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Guidance for Using Federal Homeland Security Funds
for Trainings and Exercises

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Introduction

The purpose of this document is to provide detailed explanation of the U.S. Department of Homeland Security (DHS) allowable training and exercise costs for State Homeland Security Program (SHSP) and Urban Area Security Initiative (UASI) grant funding. The following are guidelines necessary for proper execution of grant funding.

Although there may be certain training and exercise costs that are allowable per DHS, the Executive Office of Public Safety and Security (EOPSS), as the State Administrative Agency (SAA), does have final authority on training and exercise requests. As it is the goal of EOPSS to see our partners succeed, we will strive to be consistent and fair in our decisions.

While these guidelines apply to all entities in Massachusetts that receive federal homeland security funding, the target audience for this document are the Regional Homeland Security Councils/UASI, their respective fiduciary agents, and the Metropolitan Medical Response Systems. It is expected that these entities will become familiar with the material contained within this guidance document.

For technical assistance or additional guidance regarding the various federal rules and regulations pertaining to training and exercises, please contact:

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Overview of Homeland Security Management in the Commonwealth

EOPSS, as the State Administrative Agency (SAA) for the Commonwealth of Massachusetts, has primary responsibility for the development and implementation of homeland security policies and for the management of homeland security grant funds. EOPSS collaborates with law enforcement, fire service, emergency medical, emergency management, public health, public works, and transportation, as well as, private sector entities, and regional and local officials across the state, in order to coordinate priorities, solicit input for homeland security strategies, and strengthen partnerships. EOPSS also serves as the link to the federal security apparatus, including DHS/FEMA, the Department of Defense, and the Department of Justice.

While EOPSS sets priorities and strategic planning for homeland security in the State, implementation of those priorities and execution of those plans rests with the state agencies. For example, the Massachusetts Emergency Management Agency (MEMA) is responsible for the coordination of local, state, federal, and private resources throughout the Commonwealth during times of disasters and emergencies. The Department of Fire Services provides statewide leadership and coordination in relation to the fire response to homeland security incidents, including taking the lead in the area of chemical, biological, radiological, nuclear, and explosive incidents. The Department of Public Health is the primary state agency responsible for developing and implementing the Commonwealth's plans related to public health emergencies such as the potential for pandemic influenza. Other critical partners include the Massachusetts Department of Transportation, the Massachusetts Bay Transit Authority, the U.S. Coast Guard, and many others with whom EOPSS works to coordinate efforts.

In addition to partnerships with state entities, five geographical designed homeland security planning regions – the Northeast, Southeast, Central, West and Metro-Boston Urban Area Security Initiative or UASI - were developed in 2004 to support strategic planning and operations coordination at the local level and receive funding from the Homeland Security Grant Program (HSGP) grant streams. These regions have multi-discipline, multi-jurisdictional advisory councils that are tasked with developing regional homeland security goals. They meet monthly to make plans and decisions about specific investment and initiatives.

Training

The U.S. DHS encourages states, territories, municipalities and urban areas to use funds to enhance the capabilities of state and local emergency preparedness and response personnel.

In general, the target audience for training courses includes personnel involved with or in the capacity of:

• Emergency prevention	• Protection
• Response	• Recovery personnel
• Emergency managers	• Public/elected officials
• Personnel representing functional areas such as critical infrastructure / key resources protection including cyber, agriculture, and food security.	

Within the following disciplines:

• Fire Service • Law Enforcement • Emergency Management • EMS	• Hazardous Materials • Public Works • Public Health • Health Care
• Public Safety Communications • Governmental Administrative • Private Sector	

Training topics include, but are not limited to:

Chemical, Biological, Radiological, Nuclear Explosive (CBRNE terrorism)
Catastrophic events
Pandemic Influenza
Cyber/agriculture/food security
Citizen preparedness
Training for volunteers

Training conducted with DHS support must demonstrate a linkage to a Target Capability and be applicable to the State or Urban Area Homeland Security Strategy.

http://www.mass.gov/Eeops/docs/helpus_helpyou/state_homeland_security_strategy_092307.pdf

Training conducted using federal homeland security grant funds should address a performance gap identified through an After Action Report/Improvement Plan or contribution to building a capability that will be evaluated through an exercise.

I. Allowable Training Costs

Allowable training costs include, but are not limited to, the following:

1. Costs to develop, deliver, and evaluate training, to include costs related to administering the training; planning, scheduling, facilities, materials and supplies, reproduction of materials, and equipment.

When developing training courses you must confirm, through EOPSS, that your proposed course does not already exist. This must be done prior to proposed course development.

2. Overtime and backfill costs associated with **attendance** at DHS-sponsored and/or approved training courses and programs. Overtime and backfill are generally allowable for municipal first responders. BF/OT are not allowable for travel time to/from the training course.

In general, the ten (10) first responder disciplines are: law enforcement, fire services, emergency management, emergency medical services, health care providers, hazardous materials personnel, public safety communicators, public health, public works and government administrators.

3. Costs associated with the certification and re-certification of instructors for DHS-sponsored and/or approved training courses.
4. Travel costs (e.g., airfare, mileage, per diem hotel) are allowable as expenses by those who are on travel status for official business related to approved trainings that is conducted out of state. **The Councils/UASI/MMRS must submit a request to EOPSS in advance of the proposed out-of-state training course. For non-DHS approved courses, follow the Training Petition process on pages 5-6; for DHS-approved courses ('resident courses') follow the 'Requesting DHS Courses' on pages 13-14.**
5. Hiring of full or part time staff or contractors/consultants. Full or part-time staff may be hired to support training-related activities. Payment of salaries and fringe benefits must be in accordance with the policies of the state or unit(s) of local government and have the approval of the state or awarding agency, whichever is applicable. Such costs must be included within funding allowed for program management personnel expenses, which must not exceed 15% of the total allocation.

II. Definitions

- **DHS Provided Training:** courses or programs developed for and/or delivered by institutions and organizations funded directly by DHS. (See Section III below for a partial list of these providers).
- **Training not Provided by DHS:** courses that are either state sponsored or federally sponsored, coordinated and approved by the State Administrative Agency (SAA) or Training Point of Contact (TPOC), and fall within the DHS mission scope to prepare state and local personnel to prevent, protect against, respond to, and recover from acts of terrorism or catastrophic events.
- **State Approved Courses (non-DHS approved training courses):** courses developed for and/or delivered by institutions or organizations other than federal entities or DHS and are approved by the SAA or TPOC
- **Approved State Sponsored Course Catalog:** listing of state/territory sponsored courses that fall within DHS mission scope and have been approved through DHS course review and approval process.
- **Approved Federal Sponsored Course Catalog:** listing of Federal-sponsored courses that fall within DHS mission scope, and have been approved through DHS course review and approval process ('TEI/TO' and 'Federal-Sponsored'; see below for details).

III. Partial List of DHS Training Providers/Partners

DHS draws upon a collection of 'Training Providers/Partners' in the development and delivery of its training programs. A full list of providers/partners may be found on FEMA's Training and Exercise Integration/Training Operations (TEI/TO) website here: <https://www.firstrespondertraining.gov/TEI/tei.do?a=home> (on the right-hand side of the screen under 'View Catalogs' click on 'Federal-Sponsored' and/or 'TEI/TO').

These providers/partners include:

- Center for Domestic Preparedness
- FEMA Emergency Management Institute
- Center for Infrastructure Assurance and Security
- Counterterrorism Operations Support Program
- Cyberterrorism Defense Analysis Center
- National Center for Biomedical Research and Training
- National Domestic Preparedness Consortium
- National Emergency Response and Rescue Training Center
- National Terrorism Preparedness Institute
- New Mexico Institute of Mining and Technology
- Response to Emergencies and Disaster Institute
- Rural Domestic Preparedness Center and Justice and Safety Center

IV. Attending Non-DHS Approved Training Courses

All sub-recipients are **required** to submit - in advance - a Training Petition to their respective EOPSS Program Coordinator requesting approval of any non-DHS approved training which they are interested in supporting with DHS funds.

A Training Petition is a letter signed by the Council/UASI/MMRS chair that is sent to their respective EOPSS Program Coordinator **at least thirty (30) days prior to the requested start date of the training course**. A non-DHS approved course may only be delivered a maximum of three (3) times statewide before the course is required (see Section V for restrictions) to go through the DHS State course review and approval process.

When submitting Training Petitions, you must use the numbered format below:

1. An explanation of why the course is required
2. Certification that the training catalogs found on FEMA's Training and Exercise Integration/Training Operations website have been reviewed, and this course is not a DHS-approved course
(<https://www.firstrespondertraining.gov/TEI/tei.do?a=home> (on the right-hand side of the screen click 'View Catalogs').
3. Course title
4. Course description
5. Mission area (choose from: prevent, protect, respond, or recover)
6. Level of training to be provided (awareness, performance, management, etc.)
7. Training provider
8. Proposed dates of the course to be held
9. Number and associated disciplines of the individuals
10. An estimation of how much funding will be required to fund the course, including the funding year and stream
11. Sponsoring jurisdiction
12. Please include a copy of the training course brochure and/or announcement (not the course curriculum)
13. To the best of your knowledge, has this course been offered via an approved Training Petition before? If yes, how many times?

Separate Training Petitions must be sent for each distinct proposed course offering.

Additionally, this letter shall state the assurance of the following:

1. Falls within DHS mission scope to prepare state and local personnel to prevent, protect, respond to, and recover from acts of terrorism and catastrophic events.
2. Builds additional capabilities that a) support a specific training need identified by the State or Urban area, and b) comport with the state or urban area Homeland Security Strategy.
3. Address specific tasks and/or competencies articulated in DHS' Emergency Responders Guidelines and the Homeland Security Guidelines for Prevention and Deterrence.
4. Address specific capabilities and related tasks articulated in the Target Capabilities List (TCL) and the Universal Task List (UTL).
5. Comports with all applicable federal, state, and local regulations, certifications, guidelines, and policies deemed appropriate for the type and level of training.

By submitting this Training Petition to EOPSS, the sub-recipient certifies, to the best of their knowledge, that this course meets the above guidelines and adheres to the DHS mission of preparing for, responding to, and recovering from WMD, CBRNE, and catastrophic natural / technological disasters. DHS will conduct periodic, randomized reviews of training funded through DHS monies. These reviews may include requests for all course materials and physical observation of or participation in the funded training. If these reviews determine that courses are outside the scope of this guidance, grantees will be asked to repay grant funds expended in support of those efforts.

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Reimbursement Procedures for Approved Trainings and Exercises

Training

When submitting for either backfill or overtime reimbursement for approved training courses, an excel spreadsheet accompanying the reimbursement request should contain the following information for each individual that participated:

- 1.) The name of the course, the course code number (if applicable), the date of the course taken, the name of person that attended and their rank, their overtime/backfill rate, the number of overtime/backfill hours worked, and the total cost. **Please note on the spreadsheet – for each individual – whether this is a reimbursement for backfill or overtime.**

Example:

Name of Course	ODP Course Code #	Date of Course	Name of Person/Rank	Overtime/Backfill Rate	Number of Hours	Total Cost
Public Works WMD	AWR-112	1/21/2005	John Doe	\$10.00	8 hours	\$80.00

Additionally:

- 2.) Accompanying the spreadsheet **must** be **either**:

- Clear copies of the training course certificates for **each** individual who attended and is seeking reimbursement;

OR

- A letter from the training consortium/agency that provided the training stating that training *actually occurred for those who have submitted for backfill and overtime reimbursement*;

OR

- a copy of the sign-in roster from the training consortium/agency listing **all** individuals who attended the course. The sign-in roster **must** be a copy of the original. Electronic sign in rosters will **not** be accepted unless they are printed out on the training consortium/agency letterhead and signed off by the training consortium/ agency.

- 3.) Receipts of any supplies purchased for the training (duct tape, pens, gloves, poster board, etc) must accompany the request to be reimbursed.

Exercises

When submitting for reimbursement for expenditures directly related to any approved exercise that was conducted, an excel spreadsheet accompanying the reimbursement request **must** contain the following information for each individual that participated:

- 1.) The name of the exercise, the date of the exercise, the name of person that attended and their rank, their overtime/backfill rate, the number of overtime/backfill hours worked, and the total cost. **Please note on the spreadsheet – for each individual – whether this is a reimbursement for backfill or overtime.**

Example:

Name of Exercise	Date of Exercise	Name of Person/Rank	Overtime/Backfill Rate	Number of Hours	Total Cost
Operation Ajax	1/21/05	John Doe	\$10.00	8 Hours	\$80.00

Additionally:

- 2.) Receipts of any supplies purchased for the exercise must accompany the request to be reimbursed.

Please note that training/exercise reimbursement requests may be submitted to EOPSS more than once a month. To expedite the reimbursement process, reimbursement requests should be submitted with AAR's when applicable.

Reimbursement requests for costs incurred prior to actual conduct of an exercise (e.g., exercise planning) **may** be submitted to EOPSS for reimbursement prior to AAR/IP submittal. Costs related to activities conducted during an exercise will **not** be reimbursed until an AAR/IP has been reviewed and approved by EOPSS.

Councils/UASI/MMRS may request a waiver of this policy. The waiver process is as follows:

EOPSS will, **at its discretion**, process reimbursement requests related to activities conducted during an exercise prior to receiving an AAR/IP.

This will be done on a case-by-case basis and **only** through formal request by the Council Chair/UASI/MMRS to EOPSS. Requests **must** include the following:

1. A justification for processing reimbursement without an AAR/IP;
2. An anticipated date when the AAR/IP will be sent to EOPSS. (Please note that an AAR/IP **must** be sent to EOPSS sixty (60) days following completion of an exercise;
3. Total reimbursement amount being requested. (Please note that, without an AAR/IP, EOPSS will **not** reimburse any contractor-related costs);
4. In line-item format, services/costs that the reimbursement request is for. Allowable services/costs under this policy include: backfill/overtime and venue-related costs.

Upon receipt of a formal request EOPSS will review and inform the Council/UASI/MMRS of its decision.

If approved, EOPSS will request **one (1) separate invoice** to be sent for reimbursement. The waiver request **must** be attached to the reimbursement request.

V. Developing and Institutionalizing Non-DHS Approved Courses

Councils/UASI, state agencies, and other Massachusetts sub-recipients intending to either 1) develop a new course, or 2) institutionalize their existing non-DHS approved course must first formally request approval from their respective EOPSS Program Coordinator. **EOPSS does not engage in this process with private training providers.** To approve, EOPSS will request: certification this course is not already approved by DHS; certification that this course would meet an identified need; certification that there is a training provider in place that had adequate capability to provide the training. If the proposed course is allowable, the providing entity will be invited to submit the supporting training materials.

Required supporting training materials include:

1. **Mission Area:** The submitting entity will identify the mission area(s) of the course and materials submitted. The following mission areas will be used as defined in the Goal and supported by the TCL.
2. **Target Audience:** The submitting entity will identify the target audience(s) of the course and materials submitted. The following list of disciplines should be used: fire service, law enforcement, emergency management, emergency medical services, hazardous materials, public works, public health, health care, public safety communications, governmental administrative, cyber security, agriculture security, food security, private security, and citizens.
3. **Level of training:** The submitting entity for all response area training will identify the level(s) of training of the course and materials submitted. Each submission must be identified as Awareness, Performance-Defensive (OSHA Operations), Performance-Offensive (OSHA-technician), OSHA specialist, Planning/Management (OSHA Command) Levels. Further information may be found on FEMA's Responder Training Development Center (RTDC) site here: <https://www.firstrespondertraining.gov/rtdc/state/>
4. **Program of Instruction (POI)/Syllabus:** The POI or syllabus is an outline, or matrix, of the course content. It addresses the scope of the training, course learning objectives, duration of the training (broken down by module, session, or lesson), resource requirements, instructors to student ratio, and an evaluation strategy. These items are not all inclusive, but are the minimum categories that should be addressed.

5. **Training Support Package (TSP):** The TSP is all of the materials associated with the delivery of the training course. The following items should be in the TSP:
- a. **Instructor Guide/Instructor Outline/Instructor Lesson Plans.** The published instructor material that contains course text and special instructor notes that provides the information to deliver the material.
 - b. **Participants Manual/Guide/Workbook.** The published student material that contains the supporting information in booklet, electronic, or handout form that the participants has available for reference.
 - c. **Audio/Visual Support Materials.** Any audio/visual components that are part of any learning module, session, lesson or that supports the overall training being delivered.
 - d. **Special Support Materials.** Any description of practical exercises, table-top exercises or other materials that supports the learning objectives.

VI. Module/Session/ Lesson Content

Training courses should be designed based on a building block approach. Each sub-component in the course should be titled as a module, session, or lesson. Regardless of the title, each module, session, or lesson, should have a Lesson Administration Page (LAP) that outlines the following:

- a. **Scope Statement.** A brief description of the content of the module, session, or lesson.
- b. **Terminal Learning Objectives (TLO).** An action verb statement that outlines what the student is expected to learn or be capable of performing at the conclusion of the module, session, or lesson. There should be only one TLO per module, session, or lesson.
- c. **Enabling Learning Objectives (ELO).** Enabling learning objectives are the incremental learning objectives that support the TLO. There should be at least one ELO per module, session, or lesson. Each ELO must be a measurable performance statement that enables the student to demonstrate achievement of the TLO.
- d. **Resource List.** A listing of the resources needed to successfully accomplish the module, session, or lesson.
- e. **Instructor to Student Ratio.** The instructor to student requirement for successful presentation of the material (e.g., 1:25).
- f. **Reference List.** A listing of all reference materials used to develop the module, session, or lesson. This information may also be included as a bibliography.
- g. **Practical Exercise Statement.** This describes any exercises associated with the module, session, or lesson.
- h. **Evaluation Strategy.** This defines the strategy used to evaluate the module, session, or lesson (e.g., written and/or performance tests or assessments).

VII. EOPSS Policy on Developing and Institutionalizing non-DHS Training Courses

Due to the amount of work involved, EOPSS conducts and coordinates one course review at a time. The course review period is the beginning of the state review to the conclusion of the federal review. EOPSS maintains a waiting list of courses to undergo this review process. For further information developing courses using the instructional design methodology and tools that can facilitate the process, please contact your respective EOPSS Program Coordinator.

VIII. Requesting DHS-Approved Courses

There are two general types of DHS-approved training courses: ‘resident’ and ‘non-resident’. Resident courses are defined as courses that are conducted out of state by a DHS-approved Training Provider. Non-resident courses are conducted in state by a DHS-approved Training Provider.

In order to attend a DHS approved ‘resident’ (out-of-state) training class, a request, through the Regional Homeland Security Council/UASI, **must** be provided, **at least thirty (30) days prior to the requested start date of the training course,** to the respective EOPSS Program Coordinator **and** the State Training Point of Contact (TPOC) (see below for details). As these courses can reach their maximum classroom size quickly, it is recommended that requests be submitted earlier than the thirty (30) day requirement. Councils/UASI should **not** contact DHS Training Providers/partners directly. Please note that some courses may require more time to coordinate. Once the request has been approved by the EOPSS coordinator and the State’s TPOC, the State TPOC will work with the DHS training partner to schedule the course(s) at a local site for the jurisdiction or to schedule participants at the training provider’s facilities.

In order to attend a DHS approved ‘non-resident’ (in-state) training class, a request through the Regional Homeland Security Council/UASI, **must** be provided, **at least sixty (60) days prior to the requested start date of the training course,** to the respective EOPSS Program Coordinator and the State’s Training Point of Contact (TPOC) (see below for details). The sixty-day requirement is necessary as EOPSS, MEMA, and the Training Provider need adequate planning time. Council/UASI should **not** contact DHS Training Providers/partners directly. Please note that some courses may require more time to coordinate. Once the request has been approved by the State’s TPOC, the State TPOC will work with the DHS training partner to schedule the course(s) at a local site for the jurisdiction or to schedule participants at the training providers facilities.

Massachusetts Training Point of Contact for Scheduling

Jeff Tedesco (MEMA)
(Tel) 508-820-2000
Jeff.Tedesco@state.ma.us

To find a DHS-approved Training Course, go to FEMA's Training and Exercise Integration/Training Operations (TEI/TO) website here:
<https://www.firstrespondertraining.gov/TEI/tei.do?a=home> (on the right-hand side of the screen under 'View Catalogs' click on 'TEI/TO' for courses provided by DHS-approved Training Providers (e.g., LSU, TEEX, etc) or 'Federal-Sponsored' for Federal Sponsored Trainings (e.g., EMI). The TEI/TO catalog provides resident and non-resident course information, the Federal Sponsored catalog generally provides resident course information. Refer to the course description for specific information.

Step 1

Submit Council/UASI-approved request to **State TPOC** and **EOPSS** via email. **Requests for Resident courses (see definition above) must be submitted at least Thirty (30) days prior to the proposed training. Request for Non-Resident Courses (see definition above) must be submitted at least sixty (60) days prior to the proposed training.** Councils/UASI should **not** contact DHS Training providers / Partners directly.

Step 2

Request **must** include individuals who would attend, their discipline and affiliation (e.g., municipal fire) course name, and course number (FEMA course: AWR-167, Sport Event Risk Management)

Step 3

State TPOC contacts the Centralized Scheduling and Information Desk (CSID) for scheduling information.

Step 4

CSID contacts training partner to schedule course in coordination with State Training POC and local jurisdiction POC.

Step 5

Once approved, the State Training POC will contact the local jurisdiction and EOPSS POC. The local jurisdiction will work directly with the training provider to work out course coordination and deliverables.

IX. Frequently asked NIMS Training Questions

1. Question: Which ICS courses are recognized by Massachusetts?

Answer: ICS on-line courses (including, but not limited to, IS 700, IS 800, ICS 100, ICS 200) conducted via the U.S. FEMA portal (training.fema.gov) are recognized as sufficient training to meet NIMS compliance. ICS classroom courses conducted by State training providers (see below) are recognized as sufficient training to meet NIMS compliance. ICS classroom training schedule information is available on MEMA's website here: www.mass.gov/mema.

2. Question: Can I take ICS 300 and/or ICS 400 on non-consecutive days?

Answer: The ICS 300/400 classes that are taught in the state are designed to be taken straight through without interruption. However, there are times when, due to schedule or the needs of part-time and volunteer staff, we will offer the class over multiple weekends or multi-week evening courses.

It is important to know that ICS 300/400, the use of groups and teams is crucial. In addition, the subject matter can become somewhat involved. It is not wise to spread the class over too many days as some students might lose their grasp of the concepts. In addition, the longer the class is spread out, the less cohesive that team or group becomes.

To that end, we have developed the "Two-Week Policy", which states that all classes must begin and end within fourteen (14) days. Please contact your regional MEMA training coordinator for further information.

3. Question: Can municipal first responders instruct ICS to other municipal first responder?

Answer: Municipal first responders may instruct IS-700, IS-800, ICS 100, and ICS 200 provided that they have either completed one level above the training they would instruct or have completed a comparative Train-the-Trainer course. In addition, use of federal homeland security funds for backfill/overtime support is an allowable cost for the instructor and the students.

The ICS 300 / 400 training must be taught by either MEMA, DFS, or the Barnstable County Fire and Rescue Training Academy.

Massachusetts Executive Office of Public Safety and
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Homeland Security Division

Exercise Guidance

Exercises

Exercises should be used to provide the opportunity to demonstrate and validate skills learned in training, as well as to identify training gaps. **All exercises conducted with DHS funds should support the development and testing of Emergency Operations Plans and/or Comprehensive Emergency Management Plans.**

Exercises conducted with DHS support must be managed and executed in accordance with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP Volumes I-III contains guidance and recommendations for designing, developing, conducting, and evaluating exercises. HSEEP Volume IV provides sample exercises materials. All four volumes can be found on the HSEEP website at <http://hseep.dhs.gov>.

Approval from EOPSS for supporting an exercise is required. The approval request must contain the exercise proposal including a detailed narrative of the exercise and an itemized budget. Furthermore, the Exercise Approval Request Form and Budget (found on pages 26-28) must be completed and submitted along with the request.

1. NIMS Compliance

Exercises conducted using DHS funding must be NIMS compliant, as defined by the NIMS compliance matrices (www.fema.gov/emergency/nims).

2. Exercise Scenarios

In previous years, funding was focused strictly on enhancing capabilities to prevent, respond to, or recover from CBRNE, agriculture, and cyber terrorism incidents.

Beginning in Federal Fiscal Year (FFY) 2006, the scope of this program was broadened to include not only terrorism but also natural and technological disasters (with the exception of LETPP-funded exercises which must be terrorism only).

If conducting a natural or technological disaster exercise, the scenario must be catastrophic in scope and size. A catastrophic incident is any natural, technical, or manmade incident, including terrorism, that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the population infrastructure, environment, economy, national morale, and or government functions.

Exercise planners may use the National Planning Scenarios as a reference or model for scenario design, or as a planning tool to help conceptualize the magnitude of threats facing a jurisdiction. However, it is not necessary for jurisdictions to replicate the National Planning Scenarios in their exercises. Rather, planners should use the tasks and capabilities, derived from the National Planning Scenarios, to design objectives and a scenario tailored to the existing jurisdiction.

The scenarios used in funded exercises **must** focus on validating existing capabilities (e.g., training, equipment, plans) and should be large enough in scope and size to exercise several tasks and warrant involvement from multiple jurisdictions and disciplines. Exercise scenarios should also be based on the State or Urban Area Homeland Security Strategy and Multi-Year Training and Exercise Plan.

Grantees are allowed flexibility to develop exercises scenarios that apply to their jurisdiction within these planning assumptions. Grantees that need further clarification on exercise-related issues, including planning, conduct, and scenarios, should consult their respective EOPSS Program Coordinator for assistance and/or approval.

3. Models, Simulations and Games (MS&G)

Grantees who wish to expand funds on models, simulations, or games (MS&G) **must** consult with “Review of Models, Simulations, and Games for Domestic Preparedness Training and Exercise Volume III,” which provides an overview and analysis of existing models, simulations, and games. Grantees can also consult with the MS&G Decision Support System which automates the aforementioned report into a searchable database. Both the report and system are available through the HSEEP website at <http://hseep.dhs.gov>.

4. Special Event Planning

If a municipality or urban area will hosting an upcoming special event (e.g., Super Bowl, G-8 Summit), or they anticipate that they will apply to be a venue for future Top Officials (TOPOFF) exercise, they should plan to use SHSP or UASI funding to finance training and exercises activities in preparation for that event.

5. Integration of Training and Exercises

Exercises conducted using grant funds should provide a venue for first responders to utilize training received through DHS and other entities. Exercises should be used to provide responders the opportunity to demonstrate skills learned in training as well as to identify training gaps. Any advanced training or training gaps should be identified in the After Action Report (AAR)/Improvement Plan (IP) and addressed in the training cycle of State and Urban Area activities.

6. Exercise Evaluation

All exercises will be performance-based and evaluated. An AAR/IP will be prepared and submitted to DHS following every exercise, regardless of type or scope. Some exercises, such as seminars and workshops may not require the same level of analysis as a tabletop, drill, function or full-scale exercise, **but they must still produce an AAR/IP.**

7. After Action Reports/Improvement Plans

If Councils/UASI are contracting with a vendor to conduct an exercise and develop the AAR/IP, it is strongly encouraged to include in the scope of services that an HSEEP AAR/IP is required to be submitted, to the council/UASI, thirty (30) days after conclusion of the exercise. This will ensure the Council/UASI receives the AAR/IP with time to review and approve and forward to EOPSS.

The Councils and UASI must review and approve all AAR's/IP's before they are sent to EOPSS. The Council/UASI may determine how this review and approval process is done (for instance, by the Training and Exercise sub-committee), but it must be done before the AAR/IP is sent to EOPSS.

AAR/IPs, which **must** conform to the HSEEP format (see HSEEP website <http://hseep.dhs.gov>), should capture objective data pertaining to exercises conduct and **must** be developed based on information gathered through Exercise Evaluation Guides (EEGs) found in HSEEP Volume IV. These EEGs will allow evaluators to assess responder performance within the Universal Task List, which collectively achieves the capabilities of the Target Capabilities List. Based on the observation and assessed criteria denoted in the EEGs, the AAR/IP will include recommendations, action items for improvement, identify educational opportunities for involved disciplines, assigned due dates and responsibilities, and an overall assessment of the exercise.

MEMA is currently offering HSEEP and Exercise Design Courses. Please visit their online Training Registration System at www.mass.gov/mema for more information.

AAR/IPs must be provided, in an electronic format, to their respective EOPSS Program Coordinator within sixty (60) days following completion of each exercise. The approved AAR template may be found on the HSEEP website here:
https://hseep.dhs.gov/pages/HSEEP_Home.aspx .

The Improvement Plan (also known as a “Corrective Action Plan”) section:

Must identify the primary responsible agency in the following format (e.g., ‘Boston Fire Department’; not ‘Fire Department’)

Should identify specific point of contact

Should identify a start date

Must identify a completion date (in month/year format)

Again, AAR/IPs must use the HSEEP template and must be reviewed and approved by the Council/UASI prior to being sent to EOPSS.

Reimbursement requests for costs incurred prior to actual conduct of an exercise (e.g., exercise planning) may be submitted to EOPSS for reimbursement prior to AAR/IP submittal. Costs related to activities conducted during an exercise will not be reimbursed until an AAR/IP has been reviewed and approved by EOPSS.

Council/UASI may request a wavier of this policy. The wavier process is as follows:

EOPSS will, at its discretion, process reimbursement requests related to activities conducted during an exercise prior to the receiving an AAR/IP.

This will be done on a case-by-case basis and only through formal request by the Council Chair/UASI to EOPSS. Requests must include the following:

1. A justification for processing reimbursement without an AAR/IP;
2. An anticipated date when the AAR/IP will be sent to EOPSS (Please note that an AAR/IP must be sent to EOPSS sixty (60) days following completion of an exercise;
3. Total reimbursement amount being requested. (Please note that , without an AAR/IP, EOPSS will not reimburse any contractor-related costs);
4. In line-item format, services/costs that the reimbursement request is for. Allowable services/costs under this policy include: backfill/overtime and venue-related costs.

Upon receipt of a formal request EOPSS will review and inform the council/UASI of its decision.

If approved, EOPSS will request one (1) separate invoice to be sent for reimbursement. The wavier request must be attached to the reimbursement request.

8. Citizen Participation in Exercises

Citizen participation in exercises is encouraged, to include backfilling non-professional tasks for first responders deployed on exercise, administrative and logistical assistance with exercise implementation, providing simulated victims, press, and member of the public. Citizen participation in exercise should be coordinated with local Citizen Corps Council(s). Massachusetts Emergency Management Agency staff can also assist with Citizen Corps Participation.

9. Allowable Exercise Costs

Allowable exercise related costs include:

- Funds Used to Design, Develop, Conduct and Evaluate and Exercise – includes costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel, and documentation.

If an entity is only conducting planning efforts (that would not result in exercise conduct) the following items are required to be submitted to EOPSS in order for reimbursement to be processed: Draft Situation Manual (for seminar, workshops, tabletop, game), Draft Exercise Plan, Draft Controller/Evaluator Handbook, Draft Master Scenario Events List, Draft Exercise Evaluation Guide (for drill, functional exercises, full-scale exercise).

- Exercise Planning Workshop-Grant funds may be used to plan and conduct an Exercise Planning Workshop to include costs related to planning, meeting space and other meeting costs, facilitation costs, materials and supplies, travel and exercise plan development.
- Hiring of Full or Part-Time Staff or Contractors/Consultants –Full or part-time staff may be hired to support exercise-related activities. Payment of salaries and fringe benefit must be in accordance with the policies of the state or unit(s) of local government and have the approval of the State of the awarding agency, whichever is applicable. Such costs must be included within the funding allowed for program management personnel expenses. The services of contractors/consultants may also be procured to support the design, development, conduct and evaluation of exercises.

Please see item #12 below on Use of Contractors

- Overtime and backfill are generally allowable for municipal first responders.

In general, the ten (10) first responder disciplines are: law enforcement, fire services, emergency management, emergency medical services, health care providers, hazardous materials personnel, public safety communicators, public health, public works, and government administrators.

- Supplies –Supplies are items that are expended or consumed during the course of the planning and conduct of the exercise project(s) (e.g., copying paper, glove, tape, non-sterile masks, and disposable protective equipment).
- Other items – These costs included the rental of space/locations for exercise planning and conduct, rental of equipment (e.g., portable toilets, tents), food, refreshments, gasoline, exercise signs, badges, etc.

Please note that food / refreshments are only allowable at exercises that are five (5) hours or greater in length.

- Implementation of the Homeland Security Exercise Evaluation Program (HSEEP) – Costs related to setting up and maintaining a system to track the completion and submission of After Action Reports (AARs) and the implementation of corrective actions from exercises, which may include costs associated with meeting with local units of government to define procedures.

10. Unauthorized Exercise Costs

Unauthorized exercise-related costs include:

- Reimbursement for the maintenance and/or wear and tear costs of general use vehicles (e.g., construction vehicles) and emergency response apparatus (e.g., fire trucks, ambulances).
- Equipment that is purchased for permanent installation and/or use, beyond the scope of exercise conduct (e.g., electronic messaging sign).

11. Legal Opinion on Members of Regional Councils Entering into Employment or Consulting Agreement with Entities that are recipients of HSGP Funding Awarded By Regions

For more information on this, please refer to the EOPSS November 13, 2007 memorandum regarding State Ethics Laws (a pdf of this memorandum is found at the end of this guidance document).

12. Use of Consultants

The entity hiring a contractor to assist in exercise planning and conduct has a vested interest in the exercise(s) and must be involved in all project phases. The contractor should not be considered the project lead; rather, the project lead should be the Council/UASI and/or its Training and Exercise sub-committee. The Council/UASI, not a contractor is responsible for notifying EOPSS of exercises, submitting AARs to EOPSS, and submitting exercise reimbursements to EOPSS.

The consultant's role is that of an advisor. **The ultimate decision-making and approval stays with you.** Their job is to identify problems and recommend strategies to improve your training and exercise program and offer a fresh, unbiased view of your project.

If hiring a consultant, you may want to consider:

a. Define the project so all parties understand the objectives and the key results desired.

- Begin by writing a detailed description of your objectives and requirements. What results do you expect? How do you want the information presented at the end of the project? EOPSS requires that all information is developed according to the Homeland Security Exercise and Evaluation Program (HSEEP) methodology Volumes I – IV, and that documents are developed using HSEEP templates. This information can be found on the FEMA website at www.hseep.dhs.gov.

b. Establish clear and comprehensive selection criteria for the consultant.

- Some selection criteria to consider:
 - Experience –a consultant should have a wide breadth of experience working in different areas of Emergency Preparedness/Homeland Security. It may also be advantageous if you considered a vendor that has experience working within Massachusetts and who understands the process of working within the state's homeland security framework.
 - Ability – a good consultant should be able to successfully design, develop, conduct, and deliver your training or exercise within a timely fashion based upon the time line you set.
 - Relationships – it is important to develop a good relationship with your consultant. You need to feel that you will trust each other and be able to have robust discussions with your consultant.
 - Networks – depending on the project, it may be important that they have established a well developed network of other professionals that they work with and can utilize while working on your project.
 - Results – ask for one or two references to check the consultant's background and the results they have achieved for their clients.

c. Formalize a written agreement describing how the project will be carried out and the agreed to terms and conditions. This is typically done via a scope of work.

- Set up a meeting with your selected consultant. Formalize your agreements. The basic elements should include:
 - o Description of the project with overall budget;
 - o List of all deliverables with a timeline for each;
 - o Fees (by the project or hourly, and how payments will be made);
 - o State that all expenses must be allowable per the particular grant program
 - o Verify who would own the copyright and reproduction rights (if applicable);
 - o Consider including a cancellation clause.

d. Contact the other Councils/UASI /MMRS and ask about their successes and challenges in this area.

13. State Agency /Authority Involvement in Exercises

If exercises will involve state agency/authority participation, EOPSS is requiring that Councils/UASI notify EOPSS of when the planning meetings for the relevant exercises occur. Involvement of the relevant agencies/authorities in the planning process is essential to the exercise's success.

EOPSS will coordinate state agency/authority development – Councils/UASI need only to notify their respective EOPSS Program Coordinator (in advance) of exercise planning meetings. State agency/authority involvement in exercises is not a requirement nor a given. Each agency/authority will make the decision whether it can participate and to what level.

State agencies/ authorities understand that they are participating in Council/UASI – led exercises. If they have concerns about an exercise, they will be handled through EOPSS.

Part-time Employees and Volunteers

EOPSS has received the following policy clarifications (DHS Information Bulletins #141 and #157) on using DHS grant funds to cover overtime and backfill expenses for **part-time and volunteer “first responders”** participating in approved training and exercise programs. This guidance applies to current and previous fiscal year funding for DHS grant programs.

A. Part-Time Personnel

If an agency has budgeted employees to work less than a full-time schedule, the time that these employees spend **attending** DHS-sponsored/approved training and exercises above and beyond their regularly scheduled hours can be considered overtime and therefore covered along with backfill costs using DHS grant funds. For example, if an agency budgets an individual for 20 hours per week but DHS training and /or exercise activities require that person to work 25 hours in a week, the 5 extra hours spent in training and/or exercise could be covered by DHS.

B. Paid-For-Call, Paid-On-Call, and Paid-Per-Call Volunteer Personnel

If an agency relies upon paid-for-call, paid-on call, and/or paid-per-call volunteer personnel and opts to include them in DHS training and exercises, granters can use DHS grant funds to pay volunteers for their attendance at these activities in accordance with established processes, to include both hourly and flat-rate payment.

C. Stipends for Volunteer Responder Personnel

Stipends for all volunteer responders, such as urban search and rescue teams and emergency medical service volunteers, to attend DHS or approved training and exercises are allowable when volunteers are completely unpaid and no legal agreement exists to support pay for training and exercise activities. **Please be aware this does not include volunteers such American Red Cross, Medical Reserve Corps, or Community Emergency Response Team members.**

D. Reimbursing Wages for Volunteer Responder Personnel

The DHS and EOPSS approved rate for volunteer personnel is \$15.00 per hour.

Exercise Approval Request Form

IMPORTANT: If an exercise would involve state agency participation, the Exercise Approval Request Form must be sent to the sub-recipient's respective EOPSS Program Coordinator at least two weeks prior to the Initial Planning Conference meeting.

IMPORTANT: If an exercise would not involve state agency participation then the Exercise Approval Request Form must be sent to the sub-recipient's respective EOPSS Program Coordinator at least sixty (60) days prior to the exercise. A detailed narrative of the exercise and an itemized budget must accompany the Request.

For exercises being conducted via a Council/UASI/MMRS, has the exercise been approved by the Council/UASI/MMRS and is this approval reflected in the respective entity's minutes? [Yes/No]

Task_Name: [List name of exercise]

Exercise_Date: [Date]

Type: [e.g., Full Scale, Tabletop]

Federal Sponsor: Department of Homeland Security

Program: [Name of Federal Funding Program-SHSP-LETPP, ETC]

Sponsor Agency POC: [POC Name in Homeland Security Regional Council]

Exercise Project Officer: [Municipal Exercise Manager of Proposed Exercise]

Sponsor_Agency_Involvement: [Will anyone from the H.S. Regional Council funding the proposed exercise: Participate, Control, Evaluate, Observe, None]

Funding_Source: [Name of Homeland Security Council]

Municipality Receiving Funding: [Name of Municipality]

Funding Amount: [Amount of Funding, the year of Funding and funding stream being used to pay for proposed exercise]

Focus: [Response, Recovery, Prevention, Other]

Scenario: [e.g., Chemical, Biological, Radiological, Nuclear, Explosive]

What Plan(s) are being exercised? [Name of Plan(s)]

Local Location: [Local Jurisdiction Where Exercise is to be Conducted]

Military_Installation: [Military Installation (if applicable) Where Exercise is Conducted]

Federal_Participants: [List Participating Federal Agencies]

State_Participants: [List Participating State Agencies/Authorities]

Local_Participants: [List Participating Local Agencies]

Initial Planning Conference: [Date and Time]

Midterm Planning Conference: [Date and Time] (* if applicable)

Final Planning Conference: [Date and Time]

Person(s) Writing After Action Report: [Name of Person]

Contact Information of Person Writing After Action Report: [Email Address]

For some exercises an Environmental Planning and Historical Preservation (EHP) Scope of Work may need to be completed and submitted to EOPSS for DHS review and approval before the exercise may be conducted. Please review the exercise scenario and the EHP Guidance to make this determination and provide response here. [Yes/No and briefly explain why Yes/No decision reached]

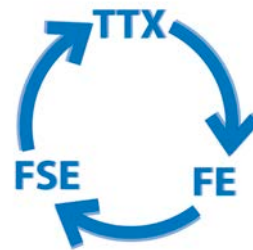
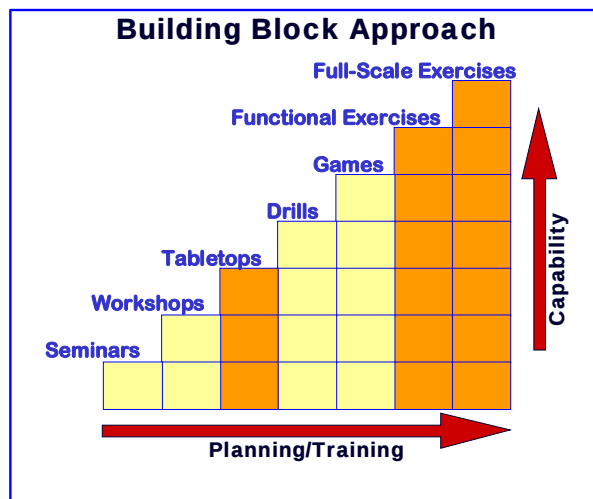
Narrative of exercise (the scenario):

Exercise Approval Request – Budget

Item:	Amount:
Consultant Cost(s)	
Estimated Municipal First Responder Backfill (BF) / Overtime (OT) Cost(s) <i>(Please specify discipline)</i>	
Facility Rental Cost(s)	
Supply Cost(s) [Specify]	
Food Cost(s) <i>(Only allowable for events 5 hours or longer)</i>	
Other Costs [Specify]	
Total:	

Guidance for Exercising Operational Plans

The building block approach (as shown below) ensures successful progression of exercise design, complexity, and execution, allowing for the appropriate training and preparation to take place in the communities carrying out the exercise. Using this approach, each Homeland Security Region can ensure the exercise scope and scale are tailored to each specific jurisdiction within their Region, while maintaining a uniform region-wide delivery method.



Additionally, because each jurisdiction will differ regarding capabilities, the building block approach provides enough flexibility to allow for significant learning opportunities that complement, build on, and directly lead into one another effectively.

However, this approach does not mean that each type of exercise must be conducted. Exercises should be conducted based on identified need and prior AAR/IPs

If using the complete building block approach, it is suggested:

1. Exercises within each Region begin at the Seminar level and then move on into Tabletop Exercises (TTX), then Functional Exercises (FE) and then finally into Full Scale Exercises (FSE). **(Please see page 30 -31 for further details)**
2. Exercises conducted within each Region should be multi-discipline and regional in nature. All first responders as described by HSPD8 should be invited to participate within each exercise.
3. Exercises should be conducted throughout each Region.

4. Each Region should design an exercise calendar that will bring a selected amount of contiguous municipalities together to test their response to a scenario. This will also be a method to test Incident Command System skills as required by the National Incident Management System. For example the towns of Sunderland, Hadley, Deerfield and Whately would conduct a TTX to test their unified response to an IED scenario during a designated time after the Region has conducted a series of Seminars to prepare first responders for responding to IEDs. During the same month as Sunderland is conducting its exercise, additional towns within the same Homeland Security Region would conduct further exercises.
5. Exercises should be broken up throughout the year to ensure appropriate time to prepare for each exercise. Each Homeland Security Region may decide how to best implement such a building block approach. An example:

(12-Month Exercise Cycle)

Western Regional Homeland Security Council (Year 2007)

Quarter 1			Quarter 2			Quarter 3			Quarter 4		
OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
			Seminar(s)	Seminar(s)							
						TTX(s)		TTX(s)			TTX(s)

(12-Month Exercise Cycle)

Western Regional Homeland Security Council (Year 2008)

Quarter 1			Quarter 2			Quarter 3			Quarter 4		
OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
	TTX(s)			Functional(s)		Functional(s)					Full Scale

6. If an area within a Region is more prepared or has had advanced training, then the Council has the possibility of accelerating the exercise cycle for these towns. (For example, if a series of contiguous municipalities have conducted TTXs rather recently, the Council may decide to skip Seminars and move directly into either further TTXs or Functional Exercises and then into a Full Scale Exercise.)
7. Please remember that exercises take time to plan, coordinate and conduct. Allow appropriate time between exercises to ensure effectiveness.
8. Both MEMA and EOPSS have staff on hand to assist regions on a limited basis with the planning process.
9. To conduct such an exercise cycle, personnel within each Homeland Security Regional Council will need to be identified to coordinate such activities. If personnel cannot be found there is the option of hiring a contractor.

Explanations of Types of Exercises:

Ideally, when planning exercises one should allow three (3) months for a table-top exercise, six (6) months for a functional exercise, and up to one (1) year for a full-scale exercise

Discussion-Based Exercises

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

- Low stress environment using a number of instruction techniques such as lectures, multimedia presentations, panel discussions, and case study discussions.
- Informal discussions led by a seminar leader.
- Lack of time constraints caused by real time portrayal of events.
- Effective with small and large groups.

Furthermore, training may be incorporated into the Seminars to enhance awareness. The Department of Homeland Security provides the following courses:

- 1.) PER-230 Incident Response to Terrorist Bombings
- 2.) PER-231 Prevention and Response to Suicide Bombing Incidents
- 3.) AWR-160 WMD Awareness Level Training

The Council may choose to incorporate additional IED specific training into Seminars as well.

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), 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.

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

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

Tabletop Exercises: TTXs involve senior staff, elected or appointed officials, or other key personnel in an informal setting, discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined event. TTXs typically are aimed at facilitating understanding of concepts, identifying of strengths and shortfalls, and/or achieving a change in attitude. Participants are encouraged to discuss issues in depth and develop decisions through slow-paced 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 leader/moderator, problems are discussed as a group, and resolution is generally agreed on and summarized by the leader.

In an advanced TTX, play revolves around delivery of prescribed messages to players that alter the original scenario. The exercise controller (moderator) usually introduces problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include the following:

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

Operations-Based Exercises

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

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

Functional Exercises: The FE, also known as a command post exercise, is designed to test and evaluate individual capabilities, multiple functions or activities within a function, or interdependent groups of functions. FEs are generally focused on exercising the plans, policies, procedures, and staffs of the direction and control nodes of incident command and unified command. Generally, events are projected through an exercise scenario with event updates that drive activity at the management level. Movement of personnel and equipment is simulated.

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

- Evaluating functions
- Evaluating emergency operations centers, headquarters, and staff
- Reinforcing established policies and procedures
- Measuring resource adequacy
- Examining interjurisdictional relationships

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

The FSE simulates the reality of operations in multiple functional areas by presenting complex and realistic problems requiring critical thinking, rapid 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 event, should be instructed not to respond.

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

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

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

FSE controllers ensure participants' behavior remains within predefined boundaries. Simulation cell 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.

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Resources

Executive Office of Public Safety and Security:

www.mass.gov/eops

Massachusetts Emergency Management Agency:

www.mass.gov/mema

Massachusetts Department of Fire Services:

www.mass.gov/dfs

Massachusetts Municipal Police Training Committee:

www.mass.gov/mptc

U.S. Department of Homeland Security:

www.dhs.gov

Homeland Security Exercise Evaluation Program:

<https://hseep.dhs.gov>

NIMS Integration Center:

<http://www.fema.gov/emergency/nims>

Approved State Sponsored Training Catalog:

https://www.firstrespondertraining.gov/webforms/pdfs/state_catalog.pdf

Approved Federal Sponsored Training Catalog:

https://www.firstrespondertraining.gov/webforms/pdfs/fed_catalog.pdf

Lessons Learned Information System:

<https://www.llis.dhs.gov>

Federal Emergency Management Agency:

<http://www.fema.gov>

Emergency Management Institute:

<http://training.fema.gov>

Massachusetts Department of Public Health :

www.mass.gov/dph

Office of the Chief Medical Examiner:

www.mass.gov/eops/ocme

Massachusetts Army National Guard

<http://states.ng.mil/sites/ma/Pages/Default.aspx>

Massachusetts Department of Environmental Protection

<http://www.mass.gov/dep/>

Massachusetts Department of Mental Health

www.mass.gov/dmh

Massachusetts Port Authority

<http://www.massport.com/default.aspx>

Massachusetts State Police

www.mass.gov/msp

Massachusetts Department of Transportation

<http://www.massdot.state.ma.us/main/main.aspx>

State Agencies Descriptions

The following mission statements and scenarios are provided to assist local agencies in determining what role various state agencies / authorities may play in exercises. This is a guide and not meant to be an all-inclusive description

Descriptions are included for the following agencies:

- Massachusetts National Guard and its Civil Support Team
- MBTA Transit Police
- Massachusetts Department of Environmental Protection
- Massachusetts Department of Public Health
- Massachusetts Department of Fire Services
- Massachusetts DFS Hazardous Materials Emergency Response Division
- Massachusetts Emergency Management Agency
- Massachusetts Department of Mental Health
- Massachusetts Port Authority
- Office of the Chief Medical Examiner
- Massachusetts State Police
- Massachusetts Department of Transportation

Massachusetts National Guard and its Civil Support Team

Mission:

The Civil Support Team (CST) mission is to support civil authorities at a domestic chemical, biological, and radiological (CBR) incident site by identifying CBR agents/substances, assessing current and projected consequences, advising on response measures, and assisting with appropriate requests for additional support.

- The CST supports local Incident Commanders and local emergency responders. The CST is designed to mirror the functions carried out under the ICS as an inclusive team
- The CST provides assessment of the current and projected consequences, technical and analytical consultation, and transmission of the situation to headquarters to assist in requesting follow-on assets.
- Each team consists of 22 full-time Army and Air National Guardsmen and is broken down into six smaller sections- command, operations, communications, administration and logistics, medical, and survey- that have been trained and equipped to provide a technical capability to “reach back” to other experts who can assist the incident commander. These teams provide a unique military capability. They can deploy rapidly to a suspected or actual terrorist attack, conduct reconnaissance to determine the effects of the attack, provide situational understanding, provide technical consultation to local authorities on the effects of the attack to minimize the impact, and facilitate follow-on military support through validated civilian requests for assistance.

Exercise scenarios where the Massachusetts National Guard and its Civil Support Team may be involved include:

- Terrorist attack
- HazMat
- Biological
- Dirty bomb
- Radiological devices

MBTA Transit Police

Mission:

The MBTA Transit Police serves to ensure a safe environment within the MBTA transit system, reduce fear, and promote confidence in the riding public through community policing. The fundamental duties are to safeguard lives and property in and around the MBTA system and property. The Transit Police have full police powers throughout all 175 cities and towns that make up the MBTA's territorial services area and often partner with local authorities to ensure effective police coverage.

Exercise scenarios where the MBTA Transit Police should be involved include:

- Any event which involves a public safety response to a MBTA site or occurs on a MBTA site

Depending upon the scope of the exercise, other MBTA departments may need to be included in exercises that affect mass transit.

Massachusetts Department of Environmental Protection

Mission:

The Massachusetts Department of Environmental Protection (MassDEP) is the Commonwealth's environmental regulatory agency. MassDEP is responsible for protecting human health and the environment by ensuring clean air and water, the safe management and disposal of solid and hazardous wastes, the timely cleanup of hazardous waste sites and spills, and the preservation of wetlands and coastal resources. MassDEP either responds itself or ensures that others respond to incidents where human health and environmental protection are threatened or affected.

MassDEP will make every effort to take part in local and regional training and exercises that contain scenarios where environmental threats are present and that MassDEP would likely be asked to play a significant role.

Exercise scenarios where MassDEP may be involved include:

- HazMat Response – Includes involving the release of threat petroleum or hazardous materials
- Drinking Water – Incidents involving a threat to public drinking water supplies
- Wastewater – incidents involving a threat to publicly-owned wastewater treatment facilities
- Solid & Hazardous Waste – Incidents where proper disposal of hazardous or solid wastes become a prominent issue
- Air Quality – Incidents involving releases of contaminants that can cause significant and acute adverse impact on public health
- Environmental Analysis – Incidents where the collection and analysis of environmental samples is a key component of the exercise

Massachusetts Department of Public Health

Mission:

MDPH's Emergency Preparedness Bureau (EPB) is one of eleven bureaus located within the Commissioner's Office and has responsibilities for policy-making and program coordination across all DPH emergency preparedness functions. EPB coordinates DPH emergency response activities and provides technical assistance to local health agencies and officials participating in the 15 regional emergency preparedness coalitions throughout the Commonwealth.

Exercise scenarios where MDPH may be involved include:

- Level A Agents – (agents that are high priority and pose a risk to national security).
- Chemical Agents
- Seasonal and Pandemic Flu
- Dirty bombs
- Radiological devices
- Special Medical Needs Shelters
- Food borne illnesses
- Disease outbreaks
- Evacuations
- Hospital involvement
- EMS transport
- Strategic National Stockpile / Emergency Dispensing Sites
- Communication involving any of the above

Massachusetts Department of Fire Services

Mission

To promote and deliver exceptional operations support to the operations of the fire service within the Commonwealth of Massachusetts, by providing professional, efficient, high quality support services to the local Incident Commander in a timely and proactive manner.

Services may be provided utilizing Incident Support Units. Each unit responds with a trained response team to assist in the development and use of equipment as well as to assist with documentation of the incident utilizing the NIMS procedures and forms.

Some of the tasks that can be performed by these trained response team include:

- Providing assistance in one or more operational period(s) planning
- Creating and maintaining a Communications Plan
- Providing portable radio caches
- Providing an environmentally controlled meeting space
- Internet and phone connectivity
- Photo and video documentation
- Log recording (audio, video, and electronic)
- State Police Helicopter down-link and recording
- Providing medical monitoring
- Rehab space in all kinds of elements
- Quiet on-scene power for long term incidents

Massachusetts DFS Hazardous Materials Emergency Response Division

Mission:

DFS operates six (6) regional hazardous materials emergency response teams. The primary mission of these response teams include; chemical and radiological detection and identification, chemical contaminated environment rescue, CBRNE sample collection, mitigation of releases, and strategic/tactical advice to incident commanders. These teams serve as primary response, subject matter experts on CBRNE incidents and as the access and coordination point for an extensive network of technical CBRNE resources.

DFS response levels bring measured responses ranging from a five member (Tier I) hazard and risk assessment through a full system (Tier 5) response, mobilizing the full and vast resources of the system. A brief overview of these tiers is below:

Tier I

A Tier One Response includes a driver and a maximum of three to four technicians

Tier II

A Tier Two Response applies to a more complex operation and requires the remainder of the staff from the district in addition to technical support staff.

Tier III

In a Tier Three Response, all team members (statewide) are placed on alert that an incident has grown and is expected to exceed 14 hours and that it is probable that other teams may be activated within 24 hours.

Tier IV

A Tier Four Response entails multiple-team activation for long-term operations

Tier V

A Tier Five Response consist of mobilizing the full and vast resources of the system

Exercise scenarios where DFS should be involved include:

- Any scenario where there is a release or potential release of CBRNE agent.
- Explosions or potential explosions of unknown, suspicious, or intentional cause

Massachusetts Emergency Management Agency

Mission:

The Massachusetts Emergency Management Agency (MEMA) is the state agency responsible for coordinating federal, state, local, voluntary and private resources during emergencies and disasters in the Commonwealth of Massachusetts. MEMA provides leadership to: develop plans for effective response to all hazards, disasters or threats; train emergency personnel to protect the public; provide information to the citizenry; and assist individuals, families, businesses and communities to mitigate against, prepare for, and respond to and recover from emergencies, both natural and man made.

Hazards Facing the Commonwealth

MEMA is prepared to coordinate a statewide response to any of the following natural or man-made hazards that may face the Commonwealth and plans, trains, and exercises the following:

- Civil Disorder
- Coastal Storms
- Dam Failure
- Drought
- Earthquakes
- Extreme Cold
- Extreme Heat
- Floods
- Forest Fires
- Hazardous Materials Emergencies
- Hurricanes
- Ice Safety
- Lightning
- Major Urban Fire
- Nor'easters
- Nuclear Power Plant Emergencies
- Pandemic
- Power Outages
- Roof Collapse
- Terrorism
- Thunderstorms
- Tornadoes
- Transportation Emergencies
- Utility Emergencies
- Water Supply Emergencies
- Wildfires
- Winter Storms

MEMA takes an 'All-Hazards' approach to planning and response to ensure our capacity to respond to any type of emergency. MEMA has several departments dedicated to each area of Emergency Management: Preparedness, Response, Recovery and Mitigation. In working with local communities, MEMA provides technical assistance in testing and updating the communities' Comprehensive Emergency Management Plan (CEMP). MEMA regional offices work with local emergency management directors to plan and prepare for emergencies and update its CEMP. Each exercise within a community should exercise the CEMP to evaluate and identify areas of improvement if necessary.

Target Capabilities

MEMA can be included in all exercises utilizing the Department of Homeland Security's 37 Target Capabilities List (TCL), regardless of the scenario:

- Common Target Capabilities
- Prevent Mission Area Target Capabilities
- Protect Mission Area Target Capabilities
- Respond Mission Area Target Capabilities
- Recover Mission Area Target Capabilities

Exercise Program & Training

Within the Training Department, the MEMA Exercise Program consists of a full time Exercise Coordinator whose primary responsibility is to provide technical assistance and support to local communities, state agencies, and other government agencies regarding exercises. From the inception of the exercise needs analysis through the improvement planning process of the exercise cycle, the Exercise Coordinator's mission is to help set the standard for exercise development and execution. The Exercise Coordinator can provide assistance as an Exercise Planning Team Member in designing an exercise or help coordinate MEMA and other state agencies participation therein.

MEMA provides technical assistance in exercise design, development, conduct, evaluation, and improvement planning consistent with the Homeland Security Exercise and Evaluation Program (HSEEP). HSEEP is a capabilities and performance-based exercise program which provides a standardized policy, methodology, and terminology for all elements of exercises. In partnership with the MA Department of Public Health, MEMA offers a 2 day HSEEP Training Course on a regular basis.

Massachusetts Department of Mental Health

The primary mission of the Massachusetts Department of Mental Health (DMH) is to provide services to citizens with long-term or serious mental illness, early and ongoing treatment for mental illness, and research into the cause of mental illness. DMH is also informed by Massachusetts General Law, Chapter 19, to take cognizance of all matters affecting the mental health of the citizens of the Commonwealth. In accordance, DMH has structures in place to provide emergency and disaster crisis counseling to the general public during time of President or Governor declared states of emergency, or other local, regional, or statewide catastrophic events.

Exercise scenarios where DMH may be involved include:

- Large-scale disasters that have a behavioral health element.

Massachusetts Port Authority

Mission:

The Massachusetts Port Authority (MassPort) is an independent public authority which develops, promotes, and manages airports, the seaport, and transportation infrastructure.

Exercise scenarios where MassPort may be involved include:

- Aviation incidents involving Logan, Hanscom, Worcester airports
- Maritime incidents involving Conley Terminal, Black Falcon Terminal, South Boston Maritime District, East Boston Maritime District
- MassPort facility incidents
- Disease outbreaks stemming from passengers or crew of ships or airplanes
- Fire-Rescue scenarios in and around the Boston UASI region
- Communications involving any of the above

Office of the Chief Medical Examiner

Mission:

The Office of the Chief Medical Examiner determines the manner of death in cases that they accept under Chapter 38 of the Massachusetts General Laws. These cases include all unnatural and suspicious deaths.

The OCME may be involved in exercises as to the extent that there are mass fatalities in the scenario. OCME staff becomes involved with the deceased at the incident site and from medical facilities.

Exercise scenarios where OCME may be involved include:

- Natural Disasters
- Conventional scenes – non-contaminated scenes such as fire, airplane crashes, explosions, etc;
- Biological scenes – unconventional scenes involving biological contaminants;
- Radiological scenes – unconventional scenes involving radiological contaminants
- Chemical Nerve Agent scenes – unconventional scenes involving chemical and/or nerve agent contaminants.
- Coordination of Family Assistance Centers

Massachusetts State Police

Mission:

The Massachusetts State Police was created in 1865, making it the oldest statewide law enforcement agency in the nation. Today, it is comprised of 2,300 highly trained and motivated sworn officers and civilian personnel who are dedicated to serve the citizens of the Commonwealth. As the principal statewide law enforcement agency in the Commonwealth, the Massachusetts State Police is dedicated to providing quality policing directed at achieving safer roadways and reducing crime through investigation, education and patrol services and by providing leadership and resources during natural disasters, civil disorders and critical incidents.

Exercise scenarios where Massachusetts State Police may be involved include:

- Natural disasters
- Any scenario involving state roadways
- Civil disorder
- School shootings

Massachusetts Department of Transportation Office of Security Planning and Emergency Preparedness

In June 2009, Governor Deval Patrick signed Chapter 25 of the Acts of 2009, “An Act Modernizing the Transportation Systems of the Commonwealth of Massachusetts, (as amended by Chapter 26 of the “Act.”) This landmark transportation reform legislation required that the Commonwealth integrate transportation agencies and authorities into a new, streamlined Massachusetts Department of Transportation (MassDOT) to be established by November 1, 2009.

The new organization oversees four new divisions: Highway, Transit and Rail, Aeronautics and the Registry of Motor Vehicles (RMV), in addition to an Office of Planning and Programming. MassDOT is administered by a Secretary of Transportation, appointed by the Governor to serve as Chief Executive Officer. A five-member Board of Directors appointed by the Governor with expertise in transportation, finance and engineering also oversees the new organization, while serving as the governing body of both MassDOT and the Massachusetts Bay Transportation Authority (MBTA), which is part of MassDOT but retains a separate legal existence.

The Massachusetts Department of Transportation is a merger of the former Executive Office of Transportation and Public Works (EOT) and its divisions with the former Massachusetts Turnpike Authority (MTA), the former Massachusetts Highway Department (MHD), the former Registry of Motor Vehicles (RMV), the former Massachusetts Aeronautics Commission (MAC), and the Tobin Bridge, previously owned and operated by the Massachusetts Port Authority (MPA). In addition, the Massachusetts Bay Transportation Authority (MBTA) and Regional Transit Authorities (RTA) are subject to oversight by the new organization. The new organization will also assume responsibility for many of the bridges and parkways previously operated by the Department of Conservation and Recreation (DCR).

The Office of Security Planning and Emergency Preparedness is now part of the MassDOT organizational structure and its core mission is to ensure MassDOT as a new enterprise develops an ongoing emergency management program to mitigate, prepare for, respond to, and recover from all natural and human-caused emergencies and disasters that could impact its jurisdiction and operations, and cooperates with other external entities as may be necessary to ensure the safety and well being of the public and property in the Commonwealth. To that end the Office of Security Planning and Emergency Preparedness works with all departments and divisions in the conduct of vulnerability assessments, the development of mitigation strategies, the development of emergency management plans, response plans and procedures, and the design and conduct of training and exercise programs.

Exercise scenarios where MassDOT should be involved include:

- Any event which involves a public safety response to a transportation site or occurs on or near a transportation site including MassDOT owned highways, tunnels and bridges, airports, registry facilities, transit or rail properties or assets.



Deval L. Patrick
Governor

Timothy P. Murray
Lieutenant Governor

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Kevin M. Burke
Secretary

MEMORANDUM

TO: Members of the Regional Homeland Security Councils

FROM: *GM* Gregory I. Massing, General Counsel
Executive Office of Public Safety and Security

RE: State Ethics Laws

DATE: November 13, 2007

From time to time, members of the regional councils have sought the EOPSS's advice about entering into employment or consulting agreements with entities that are recipients of homeland security grant money awarded by the regions.

Please be mindful that under the state ethics laws, codified at G.L. c. 268A, it is generally unlawful for regular or "special" state employees to have a private financial interest in contracts awarded by their agencies. Notwithstanding the fact that you are unpaid for your services to the region, you likely qualify as "special" state employees under the ethics laws.

Although each situation must be considered on a case-by-case basis, accepting payment from an entity performing a service paid for out of state funds that you had a hand in awarding will generally violate the state ethics laws. (Performing unpaid services does not implicate this issue.) Accordingly, if you anticipate that you may be in a position to accept paid employment from an entity that seeks funding from the council, or otherwise participate in any matter in which you may have a financial interest, you should withdraw from any participation in that matter.

If you need advice in a particular matter, please contact the State Ethics Commission at (617) 371-9500. The Ethics Commission has an attorney on duty every day to field questions. In addition, feel free to contact me at (617) 727-7775 ext. 25517.