

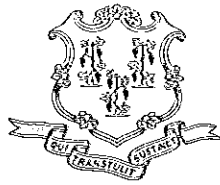
**STATE AGENCY
TRAINING AND EXERCISE PLAN
(SATEP)
Implementing
Executive Order No. 34
Governor Dannel P. Malloy**



**Connecticut Department of Emergency Services and Public Protection
Division of Emergency Management and Homeland Security**

DECEMBER 2013

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Dannel P. Malloy

GOVERNOR
STATE OF CONNECTICUT

12/11/2013

Dear Commissioners:

Connecticut's capability to respond to a disaster is dependent on the capacity to train and exercise in order to be prepared for any and all contingencies. We have an obligation to work with our federal, local, and private sector partners in order to be prepared for coordinated response to emergency situations in Connecticut. This means that our personnel that have responsibilities when our agencies are expected to respond should be trained in our integrated program of emergency management.

In Connecticut, we have adopted the United States Department of Homeland Security National Incident Management System (NIMS) which provides a consistent, nationwide system to enable federal, state, tribal, and local governments, as well as the private sector and non-governmental organizations to work together to prepare for, prevent, respond to, recover from, and mitigate the effects of incidents regardless of cause, size, location, or complexity. This system has served us well over the last three years in the various emergencies that we have faced as a state, and I am thankful for all of our state employees that played such an integral role in enabling us to ensure a swift, coordinated response.

I issued Executive Order 34 because I believe that our ability to respond in times of emergency is at the core of our mission, not only as a state government but as public servants. This Executive Order underscored this priority and ensured that state agencies would comply with NIMS. I applaud DESPP/DEMHS for preparing this Training and Exercise Plan which lays out requirements that will result in a trained workforce, both engaged in and prepared for, response to the whatever emergency arises.

I know this is difficult work, but it is critical for how we serve the residents of Connecticut. I am confident that implementation of this plan will enhance state agency readiness, maintain first responder safety, and streamline incident management processes. Therefore, I am grateful for your participation in this training and exercise and your preparedness for all hazards, because I know how fortunate our residents are for the readiness and professionalism that you and your staff have demonstrated.

Thank you again for your leadership and service in response to the emergencies we have faced as a state over the last three years.

Regards,

A handwritten signature in black ink, appearing to read "Dannel P. Malloy".

Dannel P. Malloy
Governor

1. PURPOSE AND BACKGROUND

This State Agency Training and Exercise Plan (SATEP) implements the mandate of Governor Dannel P. Malloy in Executive Order No. 34, issued June 12, 2013, to continue to recognize the National Incident Management System (NIMS) as the standard system within Connecticut for the management of domestic incidents that affect the health, welfare, safety and security of the residents of Connecticut. Among other things, Executive Order No. 34 directs all State Agency Commissioners and Department Heads to work with the Department of Emergency Services and Public Protection/Division of Emergency Management and Homeland Security (DESPP/DEMHS) to ensure that:

- All appropriate agency emergency activities and other plans follow the NIMS components, and;
- All agency staff and contractors with roles in emergency preparedness, planning, response, or recovery are trained in the appropriate NIMS and ICS components, including active participation in planning, training, and exercises. (See Paragraph 4 of the Order.)

The full text of Executive Order No. 34 can be found at:

http://www.governor.ct.gov/malloy/lib/malloy/EO_34_NIMS.pdf

This mandate was further re-enforced by recent legislation, codified in Connecticut General Statutes Section 28-5(e), which states:

“The commissioner [of DESPP] shall utilize the personnel, services, equipment, supplies and facilities of existing departments, offices, and agencies of the state to the maximum extent possible. The head of each such department, office, or agency, in cooperation with and under the direction of the commissioner, shall be responsible for the planning and programming of such activities in the civil preparedness programs as will involve the utilization of the facilities of his or her department, office, institution or agency and shall implement and carry out such activities whenever necessary for the welfare and safety of the state, **including participation in planning, training, and exercises, as directed by the commissioner.**” (Emphasis added.)

Connecticut uses the Homeland Security Exercise and Evaluation Program (HSEEP) as a guide to help standardize the methodology and terminology connected with the exercise design, development, conduct, evaluation, and improvement planning. Through exercises, strengths and areas for improvement are identified, corrected, and shared as appropriate prior to a real incident. The National Preparedness Directorate of the Federal Emergency Management Agency (FEMA) maintains the

HSEEP at <https://www.llis.dhs.gov/hseep> . Appendix B, attached to this document, provides a chart of types of exercises.

The second purpose of this SATEP is to apply Connecticut 's approved federal Emergency Management Performance Grant (EMPG) work plan to implement a "Whole Community" approach including annual review and updating as needed of state and local emergency operations plans; completion of the Threat and Hazard Identification and Risk Assessment; maintaining multi-year Training and Exercise Plans (TEPs), and; providing targeted training to enhance and maintain verified capabilities of the personnel engaged in emergency management. This Whole Community focus will continue to enhance our all-hazards approach to emergency management, whether the threat is natural or manmade. This plan is intended to meet the training and exercise grant requirements for any state agency receiving EMPG funds.

2. TRAINING GOALS

It is critical that all state employees or contractors who are involved in some way with emergency preparedness, planning, response, or recovery receive basic training in the National Incident Management System (NIMS)/Incident Command System (ICS.) Many employees have already taken these courses, but there are many more who will benefit from this training. In addition to those individuals who work on emergency preparedness as part of their everyday job functions, there are others who are called to assist in times of emergency for whom emergency management is not a common activity. These courses are not time consuming, but they provide good exposure to basic terms and concepts. They are also publicly available online at the FEMA website free of charge at <http://training.fema.gov>.

State agency commissioners and department heads should identify employees and contractors to take this training, including both those who participate at their agencies to manage an incident/emergency and those who manage incidents at contracted sites, as well as those who may staff the State Emergency Operations Center. One good tool to help determine who should take these courses is to review the staff rosters associated with the agency Continuity of Operations Plan and Emergency Response Plans.

The first step is to identify a single agency Point of Contact (POC) as the agency NIMS Training and Exercise Coordinator. The POC can reach out to DEMHS with any questions or documentation by emailing DEMHS.TrainingandExercise@ct.gov.

The next step is to identify employees and contractors who should take the required on-line courses listed below. Each agency should maintain a roster of such employees, with a spreadsheet of the training they have received. An example of such a roster can be found at Appendix A. A fillable form will be available on the DEMHS website. It is important to keep track of completed course work, including maintaining a file of certificates of completed courses for agency personnel.

In order to assist DEMHS to maintain an overview of state agency training and exercise, state agencies will send their roster spreadsheets to the DEMHS Training Unit on a quarterly basis, starting on July 1, 2014. The rosters can be emailed to DEMHS.TrainingandExercise@ct.gov.

The following required courses should be completed by July 1, 2014:

Required training:

Independent Study Program NIMS Courses at <http://training.fema.gov/IS/crslist.asp>

IS-100.b - Introduction to Incident Command System, ICS-100 (See discipline specific IS-100b classes that may be substituted)

IS-200.b - ICS for Single Resources and Initial Action Incidents

IS-700.a - Introduction to the National Incident Management System (NIMS)

IS-701.A- NIMS Multi agency Coordination (MAC) System

IS-800.b – National Response Framework – An Introduction

In addition to these independent study courses, state officials and employees who are decision makers, serve on the agency Unified Command, and/or may staff the State Emergency Operations Center should take the following two courses as available:

ICS-300- ICS for Expanding Incidents

ICS-400- Advanced ICS.

ICS-300 and ICS-400 are multi-day courses that are offered at locations in Connecticut throughout the year. Scheduled courses can be found on-line at the DEMHS web site.

If you are interested in learning more about ICS training or scheduling a course, please contact DEMHS at DEMHS.TrainingandExercise@ct.gov.

Elective Training:

In addition to the required courses listed above, there are a number of discipline-specific courses that agency heads and staff may wish to take, as well as professional development courses, including the following:

IS 100.HE—Introduction to ICS for Higher Education

IS 100.LEb—Introduction to ICS for Law Enforcement

IS 100.PWb—Introduction to ICS for Public Works

IS 100.SCa—Introduction to ICS for Schools

IS 200.HCa—Applying ICS to Healthcare

IS 702.a—NIMS Public Information Systems

IS-703.a—NIMS Resource Management

IS 704—NIMS Communications and Information Management

IS 706—NIMS Intrastate Mutual Aid—An Introduction

Professional Development Series at <http://training.fema.gov/IS/searchIS.asp?keywords=PDS>

- IS-120.a An Introduction to Exercises
- IS-230.b Fundamentals of Emergency Management
- IS-235.b Emergency Planning
- IS-240.a Leadership & Influence
- IS-241.a Decision Making and Problem Solving
- IS-242.a Effective Communication
- IS-244.a Developing and Managing Volunteers

The professional development courses listed above are a valuable resource to generally enhance leadership skills.

Additional elective training including but not limited to self-study NIMS courses. *within the Independent Study Program at <http://training.fema.gov/IS/crslist.asp>*

- IS-393.a: Intro to Hazard Mitigation
- IS-634: Intro to FEMA's PA Program

Professional Development Series at <http://training.fema.gov/IS/searchIS.asp?keywords=PDS>

- IS-130 Exercise Evaluation and Improvement Planning
- IS-139 Exercise Design

Finally, the Emergency Management Institute (EMI) provides a number of classes at its Emmitsburg Maryland location, including position-specific training for such positions as Public Information Officer; Operations Section Chief; Planning Section Chief; Finance and Administration Section Chief: For more information, you can review the EMI website at <http://www.training.fema.gov/EMI/>.

3. EXERCISE GOALS

Small Scale Exercises and Real-World Events

In order to meet EMPG requirements and the directives of Executive Order No. 34, state agencies that: participate in the Governor's Unified Command; have a client base or provide a public service that could be affected by a disaster, or; have resources that could be used in preparation for, response to, or recovery from, a disaster; should participate in the annual Governor's Emergency Planning and Preparedness Initiative (EPPI) Statewide Exercise, as well as at least four other exercises per year. All employees who might have a role in an emergency, including senior leadership, should participate.

Many different activities qualify as exercises. For example, when an agency convenes its Unified Command and/or its Incident Management Team to address a real-world situation, that meeting can be counted as an exercise. Each year, the Department of Administrative Services holds a Continuity

of Operations (COOP) drill for all state agencies, which qualifies as an exercise for each participating agency. Many state agencies participate in the DEMHS Nuclear Safety Emergency Preparedness Program, other emergency preparedness programs through other agencies, and/or in security drills. Exercises can take many different forms, and may consist of any drill, tabletop exercise, functional exercise or real world agency or State Emergency Operations Center (EOC) activations. Exercises should be NIMS compliant, which is why the ICS training is critical to a successful program.

One key component of the exercise process is the After Action Report/Improvement Plan (AAR/IP). Each time an agency participates in an exercise, an AAR/IP should be prepared and shared with the participants. The AAR/IP does not have to be long or complex; it simply needs to identify any best practices, lessons learned, and corrective actions. It is also important to keep a roster of all participants. A fillable AAR/IP form will be available on the DEMHS website. Please contact the DEMHS Training and Exercise Unit at DEMHS.TrainingandExercise@ct.gov if you have any questions.

In order to assist DEMHS to maintain an overview of state agency training and exercise, state agencies will email a spreadsheet of their exercise participation, as well as any AAR/IPs, to the DEMHS Training Unit on a quarterly basis, starting on January 1, 2014. A fillable form will be available on the DEMHS website. Please send these emails to:
DEMHS.TrainingandExercise@ct.gov.

At this time, only two state agencies receive EMPG funding. These agencies must submit their completed After Action Report/Improvement Plan to FEMA via HSEEP.gov. A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the Quarterly Performance Progress Report submitted to the DEMHS Training Unit. See Appendix C for more information on EMPG requirements.

Annual Statewide Exercise

As described above, the State of Connecticut, working through DEMHS, holds at least one full scale statewide exercise annually. For example, the State of Connecticut held a full scale 2-day exercise on June 20 and 22, 2013. DEMHS submits an after action report and participation roster to FEMA upon completion. For 2014, the Statewide exercise is scheduled for Saturday June 21 and Monday June 23, 2014. More information will be forthcoming on this exercise.

4. SUMMARY OF STATE AGENCY TRAINING AND EXERCISE PLAN

In summary, there are five steps to follow in order to comply with the Governor's Executive Order No. 34:

- Designate a single agency Point of Contact (POC) as the agency NIMS Training and Exercise Coordinator, and provide that name to the DEMHS Training Unit at DEMHS.TrainingandExercise@ct.gov;
- Identify and train appropriate personnel in the basics of the National Incident Management System, and provide opportunities for optional course work, and review and update this list at least annually;
- Maintain records of training participation, including an employee training spreadsheet, updated on a quarterly basis and submitted to the DEMHS Training Unit;
- Participate in the annual Statewide EPPI Exercise, and in four other exercises annually;
- Maintain records of exercise participation, including a spreadsheet of agency exercise participation and After Action Reports/Improvement Plans, submitted to the DEMHS Training Unit on a quarterly basis.

If you have any questions, please do not hesitate to contact DEMHS at DEMHS.TrainingandExercise@ct.gov

Appendix A—Example of Staff Training Spreadsheet

DEMHHS STAFF TRAINING TRACKING FFY 2012 - As of 9/20/12																			
No.	Name	Training/Exercise															Comments		
		ICS 100	ICS 200	ICS 700	ICS 800	IS 120	IS 230	IS 235	IS 240	IS 241	IS 242	IS 244	%	Full Scale EPP1	Exercise #1 or EOC	Exercise #2 or EOC		Exercise #3 or EOC	Exercise #4 or EOC
1	Ackley, Christopher																		
2	Baker, Sandra R.																		
3	Caplan, Michael																		
4	Christ, Robert C.																		
5	Conover, Dana A.																		
6	Dale, Spela M.R.																		
7	Dembek, Anthony F.																		
8	Dubcek, Mary Rose																		
9	Duffey, Taffie																		
10	Dumas, Ken																		
11	Field, John B.																		
12	Forastiere, Anthony																		
13	Graafland, Thomas																		
14	Glorioso, Douglas V.																		
15	Hackett, William J.																		
16	Horsick, Elaine S.																		
17	Kassak, Katherine																		
18	Kenny, J. Robert F.																		
19	Lenart, Thomas J.																		
20	Marin, Alois A.																		
21	Mathews, Walter L.																		
22	Patt, Judy																		
23	Pascucci, Henry																		
24	Pizzol, Steven																		
TOTAL X																			
Summary of Exercises																			
EPP1 Exercise on 8/13/12																			
Milestone Rehearsal 7/17/12																			
Milestone Exercise 8/28/12																			

Records Available From
Training Unit Upon Request

APPENDIX B-- HSEEP CHART OF TYPES OF EXERCISES

Type of Exercise	Utility/Purpose	Type of Player Action	Duration	Real-Time Play?	Scope
Discussion-Based	To familiarize players with current plans, policies, agreements, and procedures; develop new plans, policies, agreements, and procedures	Notional; player actions are imaginary or hypothetical	For this Program 1-2 hours	No	Varies
Seminar	Provide an overview of new or current plans, resources, strategies, concepts, or ideas	N/A	2-5 hours	No	Multi- or single agency
Workshop	Achieve a specific goal or build a product (e.g., exercise objectives, SOPs, policies, or plans)	N/A	3-8 hours	No	Multiagency or multiple functions
Tabletop Exercise	Assist senior officials in the ability to understand and assess plans, policies, procedures, and concepts	Notional	For this program 1-2 hours	No	Multiagency or multiple functions
Game	Explore decision making processes and examine the consequences of those decisions	Notional	2-5 hours	No (some simulations provide real- or near-real-time play)	Multiagency or multiple functions
Operations-Based	Test and validate plans, policies, agreements, and procedures; clarify roles and responsibilities; identify resource gaps	Actual; player action mimics reaction, response, mobilization, and commitment of personnel and resources	May be hours, days, or weeks depending on purpose, type, and scope	Yes	Varies
Drill	Test a single operation or function	Actual	2-4 hours	Yes	Single agency or function
Functional Exercise	Test and evaluate capabilities, functions, plans, and staffs of Incident Command, Unified Command, Intel centers, or other command/operations centers	Command staff actions are actual; movement of other personnel, equipment, or adversaries is simulated	4-8 hours or several days or weeks	Yes	Multiple functional areas/Multiple functions
Full-Scale Exercise	Implement and analyze plans, policies, procedures, and cooperative agreements developed in previous exercises	Actual	Minimum of 4 hours to full day or longer	Yes	Multiple agencies or multiple functions

Appendix C

Further Guidance for State Agencies Receiving EMPG Funding

[NOTE: At this time, only two state agencies receive EMPG funding, so this guidance does not apply to most agencies.]

1. MEASUREMENT METHOD

Percent completion by the EMPG-funded agencies in an exercise series of four quarterly exercises and one full-scale exercise in a 12-month period (to include response to any real-world events) will be tracked on a quarterly basis.

- **Submission of an AAR/IP** for each of the four quarterly exercises and one full-scale exercise that includes a list of corrective actions and lessons learned.

2. REPORTING

For those state agencies receiving EMPG funding, DEMHS will report quarterly in the Quarterly Performance Progress Report the percent completion of the progressive exercise series to include percent completion of personnel participation. DEMHS will record AAR/IPs for each of the four quarterly exercises and one full-scale exercise to include corrective actions in the Quarterly Performance Progress Report. This will also apply to real world events.

State agencies receiving EMPG funding will report quarterly in the Quarterly Performance Progress Report the percent completion of the progressive exercise series to include percent completion of personnel participation. These agencies will submit AAR/IPs for each of the four quarterly exercises and one full-scale exercise to include corrective actions to the training unit. For real world events EMPG-funded agencies will also submit an AAR/IP and staff roster.

Training Data Table

To facilitate consistent data reporting and performance measures collection, a Training Data Table should be completed for training sessions funded with FY 2013 EMPG Program funds. The data requested will be used to assess the strategic allocation of training funds according to long-term core capability development. Grantees (DESPP/DEMHS, Civil Air Patrol) are encouraged to list the name of the training course, total the number of personnel trained, number of EMPG Program supported personnel trained and whether the funded training is aligned to the State's Multi-Year Training and Exercise Plan (TEP). Grantees should report quarterly completion of planned training activities in the Grant Activities Outline using EMF #13 ("Training"), and the number of personnel trained should be included in the "Comments" section. EMPG-funded agencies shall participate in no less than four exercises, have completed the listed training requirements, and record proof of completion.

Table 1– Training Data Table Example Template

FY 2012 Training Data Table Template Name of Training	Number of Personnel Trained	Number of EMPG Program funded personnel	Number of EMPG Program supported Personnel Trained	Training Aligned to Multi-Year Training and Exercise Plan and NPG Core Capabilities? (Yes/No)
NLE Exercise on 6/7/12	8	4	8	Yes
Millstone Rehearsal on 7/17/12	8	8	8	Yes
Millstone Exercise on 8/21/12	8	8	8	Yes
EPPI Exercise on 8/31/12	27	27	27	Yes
Hurricane Sandy on 10/29/12	32	29	32	Yes

(Adopted from FEMA, 2012)

State Agency Training and Exercise Plan 2013

Table 2 - Exercise Data Table Example Template

Type of Exercise	Number of Exercises	Number Counting Towards Multi-Year TEP	Number of EMPG Program Funded Personnel	Number of EMPG Program Funded Personnel Participating in Exercise	Name of Description	Exercise Aligned to Emergency Operations Plan and NPG Core Capabilities. (yes/no)
Discussion Based						
Seminar						
AAR Complete						
Corrective Action identified						
Workshop						
AAR Complete						
Corrective Action identified						
Tabletop Exercise (TTX)	2	2	35	8	Millstone Rehearsal and Exercise	Yes
AAR Complete	Yes					
Corrective Action identified	Yes 50% Complete					
Game						
AAR Complete						
Corrective Action identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more detail if satisfactory progress has not been made.						
Drill	1	1	35	4	NLE Exercise	Yes
AAR Complete						
Corrective Action identified						
Functional Exercise	1	1	35	27	EPPI Exercise	Yes
AAR Complete	Pending					
Corrective Action identified	Pending					
Full-Scale Exercise	2	2	35	35	Hurricane Sandy / Newtown Incident	Yes / No
AAR Complete	Yes / Pending					
Corrective Action Identified	Yes 25% Complete / Pending					
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more detail if satisfactory progress has not been made.						
Progress made towards completing Multi-Year TEP	The Department of Emergency Services and Public Protection Division of Emergency Management and Homeland Security has made significant progress in achieving 100% compliance with the Training and Exercise requirements contained in our Multi-year TEP. As of 10/3/13 our EMPG funded staff have completed 80.6% of the training requirements and 61% of the annual exercise requirements contained in the TEP. A complete training record for all EMPG funded staff is available upon request.					