S | S |
| Communications | S | **P** | | S | S | S | | S | S | S | | | S | | | |
| Risk Management | | | | | **P** | | | | | | | | S | | | |
| Community Preparedness and Participation | S | S | S | S | **P** | S | S | S | S | S | S | S | S | | S | S |
| Intelligence and Information Sharing and Dissemination | S | S | S | S | S | S | S | S | S | S | S | S | **P** | | S | |
| **Prevent Mission Area** | | | | | | | | | | | | | | | | |
| Info. Gathering & Recognition of Indicators & Warnings | | | | | | | | | | | | | **P** | | | |
| Intelligence Analysis and Production | S | | | S | S | S | | S | S | S | | | **P** | | | |
| Counter-Terror Investigation and Law Enforcement | | | | | | | | | | | | | **P** | | | |
| Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) Detection | S | S | | | S | | | S | | **P** | S | S | S | | | |
| **Protect Mission Area** | | | | | | | | | | | | | | | | |
| Critical Infrastructure Protection | S | S | S | S | S | | | S | | S | S | S | **P** | | S | |
| Food and Agriculture Safety and Defense | | | | | | | | **P** | | | S | | | | | |
| Epidemiological Surveillance and Investigation | | | | | | | | **P** | | | | | | | | |
| Laboratory Testing | | | | | | | | **P** | | | | | | | | |
| **Response Mission Area** | | | | | | | | | | | | | | | | |
| On-site Incident Management | S | | | **P** | S | | | | S | S | | | S | | | |
| Emergency Operations Center Management | | | | | **P** | | | | | | | | | | | |
| Critical Resource Logistics and Distribution | S | S | S | S | **P** | S | S | S | S | S | S | S | S | | S | S |
| Volunteer Management and Donations | | | | | | | | | | | | | | | | **P** |

| District ESF | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ESF Primary Agency Target Capability Alignment** | Transportation | Communications | Public Works and Engineering | Firefighting | Emergency Management | Mass Care, Emergency Assistance, Housing and Human Services | Resource Support | Public Health and Medical Services | Search and Rescue | Oil & Hazardous Materials Response | Food | Energy | Law Enforcement | Long-Term Community Recovery & Mitigation | External Affairs | Volunteer and Donations Management |
| **Target Capability** | **Primary (P) and Support (S) ESFs** | | | | | | | | | | | | | | | |
| Responder Safety and Health | | | S | **P** | S | S | | S | S | S | S | S | | | | |
| Emergency Public Safety and Security Response | | | | | | | | | | | | | **P** | | | |
| Animal Disease Emergency Support | | | | | | **P** | | | | | S | | | | | |
| Environmental Health | S | | | | | | | **P** | | | S | | | | | |
| Explosive Device Response Operations | S | | | S | S | | | S | S | S | | | **P** | | | |
| Fire Incident Response Support | | | | **P** | | | | | | | | | | | | |
| WMD/Hazardous Materials Response and Decontamination | | | | | | | | | | **P** | | | | | | |
| Citizen Evacuation and Shelter In-Place | S | | | | **P** | S | | S | | | | | S | | | S |
| Isolation and Quarantine | | | | | | | | **P** | | | | | | | | |
| Search and Rescue | | | | | | | | | **P** | | | | S | | | |
| Emergency Public Information and Warning | | | | | **P** | | | | | | | | | | | S |
| Emergency Triage and Pre-Hospital Treatment | S | | | **P** | | | | S | | | | | | | | |
| Medical Surge | | | | | | | | **P** | | | | | | | | |
| Medical Supplies Management and Distribution | S | S | | | S | | S | **P** | | | | | S | | S | S |
| Mass Prophylaxis | | | | | | | | **P** | | | | | | | | |
| Mass Care (Sheltering, Feeding, and Related Services) | | | | | | **P** | | S | | | | | | | | |
| Fatality Management | | | | | | | | **P** | | | | | S | | | |
| **Recover Mission Area** | | | | | | | | | | | | | | | | |
| Structural Damage Assessment | S | | **P** | | | | | | | | | | | | | |
| Restoration of Lifelines | S | S | **P** | | | | | | | | | S | | | | |
| Economic and Community Recovery | | | | | | S | | | | | | | | **P** | S | |

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# APPENDIX G. AUTHORITIES

The following are the authorities that provide the legal basis for this District Response Plan.

## District

1. District of Columbia Public Emergency Act of 1980, D.C. Official Code § 7-2301 *et seq.*, Public Emergencies (2001).

2. D.C. Official Code 1-1401 *et seq.* (2001).

3. D.C. Official Code sec. 7-2201 *et seq.*, Civil Defense Declaration of Intent, (1950), *amended by* Homeland Security, Risk Reduction, and Preparedness Amendment Act of 2006.

4. D.C. Official Code sec. 7-2209, Civil Defense Compacts (1950).

5. District of Columbia Anti-Terrorism Act of 2002, D.C. Official Code § 22-3151 *et seq.* (2002).

6. District of Columbia Home Rule Act, *as amended*. D.C. Official Code 1-204.21(c)(2) (1973).

## Federal

1. Federal Civil Defense Act of 1950, *as amended*, 50 U.S.C., App. 2551 *et seq.* (1950).

2. Flood Control Act of 1950, 33 U.S.C. 701n (1950).

3. Price-Anderson Act, 42 U.S.C. 2210 (1957).

4. National Historic Preservation Act, 16 U.S.C. § 470 *et seq.* (1966).

5. Food Stamp Act, 7 U.S.C. 2011 *et seq*. (1964).

6. Flood Disaster Protection Act of 1973, *as amended*, 42 U.S.C. 4001 *et seq.* (1973).

7. Earthquake Hazards Reduction Act, 42 U.S.C. 7701 *et seq*. (1977).

8. Comprehensive Environmental Response, Compensation, and Liability Act of 1980 (CERCLA), as amended, 42 U.S.C. 9610 (1980).

9. Department of Defense Authorization Act, 94 Stat. 1077 (1980).

10. Superfund Amendments and Reauthorization Act (SARA) of 1986, 42 U.S.C 11001 *et seq*. (1986).

11. The Clean Air Act Amendments of 1990, 42 U.S.C. 7401-7671 (1990).

12. Hazardous Materials Transportation Uniform Safety Act, 104 Stat. 3244 (1990).

13. Stewart B. McKinney Homeless Assistance Act, 42 U.S.C. 11331-11352 (1987).

14. Older American Act of 1965, as amended, 42 U.S.C. 3001 *et seq*. (1965).

15. National Flood Insurance Act of 1968, 42 U.S.C. 4001 *et seq.* (1968).

16. *Crimes and Criminal Procedure, Use of weapon of mass destruction*, 18 U.S.C. 2332a (1985).

17. Homeland Security Act of 2002, 6 U.S.C. 101 *et seq.* (2002).

18. Homeland Security Presidential Directive-5, *Management of Domestic Incidents* (2003).

19. Maritime Transportation Security Act of 2002, 46 U.S.C. 2101 *et seq.* (2002).

20. Aviation and Transportation Security Act of 2001, 49 U.S.C. 40101 *et seq.* (2001).

21. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 *et seq.* (2000).

# Summary of District of Columbia Official Code Provisions Related to Emergency Planning and Operations

## DIVISION 1 — GOVERNMENT OF THE DISTRICT

**§ 1-204.11. Subsection (b)** provides that the chairman of the D.C. Council acts as the Mayor when the Office of the Mayor is vacant.

**§ 1-204.22.** Provides for the general powers, duties, and functions of the Mayor to execute laws and administer the affairs of the District, including authority to designate officer(s) who may execute and perform the powers and duties of the Mayor during periods of disability or absence from the District, administer the personnel functions of the District, delegate functions, propose legislation, and issue and enforce administrative orders.

**§ 1-204.23.** Provides that the Mayor shall be the central planning agency for the District. He shall be responsible for the coordination of planning activities of the municipal government and the preparation and implementation of the District's elements of the comprehensive plan for the National Capital, which may include land use elements, urban renewal and redevelopment elements, a multi-year program of municipal public works for the District, and physical, social, economic, transportation, and population elements.

**§ 1-204.50a. Subsection (a)** establishes an emergency cash reserve fund that may be used for unanticipated and nonrecurring extraordinary needs of an emergency nature, including a natural disaster or calamity as defined by the Stafford Act or in the event of a state of emergency declared by the Mayor. **Subsection (b)** establishes a contingency cash reserve fund to be used for nonrecurring needs, including expenses associated with unforeseen weather or other natural disasters, unexpected obligations created by federal law, or new public safety or health needs or requirements.

**§ 1-207.31.** Provides for the exchange of services between the United States government and District government, by mutual agreement, with cost reimbursement to be provided other than for costs incurred by the Metropolitan Police Department in assisting the Secret Service, at the request of the Director of the United States Secret Service Division, to carry out the Secret Service's protective duties.

**§ 1-303.01 – .03.** Provides police regulatory authority, authorizing the D.C. Council to make and modify, and the Mayor to enforce, such reasonable and usual police regulations as are set forth therein or as the D.C. Council deems necessary for the protection of lives, limbs, health, comfort, and quiet of all persons and protection of all property within the District.

**§ 1-303.42.** Authorizes the Mayor, pursuant to D.C. Council regulations, to expend funds without advertising to meet conditions caused by emergencies such as riot, pestilence, public unsanitary conditions, flood, fire, storm, and similar disasters.

**§ 1-319.01 – .02.** Establishes District policy to use volunteer citizens in governmental programs and directs the Mayor to promulgate regulations governing the use of volunteers by District government entities.

**§ 2-303.12.** Authorizes contracting officers to make emergency procurements when there is an imminent threat to the public health, welfare, property, or safety under emergency conditions, as defined by rule, with maximum practical competition.

**§ 2-904.** Establishes the District's Office of Energy. **Subsection (g)** provides that the Office shall prepare an emergency energy shortage contingency plan designed to protect the public health, safety, and welfare, minimize the adverse impact on the physical, social, and economic well-being of the District, and provide for the fair and equitable allocation of scarce energy resources during emergency energy shortages, including reduced energy use during a state of emergency declared by the Mayor.

**§ 2-1105.** Defines the "Washington metropolitan region" to include the District, the counties of Montgomery and Prince Georges in the State of Maryland, and the counties of Arlington and Fairfax and the cities of Alexandria and Falls Church in Virginia.

**§ 5-127.04.** Vests the Mayor and members of the police force with the common-law powers of constables, with minor exceptions.

**§ 5-129.03.** Authorizes the Mayor, upon an emergency of riot, pestilence, invasion, insurrection, or during any day of public election, ceremony, or celebration, to appoint citizen special police, without pay, who shall exercise the powers and duties of District police officers.

**§ 5-133.05.** Provides that District laws and regulations for the protection of public or private property and the preservation of peace and order extend to public buildings and grounds belonging to the United States within the District.

**§ 5-133.17.** Authorizes cooperative agreements between the Metropolitan Police Department and federal law enforcement agencies to assist the Department in carrying out crime prevention and law enforcement activities.

**§ 5-301.** Shields federal law enforcement officers, from agencies that have entered into a cooperative agreement with the Metropolitan Police Department pursuant to **§ 5-133.17** that provides authority to make arrests in the District for nonfederal offenses, with the same legal status and immunity from suit as an MPD officer.

**§ 5-414. Subsection (a)** authorizes the D.C. Council to enter into and renew reciprocal agreements with Washington metropolitan region jurisdictions to establish and carry out a plan of mutual aid, through the furnishing of firefighting personnel and equipment, to extinguish fires and preserve life and property in emergencies in such jurisdictions. **Subsection (b)** requires that the parties waive claims against the other parties and indemnify and save harmless the other parties from third party claims. **Subsection (c)** authorizes the

Mayor to make available to the federal government District Fire Department personnel and equipment to extinguish fires and save lives on federal property anywhere in the Washington metropolitan region.

**§ 5-417.01.** Authorizes the Fire Chief and the Fire Marshal to investigate the causes, origin, and circumstances of every fire, explosion, or hazardous materials emergency in which the Fire Department has a reasonable interest. The Metropolitan Police Department, however, shall be the primary investigative agency for such incidents that involve critical injury, death, or assaults with intent to kill. The Fire Marshall and such other personnel designated by the Fire Chief are invested with the general police powers, including arrest, as regular members of the MPD.

**§ 5-1307.** Makes it unlawful for any person to knowingly, recklessly, or with culpable negligence interrupt, disrupt, impede, or otherwise interfere with the transmission of a two-way radio communication informing or inquiring about an emergency or to transmit false information about an emergency on any two-way radio frequency.

**§ 7-131. – 140.** Provides legal authority to prevent the spread of communicable disease. The Mayor is authorized, upon the advice of the Commissioner of Public Health (now the Director of the Department of Health), to issue rules to prevent and control the spread of communicable diseases, including requirements and procedures for restriction of movement, isolation, and quarantine. Persons believed to be carriers of communicable diseases who are a danger to the lives and health of others may, by written order of the Director of the Department of Human Services, be detained in an institution or place designated by the Director. Such person may be detained, provided that specified legal protections are provided, until such person is no longer a threat to the public health and safety. In carrying out these provisions, the Director has broad powers to access buildings for inspection. Anyone who interferes with persons carrying out duties and functions related to carrying out the authority of **Subsections 131 to 140** has committed an unlawful act.

**§ 7-2201.** Provides a statement of congressional intent that the District shall develop plans and programs to provide necessary protection, relief, and assistance for persons and property in the event that enemy attack, sabotage, or other hostile action shall occur or become imminent.

**§ 7-2202.0 – 2208.** Establishes in the District government an Office of Emergency Preparedness (designated the Emergency Management Agency by Mayor's Order 98-189, Jan. 8, 1999, hereinafter referred to as EMA). EMA is authorized and directed, subject to the discretion and control of the Mayor, to do the following: (1) prepare a comprehensive plan and program for civil defense, to be integrated into federal civil defense plans and those of nearby states and appropriate political subdivisions; (2) institute training and public information programs, organize, equip, and train civil defense units, and take other preparatory steps in advance of actual disaster; (3) conduct studies and surveys of District civil defense resources and capabilities and plan for the emergency use thereof; (4) develop and enter into mutual aid agreements with states and political subdivisions thereof for reciprocal civil defense aid and mutual assistance, consistent with the national civil defense

plan and program; (5) employ personnel and expend funds; (6) cooperate with governmental and nongovernmental agencies, organizations, associations, and other entities to coordinate civil defense activities in the District: (7) accept facilities, supplies, and funds from the federal government; (8) use services, supplies, and facilities of District departments, offices, and agencies and, when authorized by the Mayor, use District funds to match federal funds for the purchase of civil defense equipment and supplies; and (9) perform such other functions as the Mayor may assign.

**§ 7-2209.** Authorizes the Mayor to enter into and execute to interstate civil defense compacts with the states and sets forth the substance of the language to be used for such compacts.

**§ 7-2301.** Defines terms, including "Emergency operations plan" and "Public emergency." Emergency operations plan means the District's state plan for public emergency preparedness and prevention pursuant to the Disaster Relief Act of 1974 and **§ 7-2302.**

**§ 7-2302.** Public emergency means any disaster, catastrophe, or emergency situation where the health, safety, or welfare of persons in the District is threatened by reason of the actual or imminent consequences within the District of (1) enemy attack, sabotage, or other hostile action; (2) severe and unanticipated resource shortage; (3) fire: (4) flood, earthquake, or other serious act of nature; (5) serious civil disorder; (6) any serious industrial, nuclear, or transportation accident; (7) explosion, conflagration, or power failure; or (8) injurious environmental contamination which threatens or causes damage to life, health, or property.

**§ 7-2302. – 2303.** Authorizes the Mayor to establish a program of public emergency preparedness using appropriate District agencies, to include (1) the development of an emergency operations plan that sets forth a program to prepare for and provide assistance necessary for regulations and procedures, and the conduct of exercises; (2) posting of public emergency evaluations; (3) periodic program review; and (4) coordination of federal and public notice requirements and transmittal to the D.C. Council for review and approval or disapproval.

**§ 7-2304. – 2308.** Governs the issuance of emergency executive orders by the Mayor, their duration and extension, publication requirements, and other authority. The Mayor is authorized under **§ 7-2304** to issue an emergency executive order upon reasonable apprehension of the existence of a public emergency and a determination that such order is necessary for the immediate preservation of the public peace, health, safety, or welfare, and as a prerequisite to requesting emergency or major disaster assistance under the Disaster Relief Act of 1974. Such order shall define (1) the existence, nature, extent, and severity of the public emergency; (2) the measures necessary to relieve the public emergency; (3) the specific requirements of the order and the persons upon whom the order is binding; and (4) the duration of the order. Upon issuing the order, the Mayor may issue an emergency executive order, which shall state:

(1) Expend appropriated funds to carry out public emergency service missions and responsibilities;

(2) Implement provisions of the emergency operations plan without regard to certain operating procedures;
(3) Implement measures to protect persons and property in the District, including evacuation of persons in the District to District emergency shelters or to shelters outside of the District with the approval of the Governor of the receiving state, and to provide for the reception, sheltering, maintenance and care of such evacuees. Evacuation of any personnel or activity of the federal government requires the consent of the president or must be conducted pursuant to a prearranged evacuation plan;
(4) Require the shutting off, disconnection, or suspension of service from, or by, gas mains, electric power lines, or other public utilities;
(5) Destroy or remove from the District contaminated real or personal property;
(6) Issue orders or regulations to govern the use, sale, production, and distribution of food, fuel, clothing, and other commodities, materials, goods, services, and resources as required by the emergency operations plan or any federal emergency plan;
(7) Direct the hours during which business can be conducted, and direct persons or classes of persons to remain off the public streets if a curfew is required;
(8) Establish public emergency service units;
(9) Expand District governmental units concerned with public emergency services;
(10) Exercise operational direction over all District departments and agencies;
(11) Procure supplies and equipment, institute training and public information programs, and take other steps to ensure adequately trained and equipped personnel;
(12) Request predicator assistance or the declaration of a major disaster from the federal government, certify the need for federal disaster assistance, and commit needed District funds to alleviate the damage, loss, hardship, and suffering resulting from the disaster; or
(13) Prevent or reduce harmful consequences of the disaster.

The Mayor also is authorized under **§ 7-2305** to issue regulations or recommend specified legislation to the D.C. Council. **§ 7-2306** provides that an emergency order can be effective for no more than 15 calendar days after it is signed by the Mayor, can be rescinded if the emergency abates, and can be extended for up to an additional 15 days, upon request of the Mayor, if the D.C. Council adopts an emergency act. Provisions are made for extenuating circumstances, publication of emergency orders, adoption of implementing rules and regulations, and inter-jurisdictional coordination. **§ 7-2307** provides a fine for the violation of an emergency executive order and **§ 7-2308** suspends the District's Administrative Procedure Act for actions taken pursuant to an emergency order until after the expiration date of the order.

## Key Word Index to D.C. Code Emergency Planning and Operations Provisions (by D.C. Code §)

BUSINESS HOURS: 7-2304. – 2308.

COMMUNICABLE DISEASES: 7-131. – 140.

COUNCIL—POWERS AND DUTIES: 1-303.01 – 03.; 1-301/42.; 5-414.

CURFEW: 7-2304. – 2308.

EMERGENCY EXECUTIVE ORDER: 7-2304. – 2308.

EMERGENCY MANAGEMENT AGENCY: 7-2202. – 2208.

EMERGENCY OPERATIONS PLAN: 7-2301.; 7-2302. – 2303.; 7-2304. – 2308.

EMERGENCY PLANNING: 2-904.; 7-2201.; 7-2202. – 2208.; 7-2301.

EMERGENCY RADIO: 5-1307.

ENERGY RESOURCES: 2-904.

EVACUATION: 7-2304. – 2308.

FEDERAL GOVERNMENT: 1-207.31; 5-133.05; 5-301.; 7-2302. – 2303.; 7-2304. – 2308.

FIRE DEPARTMENT: 5-417.01.; 7-2304. – 2308.

FUNDS: 1-303.42.; 1-303.50A.; 2-302.12; 7-2304. – 2308.

INTERJURISDICTIONAL COMPACTS, AGREEMENTS, and COOPERATOIN: 5-414.; 7-2209.; 7-2302. – 2303.

ISOLATION: 7-131. – 140.

LAW ENFORCEMENT AUTHORITY: 1-303.01. - .03.; 5-127.04.; 5-417.01.

MAYOR – POWERS AND DUTIES: 1-204.22.; 1-204.23.; 1-303.01. - .03.; 1-303.42.; 5-127.04.; 5-414.; 7-131. – 140.; 7-2209.; 2-2302. – 2303.; 7-2304. – 2308.

METROPOLITAN POLICE DEPARTMENT: 1-207.31.; 5-133.17.; 5-301.

MOVEMENT – RESTRICTIONS: 7-131. – 140.

PLANNING – GENERAL: 1-204.23

PROCUREMENT: 2-303.12.; 7-2304 – 2308.

PROPERTY – DESTRUCTION AND REMOVAL: 7-2304. – 2308.

QUARANTINE: 7-131. – 140.

RATIONING: 7-2304. – 2308.

SUCCESSION IN OFFICE – MAYOR: 1-204.11(B).

UTILITIES: 7-2304. – 2308.

VOLUNTEERS: 1-319.01. – 02.; 5-129.03.

WASHINGTON METROPOLITAN REGION: 2-1105.

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# APPENDIX H. RESOURCE COORDINATION AND MANAGEMENT

The District will coordinate and manage resources in the following manner:

- Internal District resources will be used as the first line of support in response to an emergency. Interstate mutual aid can provide an additional option for timely and cost-effective resource support.

- Initial sources are internal government supplies, including available surplus and excess property, and agency stock. Resources are acquired using a standard government procurement vehicle, such as a purchase order, blanket purchase agreement, contract, or cooperative agreement.

- An appropriate level of management oversight, protection, and accountability must be assured—from acquisition through final disposition—for all District agencies utilizing property brought to, used at, loaned by, or acquired at an emergency site.

- District agencies may coordinate with volunteer organizations that provide a wide variety of relief goods and services. Donations often play an important role in supplying victims with essential needs.

- In addition, District agencies are encouraged to take advantage of current partnership relations with the private sector. Businesses both inside and outside the affected area can supply critical resources during response operations and assist in restoring essential services and rebuilding the economic base during recovery operations. (As potential emergency victims, private-sector businesses also are urged to identify their risks, develop appropriate contingency plans, and take corrective actions prior to an emergency.)

- The Director of the Consequence Management Team (CMT, defined in the base plan, *III. Concept of Operations; Section B: Organizational Roles, Responsibilities, and Relationships*) may coordinate with another District agency in directing completion of a specific task or provision of a service in anticipation of, or in response to a Mayoral declaration of an emergency. The CMT is activated during emergencies that are large enough or significant enough that they could be regional in nature.

- In an event requiring massive resources, the CMT leadership and/or the DC Coordinating Officer (DCCO) should resolve conflicting priorities requiring the same resources.

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# APPENDIX I. CATALOGUE OF AGREEMENTS

The following is a list of mutual aid agreements and compacts that are applicable to this plan and to emergency operations in the District.

1. Federal/State Agencies
   a. National Weather Service (Forecast Office)—January 1, 1988 (Dissemination of Severe Weather Information).
   b. Federal Emergency Management Agency—October 1986 (Continuing Use of FEMA National Radio System).
   c. Interstate Compact—State of Maryland, May 1954.
   d. Interstate Compact—Commonwealth of Virginia, June 1954.

2. Intergovernmental
   a. Metropolitan Washington Council of Governments Fire and Rescue Mutual Aid Operations Plan.

3. Private Sector
   a. Joint Agreement for Emergency Services and Support Civil Air Patrol—1988.

4. Memorandum of Understanding—Washington Chapter, National Defense Transportation Association—May 1987.

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# APPENDIX J. NATIONAL CAPITAL REGION COMPOSITION

The Regional Emergency Coordination Plan defines the National Capital Region as the following:

- District of Columbia;
- Alexandria, VA;
- Arlington County, VA;
- Bowie, MD;
- College Park, MD;
- Fairfax County, VA;
- Fairfax, VA;
- Falls Church, VA;
- Frederick County, MD;
- Gaithersburg, MD;
- Greenbelt, MD;
- Loudoun County, VA;
- Manassas, VA;
- Manassas Park, VA;
- Montgomery County, MD;
- Prince George's County, MD;
- Prince William County, VA;
- Rockville, MD; and
- Takoma Park, MD.

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# APPENDIX K. OTHER DISTRICT GOVERNMENT BODIES AND REGIONAL GOVERNMENT ORGANIZATIONS

The District government structure includes organizations that have important roles to play in the District Response Plan (DRP). In addition, regional and government organizations in which the District is a critical player have capabilities and resources that may be required to support the city's emergency operations activities. The following are some of the key District and regional organizations whose functions make them key players in the DRP:

- ***Emergency Preparedness Council (EPC).*** The Mayor's Emergency Preparedness Council monitors, evaluates, and implements the District's preparedness actions. The EPC meets quarterly and is made up of representatives from all Emergency Support Function (ESF) primary and support agencies, as well as regional organizations, such as the DC Hospital Association, the DC Water and Sewer Authority, the Metropolitan Washington Area Transit Authority, and the American Red Cross.

  The EPC is chaired by the Homeland Security and Emergency Management Agency (HSEMA) Director and staffed by HSEMA. Specifically, the EPC is charged with:
  - Continually reexamining the overall state of emergency and disaster readiness of the District of Columbia;
  - Providing a consistent network of District agency expertise to make the District of Columbia government a national leader in comprehensive emergency management; and
  - Making recommendations on improving District planning for, response to, and recovery from, emergency and disaster events as well as emerging threats.

- ***Advisory Neighborhood Commissions (ANCs)***. ANCs are advisory boards composed of residents elected from the District's diverse neighborhoods. The commissions are independent bodies that advise the government on policy issues affecting their particular community. There are 37 ANCs in the District, each divided into subareas called Single Member Districts, which have approximately 2,000 residents. ANCs consider a wide range of programs and policies affecting their neighborhoods. ANCs were created to ensure input from an advisory board that is made up of the residents of the neighborhoods that are directly affected by government action. In this sense, the ANCs are the body of government with the closest official ties to the people in a neighborhood. ANC commissioners can play a vital role in communicating information and identifying public concerns about preparedness issues through their frequent meetings and correspondence with citizens in their neighborhoods.

- ***Political Wards***. The District's 37 ANCs are divided among the eight political Wards in the city. Thirteen District City Council Members represent these Wards. The City Council is the legislative body which includes a representative elected from each of the eight Wards and five members, including the Chairman, elected at-large. The Council

conducts its work through standing committees and special committees established as needed. Political Wards, represented by their Council members, have significant roles to play in determining resource allocation for emergency programs and operations in each District governmental agency. In addition, as the local elected representative body, the Council seeks citizen participation and holds public hearings for public comment on proposed legislation, policy initiatives, and government operations. The Council also helps citizens access government information and services. Each of these Council responsibilities and authorities is critical to each step of the city's emergency planning process—from determining budget allocations for each city agency that will affect capacity, to fulfill their role as an ESF primary or support agency, to ensuring that District citizens are well informed about preparedness in their city.

- ***DC Local Emergency Planning Council (DCLEPC).*** The DCLEPC was established to monitor and inform the public about the use of hazardous chemicals in the District of Columbia. It is a community committee composed of emergency planning specialists; higher education institutions; environmental watchdog organizations; business leaders, trade, and professional associations in the chemical industry; and representatives from the media, utility companies, and District and federal government agencies. The group comes together monthly to discuss a variety of emergency planning issues from varying perspectives. The DCLEPC provides a forum for discussing both general and agency-specific issues related to the DRP among a range of stakeholders in the city's emergency operations planning and operations processes.

- ***Metropolitan Washington Council of Governments (COG).*** COG is a regional organization of Washington area local governments composed of 19 local governments, including the District of Columbia. In general, COG provides a forum for consensus-building and policy-making and is critical to implementing intergovernmental policies, plans, and programs. In the area of emergency planning for the region, COG has worked with the District and surrounding jurisdictions to develop regional emergency plans and agreements in a range of areas, including fire, rescue, the Metro transit system, transportation, water and power supply, and snow emergencies. Ensuring consistency in the DRP and regional agreements is vital to working effectively to prepare for and respond to potential emergencies in the region.

- ***District of Columbia Schools and Area Universities.*** The District schools, through the DC Board of Education, have issued a directive for all schools to develop school emergency response plans and establish school-based Emergency Response Teams. Citywide emergency response drills must be conducted each year, and security and safety procedures have been developed. In addition, operational guidelines, communication protocols, and procedures for involving law enforcement have been developed. Emergency plans and procedures for the city's schools must be consistent with those set forth in the DRP, and close communication between District primary and support agencies and the District schools and DC Board of Education is critical.

  The District region also is home to more than 30 colleges and universities, each with its own individual contingency plans. Colleges and universities are faced with a variety

of potential hazardous events that pose risks to the students, faculty, administrative staff, and the institution itself. These institutions develop their own business continuity and disaster response plans, documenting roles and responsibilities, resources, and steps to take in response to an event, and to continue operations after an incident has occurred. The university is a self-contained community, but also is part of a larger community—the city in which it resides. Therefore, planning and response efforts in the District must involve these communities.

- ***Nonprofit and Volunteer Organizations***

  - ***Serve DC*** strengthens and promotes the District of Columbia's spirit of service through partnerships, national service, and volunteerism. Serve DC focuses on three areas:
    - Developing partnerships among civic groups, government agencies, educational institutions, nonprofit organizations, corporations and small businesses, and the faith-based community;
    - Administering the AmeriCorps programs in the District and facilitating collaboration among all national service programs, including Senior Corps, Learn and Serve, AmeriCorps*NCCC and AmeriCorps*VISTA; and
    - Encouraging citizens of all ages and backgrounds to address a variety of community needs by volunteering. Serve DC leads the Citizen Corps initiative, which provides citizens with opportunities to volunteer and make their communities safer, stronger, and better prepared to address threats of terrorism, crime, and disasters.

  - ***District nonprofit organizations, national nonprofit organizations, and volunteer organizations*** located in the District are key to supporting primary and support agencies in emergency operations and planning. Activities of these groups include donation management coordination programs, volunteer services, and overall management of the flow of goods and services during disaster response and recovery operations. It is crucial to establish a consistent framework for coordinating with these organizations to support a response.
    - The ***District of Columbia Voluntary Organizations Active in Disaster (DCVOAD)*** coordinates the planning efforts of local voluntary organizations that respond to emergencies and disasters. DCVOAD was incorporated in 1999 as a nonprofit corporation to establish a process for involving member organizations in the mitigation of, preparedness for, response to, and recovery from emergencies and disasters in concert with District, federal, and private-sector emergency operations plans.
    - Regional offices also have important roles in the DRP, working directly with the District to help plan for disasters and to meet needs when emergencies occur.

- ***Hospitals and Health Care.*** The District has a partnership with the DC Hospital Association, an organization that represents the interests of 17 member hospitals and associate member hospitals throughout the District. Under this partnership, the DC

Hospital Association serves as a communications center to disseminate information to response personnel regarding hospital capacity and effective transportation of victims. They coordinate this information through ESF #8—Public Health and Medical Services. In addition, the DC Hospital Association coordinates information from hospitals regarding external decontamination facilities for use at an incident site and/or before entering hospitals.

- ***Private Businesses.*** HSEMA and the Office of Property Management have established communication links with private-sector associations to serve as a conduit of information among the different groups and organizations. Information likely to be shared includes details about government closings and evacuation routes. The Metropolitan Police Department also conducts building security and sweep training for building managers on a regular basis.

  - ***Building Owners and Managers Association (BOMA)***. BOMA provides a network forum for industry professionals to discuss mutual problems, exchange ideas, and share experience and knowledge. BOMA's government affairs and codes subject matter experts address the needs and interests of office building owners, investors, developers, and managers to national, state, provincial, and local legislators.

  - ***District of Columbia Chamber of Commerce (DCCC).*** DCCC is a nonprofit membership organization dedicated to improving the climate for business in the District. DCCC works to expand the economy in Washington, D.C., by attracting new jobs and creating economic opportunities for its members and District citizens. DCCC also focuses on issues that affect future growth and community development, including arts and culture, education, international trade, and government affairs.

  - ***Greater Washington Board of Trade***. The Greater Washington Board of Trade is the largest regional network of business and nonprofit leaders and the only group representing all industry sectors. Board of Trade companies in the District of Columbia, Northern Virginia, and Suburban Maryland employ 40 percent of the region's private-sector workforce.

    Organizations join the Board of Trade to grow their business and help build a better community. The Board of Trade:
    - Creates business opportunities through networking events and community-building projects;
    - Represents businesses and their employees on a wide range of issues; and
    - Markets the region as a vibrant place to work and live.

- ***International Interests.*** In situations with international interests, HSEMA communicates with the Office of Foreign Missions within the U.S. Department of State. Information is shared relating to government actions, such as established evacuation routes.

# APPENDIX L. REFERENCES


1. District of Columbia. Facility Emergency Procedures, December 1999.

2. District of Columbia. Fire and Emergency Medical Services Department. Operations Plan.

3. District of Columbia. Hazard Mitigation (409) Plan, Hazard Mitigation Administrative Plan, March 2000.

4. District of Columbia. Metropolitan Police Department. Operations Plan.

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7. FEMA. Guide for All-Hazard Emergency Operations Planning, State and Local Guide (101), Attachment G Terrorism, April 2001.

8. National Capital Region. Homeland Security Strategic Plan, 2005.

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11. The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. 5121 *et seq.* (2000).

12. U.S. Army Military District of Washington DC (WMD). Civil Disturbance Plan 55-2.

13. U.S. Capitol Police. Response Plan.

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15. U.S. Department of Health and Human Services. Receiving, Distributing, and Dispensing the National Pharmaceutical Stockpile, April 2002.

16. U.S. Department of Homeland Security. National Infrastructure Protection Plan, 2006.

17. U.S. Department of Homeland Security. National Incident Management System, March 2004.

18. U.S. Department of Homeland Security. National Response Framework, January 2008.

19. U.S. Department of Homeland Security. National Strategy for Combating Terrorism, September 2006.

20. U.S. Department of Homeland Security. National Strategy for the Physical Protection of Critical Infrastructures and Key Assets, February 2003.

21. U.S. Department of Homeland Security. National Strategy to Secure Cyberspace, February 2003.

22. U.S. Department of Homeland Security. Target Capabilities List, Version 2.0, September 2007.

23. U.S. Department of Homeland Security. Universal Task List, Version 2.1, May 2005.

24. U.S. Joint Chiefs of Staff. Chairman of the Joint Chiefs of Staff Instruction: Military Assistance to Domestic Consequence Management Operations in Response to a Chemical, Biological, Radiological, Nuclear, or High-Yield Explosive Situation, dated August 3, 2001.

25. U.S. Park Police. Operations Plan.

26. U.S. Secret Service. Continuity of Government (COG) Plan. 2004

# APPENDIX M. DEFINITIONS AND ACRONYMS

## ORGANIZATIONS AND TERMS

**Amateur Radio Emergency Services (ARES) –** A public service organization of licensed amateur radio operators who have voluntarily registered their qualifications and equipment to provide emergency communications for public service events as needed.

**Commission on National and Community Service** – An office under the Executive Office of the Mayor that will run competitive grant processes and administer grant funds to local nonprofit or public organizations, institutions of higher education, and District government agencies.

**Consequence Management –** Predominantly an emergency management function and included measures to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of terrorism. The requirements of consequence management and crisis management are combined in the National Response Framework (NRF). See also **Crisis Management.**

**Crisis Management –** Predominantly a law enforcement function and included measures to identify, acquire, and plan the use of resources needed to anticipate, prevent, and/or resolve a threat or act of terrorism. The requirements of consequence management and crisis management are combined in the National Response Framework (NRF). See also **Consequence Management.**

**Critical Infrastructures (CI) –** Systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.

**Cyber –** Pertaining to computers and their support systems, such as servers, routers, and switches that support critical infrastructure.

**Defense Support of Civil Authorities (DSCA).** Refers to Department of Defense (DOD) support, including federal military forces, DOD civilians and DOD contractor personnel, and DOD agencies and components, for domestic emergencies and for designated law enforcement and other activities.

**Disaster Medical Assistance Team (DMAT)** – A group of medical professionals and support that stabilizes and transports victims of disasters.

**Disaster Mortuary Response Team (DMORT) –** A group of forensic specialists that provides victim identification and mortuary services.

**Emergency –** As defined by the Stafford Act, an emergency is "any occasion or instance for which, in the determination of the president, federal assistance is needed to supplement state and local efforts and capabilities to save lives and to protect property and public health and safety, or to lessen or avert the threat of a catastrophe in any part of the United States."

**Emergency Alert System (EAS) –** A system established by the Federal Communications Commission (FCC) in November of 1994 to replace the Emergency Broadcast System (EBS) as a tool the president and others might use to warn the public about emergency situations.

**Emergency Broadcast System (EBS) –** A system replaced by the EAS that was composed of AM, FM, and TV broadcast stations; low-power TV stations; and nongovernment industry entities operating on a voluntary, organized basis during emergencies at national, state, or operational (local) area levels.

**Emergency Coordinating Officer (ECO) –** A person who manages the functions of the Emergency Operations Center.

**Emergency Liaison Officer (ELO) –** A member of the General Staff responsible for coordinating with representatives from cooperating and assisting agencies.

**Emergency Operations Center (EOC) –** The physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a more central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines (e.g., fire, law enforcement, and medical services), by jurisdiction (e.g., federal, state, regional, county, city, tribal), or by some combination thereof.

**Emergency Operations Plan (EOP) –** The "steady-state" plan maintained by various jurisdictional levels for managing a wide variety of potential hazards.

**Emergency Support Function (ESF) –** A grouping of government and certain private-sector capabilities into an organizational structure to provide the support, resources, program implementation, and services that are most likely to be needed to save lives, protect property and the environment, restore essential services and critical infrastructure, and help victims and communities return to normal, when feasible, following domestic incidents. The ESFs serve as the primary operational-level mechanism to provide assistance to state, local, and tribal governments or to federal departments and agencies conducting missions of primary federal responsibility.

**Federal Radiological Monitoring and Assessment Center (FRMAC) –** An operations center, usually established near the scene of a radiological emergency, from which the federal field monitoring and assessment assistance is directed and coordinated.

**First Responder –** Local and nongovernmental police, fire, and emergency personnel who, in the early stages of an incident, are responsible for the protection and preservation of life, property, evidence, and the environment, including emergency response providers as defined in section 2 of the Homeland Security Act of 2002 (6 U.S.C. 101), as well as emergency management, public health, clinical care, public works, and other skilled support personnel (such as equipment operators) who provide immediate support services during prevention, response, and recovery operations. First responders may include personnel from federal, state, local, tribal, or nongovernmental organizations.

**Geographic Information System (GIS) –** A computer system capable of assembling, storing, manipulating, and displaying geographically referenced information (i.e., data identified according to their locations).

**Hazard Mitigation Grants Program (HMGP) –** A program administered by the Federal Emergency Management Agency (FEMA) to provide grants to states and local governments for implementing long-term hazard mitigation measures after a major disaster declaration.

**Hazardous Material (HAZMAT) –** For the purposes of ESF #1, hazardous material is a substance or material, including a hazardous substance, that has been determined by the Secretary of Transportation to be capable of posing an unreasonable risk to health, safety, and property when transported in commerce, and which has been so designated (see 49 CFR 171.8). For the purposes of ESF #10 and the Oil and Hazardous Materials Incident Annex, the term is intended to mean hazardous substances, pollutants, and contaminants as defined by the National Contingency Plan (NCP).

**Incident –** An occurrence or event, natural or human caused, that requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wild land and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.

**Incident Action Plan (IAP) –** An oral or written plan containing general objectives reflecting the overall strategy for managing an incident. It may include the identification of operational resources and assignments. It may also include attachments that provide direction and important information for management of the incident during one or more operational periods.

**Incident Command System (ICS) –** A standardized on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedures, and communications operating with a common organizational structure, designed to aid in the management of resources during incidents. ICS is used for all kinds of emergencies and is applicable to small, as well as large, and complex incidents. ICS is used by various jurisdictions and functional agencies, both public and private, or organized field-level incident management operations.

**Joint Field Office (JFO) –** A temporary federal facility established locally to provide a central point for federal, state, local, and tribal executives with responsibility for incident oversight, direction, and/or assistance to effectively coordinate protection, prevention, preparedness, response, and recovery actions. The JFO will combine the traditional functions of the Joint Operations Center (JOC), the FEMA Joint Field Office (JFO), and the JIC within a single federal facility.

**Joint Information Center (JIC) –** A facility established to coordinate all incident-related public information activities. It is the central point of contact for all news media at the scene of the incident. Public information officials from all participating agencies should co-locate at the JIC.

**Metropolitan Washington Council of Governments (COG) –** A regional organization of Metropolitan Washington area local governments composed of 19 local governments surrounding our nation's capital, plus area members of the Maryland and Virginia legislatures, the U.S. Senate, and the U.S. House of Representatives

**Mitigation –** Activities designed to reduce or eliminate risks to persons or property or to lessen the actual or potential effects or consequences of an incident. Mitigation measures may be implemented prior to, during, or after an incident. Mitigation measures are often developed in accordance with lessons learned from prior incidents. Mitigation involves ongoing actions to reduce exposure to, probability of, or potential loss from hazards. Measures may include zoning and building codes, floodplain buyouts, and analysis of hazard-related data to determine where it is safe to build or locate temporary facilities. Mitigation can include efforts to educate governments, businesses, and the public on measures they can take to reduce loss and injury

**National Incident Management System (NIMS) –** A system mandated by Homeland Security Presidential Directive 5 (HSPD-5) that provides a consistent, nationwide approach for federal, state, local, and tribal governments; the private sector; and nongovernmental organizations (NGOs) to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. To provide for interoperability and compatibility among federal, state, local, and tribal capabilities, the NIMS includes a core set of concepts,

principles, and terminology. HSPD-5 identifies these as the ICS; multi-agency coordination systems; training; identification, and management of resources (including systems for classifying types of resources); qualification and certification; and the collection, tracking, and reporting of incident information and incident resources.

**National Response Framework (NRF) –** The NRF is a guide to how the Nation conducts all-hazards response. It is built on scalable, flexible, and adaptable coordinating structures to align key roles and responsibilities across the Nation, linking all levels of government, nongovernmental organizations, and the private sector. It is intended to capture specific authorities and best practices for managing incidents that range from the serious, but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

**National Response Team (NRT) –** The NRT, composed of the 16 federal agencies with major environmental and public health responsibilities, is the primary vehicle for coordinating federal agency activities under the NCP. The NRT carries out national planning and response coordination and is the head of a highly organized federal oil and hazardous substance emergency response network. The Environmental Protection Agency (EPA) serves as the NRT Chair, and DHS/U.S. Coast Guard serves as Vice Chair.

**Preparedness –** The range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, respond to, and recover from domestic incidents. Preparedness is a continuous process involving efforts at all levels of government and between government and private-sector and nongovernmental organizations to identify threats, determine vulnerabilities, and identify required resources.

**Prevention –** Actions taken to avoid an incident or to intervene to stop an incident from occurring. Prevention involves actions taken to protect lives and property. It involves applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice.

**Public Service Commission** - An independent District Government agency established by Congress in 1913 to regulate the electric, gas, and telephone companies in the District by functioning as a quasi-judicial agency.

**Recovery –** The development, coordination, and execution of service- and site-restoration plans for affected communities and the reconstitution of government operations and services through individual, private-sector, nongovernmental, and public assistance

programs that identify needs and define resources; provide housing and promote restoration; address long-term care and treatment of affected persons; implement additional measures for community restoration; incorporate mitigation measures and techniques, as feasible; evaluate the incident to identify lessons learned; and develop initiatives to mitigate the effects of future incidents.

**Response –** Activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of emergency operations plans and of incident mitigation activities designed to limit the loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include applying intelligence and other information to lessen the effects or consequences of an incident; increased security operations; continuing investigations into the nature and source of the threat; ongoing public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.

**Terrorism –** Any activity that (1) involves an act that (a) is dangerous to human life or potentially destructive of critical infrastructure or key resources; and (b) is a violation of the criminal laws of the United States or of any state or other subdivision of the United States; and (2) appears to be intended (a) to intimidate or coerce a civilian population; (b) to influence the policy of a government by intimidation or coercion; or (c) to affect the conduct of a government by mass destruction, assassination, or kidnapping.

**Weapons of Mass Destruction (WMD) –** Any explosive, incendiary, or poison gas, bomb, grenade, rocket having a propellant charge of more than 4 ounces, or missile having an explosive incendiary charge of more than 0.25 ounce, or mine or device similar to the above; poison gas; weapon involving a disease organism; or weapon that is designed to release radiation or radioactivity at a level dangerous to human life. (Source: *Crimes and Criminal Procedure, Use of weapon of mass destruction*, 18 U.S.C. 2332a, (1985).)

# ABBREVIATIONS AND ACRONYMS

**A**

| | |
|---|---|
| **ACS** | Auxiliary Communications Services |
| **ANCs** | Advisory Neighborhood Commissions |
| **ARC** | American Red Cross |
| **ARES** | Amateur Radio Emergency Services |
| **ARF** | Arson Task Force |

**B**

| | |
|---|---|
| **BDC** | Bomb Data Center |
| **BOMA** | Building Owners and Managers Association |

**C**

| | |
|---|---|
| **CA** | City Administrator |
| **CAMEO** | Computer-Aided Management of Emergency Operations |
| **CBIRF** | Chemical, Biological Incident Response Force |
| **CBRN** | Chemical, Biological, Radiological, Nuclear |
| **CCP** | Casualty Collection Point |
| **CDL** | Commercial Driver License |
| **CDU** | Civil Disturbance Units |
| **CERCLA** | Comprehensive Environmental Response, Compensation, and Liability Act |
| **CERT** | Community Emergency Response Team |
| **CFO** | Chief Financial Officer |
| **CFSA** | Child and Family Services Agency |
| **CI** | Critical Infrastructure |
| **CIC** | Command Information Center |
| **CIMS** | Crisis Information Management System |
| **CISM** | Critical Incident Stress Management |
| **CMC** | Command Management Center |

| | |
|---|---|
| **CMT** | Consequence Management Team |
| **COG** | Continuity of Government |
| **COOP** | Continuity of Operations Plan |
| **CPO** | Chief Procurement Officer |
| **CRI** | Cities Readiness Initiative |
| **CSCD** | Cyber Security and Communications Division |
| **CST** | Civil Support Team |

**D**

| | |
|---|---|
| **DAT** | Disaster Action Team |
| **DC** | District of Columbia |
| **DCCC** | District of Columbia Chamber of Commerce |
| **DCCO** | DC Coordinating Officer |
| **DCHA** | District of Columbia Hospital Association |
| **DCHA** | District of Columbia Housing Authority |
| **DCLEPC** | District of Columbia Local Emergency Planning Council |
| **DCNG** | District of Columbia National Guard |
| **DCOA** | District of Columbia Office on Aging |
| **DCPL** | District of Columbia Public Libraries |
| **DCPS** | District of Columbia Public Schools |
| **DCRA** | Department of Consumer and Regulatory Affairs |
| **DCVOAD** | District of Columbia Volunteer Organizations Active in Disasters |
| **DCWASA** | District of Columbia Water and Sewer Authority |
| **DDOE** | District Department of the Environment |
| **DDOT** | District Department of Transportation |
| **DHCD** | Department of Housing and Community Development |
| **DHHS** | Department of Health and Human Services |
| **DHMO** | District Hazard Mitigation Officer |
| **DHR** | Department of Human Resources |
| **DHS** | Department of Human Services |

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|---|---|
| **DMAT** | Disaster Medical Assistance Team |
| **DMH** | Department of Mental Health |
| **DMME** | Virginia Department of Mines, Minerals, and Energy |
| **DMORT** | Disaster Mortuary Response Team |
| **DOC** | Department of Corrections |
| **DoD** | Department of Defense |
| **DOES** | Department of Employment Services |
| **DOH** | Department of Health |
| **DPR** | Department of Parks and Recreation |
| **DPW** | Department of Public Works |
| **DRP** | District Response Plan |
| **DSCA** | Defense Support of Civil Authorities |
| **DSLBD** | Department of Small and Local Business Development |
| **DWI** | Disaster Welfare Information |
| **DYRS** | Department of Youth Rehabilitation Services |

**E**

| | |
|---|---|
| **EAS** | Emergency Alert System |
| **EBS** | Emergency Broadcast System |
| **ECC** | Emergency Communications Center |
| **ECO** | Emergency Coordinating Officer |
| **EEI** | Essential Element of Information |
| **ELO** | Emergency Liaison Officer |
| **EMAC** | Emergency Management Assistance Compact |
| **EMS** | Emergency Medical Services |
| **EOC** | Emergency Operations Center |
| **EOM** | Executive Office of the Mayor |
| **EOP** | Emergency Operations Plan |
| **EPC** | Emergency Preparedness Council |
| **ERT** | Emergency Response Team |
| **ERT-A** | Emergency Response Team – Advance Element |

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|---|---|
| **ESF** | Emergency Support Function |
| **ESP** | Essential Service Protection |
| **EST** | Emergency Support Team |
| **ETA** | Emergency Transportation Annex |

**F**

| | |
|---|---|
| **FBI** | Federal Bureau of Investigation |
| **FCC** | Federal Communications Commission |
| **FCO** | Federal Coordinating Officer |
| **FEMA** | Federal Emergency Management Agency |
| **FEMS** | Fire and Emergency Medical Services Department |
| **FHWA** | Federal Highway Authority |
| **FMA** | Fleet Management Administration |
| **FMAP** | Flood Mitigation Assistance Program |
| **FMARS** | Fire Mutual Aid Response System |
| **FOMA** | Facilities Operations Maintenance Administration |
| **FRMAC** | Federal Radiological Monitoring and Assessment Center |

**G**

| | |
|---|---|
| **GETS** | Government Emergency Telecommunications Service |
| **GIS** | Geographic Information System |
| **GSA** | General Services Administration |
| **GWUMC** | George Washington University Medical Center |

**H**

| | |
|---|---|
| **HAZMAT** | Hazardous Materials |
| **HECC** | Health Emergency Coordination Center |
| **HFA** | Housing Finance Agency |
| **HMARS** | Hospital Mutual Aid Radio System |
| **HMGP** | Hazard Mitigation Grants Program |
| **HSEMA** | Homeland Security and Emergency Management Agency |

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|---|---|
| **HSPD** | Homeland Security Presidential Directive |

**I**

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|---|---|
| **IAP** | Incident Action Plan |
| **ICS** | Incident Command System |
| **IMT** | Incident Management Team |
| **IST** | Incident Support Team |
| **IT** | Information Technology |

**J**

| | |
|---|---|
| **JFHQ-NCR** | Joint Force Headquarters- National Capital Region |
| **JFO** | Joint Field Office |
| **JIC** | Joint Information Center |
| **JOC** | Joint Operations Center |
| **JOCC** | Joint Operations Command Center (MPD) |
| **JTPA** | Job Training Partnership Act |

**L**

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|---|---|
| **LAN** | Local Area Network |
| **LSDBE** | Local, Small, and Disadvantaged Business Enterprises |

**M**

| | |
|---|---|
| **MAA** | Mutual Aid Agreement |
| **MAOP** | Mutual Aid Operations Plan |
| **MDOT** | Maryland Department of Transportation |
| **MEA** | Maryland Energy Administration |
| **MERS** | Mobile Emergency Response Support |
| **MFF** | Mobile Field Force |
| **MOA** | Memorandum of Agreement |
| **MOCR** | Mayor’s Office of Community Relations and Services |
| **MOU** | Memorandum of Understanding |
| **MPD** | Metropolitan Police Department |

| | |
|---|---|
| **MTA** | Maryland Transit Authority |

**N**

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|---|---|
| **NARAC** | National Atmospheric Release Advisory Center |
| **NAWAS** | National Warning System |
| **NCP** | National Oil and Hazardous Substances Pollution Contingency Plan (National Contingency Plan) |
| **NCR** | National Capital Region |
| **NCS** | National Communications System |
| **NDMS** | National Disaster Medical System |
| **NGO** | Non-Governmental Organization |
| **NIMS** | National Incident Management System |
| **NOAA** | National Oceanic and Atmospheric Administration |
| **NPPD** | National Protection and Programs Directorate |
| **NPS** | National Park Service |
| **NRCC** | National Response Coordination Center |
| **NRF** | National Response Framework |
| **NRT** | National Response Team |
| **NSEP** | National Security Emergency Preparedness |

**O**

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|---|---|
| **OAG** | Office of the Attorney General |
| **OAPIA** | Office on Asian and Pacific Islander Affairs |
| **OC** | Office of Communications |
| **OCFO** | Office of the Chief Financial Officer |
| **OCME** | Office of the Chief Medical Examiner |
| **OCP** | Office of Contracting and Procurement |
| **OCTO** | Office of the Chief Technology Officer |
| **OCTT** | Office of Cable Television and Telecommunications |
| **ODC** | Operation Data Center |
| **OLA** | Office on Latino Affairs |
| **ONCRC** | Office of National Capital Region Coordination |

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|---|---|
| **OPGD** | Office of Partnerships and Grants Development |
| **OPM** | Office of Property Management |
| **OSC** | On-scene Coordinator or On-scene Commander |
| **OUC** | Office of Unified Communications |

**P**

| | |
|---|---|
| **PASS** | Procurement Automated Support System |
| **PDA** | Preliminary Damage Assessment |
| **PEPCO** | Potomac Electric Power Company |
| **PIO** | Public Information Officer |
| **PMARS** | Police Mutual Response System |
| **POC** | Point of Contact |
| **PSC** | Public Service Commission |
| **PREPnet** | National Preparedness Network |

**R**

| | |
|---|---|
| **RACES** | Radio Amateur Civil Emergency Services |
| **REACT** | Radio Emergency Associated Communication Teams |
| **RICCS** | Regional Incident Communication and Coordination System |
| **ROPE** | Roadway Operations Patrol |
| **RRCC** | Regional Response Coordination Center |
| **RSAN** | Roam Secure Alert Network |

**S**

| | |
|---|---|
| **SAR** | Search and Rescue |
| **SARA** | Superfund Amendments and Reauthorization Act |
| **SCIP** | State Communications Interoperability Plan |
| **SITREP** | Situation Report |
| **SOG** | Standard Operating Guidelines |
| **SOP** | Standard Operating Procedure |
| **SR** | Switch Redirect |

| | |
|---|---|
| **STAT** | Special Threat Action Teams |

**T**

| | |
|---|---|
| **TMC** | Traffic Management Center |
| **TCIP** | Tactical Communications Interoperability Plan |
| **TCL** | Target Capabilities List |

**U**

| | |
|---|---|
| **UCC** | Unified Command Center |
| **UDC** | University of the District of Columbia |
| **USACE** | United Stated Army Corps of Engineers |
| **USAR** | Urban Search and Rescue |
| **USC** | U.S. Code |
| **USCG** | United States Coast Guard |
| **USDA** | U.S. Department of Agriculture |
| **USDHS** | U.S. Department of Homeland Security |
| **USDOE** | U.S Department of Energy |
| **USDOJ** | U.S. Department of Justice |
| **USDOT** | U.S. Department of Transportation |
| **USEPA** | U.S. Environmental Protection Agency |
| **USFA** | U.S. Fire Administration |
| **UTL** | Universal Task List |

**V**

| | |
|---|---|
| **VDCT** | Volunteer and Donations Management Coordination Team |
| **VDOT** | Virginia Department of Transportation |
| **VOAD** | Voluntary Organizations Active in Disasters |
| **VRC** | Volunteer Reception Center |
| **VRE** | Virginia Rail Express |

**W**

| | |
|---|---|
| **WAWAS** | Washington Area Warning Alert System |
| **WGC** | Washington Gas Company |
| **WMATA** | Washington Metropolitan Area Transit Authority |
| **WMD** | Weapons of Mass Destruction |
| **WSSC** | Washington Suburban Sanitary Commission |
| **WSP** | Wireless Service Protection |

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