

Connecticut Division of Emergency  
Management and Homeland Security  
Region 3

Multi-Year Training and Exercise Plan  
2011-2013



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*For Official Use Only*

## **Preface**

The U.S. Department of Homeland Security (USDHS), National Preparedness Directorate, requires that every State and Urban Area conduct a Multiyear Training and Exercise Plan Workshop (TEPW) annually. Connecticut's Division of Emergency Management and Homeland Security (DEMHS) Region 3 meets this requirement for the Capitol Region Urban Area and the Region's Urban Area Security Initiative (UASI) grant. Region 3 has pursued a coordinated Urban Area Security Strategy (UASS) that combines enhanced planning, new equipment purchases, innovative training, and realistic exercises to strengthen regional emergency preparedness and response capabilities. Training and exercises play a crucial role in this strategy, providing the Region with a means of attaining, practicing, validating, and improving new capabilities.

The Regional training and exercise programs are administered by the Capitol Region Council of Governments (CRCOG), in coordination with State agencies, local jurisdictions, and local emergency response agencies. The training and exercise agenda laid out in this plan is binding for regional response agencies desiring to receive reimbursement for approved training and exercises under the State of Connecticut reimbursement program. The agenda helps prepare Region 3 and the State of Connecticut to optimally address both the natural and technical hazards that it faces.

## **Points of Contact (POCs)**

Daniel R. Scace  
Capitol Region Council of Governments  
Training Coordinator  
[daniel.scace@sbcglobal.net](mailto:daniel.scace@sbcglobal.net)  
860-522-2217, Ext 223

Laurie Ann Scotti  
Region 3  
Training and Exercise Planning Workgroup Co-Chair  
[LaurieAnn.Scotti@lfg.com](mailto:LaurieAnn.Scotti@lfg.com)  
860-466-3031

Jay Gonzalez  
Region 3  
Training and Exercise Planning Workgroup Co-Chair  
[Hube01@aol.com](mailto:Hube01@aol.com)  
860-643-2012

Kristin Sullivan  
Ct Department of Public Health  
[kristin.sullivan@ct.gov](mailto:kristin.sullivan@ct.gov)  
860-509-7126

Chris Baker  
Senior Director, Emergency Services  
American Red Cross  
[bakerch@usa.redcross.org](mailto:bakerch@usa.redcross.org)  
860-678-2823

Stan Beckford  
New England Disaster Training Center Operations  
Ct Military Department  
[Stanley-beckford@us.army.mil](mailto:Stanley-beckford@us.army.mil)  
254-338-0456

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## **Purpose**

The purpose of the Multi-Year Training and Exercise Plan is to provide a companion document to the Region 3 UASS that is focused on training and exercises. It is a living document intended to be updated and refined every two years. Comprehensive annual training and exercise schedules are updated continuously, as needed, with the current training and exercise activities. The Plan provides a roadmap for the Region to accomplish the training and exercise priorities described in the strategy. Each priority is linked to recent After-Action Report (AAR) results or the Regional Capabilities Assessment, the target capabilities that would facilitate accomplishment of the priority, and the training and exercises that will help the Region obtain or validate those capabilities and address that priority. Included in the Multi-Year Training and Exercise Plan is the comprehensive training and exercise schedule, which provides graphic illustrations of the proposed activities, scheduled for the years 2011 – 2013. These schedules represent the natural progression of training and exercises that should take place in accordance with the building-block approach.

## Program Priorities

- Support regional collaboration at all levels.
- Institutionalize Effective Regional Planning, Training and Exercise Processes.
- Implement the National Incident Management System and *National Response Framework*.
- Enhance regional collaboration and preparedness by supporting the regional capability building efforts outlined in the Urban Area Security Strategy and Regional Capabilities Assessment, and MMRS and Citizen Corps programs.

The Region 3 training and exercise program supports the building of capabilities outlined in the Capitol Region Council of Governments Regional Capability Assessment Summary Report dated December 24, 2009 and updated report dated July 11, 2011. These reports identify what capabilities need to be addressed from the regional perspective. It should be noted that all 39 capabilities on the TCL are not addressed at the regional level. Some capabilities belong to the state and are more appropriately developed via the State Strategy. Others are more appropriately addressed by the local jurisdictions, and some are shared across the spectrum of local, regional (UASI) and State involvement. Capabilities clearly appropriate for regional funding are the focus of regional funding and the associated regional training and exercise program.

This focus on the Capabilities Assessment does not imply that items identified in AARs are not a factor. AAR/IP items are important in that they are feedback related to evaluations of regional capabilities that are incorporated into the regional training and exercise plan. Regional exercises and their associated AAR/IPs help us to fine tune the specific capability related elements needing work. As such, they are critical to our building block approach in developing regional capabilities.

A central theme to the Capitol Region's approach to training and exercises is that all emergencies are local. Members of local communities make up our regional teams and can respond with regional teams when tasked and available. Our efforts in the regional program therefore provide as much assistance as possible for local jurisdictions and agencies within the region. However, local jurisdictions must understand this does not include items appropriately addressed by local agencies for a local response. For example, local jurisdictions must develop and exercise local plans that provide for public safety in their community, such as the process for activating a local EOC, or ensuring the ability to communicate among local public safety departments and their dispatch systems.

Another key aspect of the regional program is to develop exercises in accordance with HSEEP principles and guidelines. This program provides a sound background for exercise development and helps gain eligibility for grant funding in support of exercises.

Regional team/program development is focused on sustaining/developing the following priorities:

NIMS/ICS Training, Regional Communications, Regional Emergency Support Plans, Regional HAZMAT Team, MMRS/RESF-8 programs, Capitol Region Medical Reserve Corps, Region 3

Incident Management Team, Region 3 RESF13 CBRNE Response Teams and the Region 3 integrated exercise program. Citizen Preparedness Programs, regional information sharing and collaboration, Continuity of Operations Planning (COOP), critical infrastructure protection and IED awareness/response training may be priorities moving forward.

The Public Health community maintains a similar but separate Multi-Year Training and Exercise Plan to support Regional Public Health initiatives coordinated by the Connecticut Association of Directors of Health. Close coordination to integrate training and exercises for the Region is a standard practice.

## **Multi-Year Training and Exercise Schedule**

**The Multi-Year Training and Exercise Schedule is a living document. Go to [www.crcog.org](http://www.crcog.org) to view each yearly schedule.**

## **Appendix A: National, State and Regional Priorities**

### **National Priorities**

NOTE: This information is from the National Preparedness Guidelines September 2007 (NOTE: The 2007 Guidelines are the current version.

“Above and beyond its own mission and four main areas of supporting responsibility, DHS believes that the eight National Priorities as identified in the *National Preparedness Guidelines* are instrumental in guiding our State, local, tribal, and territorial, stakeholders in meeting the Nation’s most urgent needs. The eight National Priorities include the following:

- Expand Regional Collaboration
- Implement the National Incident Management System and *National Response Framework*
- Implement the *National Infrastructure Protection Plan*
- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable and Operable Communications Capabilities
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities
- Community Preparedness: Strengthening Planning and Citizen Capabilities”

### **State Priorities**

The State of Ct DEMHS has established the following goals;

- GOAL ONE: Strengthen the capabilities of emergency responders in identifying and responding to an all-hazards incident
- GOAL TWO: Strengthen local, regional and state incident response and contingency plans for all-hazards events
- GOAL THREE: Improve critical incident management and response through the implementation and use of the National Incident Management System (NIMS)
- GOAL FOUR: Secure each town's leadership commitment and adequate sustainable funding for emergency management and homeland security capabilities
- GOAL FIVE: Enhance a statewide telecommunications infrastructure and protocol that will allow for timely efficient and cost effective communications
- GOAL SIX: Enhance public safety through hardening of critical infrastructure sectors
- GOAL SEVEN: Maintain and Enhance the State's Training Program for all-hazards preparedness
- GOAL EIGHT: Strengthen information collection, analysis and sharing systems to prevent and mitigate terrorism incidents
- GOAL NINE: Strengthen the State of Connecticut's resiliency through coordination with response and recovery partners
- GOAL TEN: Engage the general public, educational systems, non-governmental organizations and private sector in all-hazards prevention, planning, response and recovery

### **DEMHS Region 3 Target Capability Priorities**

NOTE: Region 3 Priorities were identified, by Target Capability, as part of the Regional Capabilities Assessment Project. Below are listed the top 10 priorities. Refer to the Regional Capability Assessment Summary Report, December 24, 2009 for further details.

- Onsite Incident Management
- Emergency Operations Center Management
- Community Preparedness and Participation
- Communications
- Critical Resource Logistics and Distribution
- Public Safety and Security Response
- Intelligence/Information Sharing and Dissemination
- Mass Care
- Emergency Public Information and Warning
- Volunteer Management and Donations

### **Whole Community Approach**

During the update to the Capabilities Assessment in 2011 the Region became aware of a new approach to emergency preparedness. As relayed to CRCOG in the “Summary of Recent Trends in U.S. Department of Homeland Security Federal Emergency Management Agency Policy and Guidance” deliverable dated April 18, 2011, FEMA is in the midst of a significant paradigm shift in which it is stressing a new concept in preparedness activities. In its current incarnation, the Whole Community Framework establishes broad capabilities for local communities in response to a catastrophic event. In addition, each of these capabilities is accompanied by a series of metrics designed to gauge success. In conjunction with the newly issued Presidential Policy Directive 8 (PPD-8), Tetra Tech (CRCOG’s Capability Assessment contractor) believes these metrics will play an increasing role in not only assessing regional capabilities, but justifying and qualifying for federal homeland security funding. CRCOG will identify any changes to our approach and incorporate any changes needed regarding training and exercises.

## **Appendix B: Target Capabilities List**

### **Common Target Capabilities**

- Planning
- Communications
- Citizen Preparedness and Participation
- Risk Management

### **Prevent Mission Area Target Capabilities**

- Information Gathering and Recognition of Indicators and Warnings
- Intelligence Analysis and Production
- Intelligence/Information Sharing and Dissemination
- Law Enforcement Investigation and Operations
- Chemical, Biological, Radiological, Nuclear, and High-Yield Explosives (CBRNE) Detection

### **Protect Mission Area Target Capabilities**

- Critical Infrastructure Protection (CIP)
- Epidemiological Surveillance and Investigation
- Food and Agriculture Safety and Defense
- Public Health Laboratory Testing

### **Respond Mission Area Target Capabilities**

- Animal Health Emergency Support
- Citizen Protection: Evacuation and/or Shelter-In-Place Protection
- Critical Resource Logistics and Distribution
- Emergency Public Information and Warning
- Environmental Health
- Emergency Operations Center (EOC) Management
- Explosive Device Response Operations
- Fatality Management
- Firefighting Operations/Support
- Isolation and Quarantine
- Mass Care (Sheltering, Feeding, and Related Services)
- Mass Prophylaxis
- Medical Supplies Management and Distribution
- Medical Surge
- Onsite Incident Management
- Public Safety and Security Response
- Responder Safety and Health
- Triage and Pre-Hospital Treatment
- Urban Search and Rescue (USAR)
- Volunteer Management and Donations
- Weapons of Mass Destruction (WMD)/Hazardous Materials (HazMat) Response and Decontamination

### **Recover Mission Area Target Capabilities**

- Economic and Community Recovery
- Restoration of Lifeline
- Structural Damage and Mitigation Assessment

## **Appendix C: Exercise Types**

### **Discussion-Based Exercises**

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

#### **Seminars**

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

#### **Workshops**

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

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

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

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

A workshop may be used to produce new standard operating procedures (SOPs), Emergency Operations Plans (EOPs), MAAs, Multi-Year Exercise Plans, and Improvement Plans (IPs). To be effective, workshops must be highly focused on a specific issue, and the desired outcome or goal must be clearly defined.

### **Tabletop Exercises (TTXs)**

TTXs involve senior staff, elected or appointed officials, or other key personnel in an informal setting, discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined incident. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving rather than the rapid, spontaneous decision-making that occurs under actual or simulated emergency conditions. In contrast to the scale and cost of operations-based exercises and games, TTXs can be a cost-effective tool when used in conjunction with more complex exercises. The effectiveness of a TTX is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans. TTX methods are divided into two categories: basic and advanced. In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented by the facilitator, problems are discussed as a group, and resolution is generally agreed on and summarized by the leader. In an advanced TTX, play focuses on delivery of pre-scripted messages to players that alter the original scenario. The exercise facilitator usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include the following:

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

### **Operations-Based Exercises**

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

### **Drills**

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

### **Functional Exercises (FEs)**

The FE is designed to test and evaluate individual capabilities, multiple functions or activities within a function, or interdependent groups of functions. FEs are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of the Incident Command System (ICS) and Unified Command (UC). Generally, incidents are projected through an exercise scenario with event updates that drive activity at the management level. Movement of personnel and equipment is simulated. The objective of the FE is to execute specific plans and procedures and apply established policies, plans, and procedures under crisis conditions, within or by particular function teams. An FE simulates the reality of operations in a functional area by presenting complex and realistic problems that require rapid and effective responses by trained personnel in a highly stressful environment. Attributes of an FE include the following:

- Evaluating Emergency Operations Centers (EOC), headquarters, and staff
- Evaluating functions
- Examining inter-jurisdictional relationships
- Measuring resource adequacy
- Reinforcing established policies and procedures

### **Full-Scale Exercises (FSE)**

The FSE is the most complex step in the exercise cycle. FSEs are multi-agency, multi-jurisdictional exercises that test many facets of emergency response and recovery. They include many first responders operating under the ICS or UC to effectively and efficiently respond to, and recover from, an incident. An FSE focuses on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and honed in previous, smaller, operations-based exercises. The events are projected through a scripted exercise scenario with built-in flexibility to allow updates to drive activity. It is conducted in a real-time, stressful environment that closely mirrors a real incident. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident had occurred (with minor exceptions). The FSE simulates the reality of operations in multiple functional areas by presenting complex and realistic problems requiring critical thinking, rapid problem solving, and effective responses by trained personnel in a highly stressful environment. Other entities that are not involved in the exercise, but that would be involved in an actual incident, should be instructed not to respond. An FSE provides an opportunity to execute plans, procedures, and MAAs in response to a simulated live incident in a highly stressful environment. Typical FSE attributes include the following:

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

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

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

## **Appendix D: Lesson Learned 2009-1, Regional Support to Local Exercises, September 2009**

### **Middletown Safe Haven Full Scale Exercise, April 16-17**

TOPIC: Regional support to local exercises.

#### **OVERVIEW:**

- This was a local exercise which the Training and Exercise Planning Work Group agreed to support by recruiting evaluators and controllers.
- The intent was to provide subject matter expertise to local jurisdictions and develop a pool of trained evaluators/controllers for local and regional exercises to enhance the quality/consistency of exercises and take advantage of learning opportunities.
- Volunteers were designated by the exercise planning team to specific evaluator and controller positions, including the lead controller and evaluator positions.
- Results were generally successful, indicating the value of organizing and developing evaluator and controller teams to support local efforts when requested. In addition, this same concept, and perhaps the same individuals, could assist in the planning and conduct of regional exercises.
- Problem areas in implementing this concept included orienting the volunteer controllers/evaluators sufficiently and consistently to the local situation and facilities, volunteer time needed to successfully play the roles assigned, especially as lead controller or evaluator, collecting feedback from volunteer controllers and evaluators, and report writing.

#### **RECOMMENDATIONS:**

1. Local exercise planning teams should assign lead evaluator and controller roles to individuals involved in the planning process, and therefore very familiar with the exercise intent and design. Planning committee members are typically locally based, or contracted, and therefore have the necessary, higher level of ownership to the exercise from the beginning of the exercise design through the improvement planning process.
2. Tasks assigned to volunteer controllers and evaluators, and any other expectations of them, should be agreed upon well in advance of the exercise.
3. Exercise planning teams must provide orientation and exercise schedules (with back up dates) and exercise documents well in advance of the exercise to volunteer controllers and evaluators in order for them to be prepared. These SMEs are often not just willing to help, but very excited and passionate about their role. However, they may have other responsibilities with a higher priority than the local exercise that they do not “own”. It is the local team’s job to “tee up” the volunteers for success as much as possible by providing key dates and documents. Provide specific instructions for gathering exercise feedback to allow the planning team to complete the after action report.
4. Ways of compensating evaluators/controllers should be explored in advance.
5. Simple methods of showing the local jurisdiction’s appreciation should be considered. Notes of thanks from local chief elected officials often motivate the individuals volunteering to support the local exercise.
6. Continue to develop a regional cadre of exercise support subject matter experts.

## **Appendix E: Region 3 Training and Exercise Planning Workgroup Coordination of Exercises Policy**

### **Scope:**

This policy applies to all DEMHS Region 3 participating towns, agencies and Regional Emergency Support Functions. Exercises in the context of this policy include all types of exercises, drills, TTXs, etc.

### **Goal:**

To coordinate the participation of Region 3 jurisdictions, agencies and Regional Emergency Support Functions (ESF) in scheduled exercises so as to maximize productive participation, ensure an effective Region 3 exercise program, and prevent overtaxing regional resources.

### **Strategies:**

The Region 3 Training and Exercise Planning Workgroup (T&EPW) shall:

1. Identify all proposed exercises within Region 3 on the Region 3 Training and Exercise Schedule
2. Assist in identifying the goals and objectives of each proposed exercise to determine its value to participating agencies
3. Identify common interests and objectives among regional exercises
4. Encourage a higher level of participation while managing the number of regional exercises
5. Eliminate unnecessarily high demand for participation in exercises leading to a dilution of assets and interest
6. Coordinate proposed regional exercises with private, state, NGO and federal exercises

### **Policy:**

1. The T&EPW recommends that regional stakeholders participate in an exercise at least once every six months to validate plans and policies.
2. Participating entities that wish to conduct a drill or exercise will complete an *Intent to Exercise* form to ensure effective local, regional and state coordination.
3. The T&EPW will review requests according to the above stated goal and strategies and make recommendations to continue as described in the Intent to Exercise form, or, combine the exercise with an existing planned or proposed exercise. Exercises will be added to the Region 3 Training and Exercise Schedule.
4. If Regional agencies or assets are requested to participate in a proposed exercise, the T&EPW may recommend or not recommend Regional participation based on the proposed goals and objectives of the exercise and the overall assessment of the value of the proposed exercise based on Regional exercise program requirements. The final decision to conduct an

exercise or to participate in an exercise remains with the individual community or agency based on their specific exercise requirements.

5. Some exercises will be regionally sponsored and some sponsored by other agencies (CT DPH, DEMHS or hospitals for example). Every attempt will be made to support all exercises on the Regional exercise calendar.
6. All proposed exercises will be developed in accordance with Homeland Security Exercise and Evaluation Program (HSEEP) principles.
7. All proposed exercises will evaluate the standing target capability of Communications and utilize the Communications Exercise Evaluation Guide for all CREPC-sponsored exercises.
8. All CREPC-sponsored exercises will incorporate special needs considerations to the extent possible.
9. Overtime/backfill reimbursement *may* be available in accordance with Homeland Security grant guidelines for HSEEP compliant exercises. Entities seeking reimbursement must notify CRCOG as soon as possible to ensure proper reimbursement coordination.
10. It is understood that participation in any exercise is dependent on the actual, real time events occurring on the day of the exercise. Any participating agency may withdraw from an exercise if that agency's presence is required elsewhere for an actual emergency.