Active Shooter Exercise Development Workshop

Emergency Services Training Institute

Nowhere else can you find more comprehensive law enforcement, firefighter training, and emergency services instruction than with the Texas A&M Engineering Extension Service (TEEX). Whether at TEEX's multiple campuses in the College Station, Texas, area or at customer-specified locations worldwide, TEEX offers high-quality emergency response training and instruction in more than 130 specialty areas.

TEEX offers the latest training techniques and technology to prepare law enforcement officers and private security personnel for the physical and mental challenges of public safety and security.

Since 1940, TEEX has been one of the primary trainers for Texas officers and is recognized as the oldest statewide law enforcement extension-training agency.

TEEX has also been providing unsurpassed fire training for emergency responders since 1929. Today, TEEX trains more than 81,000 emergency responders from all 50 states and 45 countries each year.

TEEX offers courses for personnel who may not be directly involved in law enforcement, but who are impacted by those who would harm them during an active shooter incident, thus the genesis of this Active Shooter Train-the-Trainer Course.

TEEX

P.O. Box 40006
College Station, TX 77842-4006

TOLL FREE 866-878-8900
PHONE 979-845-7641
FAX 979-847-9304

EMAIL esti@teex.tamu.edu
WEB www.teex.org

Major Programs

- Active Shooter Train-the-Trainer Program
- Basic Peace Officer Course
- Special Weapons and Tactics (SWAT)
- Law Enforcement Extension
- All Hazard Planning and Exercises
- Fire Fighting—Municipal, Volunteer, Marine, and Industrial
- Department of Defense
- DHS/FEMA Homeland Security Training
- Design, Develop, and Deliver Tabletop, Functional, and Full Scale Exercises – all threat elements
- Emergency Medical Services
- HazMat Emergency Response Training
- Explosive and Ordnance Training
- International Emergency Response Training
- Rescue Training

ACTIVE SHOOTER EXERCISE DEVELOPMENT WORKSHOP

PARTICIPANT MANUAL

Texas A&M Engineering Extension Service (TEEX)

Emergency Services Training Institute (ESTI)

Copyright Information

Active Shooter Exercise Development Workshop

Table of Contents

Index of Figures

Module

0

Introduction

About This Course

Course Goal

The goal of the *Active Shooter Exercise Development Workshop* course (PRE100) is to provide course participants with the knowledge, background information, templates, and training so they can use their skills and abilities to train others to design, develop, and deliver their own active shooter Tabletop Exercises (TTX).

Course Overview

Course topics include:

- Module 0: Introduction
- Module 1: Exercise Topic, Mission Areas, and Core Capabilities
- Module 2: Exercise Planning Team
- Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents
- Module 4: Tabletop Exercise (TTX)
- Module 5: After Action Report/Improvement Plan (AAR/IP)

Target Audience

The *Active Shooter Exercise Development Workshop* (PRE100) is a train-the-trainer course designed for individuals who may be responsible for developing and delivering an active shooter TTX. Past events have demonstrated that a key point to an effective whole community preparation includes coordination across all professional

disciplines that have responsibilities in the event of an active shooter incident. Attendees include but are not limited to:

- Law enforcement

- Fire

- Emergency Medical Services (EMS)

- Emergency management

- Health care staff

- Hospital staff

- Public health officials

- Elected and appointed officials

Delivery Method

Face-to-face delivery facilitation using PowerPoints, group activities, and a TTX

Course Prerequisites

There are no course prerequisites.

Course Recommendations

- IS-120.a: *An Introduction to Exercises*

- *ICS-300: Intermediate ICS for Expanding Incidents*

- IS-907: *Active Shooter: What You Can Do*

It is also recommended for participants to review the contents of the *Homeland Security Exercise and Evaluation Program (HSEEP)*, which is available online (https://www.fema.gov/media-library-data/20130726-1914-25045-8890/hseep_apr13_.pdf).

Course Length

This course is 8 hours long (not including the lunch break) and is completed in a single day.

Instructor-to-Participant Ratio

3:50

Certificate Information

Continuing Education Information

The Texas A&M Engineering Extension Service (TEEX) has been approved as an Authorized Provider by the International Association

for Continuing Education and Training (IACET), 1760 Old Meadow Road, Suite 500, McLean, VA 22102.

In obtaining this approval, TEEX has demonstrated that it complies with the ANSI/IACET 1-2007 Standard which is widely recognized as the Standard of good practice internationally. As a result of their Authorized Provider membership status, TEEX is authorized to offer IACET CEUs for its programs that qualify under the ANSI/IACET 1-2007 Standard.

TEEX is authorized by International Association for Continuing Education and Training (IACET) to offer 0.8 CEUs for this program.

Registration and Attendance

In order to receive credit for this course, your attendance is crucial. All participants must complete a registration form at the beginning of the course and sign the attendance roster in order to receive a certificate of completion. You will also have the opportunity to complete an end-of-course evaluation.

Texas A&M Engineering Extension Service (TEEX) Student Portal

The TEEX Student Portal (https://my.teex.org/TeexPortal/) offers access to a wide range of training programs TEEX offers. After setting up a profile, participants will be able to see a list of classes they are currently enrolled in and view or print their TEEX training history of previous classes attended. Participants will also be able to use the online instructions to print their course certificate.

Class Schedule

Morning

- Module 0: Introduction
- Module 1: Exercise Topic, Mission Areas, and Core Capabilities
- Module 2: Exercise Planning Team
- Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

Afternoon

- Module 4: Tabletop Exercise (TTX)
- Module 5: After Action Report/Improvement Plan (AAR/IP)

Participant Evaluation Strategy

While participating in this course, participants will demonstrate the skills and abilities to design, develop, and deliver an effective TTX in structured group activities, class discussions, and a TTX.

Administrative Information

Instructors will use this portion of the course time to familiarize participants with facility safety and convenience features as well as any additional resources or equipment available to them.

Safety Briefing

Facilities

The following guidelines apply to all training activities at Brayton Fire Training Field (BFTF) or any hosting jurisdiction delivering this course.

Injuries

It is the goal of TEEX that all participants have an enjoyable, informative, and injury-free training experience. Should a participant receive an injury of any type or become ill, he/she should notify the instructor or technician working with the class immediately.

Smoking Policy

Smoking is not allowed (1) inside any buildings at any time; (2) under project shelters; (3) at any location where classes/lectures are being conducted; or (4) within 25 feet (7.62 meters) of any building entrance. Smoking will be permitted only on perimeter roadways or at designated smoking areas during authorized class breaks. All cigarette butts are to be extinguished and properly disposed of in the receptacles provided.

Classroom Safety

While the majority of this manual has focused on conducting safe hands-on training, the importance of safety in the classroom cannot be overlooked. Prior to the start of any class, the instructor will conduct a safety inspection of the classroom. In addition, the following safety items are to be reviewed with the participants prior to the start of any classroom session:

- Location of emergency exits

- Classroom and/or building evacuation plan

- Rally points in the event of an evacuation

- Procedures for activating alarm and/or evacuation plan as applicable:

    — Fire alarm pull boxes

    — Emergency contact numbers and/or radio channels

    — Smoke or Carbon Monoxide (CO) alarm locations

- Location of fire extinguishers

- Identity of any potential slip/trip hazards and how hazard has been mitigated

- Identity of any overhead hazards (low ceiling, low entrance way, etc.)

- Housekeeping:

  — How spills are to be reported to prevent slip hazards

  — Proper disposal of trash

  — Extinguishment and disposal of cigarette butts in receptacles provided in outdoor smoking areas

- Ensuring coffee pot and other electrical appliances are turned off or unplugged at the end of the day

Participants must adhere to all safety requirements during training sessions. They should see their instructor immediately if they have any questions or concerns about safety.

Welcome

Active Shooter Exercise Development Workshop (PRE100)

Property of the Federal Emergency Management Agency (FEMA)/Eilis Maynard, reprinted with permission.

Emergency Services
Training Institute
(ESTI)

Module 0: Introduction

Property of FEMA/Eilis Maynard, reprinted with permission.

Emergency Services
Training Institute
(ESTI)

Module 0: Introduction

Course Goal

The goal of the *Active Shooter Exercise Development Workshop* course (PRE100) is to provide course participants with the knowledge, background information, templates, and training so they can use their skills and abilities to train others to design, develop, and deliver their own active shooter Tabletop Exercises (TTX).

Copyright 2018, TEEX

Module 0: Introduction — TEEX

About This Course

- Target audience
- Delivery method
- Course recommendations
- Course length
- Certificate information
- Registration & attendance

Copyright 2018, TEEX

4

Module 0: Introduction — TEEX

How to Get Your TEEX Certificate

How do I get my TEEX Certificates?

You will have access to print your TEEX Certificates online at the TEEX Student Portal.
NOTE: TEEX certificates will not be printed onsite.

1 If you do not have a Student Portal Account, you may create one by visiting

my.teex.org/teexportal

You will need one of the following to set up your portal account:

- TEEX Student ID
- TCOLE PID
- FEMA SID
- FDID
- Or last four digits of your SSN

TIPS:
When setting up account, use the email address that you answered during registration for your TEEX class/exam.

Copyright 2018, TEEX

Copyright 2018, TEEX.

5

Module 0: Introduction — TEEX

How to Get Your TEEX Certificate

2 Login to your portal account to print certificate.

Portal Help:
877.829.2022
elearning@teex.tamu.edu

The certificate will be available beginning 10 business days after the class is completed. It could be longer during TEEX holidays.

Student Portal Certificate printing is the future for TEEX students.

Student Record Questions?
979.458.6833
studentrecords@teex.tamu.edu

Copyright 2018, TEEX

Copyright 2018, TEEX.

6

Module 0: Introduction

FEMA SID
https://cdp.dhs.gov/FEMASID/

Property of the Federal Emergency Management Agency (FEMA), reprinted with permission.

Copyright 2018, TEEX   7

Module 0: Introduction

TEEX Registration Form

Copyright 2018, TEEX.

Copyright 2018, TEEX   8

Module 0: Introduction

TEEX Registration Form

Copyright 2018, TEEX.

Copyright 2018, TEEX   9

Module 0: Introduction

TEEX

TEEX Registration Form

No SSN

Signature   Date

Copyright 2018, TEEX.   Copyright 2018, TEEX.   10

Module 0: Introduction

TEEX

TEEX Evaluation

TEEX

Course Feedback Survey

Rev. 130801

Black ink preferred

Active Shooter Exercise Development Workshop (PRE100)

Date of Training   City and State

PART 1: COURSE OBJECTIVES

Copyright 2018, TEEX.

Copyright 2018, TEEX   11

Module 0: Introduction

TEEX

Administrative Information

- Restroom facilities
- Exits / No smoking policy
- Refreshments
- Available resources

Copyright 2018, TEEX   12

Module 0: Introduction TEEX

Instructor / Participant Introductions

- Name
- Agency name
- Job position & title
- Familiarity with TTX:
  - How many have you participated in, designed, and / or delivered?
- Classroom management:
  - Consider various obstacles you have encountered while leading or participating in TTX

Copyright 2018, TEEX 13

Exercise Topic, Mission Areas, and Core Capabilities

Terminal Objective

Upon the successful completion of this module (i.e., the steps), participants will understand the multiple factors to consider when identifying an exercise topic, mission area, and core capabilities.

Enabling Objectives

1. Review the building block approach to exercise scheduling.
2. Describe the purpose of the Homeland Security Exercise and Evaluation Program (HSEEP) and how the methodology supports national preparedness.
3. Identify an exercise topic based on the agency's goals.
4. Demonstrate the selecting of three core capabilities based on a selected topic.
5. Discuss factors to consider when selecting a mission area.

Steps

1 and 2

Exercise Topics

- Identify exercise topic (natural/human-made disaster)
- Identify mission area/core capabilities

Introduction

In this module, we will discuss exercise topics, including both natural and human-made disasters. We will also identify mission areas and core capabilities.

Note: Refer to Appendix A for an extensive list of Homeland Security Exercise and Evaluation Program (HSEEP) acronyms and abbreviations.

Tabletop Exercise (TTX)

A TTX is typically held in an informal setting intended to generate discussion of various issues regarding a hypothetical, simulated emergency. TTXs can be used to enhance general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the prevention of, protection from, mitigation of, response to, and recovery from a defined incident. Generally, TTXs are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in attitudes.

A TTX is one step in the building-block approach to exercise scheduling. These exercises grow in complexity and capabilities. As seen in Figure 1.1, a TTX is a discussion-based exercise and about mid-way in both complexity and capabilities.
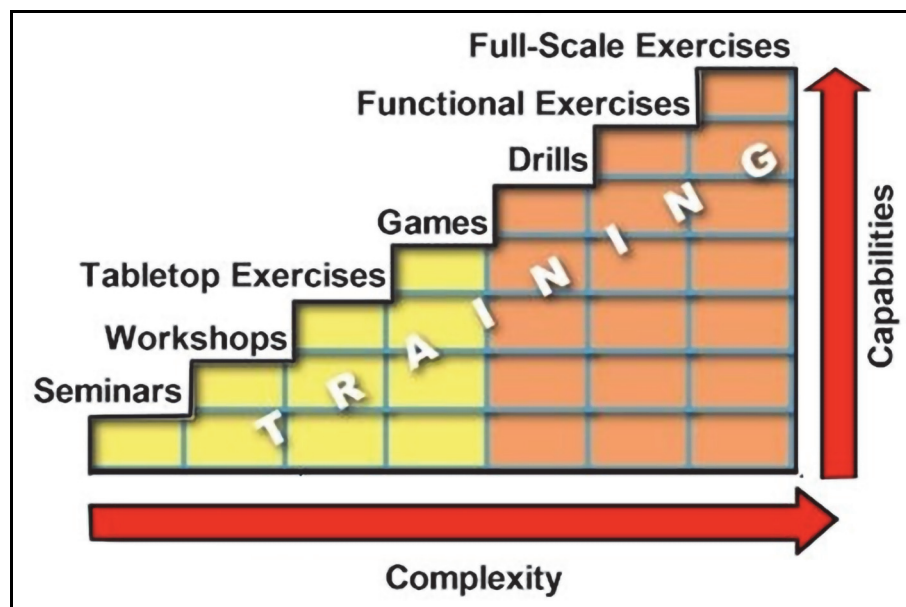
Figure 1.1: Building-Block Approach to Exercise Scheduling
Property of the Federal Emergency Management Agency (FEMA), reprinted with permission.

In completing a TTX, the following is achieved:

- Initiates facilitator-led discussion

- Completes a step in the building-block approach of escalating exercise complexity

- Highlights existing plans, policies, interagency/inter-jurisdictional agreements, and procedures

- Familiarizes agencies and personnel with current or expected capabilities of an entity

- Focuses strategic, policy-oriented issues

Steps to a Tabletop Exercise (TTX) Development, Delivery, and Wrap-Up

When conducting a TTX, there are multiple steps in the development, delivery, and wrap-up. These steps are:

1. Identify exercise topic (natural/human-made disaster)

2. Identify mission area/core capabilities

3. Identify planning team

4. Write objectives

5. Write exercise scenario and exercise injects/determine facilitation method

6. Create documentation (evaluations/Situation Manual [SitMan])

7. Exercise logistics and facilitation of TTX

8. Exercise wrap-up (write after action report)

Factors to Consider When Identifying Exercise Topics

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

These factors to consider include:

- Training and Exercise Plan (TEP)

- Jurisdiction's existing plans and procedures

- Threat and Hazard Identification and Risk Assessment (THIRA) or other risk, threat, and hazard assessments

- Past exercise After Action Reports/Improvement Plans (AAR/IP):

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

  — The AAR/IP will effectively reveal the gaps and shortfalls and provide the foundation for subsequent planning and implementation of specific capability targets based on a risk-based analysis of the final results of the exercise.

- Grant or cooperative agreement requirements

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

Homeland Security Exercise and Evaluation Program (HSEEP) Purpose

Homeland Security Exercise and Evaluation Program (HSEEP) Methodology

HSEEP is a consistent approach to capabilities-based exercise program management that uses a common methodology for designing, developing, conducting, and evaluating exercises to measure progress toward building, sustaining, and delivering core capabilities. The program is designed to encourage the use of national best practices and is adaptable to the needs of each jurisdiction regardless of size.

Refer to Figure 1.2 for a graphic representation of the HSEEP methodology.
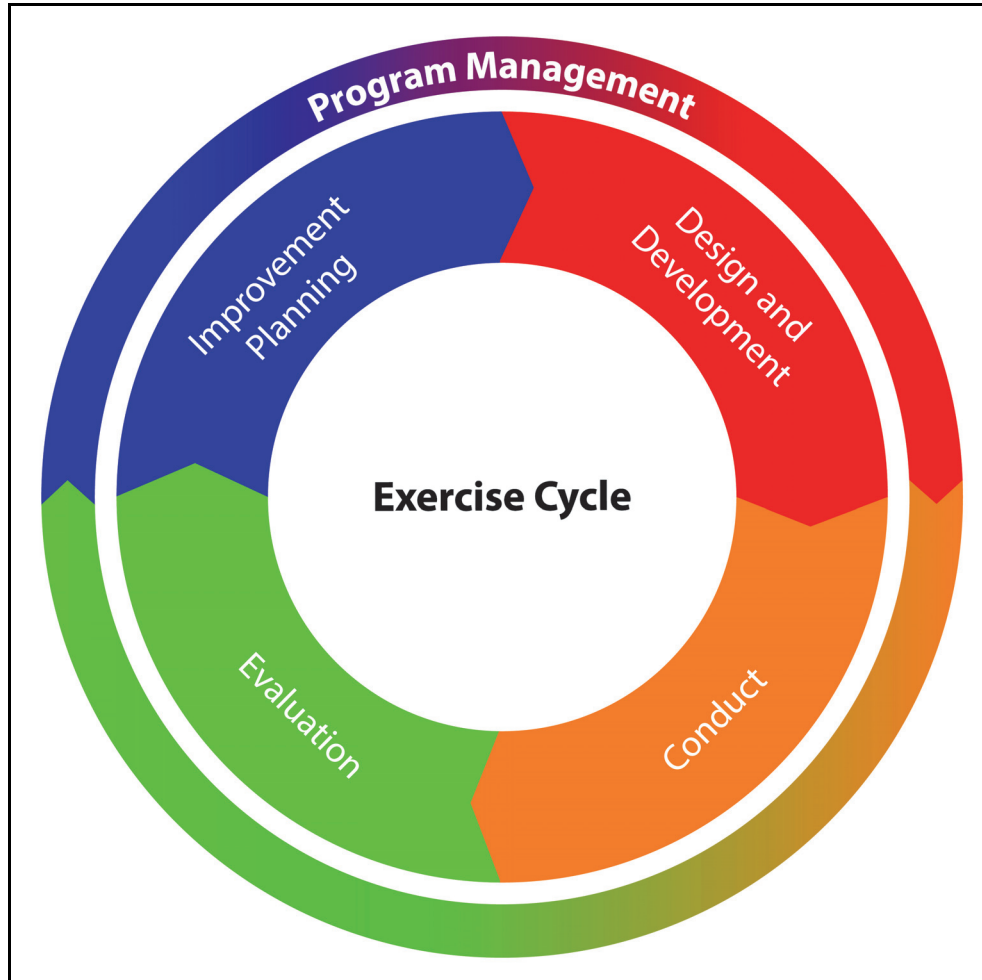
Figure 1.2: HSEEP Exercise Cycle
Property of the U.S. Department of Homeland Security (DHS)/FEMA, recreated with permission.

HSEEP provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning.

Exercises remain a key component of national preparedness. They provide stakeholders across the whole community with the opportunity to shape planning, assess and validate capabilities, and set priorities for improvements.

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

Exercise evaluation assesses the ability to meet these objectives and capabilities by documenting strengths, areas for improvement, core capability performance and monitoring corrective actions and outcomes through rolling summary reports and AAR/IPs. These processes allow organizations to implement and monitor corrective actions that build and sustain capabilities and maintain readiness.

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

Core Principles of the National Preparedness System

Presidential Policy Directive-8 (PPD-8) describes the nation's approach to national preparedness. The National Preparedness Goal is the cornerstone for the implementation of PPD-8; identified within it are the nation's core capabilities across five mission areas: prevention, protection, mitigation, response, and recovery (refer to Figure 1.3).

Prevention	Protection	Mitigation	Response	Recovery
Planning				
Public Information and Warning				
Operational Coordination				
Intelligence and Information Sharing		Community Resilience	Infrastructure Systems	
Interdiction and Disruption			Critical Transportation	Economic Recovery
Screening, Search, and Detection		Long-term Vulnerability Reduction		
Forensics and Attribution	Access Control and Identity Verification		Environmental Response/Health and Safety	Health and Social Services
		Risk and Disaster Resilience Assessment	Fatality Management Services	Housing
	Cybersecurity			
			Fire Management and Suppression	Natural and Cultural Resources
	Physical Protective Measures	Threats and Hazards Identification		
			Logistics and Supply Chain Management	
	Risk Management for Protection Programs and Activities		Mass Care Services	
			Mass Search and Rescue Operations	
	Supply Chain Integrity and Security		On-scene Security, Protection, and Law Enforcement	
			Operational Communications	
			Public Health, Healthcare, and Emergency Medical Services	
			Situational Assessment	

Figure 1.3: Core Capabilities by Mission Area
Property of DHS, reprinted with permission.

The National Preparedness Goal identified five mission areas in which it groups the thirty-two core capabilities (i.e., the distinct critical elements needed to achieve the goal):

- "**Prevention.** Prevent, avoid or stop an imminent, threatened or actual act of terrorism.

- **Protection.** Protect our citizens, residents, visitors and assets against the greatest threats and hazards in a manner that allows our interests, aspirations and way of life to thrive.

- **Mitigation.** Reduce the loss of life and property by lessening the impact of future disasters.

- **Response.** Respond quickly to save lives, protect property and the environment, and meet basic human needs in the aftermath of a catastrophic incident.

- **Recovery.** Recover through a focus on the timely restoration, strengthening and revitalization of infrastructure, housing and a sustainable economy, as well as the health, social, cultural, historic and environmental fabric of communities affected by a catastrophic incident" (DHS/FEMA, 2018).

Core Capabilities

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

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

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

This review process frames the planning efforts within the context of the mission areas and ensures assessments evaluate the current status of the personnel, teams, facilities, equipment and supplies, existing plans, procedures, strategies, training, exercises, programs, systems, technologies, services, funding, authorities, laws, ordinances, and policies necessary to meet capabilities for each of the five mission areas.

Maintaining this context for the planning effort is very important since training and exercises can sometimes be viewed as taking resources away from other political priorities.

Activity 1.1: Determining Mission Area and Core Capabilities

Purpose

The purpose of this activity is for participants to select three core capabilities based on an assigned mission area and exercise topic (i.e., active shooter incident at a shopping mall).

Participant Directions

1. Within your group, pick a scribe, a leader, and a spokesperson.

2. Review the exercise topic (i.e., active shooter incident at a shopping mall).

3. After being assigned a mission area, your group will choose three core capabilities in that mission area.

4. As a group, consider your jurisdiction when selecting the core capabilities.

5. Write your choices for core capabilities on the chart paper.

6. Be prepared for your identified group spokesperson to report your choices to the class.

Summary

- TTXs are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in attitudes.

- A TTX is one step in the building-block approach to exercise scheduling. These exercises grow in complexity and capabilities.

- In this module, we reviewed the following information:

  — The purpose of HSEEP and how the methodology supports national preparedness

  — How the HSEEP methodology integrates core principles of the National Preparedness System to provide a foundation for identifying exercise program priorities

  — How to select three core capabilities based on an exercise topic (i.e., active shooter at a shopping mall)

  — Factors to consider when selecting an exercise topic and mission area(s)

Works Cited

Protecting Our Lives by Initiating COPS Expansion Act of 2016, Pub. L. No. 114-199 S.2840,
        https://www.congress.gov/bill/114th-congress/senate-bill/2840/text

U.S. Department of Homeland Security (DHS). (2011, November). *National Preparedness System*.
        Retrieved November 15, 2018, from
        https://www.fema.gov/media-library-data/20130726-1828-25045-9792/national_prepared
        ness_system_2011.pdf

DHS. (2013, April). *Homeland Security Exercise and Evaluation Program (HSEEP)*. Retrieved
        November 15, 2018, from
        https://www.fema.gov/media-library-data/20130726-1914-25045-8890/hseep_apr13_.pdf

DHS. (2015, September). *National Preparedness Goal* (Second Edition). Retrieved November 15,
        2018, from
        https://www.fema.gov/media-library-data/1443799615171-2aae90be55041740f97e8532fc6
        80d40/National_Preparedness_Goal_2nd_Edition.pdf

DHS. (2016, June). *National Response Framework* (Third Edition). Retrieved November 15, 2018,
        from
        https://www.fema.gov/media-library-data/1466014682982-9bcf8245ba4c60c120aa915abe
        74e15d/National_Response_Framework3rd.pdf

DHS/Federal Emergency Management Agency (FEMA). (2018). *Mission Areas*. Retrieved
        November 15, 2018, from https://www.fema.gov/mission-areas

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

Emergency Services
Training Institute
(ESTI)

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

Objectives

- Terminal objective:
  - Upon the successful completion of this module (i.e., the steps), participants will understand the multiple factors to consider when identifying an exercise topic, mission area, and core capabilities.
- Enabling objectives:
  1. Review the building block approach to exercise scheduling.
  2. Describe the purpose of the Homeland Security Exercise and Evaluation Program (HSEEP) and how the methodology supports national preparedness.
  3. Identify an exercise topic based on the agency's goals.
  4. Demonstrate the selecting of three core capabilities based on a selected topic.
  5. Discuss factors to consider when selecting a mission area.

Copyright 2018, TEEX   2

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

Tabletop Exercise (TTX)

Property of FEMA, reprinted with permission.

- Initiates facilitator-led discussion
- Completes a step in the building-block approach of escalating exercise complexity
- Highlights existing plans, policies, interagency / inter-jurisdictional agreements, & procedures
- Familiarizes agencies & personnel with current or expected capabilities of an entity
- Focuses strategic, policy-oriented issues

Copyright 2018, TEEX

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

TEEX

Steps to Tabletop Exercise (TTX) Development, Delivery, and Wrap-Up

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. Identify planning team
4. Write objectives
5. Write exercise scenario & exercise injects / determine facilitation method
6. Create documentation (evaluations / Situation Manual [SitMan])
7. Exercise logistics & facilitation of TTX
8. Exercise wrap-up (write after action report)

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX   4

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

TEEX

Steps 1 and 2

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX   5

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

TEEX

Identify Exercise Topic (Natural / Human-Made Disaster)

Image copyright PhotosbyAndy, used under license from Shutterstock.com.

Image copyright Harvepino, used under license from Shutterstock.com.

- Multiyear TEP
- Elected official / supervisor advisement
- Jurisdiction's existing plans & procedures
- THIRA or other risk, threat, & hazard assessments
- Past exercise AARs / IPs
- Grant or cooperative agreement requirements

Image copyright TFrancis, used under license from Shutterstock.com.

Copyright 2018, TEEX   6

Homeland Security Exercise and Evaluation Program (HSEEP) Methodology

- HSEEP provides a set of guiding principles for exercise programs
- Common approach to exercise program management, design & development, conduct, evaluation, & improvement planning
- Tools in your tool box

Property of the U.S. Department of Homeland Security (DHS)/FEMA, recreated with permission.

Copyright 2018, TEEX

7

Identify Mission Area / Core Capabilities

Copyright 2018, TEEX.

Mission Area + Capabilities = Exercise Focus

- Mission areas:
  - The 5 elements of preparedness:
    - Prevention, protection, mitigation, response, & recovery
- Core capability:
  - Distinct critical elements necessary to achieve mission area

Copyright 2018, TEEX

8

Identify Mission Area / Core Capabilities

Property of DHS, reprinted with permission.

Copyright 2018, TEEX

9

TEEX

Activity 1.1: Determining Mission Area and Core Capabilities

- Time: 20 minutes
- Purpose:
  - The purpose of this activity is for participants to select 3 core capabilities based on an assigned mission area & exercise topic (i.e., active shooter incident at a shopping mall).

Copyright 2018, TEEX   10

Module 1: Exercise Topic, Mission Areas, and Core Capabilities

TEEX

Summary

- TTXs are aimed at facilitating conceptual understanding, identifying strengths & areas for improvement, and / or achieving changes in attitudes.
- A TTX is 1 step in the building-block approach to exercise scheduling. These exercises grow in complexity & capabilities.
- In this module, we reviewed the following information:
  - Purpose of HSEEP & how the methodology supports national preparedness
  - How the HSEEP methodology integrates core principles of the National Preparedness System to provide a foundation for identifying exercise program priorities
  - How to select 3 core capabilities based on an exercise topic (i.e., active shooter at a shopping mall)
  - Factors to consider when selecting an exercise topic & mission area(s)

Copyright 2018, TEEX   11

Module
2

Exercise Planning Team

Terminal Objective
Upon the successful completion of this module, participants will consider the make up of an exercise planning team for a Tabletop Exercise (TTX).

Enabling Objectives
1. Review the importance of ensuring representation of the whole community on the planning team.
2. Utilizing a jurisdictional analysis, determine the individuals, departments, or disciplines that are key for the exercise planning team.
3. Define the components, roles, function, and management of a successful exercise planning team.
4. Review the Specific, Measurable, Attainable, Relevant, and Time-bound (SMART) guidelines for writing exercise objectives.

Steps
3 and 4

Exercise Topics
- Identify planning team
- Write objectives

Introduction

This module is designed to assist the facilitator in selecting from the entire community when considering the make up of an exercise planning team. We will discuss the planning team composition. We will review who should be included from the community to ensure a successful exercise planning team. Finally, we will explore writing exercise objectives as an important function of the exercise planning team.

Selecting from the Community to be Part of the Exercise Planning Team

Exercise planning team responsibilities include the following:

- Design, develop, and evaluate
- Create scenario
- Develop supporting documentation
- Distribute pre-exercise materials/conduct exercise planning meetings, briefings, and training sessions

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

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

- Partnerships:
  — Mutual Aid Agreements (MAA)
  — Memorandums of Understanding (MOU)
  — Memorandums of Agreement (MOA)
  — Emergency Management Assistance Compacts (EMAC)

- Social networking:
  — Facebook groups
  — Volunteer organizations
- Nonprofits:
  — Red Cross
  — Salvation Army counseling services
- Religious organizations:
  — Places of worship
  — Counseling services
- Schools/Colleges:
  — Shelter
  — Evacuation center
  — Academia (Subject Matter Experts [SME])
- Public transportation:
  — Bus
  — Rail
  — Taxi
- Business:
  — Distributing centers
  — Refrigerated containers service
  — Food/Water
- Medical facilities:
  — Hospitals
  — Nursing homes
  — Private
  — Ambulance
- Emergency management:
  — Resource identification/typing
  — Resource management
  — Resource allocation
  — Local Emergency Planning Committees (LEPC)

Additional stakeholders and senior leaders from organizations can include:

- Representatives from relevant disciplines that would be part of the exercises or any real-world events

- Senior leaders or those responsible for providing resources to support exercises

- Individuals with administrative responsibility relevant to exercise conduct

- Representatives from volunteer, nongovernmental, or nonprofit organizations; social support organizations; and animal welfare organizations

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

Activity 2.1: Identify Planning Team

Purpose

The purpose of this activity is to have participants identify the composition of their exercise planning team based on exercise topic (active shooter), identified mission area, and core capabilities.

Participant Directions

1. Upon the direction of the instructor, determine which individuals, departments, or areas would be key for the exercise planning team.

2. List those members on the easel/dry erase board.

3. Be prepared to discuss your planning team members with the class.

Components of a Successful Exercise Planning Team

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

Subject Matter Experts (SME)

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

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

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

Trusted Agents

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

Recommended Management Structure

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

Involvement of senior elected and appointed officials throughout the design process helps ensure the alignment of the exercise with the larger effort to meet mission capabilities. The involvement of elected and appointed officials is one of the most important factors of a successful management structure.

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

When establishing the structure and organization of the planning team, exercise planners may elect to use the Incident Command System (ICS) structure, as established in the National Incident Management System (NIMS). With this structure (refer to Figure 2.1), the team can expand or contract to reflect the scope of the exercise and the available resources and personnel of the participating organizations, depending on available resources. This also allows some of the team members to fulfill multiple functions. Setting up the team using the ICS structure is not the only approach that can be taken, but it is a proven one. What is important is that the team functions properly to accomplish all aspects of the planning process.

Suggested practice: Use the master task list found on the Homeland Security Exercise and Evaluation Program (HSEEP) homepage (https://preptoolkit.fema.gov/web/hseep-resources/design-and-development) as the basis of the exercise time line. It makes it easier to assign responsibilities to team members without forgetting any of the critical design and development tasks.
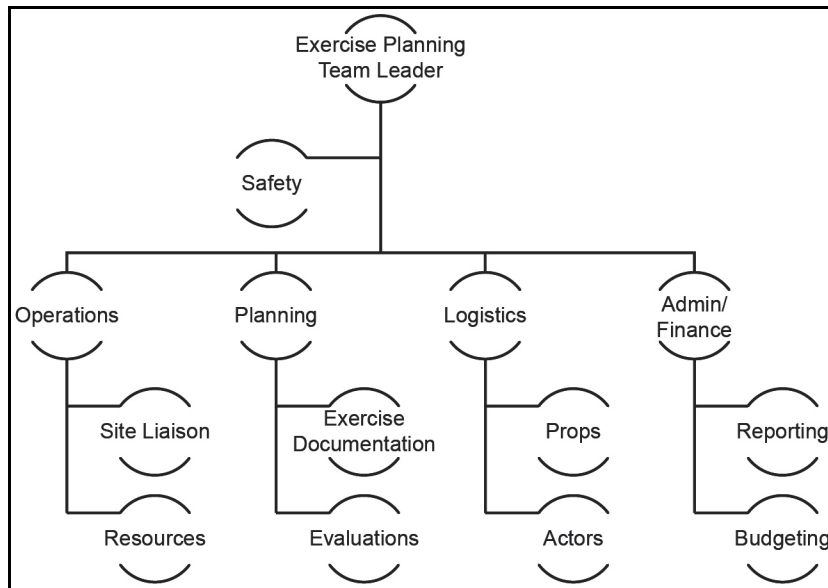
Figure 2.1: Exercise Planning Team Organizational Flow Chart

Property of the U.S. Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA), recreated with permission.

Role and Function of the Exercise Planning Team

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

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

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

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

Planning Team Meetings for Tabletop Exercise (TTX) Development

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

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

For each exercise offering, the design and development process is initiated with selection of the exercise planning team.

The meetings that will define the TTX are essential in the development process. These meetings may include:

• The Concepts and Objectives (C&O) meeting

• Initial Planning Meeting (IPM)

• Midterm Planning Meeting (MPM)

• Master Scenario Events List (MSEL) meeting

• Final Planning Meeting (FPM)

The Concept and Objectives (C&O) Meeting

When/If held directly before the IPM, the C&O meeting marks the formal beginning of the planning process.

It should be held **before** the IPM whenever the scope dictates, such as for large-scale exercises, complex Full-Scale Exercises (FSE), or any high-profile exercise where high level support from executives or authorities is required.

Initial Planning Meeting (IPM)

The IPM marks the beginning of the exercise design process. Preparation is the key to a successful IPM.

Its purpose is:

• To determine exercise scope by getting intent and direction from elected and appointed officials and gathering input from the exercise planning team

- To identify exercise design requirements and conditions (e.g., assumptions and artificialities), exercise objectives, participant extent of play, and scenario variables (e.g., time, location, and hazard selection)

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

Midterm Planning Meeting (MPM)

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

Primary Focus

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

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

Master Scenario Events List (MSEL) Meeting

For more complex exercises, one or more additional planning meetings, or MSEL meetings, may be held to review the scenario time line. If these meetings are not held separately, topics typically covered in a separate MSEL meeting can be incorporated into the MPM and FPM.

Note: Although this meeting is not typically held in the planning team meetings for TTX development, it is occasionally held and, therefore, it is mentioned here.

Primary Focus

The MSEL meeting focuses on developing the MSEL. The MSEL is a chronological list that supplements the exercise scenario with:

- Event synopses

- Expected participant responses

- Objectives and core capabilities to be addressed

- Responsible personnel

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

Final Planning Meeting (FPM)

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

Primary Focus

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

Step 4: Write Objectives

The members of the exercise planning team will need to write objectives for the TTX. This important step is necessary to prevent scope creep and focus the aim of the TTX.

These exercise objectives are the steps the participant must establish to develop a TTX. Based on direction from elected and appointed officials, the exercise planning team selects one or more exercise program priorities on which to focus an individual exercise. These priorities drive the development of exercise objectives, which are distinct outcomes that an organization wishes

to achieve during an exercise. Exercise objectives should incorporate elected and appointed officials' intent and guidance and exercise participants' plans and procedures, operating environment, and desired outcomes. Generally, planners should select a reasonable number (i.e., four to six) of Specific, Measurable, Achievable, Relevant, and Time-bound (SMART) exercise objectives to facilitate effective scenario design, exercise conduct, and evaluation.

Specific, Measurable, Achievable, Relevant, and Time-Bound (SMART) Guidelines for Exercise Objectives

- *Specific:* Objectives should address the five Ws (who, what, when, where, and why). The objective specifies what needs to be done with a time line for completion.

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

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

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

- *Time-bound:* A specified and reasonable time frame should be incorporated into all objectives.

Specific, Measurable, Achievable, Relevant, and Time-Bound (SMART) Objective Examples

Examples of objectives include:

- Mega-mall **protection** objectives samples:

  — Identify methods to assess and mitigate vulnerabilities to incidents through the deployment of physical protective measures. *(physical protective measures)*

  — Discuss methods to verify identity and access control. *(access control and identity verification)*

  — Discuss the private and public sector's ability to collect and share information in a timely manner prior to an incident. *(intelligence and information sharing)*

- Mega-mall **response** objective samples:

  — Prioritize the different modes of communication first responder agencies rely upon throughout an incident. *(operational communication)*

  — Discuss the evolution of scene security beginning with incident onset until conclusion. *(on-scene security, protection, and law enforcement)*

  — Discuss the private and public sector's ability to collect and share information in a timely manner throughout an incident. *(situational awareness)*

- Mega-mall **recovery** objective samples:

  — Identity the status of an incident as it transitions from a response to a recovery effort. *(operational coordination)*

  — Assess the community health and social service needs. *(health and social services)*

  — Discuss the private and public sector's ability to collect and share information in a timely manner after an incident. *(public information and warning)*

Summary

In this module, we discussed:

- Selecting from the community to be part of the exercise planning team

- Picking components of a successful exercise planning team

- Conducting planning team meetings for TTX development

- Developing SMART guidelines for writing exercise objectives

Based on participants' jurisdictions, we decided the composition of the exercise planning team and reviewed the composition of a successful exercise planning team.

Property of the Federal Emergency Management Agency (FEMA)/Ellis Maynard, reprinted with permission.

Module 2: Exercise Planning Team

TEEX

Emergency Services
Training Institute
(ESTI)

Module 2: Exercise Planning Team TEEX

Objectives

- **Terminal objective:**
  - Upon the successful completion of this module, participants will consider the make up of an exercise planning team for a Tabletop Exercise (TTX).
- **Enabling objectives:**
  1. Review the importance of ensuring representation of the whole community on the planning team.
  2. Utilizing a jurisdictional analysis, determine the individuals, departments, or disciplines that are key for the exercise planning team.
  3. Define the components, roles, function, and management of a successful exercise planning team.
  4. Review the Specific, Measurable, Attainable, Relevant, and Time-bound (SMART) guidelines for writing exercise objectives.

Copyright 2018, TEEX 2

Module 2: Exercise Planning Team TEEX

Step 3

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. **Identify planning team**

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX 3

Module 2: Exercise Planning Team — TEEX

Exercise Planning Team Responsibilities

Image copyright MF Productions, used under license from Shutterstock.com.

The planning team should be of manageable size

- Design, develop, & evaluate
- Create scenario
- Develop supporting documentation
- Distribute pre-exercise materials / conduct exercise planning meetings, briefings, & training sessions

Copyright 2018, TEEX — 4

Module 2: Exercise Planning Team — TEEX

Selecting from the Community to be Part of the Planning Team

Partnerships:	Social networking:	Nonprofits:
•MAAs •MOUs •MOAs •EMACs	•Facebook groups •Volunteer organizations	•Red Cross •Salvation Army counseling services

Religious organizations:	Schools / Colleges:	Public transportation:
•Places of worship •Counseling services	•Shelter •Evacuation center •Academia (SMEs)	•Bus •Rail •Taxi

Business:	Medical facilities:	Emergency management:
•Distributing centers •Refrigerated containers service •Food / Water	•Hospitals •Nursing homes •Private •Ambulance	•Resource identification / typing •Resource management •Resource allocation •Local Emergency Planning Committees (LEPC)

Copyright 2018, TEEX — 5

Module 2: Exercise Planning Team — TEEX

Activity 2.1: Identify Planning Team

- Time: 20 minutes
- Purpose:
  – The purpose of this activity is to have participants identify the composition of their exercise planning team based on exercise topic (active shooter), identified mission area, and core capabilities.

Copyright 2018, TEEX — 6

Module 2: Exercise Planning Team   TEEX

Components of a Successful Exercise Planning Team

- SMEs:
  - Add expertise to the exercise planning team
  - Provide functional knowledge for player-specific tasks evaluated through objectives
  - Help make the scenario realistic & plausible
  - Ensure appropriate evaluation of capabilities

Copyright 2018, TEEX   7

Module 2: Exercise Planning Team   TEEX

Components of a Successful Exercise Planning Team

- Trusted agents:
  - Do not reveal scenario details to players prior to conducting the exercise
  - Individuals on exercise planning teams who may serve as facilitators during the exercise

Copyright 2018, TEEX   8

Module 2: Exercise Planning Team   TEEX

Components of a Successful Exercise Planning Team

- Recommended management structure:
  - Clearly define roles, responsibilities, & functional requirements
  - Engage elected / appointed officials & community leadership in exercise planning
  - Follow standardized process
  - Can be organized using NIMS ICS or other structure that defines support roles

Copyright 2018, TEEX   9

Module 2: Exercise Planning Team

Exercise Planning Team Organizational Flow Chart

Property of the U.S. Department of Homeland Security (DHS)/FEMA, recreated with permission.

Copyright 2018, TEEX

10
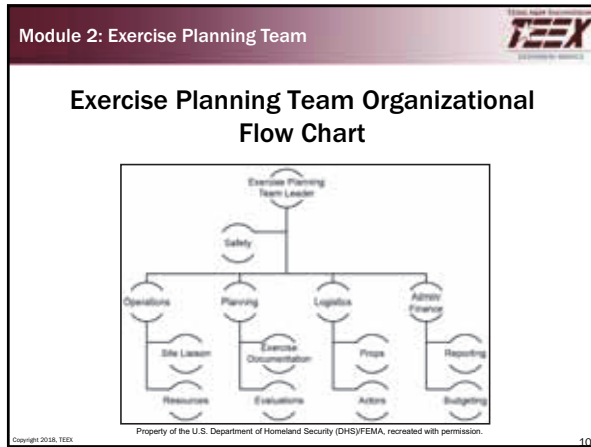
Module 2: Exercise Planning Team

Planning Team Meetings for Tabletop Exercise (TTX) Development

- These meetings may include:
  - Concepts and Objectives (C&O) meeting
  - Initial Planning Meeting (IPM)
  - Midterm Planning Meeting (MPM)
  - Master Scenario Events List (MSEL) meeting*
  - Final Planning Meeting (FPM)

Copyright 2018, TEEX

11

Module 2: Exercise Planning Team

Step 4

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. Identify planning team
4. Write objectives

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX

12

Writing SMART Objectives

- Based on exercise topic, mission area, & core capabilities
- Select a reasonable number of objectives (4–6)
- Key words:
  - Identify, classify, discuss, analyze, evaluate, debate, & prioritize

SMART GOALS
- S SPECIFIC
- M MEASURABLE
- A ATTAINABLE
- R RELEVANT
- T TIME-BOUND

Image copyright cig dem, used under license from Shutterstock.com.

Copyright 2018, TEEX   13

Module 2: Exercise Planning Team   TEEX

Mega-Mall **Protection** Objectives Sample

- Identify methods to assess and mitigate vulnerabilities to incidents through the deployment of physical protective measures. (physical protective measures)
- Discuss methods to verify identity and access control. (access control & identity verification)
- Discuss the private and public sector's ability to collect and share information in a timely manner prior to an incident. (intelligence & information sharing)

Copyright 2018, TEEX   14

Module 2: Exercise Planning Team   TEEX

Mega-Mall **Response** Objectives Sample

- Prioritize the different modes of communication first responder agencies rely upon throughout an incident. (operational communication)
- Discuss the evolution of scene security beginning with incident onset until conclusion. (on-scene security, protection, & law enforcement)
- Discuss the private and public sector's ability to collect and share information in a timely manner throughout an incident. (situational awareness)

Copyright 2018, TEEX   15

Module 2: Exercise Planning Team

TEEX

Mega-Mall __Recovery__ Objectives Sample

- Identity the status of an incident as it transitions from a response to a recovery effort. (operational coordination)
- Assess the community health and social service needs. (health & social services)
- Discuss the private and public sector's ability to collect and share information in a timely manner after an incident. (public information & warning)

Copyright 2018, TEEX

16

Module 2: Exercise Planning Team

TEEX

Summary

- Selecting from the community to be part of the exercise planning team
- Picking components of a successful exercise planning team
- Conducting planning team meetings for TTX development
- Developing SMART guidelines for writing exercise objectives

Copyright 2018, TEEX

17

Module

3

Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

Terminal Objective

Upon the successful completion of this module, participants will be able to discuss the development of exercise scenarios, the writing of exercise injects, identification of facilitation methods, and the creation of exercise documents.

Enabling Objectives

1. Describe the activities for the development of exercise scenarios.
2. Identify the different exercise facilitation methods.
3. Discuss the creation of exercise documents.
4. Demonstrate the ability to create exercise injects.

Steps

5 and 6

Exercise Topics

- Write exercise scenario and exercise injects/determine facilitation method
- Create documentation (evaluations/Situation Manual [SitMan])

Introduction

This module discusses important exercise elements. These elements include:

- *Writing injects for the chosen Tabletop Exercise (TTX) scenario:* These injects will mimic real-world characteristics and help show exercise participants areas for success and improvement.

- *Facilitating exercises:* The exercise facilitation will enable facilitators to enact a chosen scenario and explore who in the community will respond in a crisis situation.

- *Performing exercise evaluations:* After the exercise facilitation, it is imperative that all members scrutinize the results of the exercise and ask the important questions of "What went right?" and "What can we do better?"

Writing Injects

When conducting a TTX, facilitators should know that injects are the fuel that drive the exercise. It is the facilitator that will identify the mission areas and capabilities addressed in the TTX. However, injects should involve all participants at the TTX.

"For example, if the scenario is [an active shooter incident], important injects would be People and Communications. In this case, injects might include citizens looking for missing loved ones, medical emergencies with evacuees at a shelter, press and media seeking information" (AmalfiCORE Business Solutions, 2010).

Activity 3.1: Writing Exercise Injects

Purpose

The purpose of this activity is to have participants write one exercise inject and three discussion questions based on identified mission areas, core capabilities, objectives, and the scenario.

Participant Directions

1. Your instructor will choose a scribe, a leader, and a spokesperson for each group.

2. After reviewing the scenario, mission areas, core capabilities, and objectives, write one exercise inject and at least three discussion questions in Worksheet 3.1: Activity Scenario.

3. Upon your instructor's direction, brief back your exercise injects.

Worksheet 3.1: Activity Scenario

Scenario

The Mega-Mall located in Lumbnack, Texas, is anchored by four major national retailers and is a prime location for shoppers as well as a national destination for tourism. It is 7:15 p.m. on Friday, February 14, 2022, during an event where a controversial speaker has just finished a speech and there is much activity around the mall and in the venue of the speaker. Threats have been received at prior locations on the speaking tour.

Injects

- Inject #1: One of the large retailers is a major business that markets and sells firearms of all varieties as well as other related outdoor equipment. Someone is screaming, "Man with a gun!"

- Inject #2: Several people call 911 and state they have heard what sounded like at least three to four gunshots at approximately 7:17 p.m.

- Inject #3:

_____

_____

_____

_____

_____

Discussion Questions

- Discussion question #1:

_____

_____

- Discussion question #2:

_____

_____

- Discussion question #3:

_____

_____

Facilitating Exercises

Multimedia Presentation

The multimedia presentation is a crucial vehicle for conveying information to the players. The presentation typically starts with brief remarks by representatives from the exercise planning team or sponsoring organization and/or elected and appointed officials from the governing jurisdiction. After the opening remarks, the presentation moves into a brief introductory and explanatory phase led by a facilitator. During this phase, attendees will be introduced to any other facilitators or controllers; given background on the exercise process; and advised about their individual roles and responsibilities.

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

Facilitated Discussion

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

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

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

Moderated Discussion

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

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

Situation Manual (SitMan)

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

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

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

The SitMan generally includes the following information:

- Exercise scope, objectives, and core capabilities

- Exercise assumptions and artificialities

- Instructions for exercise participants

- Exercise structure (i.e., order of the modules)

- Exercise scenario background (including scenario location information)

- Discussion questions and key issues

- Schedule of events

SitMan reference appendices may include, but are not limited to:

- Relevant documents regarding plans and Standard Operating Procedures (SOP)

- Jurisdiction- or organization-specific threat information

- Safety Data Sheets (SDS)

- A list of reference terms

A blank SitMan can be found in Appendix B.

Performing Exercise Evaluations

Participant Hot Wash/Feedback Forms

A hot wash provides an opportunity for exercise participants to discuss exercise strengths and areas for improvement immediately following an exercise. The hot wash should be led by an experienced facilitator who can ensure that the discussion remains brief and constructive. The information gathered during a hot wash can be used during the After Action Report/Improvement Plan (AAR/IP) process, and exercise suggestions can be used to improve future exercises. Hot washes also provide opportunities to distribute participant feedback forms, which, when completed by participants, can be used to help generate the AAR/IP. Participant feedback forms should be collected prior to participant departure.

Data Analysis Process

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

Exercise Conclusions

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

Observation

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

- Utilization of plans, policies, and procedures related to capabilities

- Examination of any associated regulatory or legal aspects pertinent to the jurisdiction

- Understanding and assignment of roles and responsibilities of participating organizations and players

- Decision-making processes used

- Activation and implementation of processes and procedures

- How and what information is shared among participating agencies/organizations and the public

Data Collection

During discussion-based exercises, facilitators help stakeholders collect useful data by keeping discussions focused on exercise objectives, core capabilities, capability targets, and critical tasks. Performing a thorough exercise wrap-up will ensure that all relevant data are collected to support effective evaluation and improvement planning.

Facilitators should retain their notes and records of the exercise to support the development of the after action report. As necessary, the lead facilitator may assign facilitators to collect supplemental data during or immediately after the exercise. Such data are critical to fill in gaps identified during exercise evaluation. For example, sources of supplemental evaluation data might include records produced by automated systems or communication networks and written records, such as duty logs, message forms, and hand-written notes.

It is during the data collection process that the analytic basis for determining if critical tasks were successfully demonstrated and capability targets were met.

It is also during the data collection period that the following will be determined:

- Decisions and recommendations

- Rules and responses

- Coordination and cooperation

Note: Facilitators should not be a distraction or interfere with exercise play.

Recording Observations

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

- Actual time required for exercise players to complete the critical task(s)

- How target was or was not met

- Decisions made and information gathered to make decision

- Requests made and how requests were handled

- Resources utilized

- Plans, policies, procedures, or statutory/regulatory requirements

- Any other factors that contributed to the outcomes

- The position being evaluated

When the observations are recorded by the facilitator, he/she will have to assess how well the participants completed the objectives. These assessments are performance ratings using a scale. This scale includes four ratings:

- Performed without challenge (P)

- Performed with Some challenges (S)

- Performed with Major challenges (M)

- Unable to be performed (U)

A suggested facilitator's evaluation format can be seen in Figure 3.1 and Figure 3.2. These figures are only suggestions. Each facilitator can make a form or use the data he/she collects after the TTX to evaluate the exercises' results.

***Exercise Objective** Prioritize the different modes of communication agencies rely upon throughout an incident.*	
Observations:	
Recommendations Based on Observations:	
Provide one Strength:	
Provide one Area for Improvement:	

Figure 3.1: Facilitator's Evaluation Form (Part 1)

Objective	Core Capability	Performed without Challenges (P)	Performed with Some Challenges (S)	Performed with Major Challenges (M)	Unable to be Performed (U)
Prioritize the different modes of communication 1st responder agencies rely upon throughout an incident (sample)	Operational Communication(sample)				
[Objective 2]	[Core capability]				
[Objective 3]	[Core capability]				
Notes:					

Figure 3.2: Facilitator's Evaluation Form (Part 2)

Summary

In this module, we discussed:

- activities for the development of an exercise scenario;

- the different exercise facilitation methods; and

- the creation of exercise documents.

We also demonstrated the ability to create injects.

Works Cited

AmalfiCORE Business Solutions. (2010). *Exercise Injects*. Retrieved November 19, 2018, from http://www.amalficoreblog.com/2010/12/exercise-injects/

PM
3 - 14

Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents
PowerPoint Presentation: Module 3

Property of the Federal Emergency Management Agency (FEMA)/Ellis Maynard, reprinted with permission.

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

TEEX

Emergency Services
Training Institute
(ESTI)

Module 3: Developing a Scenario, Writing Exercise Injects,
Facilitation Methods, and Creating Exercise Documents

TEEX

Objectives

- **Terminal objective:**
  - Upon the successful completion of this module, participants will be able to discuss the development of exercise scenarios, the writing of exercise injects, identification of facilitation methods, and the creation of exercise documents.
- **Enabling objectives:**
  1. Describe the activities for the development of exercise scenarios.
  2. Identify the different exercise facilitation methods.
  3. Discuss the creation of exercise documents.
  4. Demonstrate the ability to create exercise injects.

Copyright 2018, TEEX

2

Module 3: Developing a Scenario, Writing Exercise Injects,
Facilitation Methods, and Creating Exercise Documents

TEEX

Steps 5 and 6

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. Identify planning team
4. Write objectives
5. **Write exercise scenario & exercise injects / determine facilitation method**
6. **Create documentation (evaluations / Situation Manual [SitMan])**

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX

3

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Writing Injects

- Injects are the fuel that drives the exercise
- Designed to help participants accomplish exercise objectives
- Consult identified mission area / capabilities
- Should involve all participants

"For example, if the scenario is [an active shooter incident], important injects would be People and Communications. In this case, injects might include citizens looking for missing loved ones, medical emergencies with evacuees at a shelter, press and media seeking information" (AmalfiCORE Business Solutions, 2010).

Copyright 2018, TEEX   4

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Activity 3.1: Writing Exercise Injects

- **Time: 20 minutes**
- **Purpose:**
  - The purpose of this activity is to have participants write 1 exercise inject & 3 discussion questions based on identified mission areas, core capabilities, objectives, & the scenario.

Copyright 2018, TEEX   5

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Mega-Mall Active Shooter Scenario

The Mega-Mall located in Lumbnack, Texas, is anchored by four major national retailers and is a prime location for shoppers as well as a national destination for tourism. It is 7:15 p.m. on Friday, February 14, 2022, during an event where a controversial speaker has just finished a speech and there is much activity around the mall and in the venue of the speaker. Threats have been received at prior locations on the speaking tour.

Inject #1: One of the large retailers is a major business that markets and sells firearms of all varieties as well as other related outdoor equipment. Someone is screaming, "Man with a gun!"
Inject #2: Several people call 911 and state they have heard what sounded like at least three to four gunshots at approximately 7:17 p.m.
Inject #3: ?

Copyright 2018, TEEX   6

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

TEEX

Mega-Mall Active Shooter Scenario

- **Inject #1: One of the large retailers is a major business that markets and sells firearms of all varieties as well as other related outdoor equipment. Someone is screaming, "Man with a gun!"**
- **Discussion question (Protection):**
  – What protection measures should have been in place?
- **Discussion question (Response):**
  – What are your initial actions upon arrival?
- **Discussion question (Recovery):**
  – What are some short-term recovery goals?

Copyright 2018, TEEX

7

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

TEEX

Exercise Facilitation

- **Multimedia presentation**
- **Facilitated discussion**
- **Moderated discussion**

Image copyright Rawpixel.com, used under license from Shutterstock.com.

Copyright 2018, TEEX

8

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents

TEEX

Situation Manual (SitMan)

- **Provides the textual background for a facilitated exercise**
- **Supports the scenario narrative**
- **Serves as the primary reference material for all participants during conduct**
- **Overview of the exercise**

Copyright 2018, TEEX

9

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Suggested Participant's Evaluation Form

Exercise Objective: Prioritize the different modes of communication agencies rely upon throughout an incident.

Observations:

Recommendations Based on Observations:

Provide one Strength:

Provide one Area for Improvement:

Copyright 2018, TEEX   Copyright 2018, TEEX.   10

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Suggested Facilitator's Evaluation Format

Objective	Core Capability	Performed without Challenges (P)	Performed with Some Challenges (S)	Performed with Major Challenges (M)	Unable to be Performed (U)
Prioritize the different modes of communication 1st responder agencies rely upon throughout an incident (sample)	Operational Communication (sample)				
[Objective 2]	[Core capability]				
[Objective 3]	[Core capability]				
Notes:					

Copyright 2018, TEEX   Copyright 2018, TEEX.   11

Module 3: Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents   TEEX

Summary

- **In this module, we discussed:**
  - Activities for the development of an exercise scenario
  - The different exercise facilitation methods
  - The creation of exercise documents
- **We also demonstrated the ability to create injects.**

Copyright 2018, TEEX   12

PM
3 - 18

Developing a Scenario, Writing Exercise Injects, Facilitation Methods, and Creating Exercise Documents
PowerPoint Presentation: Module 3

Lunch

Copyright 2018, TEEX

13

Module

4
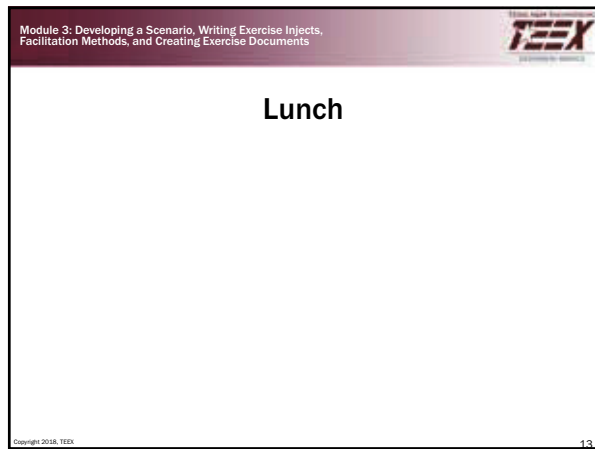
Tabletop Exercise (TTX)

Terminal Objective

Upon the successful completion of this module, participants will have the training to deliver a Homeland Security Exercise and Evaluation Program (HSEEP)-designed active shooter Tabletop Exercise (TTX) in their home jurisdiction using provided templates.

Enabling Objectives

1. Participate in an HSEEP-designed active shooter TTX.
2. Discuss pre-exercise logistics.

Steps

7

Exercise Topics

Exercise logistics and facilitation of TTX

Introduction

You have been introduced to all the elements needed to either develop a Tabletop Exercise (TTX) on your own or to use one of the TTXs as shown on the USB flash drive associated with this course.

We will conduct one of the TTXs found on the USB flash drive. When you leave here today, you will be given the USB flash drive with all five scenarios and their supporting materials which include:

- Scenario
- Injects
- Situation Manual (SitMan)
- PowerPoint presentation

Exercise Conduct

Discussion-Based Exercise Setup

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

When organizing the layout of the room, the needs of the exercise participants and the number of exercise groups should be taken into consideration. Planning team members should space the groups far enough apart so that participants are able to hear the conversations within their groups. The summation from each group is delivered by the group spokesperson after each inject.

Any exercise facilitators associated with the exercise should also arrive early and may need to be briefed or trained with the TTX's scenarios, injects, and desired outcomes.

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

- Registration forms

- Scenarios, injects, PowerPoint presentations, printed SitMan, and other written materials for exercise participants

- SitMans for facilitators

- 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 (optional)

- Sign-in sheets

- Participant feedback forms

Tabletop Exercise (TTX) Facilitator Briefing

Facilitator briefings ensure that those serving as facilitators conduct their responsibilities in a uniform manner; this consistency contributes to the accuracy of the evaluation process.

Facilitators should be briefed with an overview of the exercise.

Facilitators need to understand the exercise methodology and objectives and know the agenda or schedule.

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

Shortly before the start of the exercise, facilitators assigned to oversee each participant group should conduct a briefing for their assigned participant group.

Elected and Appointed Officials

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

Activity 4.1: Active Shooter Tabletop Exercise (TTX)

Purpose

The purpose of this activity is for participants to apply the information and tools necessary to deliver a TTX using one of the five provided scenarios.

Participant Directions

Follow the instructor directions.

Summary

In this module, you discussed pre-exercise logistics and participated in an active shooter TTX.

Property of the Federal Emergency Management Agency (FEMA)/Ellis Maynard, reprinted with permission.

Module 4: Tabletop Exercise (TTX)

Emergency Services
Training Institute
(ESTI)

Module 4: Tabletop Exercise (TTX)

Objectives

- **Terminal objective:**
  - Upon the successful completion of this module, participants will have the training to deliver a Homeland Security Exercise and Evaluation Program (HSEEP)-designed active shooter Tabletop Exercise (TTX) in their home jurisdiction using provided templates.
- **Enabling objectives:**
  1. Participate in an HSEEP-designed active shooter TTX.
  2. Discuss pre-exercise logistics.

Copyright 2018, TEEX

2

Module 4: Tabletop Exercise (TTX)

Step 7

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. Identify planning team
4. Write objectives
5. Write exercise scenario & exercise injects / determine facilitation method
6. Create documentation (evaluations / Situation Manual [SitMan])
7. **Exercise logistics & facilitation of TTX**

Image copyright Wlh, used under license from Shutterstock.com.

Copyright 2018, TEEX

3

Exercise Logistics

- **Discussion-based exercise setup**
- **TTX facilitator briefing**
- **Elected & appointed officials**

Image copyright GaudiLab, used under license from Shutterstock.com.

Copyright 2018, TEEX 4

Activity 4.1: Active Shooter Tabletop Exercise (TTX)

- **Time: 4 hours**
- **Purpose:**
  - The purpose of this activity is for participants to apply the information & tools necessary to deliver a TTX using 1 of the 5 provided scenarios.

Copyright 2018, TEEX 5

Image copyright Cynthia Farmer, used under license from Shutterstock.com.

School Active Shooter Tabletop Exercise (TTX)

August 19, 2022
Shougnouse High School

TEEX

Emergency Services Training Institute (ESTI)

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Sponsorship

Department of Justice (DOJ)

Copyright 2018, TEEX   7

_____
_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Funding

This project was supported by cooperative agreement number 2017ASWXK001 awarded by the Office of Community Oriented Policing Services, U.S. Department of Justice. The opinions contained herein are those of the author(s) and do not necessarily represent the official position or policies of the U.S. Department of Justice. References to specific agencies, companies, products, or services should not be considered an endorsement by the author(s) or the U.S. Department of Justice. Rather, the references are illustrations to supplement discussion of the issues. The internet references cited in this publication were valid as of the date of this publication. Given that URLs and websites are in constant flux, neither the author(s) nor the COPS Office can vouch for their current validity.

Copyright 2018, TEEX   8

_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Purpose

The TTX will consider Shougnouse High School's capabilities in responding to an active shooter incident.

Copyright 2018, TEEX   9

_____
_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Goals

1. Promote executive-level dialogue & decision making within the crisis response domains.
2. Utilize existing infrastructure & command centers to facilitate timely decisions & information sharing between critical stakeholders.
3. Consider the capabilities of Shougnouse High School to respond to an active shooter incident.
4. Identify strengths & areas of improvement (gaps) in the Shougnouse High School response proficiencies & aptitudes.

Copyright 2018, TEEX

10

Module 4: Tabletop Exercise (TTX)

TEEX

Mission Area / Core Capabilities

Mission Area	Core Capabilities
Response	• Planning
	• Operational communications
	• Situational assessment
	• Public health, health care, & Emergency Medical Services (EMS)

Copyright 2018, TEEX

11

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Objectives

1. Identify & implement proper plans, protocols, & procedures for an active shooter incident.
2. Assess how to manage the consequences of an active shooter incident.
3. Identify life-saving actions to take when confronted with an active shooter.

Copyright 2018, TEEX

12

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Schedule

1:00–1:15   **Administrative announcements**

1:15–4:15   **Exercise**

4:15–4:55   **Exercise hot wash / debrief**

4:55–5:00   **Final remarks**

5:00   **Exercise over**

Copyright 2018, TEEX   13

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Concept

- **Please keep your cell phones, radios, pagers, iPads, & all other electronic devices *on*.**
- **Exercise belongs to you; enjoy the experience.**
- **Discuss & debate enthusiastically.**
- **Take breaks as necessary.**
- **Latecomers are welcome:**
  – Same as in real-life
  – Those responding later will be briefed by TTX personnel present
- **Storyline, injects, challenging, some artificial stress**

Copyright 2018, TEEX   14

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Concept

- **The exercise observer / controllers will guide you through the exercise.**
- **Exercise groups are responsible to discuss, assess, & brief back decisions made based on injects provided.**
- **The exercise will end with an informal hot wash with all participants.**
- **There are no hidden agendas or trick questions. No one is grading you. You can honestly identify & note gaps in your plan.**
- **In order to have all participants participate in the TTX, injects are purposely vague in reference to some aspects of the exercise.**

Copyright 2018, TEEX   15

Module 4: Tabletop Exercise (TTX)   **TEEX**

Exercise Nodes

- **Group leader**
- **Organize your group**
- **Select 2 scribes**
- **Select a spokesperson**
- **Select a time keeper**
- **Create sustain, improve, & quick fix lists**

Copyright 2018, TEEX.

Copyright 2018, TEEX   16

Module 4: Tabletop Exercise (TTX)   **TEEX**

Exercise Specifics

- **Please refer to your organization's plan, SOPs, or policies as you work through the exercise.**
- **If your organization does not have a plan, please use your experience & best judgement to work through the exercise to help you create a plan.**
- **If you initiate or answer a call; send or answer a text; or send or answer a radio transmission, email, fax, or any kind of communication about this TTX, *start & end* the conversation with the phrase:**

"This is an exercise."

Copyright 2018, TEEX   17

Module 4: Tabletop Exercise (TTX)   **TEEX**

Scenario Background

In the northern corner of Idaho, Shougnouse High School opened on Friday, August 19, 2022, with a record number of students enrolled. Grades 9–12 from all of Ambreaux County attend the new facility, which has been renovated into an open concept with 5 main buildings occupying 16 acres of the campus. The superintendent has decided to begin the school year even though the magnetometers have not been installed. The 2023 graduating class will have 573 receiving their diplomas; there are 1,166 students in grades 9–11.

Copyright 2018, TEEX   18

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Play, Inject 1

Friday, August 19, 2022, 8:45 a.m., 60°F
Today is the first day of school. The students are becoming familiar with their new surroundings, they notice a local teen who graduated in 2021 driving his pickup truck along the outside of the gym area & through a newly installed plate glass window. The school secretary calls 911 & says, "A pickup truck has just driven through a plate glass window of the school. I'm not certain, but it looked like it was on purpose! We need police out here *immediately*!"

Copyright 2018, TEEX

19

Module 4: Tabletop Exercise (TTX)

TEEX

Inject 1 Brief Back Questions

- **What are your top priorities?**
- **What challenges do you face?**
- **What resources do you need to accomplish your priorities?**
- **Whom do you need to coordinate with?**
- **What notifications need to be made?**
- **What else do you need to do?**

Copyright 2018, TEEX

20

Module 4: Tabletop Exercise (TTX)

TEEX

Exercise Play, Inject 2

Friday, August 19, 2022, 8:55 a.m., 60°F
As members of the girls' volleyball team make their way down the hallway leading into the gym, the former student exits his pickup truck with a handgun. He frantically looks into the hallway & begins to shoot, striking & killing 2 members of the team, injuring 2 others with shattered glass, & severely injuring the coach. The school resource officer is away from the school in court on an unrelated case, so there is no law enforcement on the campus. The suspect runs into the hallway where panicked kids are running toward any exit. He does not shoot the fleeing kids but instead enters the office & barricades himself in the empty principal's office, where he calls the dispatch center & advises them that there is a bomb in his truck. He also says he will shoot any law enforcement officer who attempts to enter the school.

Copyright 2018, TEEX

21

Module 4: Tabletop Exercise (TTX)   TEEX

Inject 2 Brief Back Questions

- How does this new information change your priorities?
- Update your resource request.
- What challenges do you face with responding resources / family members / media?
- How are you getting and sharing information?
- Diagram your incident command. What is the plan moving forward?

Copyright 2018, TEEX   22

_____
_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)   TEEX

Exercise Play, Inject 3

Friday, August 19, 2022, 11:00 a.m., 70°F
There are approximately 100 local, county, state, & federal law enforcement officers on scene, including from the nearby town of Curdyville (population 73). Frantic parents have been arriving since the suspect barricaded himself in the office. The media has been on scene for most of the morning interviewing students & teachers. The local school board, school superintendent, mayor, & city council are also on the scene. Police negotiators are attempting to bring this situation to a conclusion. At this point, the suspect refuses to exit the building.

Copyright 2018, TEEX   23

_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)   TEEX

Inject 3 Brief Back Questions

- How has this new information impacted your decision making?
- What do you need to do for family reunification?
- How do you manage external stakeholders?
- What are some short-term recovery goals?

Copyright 2018, TEEX   24

_____
_____
_____
_____
_____
_____

Module 4: Tabletop Exercise (TTX)   TEEX

Exercise Play, Inject 4

Friday, August 19, 2022, 2:00 p.m., 90°F
After extended negotiations, the shooter agrees to exit the building. He exits through the front door & is taken into custody without incident. The bomb in the truck was determined to be a hoax.

Copyright 2018, TEEX   25

Module 4: Tabletop Exercise (TTX)   TEEX

Inject 4 Brief Back Questions

- **How does the transition from response to recovery occur?**
- **Update your incident command diagram.**
- **What do you expect in 6 days, 6 months, and 1 year?**
- **What else do you need to do?**

Copyright 2018, TEEX   26

Module 4: Tabletop Exercise (TTX)   TEEX

Summary

Discussed pre-exercise logistics & participated in an active shooter TTX

Copyright 2018, TEEX   27

Module

5

After Action Report/Improvement Plan (AAR/IP)

Terminal Objective

Upon the successful completion of this module, participants will begin the After Action Report/Improvement Plan (AAR/IP) process and discuss its importance in implementing a productive Tabletop Exercise (TTX).

Enabling Objectives

1. Review the hot wash process.
2. Initiate the AAR/IP process.
3. Survey the Texas A&M Engineering Extension Service (TEEX)-provided USB flash drive documentation.

Steps

8

Exercise Topics

Exercise wrap-up (write AAR/IP)

Introduction

A key component in conducting a Tabletop Exercise (TTX) is the feedback received after the TTX is completed. This feedback is vital in determining what went well and where there are performance gaps. In this module, we will explore these areas in more detail and explain why these components are so important. We will look at the following:

- Participant hot wash/feedback forms
- The purpose of the After Action Report/Improvement Plan (AAR/IP)
- How an AAR/IP should be filled out

Participant Hot Wash/Feedback Forms

A hot wash provides an opportunity for exercise participants to discuss exercise strengths and areas for improvement immediately following an exercise. The hot wash should be led by an experienced facilitator who can ensure that the discussion remains brief and constructive. The information gathered during a hot wash can be used during the AAR/IP process, and exercise suggestions can be used to improve future exercises. Hot washes also provide opportunities to distribute participant feedback forms, which, when completed by participants, can be used to help generate the AAR/IP. Participant feedback forms should be collected prior to participant departure. The purpose of an exercise hot wash is to help identify exercise:

- Sustains
- Improvements
- Quick fixes

The Purpose of an After Action Report/Improvement Plan (AAR/IP)

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

The AAR/IP will effectively reveal the gaps and shortfalls and provide the foundation for subsequent planning and implementation of specific capability targets based on a risk-based analysis of the final results of the exercise.

Root-Cause Analysis

After this initial data analysis, facilitators examine each critical task not completed as expected and each target not met, with the aim of identifying a root cause. A root cause is the source of or underlying reason behind an identified issue toward which the facilitator can direct an improvement. When conducting a root-cause analysis, the facilitator 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 organization's plans, policies, and procedures. When completing the analysis, facilitators should consider the following questions:

- Were the objectives for each critical task met? If not, what factors contributed to this result?

- Did exercise discussions or activities suggest the critical tasks performed sufficiently to meet the capability targets? If not, what were the resulting impacts or consequences?

- What improvements are required? Are other resources needed? If so, how will they be obtained?

- Identify the strengths and weaknesses required to carry out those tasks. What decisions would need to be made, and who would make them?

- Do current plans, policies, and procedures support the performance of the critical tasks? Are participants familiar with these documents?

- Are personnel trained to perform the critical tasks? If not, what personnel may require additional training?

- Do personnel from multiple agencies or jurisdictions need to work together to perform the tasks? If so, are agreements or relationships in place to support the performance of the tasks?

- What should be learned from this exercise?

- What improvements are recommended? Who (position or agency) is responsible for implementing the improvements? What is the expected time frame for completion of the improvement?

What is an After Action Report/Improvement Plan (AAR/IP)?

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

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

During this process, participants should reference the observations previously recorded by facilitators, using the performance ratings scale of P, S, M, U.

Elements of an After Action Report/Improvement Plan (AAR/IP)

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

When consolidating exercise evaluations, the question of "Why?" will need to be repeatedly asked. Examples of questions that may occur during the consolidation include:

• Why was this area a success?

• Why did this mission area of the exercise see a need for improvement?

• Why is this exercise important?

Additionally, did exercise discussions or activities:

• Sufficiently meet mission area/core capability goals?

• Identify the strengths and weaknesses required to reach those goals?

- Identify improvements and recommendations?

- Support after action report development by capturing important data?

Note: A blank AAR/IP is available for reference in Appendix C.

Activity 5.1: After Action Report/Improvement Plan (AAR/IP)

Purpose

The purpose of this activity is to explore participants' knowledge of the AAR/IP and its relationship with the delivery of a TTX.

Participant Directions

This will be done as a class activity. Locate Appendix C and review the AAR/IP.

Activity 5.2: Classroom Management

Purpose

The purpose of this activity is to have participants reflect on personal experiences as both a student and an instructor and discuss challenges training instructors face and how can they be met.

Participant Directions

Identify and discuss challenges/solutions to the following question:

Reflecting on personal experiences as both a student and an instructor, what challenges do training instructors face and how can they be met?

Summary

In this module, you discussed the AAR/IP and reviewed the need for it in the TTX facilitator process.

Property of the Federal Emergency Management Agency (FEMA)/Ellis Maynard, reprinted with permission.

Module 5: After Action Report / Improvement Plan (AAR / IP)

Emergency Services
Training Institute
(ESTI)

Module 5: After Action Report / Improvement Plan
(AAR / IP)

Objectives

- **Terminal objective:**
  - Upon the successful completion of this module, participants will begin the After Action Report / Improvement Plan (AAR / IP) process and discuss its importance in implementing a productive Tabletop Exercise (TTX).
- **Enabling objectives:**
  1. Review the hot wash process.
  2. Initiate the AAR / IP process.
  3. Survey the Texas A&M Engineering Extension Service (TEEX)-provided USB flash drive documentation.

Copyright 2018, TEEX

2

Module 5: After Action Report / Improvement Plan
(AAR / IP)

Step 8

1. Identify exercise topic (natural / human-made disaster)
2. Identify mission area / core capabilities
3. Identify planning team
4. Write objectives
5. Write exercise scenario & exercise injects / determine facilitation method
6. Create documentation (evaluations / Situation Manual [SitMan])
7. Exercise logistics & facilitation of TTX
8. **Exercise wrap-up (write after action report)**

Image copyright Wth, used under license from Shutterstock.com.

Copyright 2018, TEEX

3

Module 5: After Action Report / Improvement Plan (AAR / IP)   TEEX

Exercise Hot Wash

- **Sustain**
- **Improve**
- **Quick fix**

Copyright 2018, TEEX   4

Module 5: After Action Report / Improvement Plan (AAR / IP)   TEEX

What is an AAR / IP?

- **Summarizes key information related to exercise evaluation**
- **Includes overview of performance related to each exercise objective & associated core capabilities**
- **Contains the length, format, & development time frames depending on the exercise type & scope**

Copyright 2018, TEEX   5

Module 5: After Action Report / Improvement Plan (AAR / IP)   TEEX

Consolidating Exercise Evaluation

- **Were the capability targets met?**
  - If not, why not?
  - What factors contributed?

Image copyright 3D Vector, used under license from Shutterstock.com.

Copyright 2018, TEEX   6

Module 5: After Action Report / Improvement Plan
(AAR / IP)

TEEX

Consolidating Exercise Evaluation

- **Did exercise discussions or activities:**
  - Sufficiently meet mission area / core capability goals?
  - Identify the strengths & weaknesses required to reach those goals?
  - Identify improvements & recommendations?
  - Supports after action report development by capturing important data?

Copyright 2018, TEEX   7

Module 5: After Action Report / Improvement Plan
(AAR / IP)

TEEX

Elements of an AAR/IP

- **Main focus of AAR / IP is analysis of core capabilities**
- **Also includes basic exercise information:**
  - Exercise name
  - Type of exercise
  - Dates
  - Location
  - Participating organizations
  - Mission area(s)
  - Specific threat or hazard
  - Brief scenario description
  - Name of the exercise sponsor & POC

Copyright 2018, TEEX   8

Module 5: After Action Report / Improvement Plan
(AAR / IP)

TEEX

Property of the U.S. Department of Homeland Security (DHS), reprinted with permission.

Property of DHS, reprinted with permission.

Copyright 2018, TEEX   9

Property of DHS, reprinted with permission.

Property of DHS, reprinted with permission.

Activity 5.1: After Action Report / Improvement Plan (AAR / IP)

- **Time: 20 minutes**
- **Purpose:**
  - The purpose of this activity is to explore participants' knowledge of the AAR / IP & its relationship with the delivery of a TTX.

Module 5: After Action Report / Improvement Plan
(AAR / IP)

TEEX
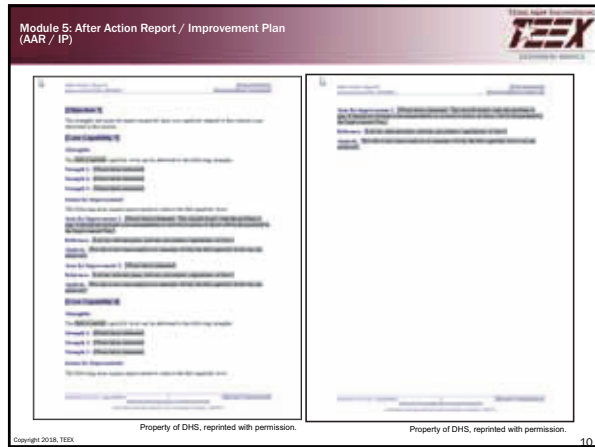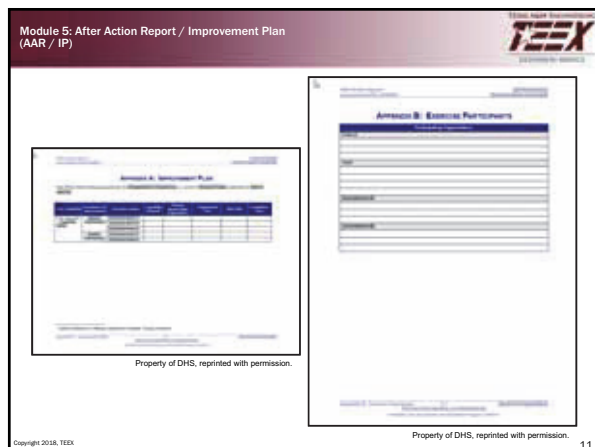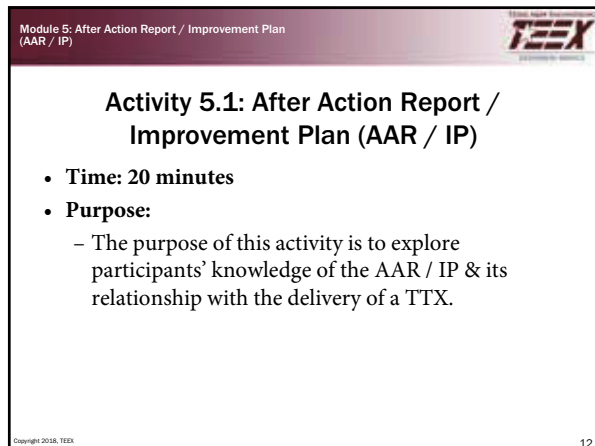
Activity 5.2: Classroom Management

- **Time: 20 minutes**
- **Purpose:**
  - The purpose of this activity is to have participants reflect on personal experiences as both a student and an instructor and discuss challenges training instructors face and how can they be met.

Copyright 2018, TEEX   13

Module 5: After Action Report / Improvement Plan
(AAR / IP)

TEEX

Where do we go from here?

Copyright 2018, TEEX   Image copyright apiquide, used under license from Shutterstock.com.   14

Property of FEMA/Eilis Maynard, reprinted with permission.

Thank you for attending the Active Shooter Exercise Development Workshop

TEEX

Emergency Services
Training Institute
(ESTI)

Appendix

A

Homeland Security Exercise and Evaluation Program (HSEEP) Acronyms and Abbreviations

Acronyms and Abbreviations

Acronym/Abbreviation	Description
A/V	Audio/Visual
AAM	After-Action Meeting
AAR	After-Action Report
C/E	Controller/Evaluator
C&O	Concept and Objectives
COSIN	Control Staff Instructions
DHS	U.S. Department of Homeland Security
EEG	Exercise Evaluation Guide
EndEx	End of Exercise
EOC	Emergency Operations Center
EvalPlan	Evaluation Plan
ExPlan	Exercise Plan
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FPM	Final Planning Meeting
FSE	Full-Scale Exercise
HSEEP	Homeland Security Exercise and Evaluation Program
ICS	Incident Command System
IP	Improvement Plan
IPM	Initial Planning Meeting
MPM	Midterm Planning Meeting
MSEL	Master Scenario Events List
NEP	National Exercise Program
NGO	Nongovernmental Organization
NIMS	National Incident Management System
POC	Point of Contact
SimCell	Simulation Cell
SitMan	Situational Manual
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SME	Subject-Matter Expert
SOP	Standard Operating Procedure
StartEx	Start of Exercise
THIRA	Threat and Hazard Identification and Risk Assessment
TEP	Training and Exercise Plan
TEPW	Training and Exercise Planning Workshop
TTX	Tabletop Exercise
VIP	Very Important Person
XPA	Extent of Play Agreement

Appendix

B

Situation Manual (SitMan) Template

This template is reprinted with permission from the U.S. Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA).

[Exercise Name]

Situation Manual

[Date]

This Situation Manual (SitMan) provides exercise participants with all the necessary tools for their roles in the exercise. Some exercise material is intended for the exclusive use of exercise planners, facilitators, and evaluators, but players may view other materials that are necessary to their performance. All exercise participants may view the SitMan.

EXERCISE OVERVIEW

Exercise Name	[Insert the formal name of exercise, which should match the name in the document header]
Exercise Dates	[Indicate the start and end dates of the exercise]
Scope	This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters].
Mission Area(s)	[Prevention, Protection, Mitigation, Response, and/or Recovery]
Core Capabilities	[List the core capabilities being exercised]
Objectives	[List exercise objectives]
Threat or Hazard	[List the threat or hazard (e.g. natural/hurricane, technological/radiological release)]
Scenario	[Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)]
Sponsor	[Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable]
Participating Organizations	[Insert a brief summary of the total number of participants and participation level (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies). Consider including the full list of participating agencies in Appendix B. Delete Appendix B if not required.]
Point of Contact	[Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)]

GENERAL INFORMATION

Exercise Objectives and Core Capabilities

The following exercise objectives in Table 1 describe the expected outcomes for the exercise. The objectives are linked to core capabilities, which are distinct critical elements necessary to achieve the specific mission area(s). The objectives and aligned core capabilities are guided by elected and appointed officials and selected by the Exercise Planning Team.

Exercise Objectives	Core Capability
[Insert objective]	[Insert core capability aligned to each objective]
[Insert objective]	[Insert core capability aligned to each objective]
[Insert objective]	[Insert core capability aligned to each objective]
[Insert objective]	[Insert core capability aligned to each objective]
[Insert objective]	[Insert core capability aligned to each objective]

Table 1. Exercise Objectives and Associated Core Capabilities

Participant Roles and Responsibilities

The term *participant* encompasses many groups of people, not just those playing in the exercise. Groups of participants involved in the exercise, and their respective roles and responsibilities, are as follows:

- **Players:** Players are personnel who have an active role in discussing or performing their regular roles and responsibilities during the exercise. Players discuss or initiate actions in response to the simulated emergency.

- **Observers:** Observers do not directly participate in the exercise. However, they may support the development of player responses to the situation during the discussion by asking relevant questions or providing subject matter expertise.

- **Facilitators:** Facilitators provide situation updates and moderate discussions. They also provide additional information or resolve questions as required. Key Exercise Planning Team members also may assist with facilitation as subject matter experts (SMEs) during the exercise.

- **Evaluators:** Evaluators are assigned to observe and document certain objectives during the exercise. Their primary role is to document player discussions, including how and if those discussions conform to plans, polices, and procedures.

Exercise Structure

This exercise will be a multimedia, facilitated exercise. Players will participate in the following [insert number of modules] modules:

- Module 1: [Module name, e.g. Incident Notification]
- Module 2: [Module name]
- Module 3: [Module name]

Each module begins with a multimedia update that summarizes key events occurring within that time period. After the updates, participants review the situation and engage in functional group discussions of appropriate [prevention, protection, mitigation, response, recovery] issues. For this exercise, the functional groups are as follows:

- [Functional group, e.g. Law Enforcement]
- [Functional group]
- [Functional group]
- [Functional group]

After these functional group discussions, participants will engage in a moderated plenary discussion in which a spokesperson from each group will present a synopsis of the group's actions, based on the scenario.

Exercise Guidelines

- This exercise will be held in an open, low-stress, no-fault environment. Varying viewpoints, even disagreements, are expected.
- Respond to the scenario using your knowledge of current plans and capabilities (i.e., you may use only existing assets) and insights derived from your training.
- Decisions are not precedent setting and may not reflect your organization's final position on a given issue. This exercise is an opportunity to discuss and present multiple options and possible solutions.
- Issue identification is not as valuable as suggestions and recommended actions that could improve [prevention, protection, mitigation, response, recovery] efforts. Problem-solving efforts should be the focus.

Exercise Assumptions and Artificialities

In any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and/or account for logistical limitations. Exercise participants should accept that assumptions and artificialities are inherent in any exercise, and should not allow these considerations to negatively impact their participation. During this exercise, the following apply:

- [The exercise is conducted in a no-fault learning environment wherein capabilities, plans, systems, and processes will be evaluated.]
- [The exercise scenario is plausible, and events occur as they are presented.]
- [All players receive information at the same time.]

Exercise Evaluation

Evaluation of the exercise is based on the exercise objectives and aligned capabilities, capability targets, and critical tasks, which are documented in Exercise Evaluation Guides (EEGs). Evaluators have EEGs for each of their assigned areas. Additionally, players will be asked to complete participant feedback forms. These documents, coupled with facilitator observations and notes, will be used to evaluate the exercise and compile the After-Action Report (AAR).

MODULE 1: [MODULE NAME]

Scenario

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

Key Issues

- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 1. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

[Functional Group]

1. [List suggested discussion questions. Questions should be developed by the Exercise Planning Team with input from the Evaluators. Questions should be structured to help Evaluators collect data on the capability targets and critical tasks in the EEGs.]
2. [Provide suggested discussion questions.]
3. [Provide suggested discussion questions.]

[Functional Group]

1. [Provide suggested discussion questions]
2. [Provide suggested discussion questions]
3. [Provide suggested discussion questions]

Module 1   5   **[Sponsor Organization]**
[PROTECTIVE MARKING, AS APPROPRIATE]
Homeland Security Exercise and Evaluation Program (HSEEP)   Rev. 2017 508

MODULE 2: [MODULE NAME]

Scenario

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

 [Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

Key Issues

- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 2. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

[Functional Group]

1. [List suggested discussion questions. Questions should be developed by the Exercise Planning Team with input from the Evaluators. Questions should be structured to help Evaluators collect data on the capability targets and critical tasks in the EEGs.]
2. [Provide suggested discussion questions.]
3. [Provide suggested discussion questions.]

[Functional Group]

1. [Provide suggested discussion questions]
2. [Provide suggested discussion questions]
3. [Provide suggested discussion questions]

MODULE 3: [MODULE NAME]

Scenario

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

[Month, Day, Year]: [Time]

[Provide scenario event details, including any relevant locations and persons/groups involved in the scenario.]

Key Issues

- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]
- [Summarize the key scenario events provided in this module.]

Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 3. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

The following questions are provided as suggested subjects that you may wish to address as the discussion progresses. These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

[Functional Group]

1. [List suggested discussion questions. Questions should be developed by the Exercise Planning Team with input from the Evaluators. Questions should be structured to help Evaluators collect data on the capability targets and critical tasks in the EEGs.]
2. [Provide suggested discussion questions.]
3. [Provide suggested discussion questions.]

[Functional Group]

1. [Provide suggested discussion questions]
2. [Provide suggested discussion questions]
3. [Provide suggested discussion questions]

[PROTECTIVE MARKING, AS APPROPRIATE]
Homeland Security Exercise and Evaluation Program (HSEEP)   Rev. 2017 508

APPENDIX A: EXERCISE SCHEDULE

Note: Because this information is updated throughout the exercise planning process, appendices may be developed as stand-alone documents rather than part of the SitMan.

Time	Activity
[Month Day, Year]	
00:00	Registration
00:00	Welcome and Opening Remarks
00:00	Module 1: Briefing, Caucus Discussion. and Brief-Back
00:00	Break
00:00	Module 2: Briefing, Caucus Discussion, and Brief-Back
00:00	Lunch
00:00	Module 3: Briefing, Caucus Discussion, and Brief-Back
00:00	Break
00:00	Hotwash
00:00	Closing Comments

APPENDIX B: EXERCISE PARTICIPANTS

Participating Organizations
Federal
[Participating organization]
[Participating organization]
[Participating organization]
State
[Participating organization]
[Participating organization]
[Participating organization]
[Jurisdiction A]
[Participating organization]
[Participating organization]
[Participating organization]
[Jurisdiction B]
[Participating organization]
[Participating organization]
[Participating organization]

PM

B - 12

APPENDIX C: RELEVANT PLANS

[Insert excerpts from relevant plans, policies, or procedures to be tested during the exercise.]

APPENDIX D: ACRONYMS

Acronym	Term
DHS	U.S. Department of Homeland Security
HSEEP	Homeland Security Exercise and Evaluation Program
SitMan	Situation Manual
SME	Subject-Matter Expert
TTX	Tabletop Exercise
[Acronym]	[Term]
[Acronym]	[Term]
[Acronym]	[Term]
[Acronym]	[Term]
[Acronym]	[Term]

Appendix D: Acronyms   **D-1**   **[Sponsor Organization]**
[PROTECTIVE MARKING, AS APPROPRIATE]
Homeland Security Exercise and Evaluation Program (HSEEP)   Rev. 2017 508

Appendix

C

After Action Report/Improvement Plan (AAR/IP) Template

This template is reprinted with permission from the U.S. Department of Homeland Security/Federal Emergency Management Agency (DHS/FEMA).

[Exercise Name]

After-Action Report/Improvement Plan

[Date]

The After-Action Report/Improvement Plan (AAR/IP) aligns exercise objectives with preparedness doctrine to include the National Preparedness Goal and related frameworks and guidance. Exercise information required for preparedness reporting and trend analysis is included; users are encouraged to add additional sections as needed to support their own organizational needs.

EXERCISE OVERVIEW

Exercise Name	[Insert the formal name of exercise, which should match the name in the document header]
Exercise Dates	[Indicate the start and end dates of the exercise]
Scope	This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters].
Mission Area(s)	[Prevention, Protection, Mitigation, Response, and/or Recovery]
Core Capabilities	[List the core capabilities being exercised]
Objectives	[List exercise objectives]
Threat or Hazard	[List the threat or hazard (e.g. natural/hurricane, technological/radiological release)]
Scenario	[Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)]
Sponsor	[Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable]
Participating Organizations	[Insert a brief summary of the total number of participants and participation level (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies). Consider including the full list of participating agencies in Appendix B. Delete Appendix B if not required.]
Point of Contact	[Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)]

ANALYSIS OF CORE CAPABILITIES

Aligning exercise objectives and core capabilities provides a consistent taxonomy for evaluation that transcends individual exercises to support preparedness reporting and trend analysis. Table 1 includes the exercise objectives, aligned core capabilities, and performance ratings for each core capability as observed during the exercise and determined by the evaluation team.

Objective	Core Capability	Performed without Challenges (P)	Performed with Some Challenges (S)	Performed with Major Challenges (M)	Unable to be Performed (U)
[Objective 1]	[Core capability]				
[Objective 2]	[Core capability]				
[Objective 3]	[Core capability]				
[Objective 4]	[Core capability]				

Table 1. Summary of Core Capability Performance

Ratings Definitions:

Performed without Challenges (P): The targets and critical tasks associated with the core capability 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 (S): The targets and critical tasks associated with the core capability 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 (M): The targets and critical tasks associated with the core capability 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 (U): The targets and critical tasks associated with the core capability were not performed in a manner that achieved the objective(s).

The following sections provide an overview of the performance related to each exercise objective and associated core capability, highlighting strengths and areas for improvement.

[Objective 1]

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

[Core Capability 1]

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

[Core Capability 2]

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

After Action Report/Improvement Plan (AAR/IP) Template

Appendix A: IMPROVEMENT PLAN

This IP has been developed specifically for [Organization or Jurisdiction] as a result of [Exercise Name] conducted on [date of exercise].

Core Capability	Issue/Area for Improvement	Corrective Action	Capability Element	Primary Responsible Organization	Organization POC	Start Date	Completion Date
Core Capability 1: [Capability Name]	1. [Area for Improvement]	[Corrective Action 1]					
Core Capability 1: [Capability Name]	1. [Area for Improvement]	[Corrective Action 2]					
Core Capability 1: [Capability Name]	2. [Area for Improvement]	[Corrective Action 1]					
Core Capability 1: [Capability Name]	2. [Area for Improvement]	[Corrective Action 2]					
Core Capability 2: [Capability Name]	1. [Area for Improvement]	[Corrective Action 1]					
Core Capability 2: [Capability Name]	1. [Area for Improvement]	[Corrective Action 2]					
Core Capability 2: [Capability Name]	2. [Area for Improvement]	[Corrective Action 1]					
Core Capability 2: [Capability Name]	2. [Area for Improvement]	[Corrective Action 2]					

Appendix A: Improvement Plan

[PROTECTIVE MARKING, AS APPROPRIATE]

Homeland Security Exercise and Evaluation Program (HSEEP)

Rev. 2017 508

APPENDIX B: EXERCISE PARTICIPANTS

Participating Organizations
Federal
State
[Jurisdiction A]
[Jurisdiction B]

Appendix B: Exercise Participants   B-1   **[Sponsor Organization]**
[PROTECTIVE MARKING, AS APPROPRIATE]
Homeland Security Exercise and Evaluation Program (HSEEP)   Rev. 2017 508

CONTACTS

Infrastructure & Safety

8 0 0 . 7 2 3 . 3 8 1 1
I T S I @ t e e x . t a m u . e d u

Environmental/Irrigation
Water/Wastewater
Safety and Health
Transportation
Electric Power
Heavy Equipment
Telecommunications
Confined Space Operations

Fire & Rescue

8 6 6 . 8 7 8 . 8 9 0 0
E S T I @ t e e x . t a m u . e d u

Industrial/Municipal Firefighting
Incident Management
Hazardous Materials
Rescue Training
Leadership
Technical Assistance
Fire Recruit Academy
Emergency Medical Services

Law Enforcement & Security

8 0 0 . 4 2 3 . 8 4 3 3
L a w @ t e e x . t a m u . e d u

Law Enforcement Extension
Forensic Science Academy
Basic Police Academy
Emergency Driving
Private Security
Explosives
Corrections Academy
Infrastructure Protection
Accident Reconstruction

Economic & Workforce Development

8 0 0 . 5 4 1 . 7 1 4 9
K E @ t e e x . t a m u . e d u

Product Development and Testing
Therapeutics Manufacturing
Economic Development
Cybersecurity
Market Intelligence
Manufacturing Assistance
Training Software Products

Mailing Address

Texas A&M Engineering Extension Service
P.O. Box 40006
College Station, TX 77842-4006

Headquarters

Texas A&M Engineering Extension Service
200 Technology Way
College Station, TX 77845-3424
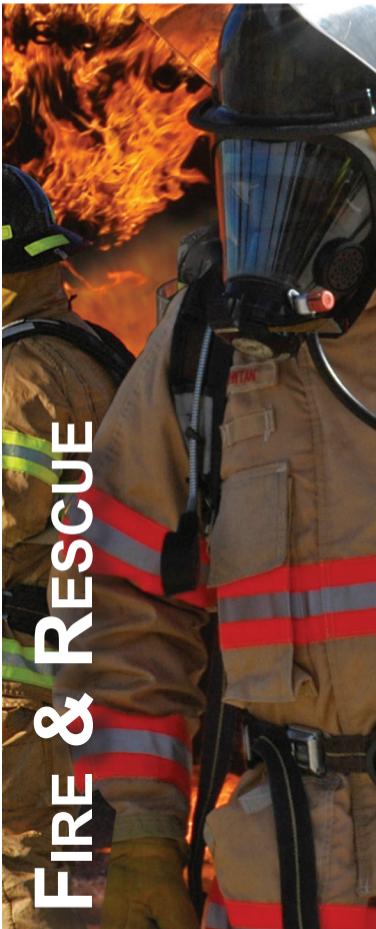
Toll-Free
877.833.9638
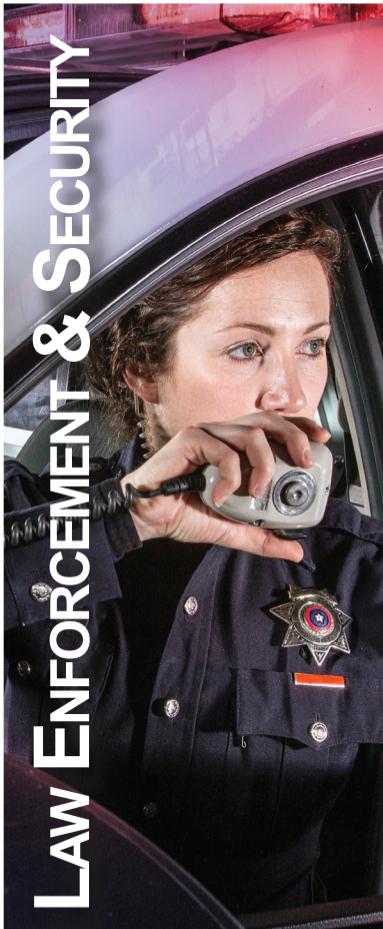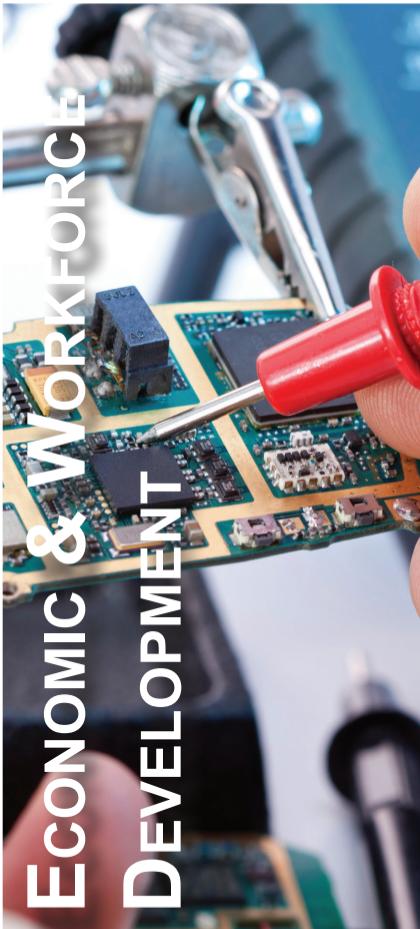
Phone
979.458.6805

Fax
979.458.6822

INFRASTRUCTURE & SAFETY

FIRE & RESCUE

LAW ENFORCEMENT & SECURITY

ECONOMIC & WORKFORCE DEVELOPMENT

TEXAS A&M ENGINEERING

TEEX

EXTENSION SERVICE