

GOLDEN GUARDIAN FULL SCALE EXERCISE

PROTECTING
LARGE SCALE
GATHERINGS
& MASS TRANSIT



**GOVERNOR'S OFFICE
OF HOMELAND SECURITY**

**GOLDEN GUARDIAN 2007
AFTER-ACTION REPORT
EXECUTIVE SUMMARY**



OFFICE OF HOMELAND SECURITY

Dear Homeland Security Partner:

Please accept my sincere thanks and appreciation for your hard work and dedication in bringing about another successful Golden Guardian Full Scale Exercise. As you know, 2007 brought us another year of significant disasters in our State. The Southern California wildfires accentuate the need for us to continually train and exercise together to ensure that California is always ready to prevent, protect, respond and recover from catastrophic manmade and natural disasters. A primary mechanism we use to guarantee our readiness is the Governor's Annual Statewide Exercise Series "Golden Guardian."

Governor Schwarzenegger first implemented Golden Guardian in 2004 to annually test and coordinate city, county, tribal, state, federal government, first responders, volunteers, and private sector response to potential acts of terrorism or natural disasters. Each year, Golden Guardian has grown in size and complexity and is now the largest statewide exercise program in the country. The Golden Guardian Exercise Series is a major component of the state's homeland security strategy as well as its "all-hazards" approach strategy.

Golden Guardian 2007 was a 2-day Full Scale Exercise that took over a year to plan and included over 3,300 participants and more than 45 state and federal agencies. The exercise assessed the State's response to multiple terrorist attacks in all three California regions in which terrorists used improvised explosive devices and biological hazardous materials on mass transit and at mass gathering locations.

Please review the following Golden Guardian 2007 After Action Report Executive Summary which was developed to document exercise design, lessons learned and areas needing improvement as identified by exercise participants.

I look forward to our continued partnership in next year's Golden Guardian Exercise when we will assess our ability to respond and recover from a catastrophic 7.8 earthquake in Southern California.

Sincerely,

Matthew Bettenhausen
Director, Office of Homeland Security

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INTRODUCTION

Now entering the seventh year after 9/11, California continues to be an established national leader in our ability to prevent, prepare for, respond to and recover from catastrophic natural and manmade incidents. A primary reason for our success in this area is the ongoing commitment by jurisdictions, agencies and organizations at all levels to work together in a coordinated effort to improve preparedness. A fundamental component of this state-wide commitment to excellence is the willingness of these jurisdictions, agencies, and organizations to routinely assess and test their capabilities in the four overarching preparedness mission areas: prevent, protect, respond and recover.

To meet the needs of our 58 counties, 36 million residents, over 650,000 first responders, 5 major international ports, over 1500 critical infrastructure sites, and 10 major metropolitan cities, California has established the most robust training and exercise program in the country.

California's Office of Homeland Security (OHS), in partnership with federal, state and local agencies and jurisdictions, has developed a comprehensive capabilities-based exercise program. Working in concert with our training partners, this program provides a framework to continually exercise, assess, and improve identified target capabilities. The exercise program features the Governor's Annual Statewide Exercise Series, "Golden Guardian." Golden Guardian is an annual event that allows local, state, private, and federal partners to train and exercise in order to evaluate and improve capabilities in all mission areas as they relate to catastrophic natural and manmade incidents in California. A successful Golden Guardian requires many months of prior planning.

Consistent with federal strategies and directives, OHS conducts the Golden Guardian Exercise Series to assist in achieving goals identified in the *California Homeland Security Strategy*. The Golden Guardian Exercise Series implements critical elements of the National Preparedness Goal, the National Response Framework (NRF), the National Incident Management System (NIMS) and Homeland Security Presidential Directives 5 and 8. After each Golden Guardian exercise, an After Action Report (AAR) is prepared to encapsulate the structure, methodology and lessons learned. This Executive Summary of the AAR will provide you with an overview of the following:

- (1) Golden Guardian 2007 Purpose, Goals and Planning**
- (2) Golden Guardian 2007 Scenario**
- (3) Golden Guardian 2007 Analysis: Lessons Learned**
- (4) Exercises and Training: What it is all about**

(1) GOLDEN GUARDIAN 2007 PURPOSE, GOALS AND PLANNING

The Golden Guardian 2007 was a two day Full Scale Exercise and was the fourth iteration of the Governor's Annual Statewide Exercise Series known as "Golden Guardian." The exercise assessed the State's response to multiple terrorist attacks using improvised explosive devices in Anaheim and Stockton, and biological hazardous materials in San Jose. It also included a train derailment & hazardous materials release in Fresno. All together, GG07 involved over 3,300 emergency responders and 45 state and federal agencies.

The two day exercise involved all three geographic regions of California (Inland, Coastal, & Southern) in a realistic, high-stress terrorist scenario. The exercise combined state, regional and local level objectives that were collaboratively developed to assess the State's response capabilities in the event of multiple, catastrophic terrorist attacks against mass transit and mass gathering venues throughout California. The Golden Guardian Exercise that took place on November 14 & 15, 2007 was the capstone event to a series of linked exercises that included more than 20 seminars, workshops, and tabletop exercises conducted over a 12-month train-up cycle.

The scenario and scope of GG07 was derived from the following common/overall statewide exercise objectives:

- Demonstrate coordination activities and use of Response Information Management System (RIMS) for requesting resources in response to catastrophic all hazard and terrorist incidents from local, state and federal agencies
- Demonstrate use of multiple communications channels and procedures at the local, Operational Area, regional, state and federal levels
- Demonstrate the activation of Emergency Operations Centers at the local, Operational Area, regional and state levels
- Demonstrate mass care, sheltering, and evacuation coordination between local, Operational Area, regional, state, non-government organizations, and federal entities
- Demonstrate recovery advanced planning requirements between local, Operational Area, regional, state, non-government organizations, and federal entities
- Demonstrate Joint Information Center activities
- Demonstrate effective pre-incident coordination of information sharing and information flow among fusion centers, law enforcement agencies, and key response agencies and organizations
- Demonstrate effective post-incident law enforcement information sharing at all levels from the incident site to key state and federal agencies
- Demonstrate integration of the National Response Plan (NRP) and the National Incident Management System (NIMS) with State Operations

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Exercise Planning Methodology for Golden Guardian Exercise 2007

The exercise planning teams for the 2007 Governor’s Annual Exercise Series “Golden Guardian” consisted of training partners from many different agencies, jurisdictions, and organizations throughout California and from the Federal Government. There were four separate planning teams, one for each region (Inland, Coastal and Southern) as well as for state and federal agencies. Over a 12-month period, each planning team conducted their own planning conferences following the Homeland Security Exercise and Evaluation Program (HSEEP) model. A statewide lead planner worked closely with each of the four planning teams to ensure synergy of effort so all exercise participants could achieve their desired training objectives and assess identified capabilities.

During exercise development, Operational Areas, local agencies and private industry planners developed over three hundred (300) objectives for their specific agency, jurisdiction, or organization. These were further supported by more than 600 tasks from the Universal Task List (UTL).

This year’s exercise was guided by National and State Homeland Security Strategies, and lessons learned from Golden Guardian 2004, 2005, and 2006. The exercise also utilized information and lessons learned from real terrorists acts against mass transit systems in other countries.

A series of After Action Conferences conducted between December 2007 and January 2008 provided forums for the After-Action Report and Improvement Plan development.

(2) GOLDEN GUARDIAN 2007 SCENARIO

The Golden Guardian 2007 Exercise started in October 2007 with a six and a half week Prevention Exercise that was notionally linked to the terrorist acts in the Full Scale Exercise. The Prevention Exercise included over 70 active players from all five Fusion Centers, the Terrorism Early Warning Groups in the East Bay and Orange County, police departments in San Jose, Stockton and Anaheim, the Orange County Transportation Authority, Bay Area Rapid Transit District Police and Terrorism Liaison Officers from several city police departments in the greater Los Angeles/Orange County area.

Prevention Exercise participants used the Groove Virtual Office™ software, within the California Joint Regional Information Exchange System, as the primary communication and collaboration tool to share information and to test the capabilities of these fusion centers. This exercise was designed using a United States Department of Homeland Security “Attack Tree” for an Improvised Explosive Device (IED).

FULL SCALE EXERCISE

GG07 provided several scenarios to address regional goals and objectives while meeting those goals and objectives established above.

Southern Region assessed actions taken to resolve the effects of multiple terrorist Improvised Explosive



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Devices (IEDs) which detonated at a mass gathering at a major league baseball stadium and at the local mass transit station. Local first responders and county officials reacted in real time to the situation.

Coastal Region held two parallel exercises that assessed the response of the City of San Jose and Santa Clara County to a biological agent release and the exposure of numerous victims at a large mass gathering location. The second event was the activation of a Medical Supplies Distribution Center in the affected county. All events took place on November 14, 2007.

Inland Region agencies within San Joaquin County and the metropolitan area of the City of Stockton responded to and mitigated the events of an IED at a port warehouse, the discovery of a bio-agent lab, the gathering of intelligence implicating potential attacks in multiple areas in the State; an IED and biological agent release at a college sports arena, a significant medical surge and an evacuation of a local school. These events took place on November 14, 2007. There was an additional incident on November 15, 2007 between a commercial and a passenger train in Fresno, California, which involved a HAZMAT and USAR response.

State Agencies activated Department Operations Centers with a “warm start”, on a six hour time delay, to test State level response and recovery to planned events within the three regions developed through the exercise design process. There were State Agency liaisons at the Main Exercise Control Group Simulation Cell. These liaisons helped drive information to those State

Agencies that participated. The California Office of Emergency Services was not involved in the exercise this year and did not open the State Operations Center, or any of the Regional Operations Centers. The Office of Emergency Services instead focused on the Lessons Learned from Golden Guardian 2006.



Golden Guardian 2007

On November 1, 2007, Governor Schwarzenegger, along with members of his executive staff and Cabinet, conducted an Executive Level Tabletop Exercise at the State Capitol. The discussion based exercise focused on examining critical top level decisions that need to be made by state government to improve and streamline

preparedness and response from the state level. Several key areas were identified and the group was able to begin to work toward identifying solution paths.

(3) GOLDEN GUARDIAN 2007 ANALYSIS: LESSONS LEARNED

The purpose of this After Action Report is to analyze exercise results, identify strengths to be maintained, identify potential areas for further improvement, and support development of corrective actions. The below analysis gives an overview of identified strengths, areas for improvement, and how well the major objectives of Golden Guardian 2007 were met:

MAJOR STRENGTHS

- 1. Emergency Operations Center Management-** In all regions, the local government Emergency Operations Centers responded to the threat in their respective communities. The participants facilitated requests, supported the first responders in the field and maintained situational awareness while performing their duties. All 40 plus cities participating showed knowledge in the role and responsibilities needed to manage and control an emergency operations center. Numerous hospitals, several school districts, a university, and several private organizations also activated their own Department Operations Centers. These groups showed their ability to respond to threats to their own facilities while protecting those citizens and employees in attendance.
- 2. Hazardous Materials, Urban Search and Rescue, Pre-Hospital Triage and Treatment, Mass Casualty-** First Responders understand their roles and responsibilities in a complex interdisciplinary incident. In all three regions, law enforcement, the fire service and EMS were outstanding. Once they had identified what the issue, problem, or hazard was, they responded and performed in a very professional manner.
- 3. Medical Surge-** Those hospitals that participated in this year's Full Scale Exercise showed an ability to handle a major surge at their facility. Those hospitals that participated in the Inland Region showed an ability to handle a 50% patient increase to their facilities. Additionally, for the first time, numerous local clinics participated and successfully demonstrated a 20% patient increase capacity.
- 4. SNS- Department of Public Health and California Highway Patrol- Critical Logistics and Resource Management-** This year's exercise was the first of its kind, taking Strategic National Stockpile resources from storage to distribution. The SNS supplies a) arrived at the state border, b) custody was transferred, c) were transported to three exercise sites in California and d) dispensing sites were set up to support the local regions. Both agencies involved showed an increase in their ability to work together and complete the task.

PRIMARY AREAS FOR IMPROVEMENT

Throughout this exercise, several opportunities for improvement in the State's ability to respond to the types of catastrophic terrorist incidents developed in the exercise scenario. The primary areas for improvement and recommendations are as follows:

- 1. Communications-** Golden Guardian 2007 demonstrated that successful communications interoperability at the local level is still a challenge. At two of the participating venues, Incident Command Posts (ICPs) were occasionally unable to send or receive timely and pertinent information to the Emergency Operations Centers and to units in the field. Additionally, some first responder agencies did not have a solid communications links that enabled them to perform simultaneous actions toward the safe mitigation of an event. The causes for the difficulties were not having the interoperability communications equipment on site, or a lack of training on equipment that was there. Frequent interoperable

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communications training and annually exercising all levels of interoperable communications plans will greatly reduce communications challenges during real incidents.

- 2. On-Site Incident Management-** ICS is a perishable skill, especially for those agencies and organizations that don't utilize it on a routine basis. During this year's Full Scale Exercise, participants established Incident Command Posts under a Unified Command, but in some instances, did not completely follow the Incident Command System. There was a lack of standardized forms, incomplete communication, lack of knowledge regarding roles and responsibilities, and even an occasional breakdown between law and fire. California can improve common use of ICS by increasing ICS training programs to first responder agencies, non-governmental organizations, educational institutions, and to the private sector.

After Action Process

The After Action process began immediately after the conclusion of the exercise. Each location and work group conducted a "Hot Wash" to elicit comments from participants, controllers, and evaluators while the observations were still fresh. Within the 30 days following the exercise all of the Exercise Evaluation Guides completed by the field evaluators were consolidated and examined for trends. Within a few weeks following the exercise, a formal After Action Conference was held in each region, as well as in Sacramento for State Agencies, to gather additional comments and provide the attendees with an overview of significant comments and trends that were recognized. These findings, together with other data about the exercise, comprise the After Action Report. This document is used to guide future improvements in preparedness, as well as exercise design and conduct.



**Golden Guardian, Fresno, CA
November 15, 2007**

Corrective Improvement Plan Monitoring Project

This innovative project began in early 2006 by the Office of Homeland Security Training and Exercise Division to analyze and monitor State Agency corrective improvement progress. This project was well ahead of a new and similar Federal Department of Homeland Security Program in 2007. California volunteered to be a beta test site for the Department of Homeland Security Program and will contribute our research, product development, and experience to this national program.

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Golden Guardian and the Future

The overarching goals for all future Golden Guardian Exercises are to annually:

- Activate the State Operations Center (SOC)
- Activate one or more Regional Operation Centers (REOC) depending upon the exercise goals and objectives
- Utilize one or more of the 15 national planning scenarios
- Utilize an overarching theme for each Golden Guardian Exercise cycle
- Involve a major metropolitan area in each of the three regions on a rotational basis
- Tie critical infrastructure sites from the functional area exercise series as venues

CONCLUSIONS

California's Statewide Golden Guardian 2007 exercise was an aggressive attempt to involve government and private resources in prevention, protection, response, and recovery from terrorist attacks involving Weapons of Mass Destruction across several venues throughout the State.

The Golden Guardian 2007 Exercise Planning Team, facilitated by the Office of Homeland Security, included hundreds of exercise planners and succeeded in developing a robust scenario of events. The exercise series, designed to validate local Emergency Operations Plans, involved local emergency responders, federal, state, and local government agencies, the intelligence community, senior cabinet officials and private sector representatives.

(4) EXERCISES & TRAINING: WHAT IS IT ALL ABOUT?

Exercises allow homeland security personnel, from first responders to senior officials, to train and practice prevention, protection, response, and recovery capabilities in a risk-free environment. Exercises are also a valuable tool for assessing and improving performance, while demonstrating community resolve to prepare for major incidents. Through exercises, OHS aims to help entities validate training and equipment they've obtained based on their organizational mission. This helps ensure that gaps, deficiencies, and vulnerabilities are resolved prior to a real incident, along with identifying best practices and strengths.

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

- Assessing and validating policies, plans, procedures, training, equipment, and interagency agreements
- Validating training personnel on their roles and responsibilities
- Improving interagency coordination and communications

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- Identifying best practices
- Identifying gaps in capabilities
- Improving individual performance
- Identifying opportunities for improvement

OHS uses the doctrine from the USDHS, Homeland Security Exercise and Evaluation Program (HSEEP) in conducting its exercise programs. HSEEP Volume 1, dated February 2007, identifies the purpose of the HSEEP program as follows:



**Response to Simulated Terrorist Bombing
November 14, 2007**

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

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

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FEDERAL STRATEGIES AND PRESIDENTIAL DIRECTIVES

OHS, through its State strategy and exercise program, relies on guidance from the following key federal strategies and directives:

National Strategy for Homeland Security, October 2007

The National Strategy, released by the National Security Council, articulates the federal approach to homeland security, as well as guidance to States on how to approach the issue. Exercises are an important component of the National Strategy:

“Ultimately, a continuous cycle of joint training and exercises will ensure that all government, private sector, and non-profit stakeholders are capable of fulfilling their roles and responsibilities and can achieve unity of effort when responding to a real-world natural or man-made disaster. It is vital that best practices and lessons learned from exercises be applied to a [sic] continually improve our Nation’s response.”

Homeland Security Presidential Directives

The President uses Presidential Directives to provide guidance on priorities for many issues, including homeland security. Two Homeland Security Presidential Directives are highlighted here, as they provide guidance to States on the importance of preparedness and exercises.

Homeland Security Presidential Directive 5: On December 17, 2003, the President issued HSPD-5, "Management of Domestic Incidents." This Directive identifies steps for improved coordination in response to incidents. It requires the United States Department of Homeland Security (USDHS) to coordinate with other federal departments and agencies and state, local, and tribal governments to establish a National Response Plan (NRP) [*Now the National Response Framework (NRF)*] and a National Incident Management System (NIMS).

Homeland Security Presidential Directive 8: On December 17, 2003, the President issued HSPD-8, "National Preparedness." The purpose of this directive is to “establish policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to state and local governments, and outlining actions to strengthen preparedness capabilities of federal, state and local entities. “ HSPD 8 describes how federal departments and agencies will prepare for an incident. It requires the US Department of Homeland Security (USDHS) to coordinate with other federal departments and agencies and state, local, and tribal governments to develop a National Preparedness Goal (the Goal), the National Incident Management System (NIMS) and the National Response Plan (NRP) [*Now the National Response Framework (NRF)*].

National Preparedness Goal

Required by HSPD 8, the National Preparedness Goal establishes readiness priorities, targets, and metrics. It enables the Nation to answer three key questions:

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

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The Goal further enables entities across the Nation to more easily pinpoint capabilities that need improvement and sustain capabilities at levels needed to manage major events using the protocols established by the NRF and NIMS. Exercises are a key component of the Goal.

National Incident Management System (NIMS)

NIMS provides a consistent framework for incident management at all jurisdictional levels regardless of the cause, size or complexity of the incident. Building upon the Incident Command System (ICS), NIMS provides the nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters and other emergencies. The NRF is an all-discipline, all-hazards plan for the management of domestic incidents. Using the template established by NIMS, the NRF provides the structure and mechanisms to coordinate and integrate incident management activities and emergency support functions across federal, state, local and tribal government entities, the private sector and non-governmental organizations. Exercises are vital to ensuring that NIMS is effective.



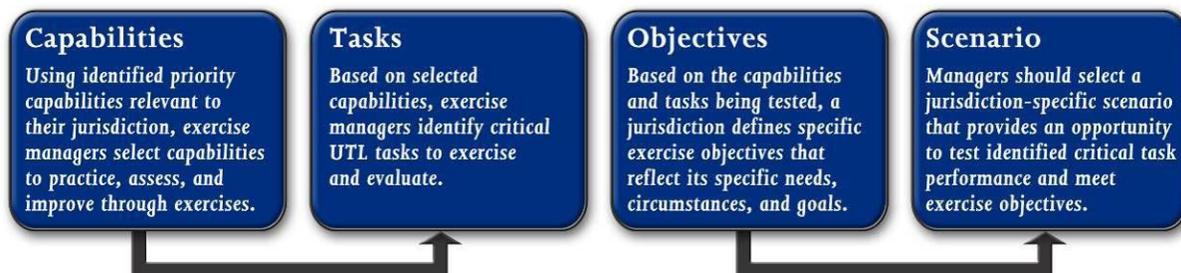
Volunteers play a vital role in Golden Guardian exercises

National Response Framework (NRF)

The National Response Framework was published in January 2008 and is a guide to how the Nation conducts all-hazards response. It is built upon *scalable, flexible, and adaptable coordinating structures* to align key roles and responsibilities *across the Nation*. It describes specific authorities and best practices for managing incidents that range from the serious but purely local, to large-scale terrorist attacks or catastrophic natural disasters.

Homeland Security Grant Funds

HSEEP doctrine also states that any exercise conducted utilizing Homeland Security grant funds will be posted on the National Exercise Schedule (NEXS) portion of the HSEEP Toolkit and produce an After Action Report (AAR)/Improvement Plan (IP). The AAR/IP will be formatted according to HSEEP guidelines and posted on the Corrective Action Plan System (CAPS) portion of the HSEEP Toolkit in accordance with Preparedness Directorate Information Bulletin No. 224, dated November 21, 2006.



Using capabilities and tasks to create exercise objectives and scenarios
(Excerpt from HSEEP Volume II, February 2007)

CALIFORNIA’S STATE HOMELAND SECURITY STRATEGY FOR PREPAREDNESS

In partnership with federal, state, and local government agencies and jurisdictions, and the private sector, California adheres to the four national mission areas of preparedness: prevention, protection, response, and recovery.

In achieving these four mission areas, California recognizes that it is vital to develop multi-discipline, multi-jurisdictional, and regional approaches to prevention, planning, equipping, training, and exercising. The *California Homeland Security Strategy* promotes information sharing, as recommended in the report issued by the 9/11 Commission, and ensures that money executed on homeland security is accomplished in a planned, coordinated and strategic manner.

OHS develops, maintains, and implements a statewide, comprehensive homeland security strategy to prevent and deter terrorist attacks within the state, reduce the state’s vulnerability to terrorism, minimize damage from attacks that may occur, and facilitate any recovery efforts. Homeland Security stakeholders in California cross all jurisdictions and disciplines. They include the citizens of California, state agencies, local government partners, regional councils of governments, law enforcement agencies, federal partners, tribes, and private sector partners.

State Strategic Objectives (*Contains excerpts from the State of California 2008 Homeland Security Strategy*)

The four mission areas identified in the National Preparedness Goal and reflected in the State strategy are: prevention, protection, response and recovery. The broad strategic objectives of homeland security in California mirror those identified in federal guidelines. Priorities to strengthen layers of security and resiliency in California are as follows:

- 1) Prevent and disrupt terrorist attacks within the State
- 2) Reduce California’s vulnerability to terrorism
- 3) Minimize the damage and recover from attacks that do occur



Golden Guardian, November 14, 2007

The critical mission areas are identified federal and State directives and the *National Strategy for Homeland Security*, the U.S. Department of Homeland Security, *National Preparedness Guidelines*, and *Homeland Security Presidential Directives*. These mission areas allow the California Office of Homeland Security to leverage resources to prevent and disrupt terrorist attacks, protect people, critical infrastructure and key resources, and provide assistance to emergency service efforts for response and recovery.

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A key component of the State's Homeland Security Strategy is the Office of Homeland Security's Training and Exercise Program. This multi-agency, multi-disciplinary team provides training and exercises for California's emergency responders. Exercises and training courses are systematically developed and coordinated to enhance response and recovery to terrorist attacks involving Weapons of Mass Destruction (WMD).

Golden Guardian Exercise Series

The Golden Guardian Statewide Exercise Series was first implemented by Governor Arnold Schwarzenegger in 2004, and has become an annual statewide exercise conducted to coordinate prevention, preparation, response and recovery mechanisms of city, county and state governmental entities, and private sector and volunteer organizations. The goal of the Golden Guardian Exercise Series is to build upon the lessons learned from this and subsequent exercises conducted throughout the nation, as well as real-world events. Golden Guardian is currently the largest statewide exercise program of its kind in the country.

THE OHS EXERCISE PROGRAM

The purpose of the OHS Exercise Program is to develop, coordinate, and lead a statewide Homeland Security Exercise and Evaluation Program (HSEEP) primarily focused on Weapons of Mass Destruction (WMD)/Chemical-Biological-Radiological-Nuclear-Explosive (CBRNE) and catastrophic incidents. The Exercise Program uses the Homeland Security Exercise and Evaluation Program (HSEEP) as its doctrinal basis. Adherence to the policy and guidance presented in the HSEEP Volumes ensures that exercise programs conform to established best practices, and helps provide unity and consistency of effort for exercises at all levels of government.

The exercise team consists of professionals from a wide variety of experiences and backgrounds, including individuals on executive loan from the California Military Department, Sacramento Metropolitan Fire District, Sacramento City Fire Department, California Highway Patrol, Sacramento Sheriff's Department, California Department of Corrections and Rehabilitation, California Department of Fish and Game: Office of Spill Prevention and Response, California Department of Transportation, University of California, Davis and California Volunteers.

The OHS Multi-Year Exercise Plan

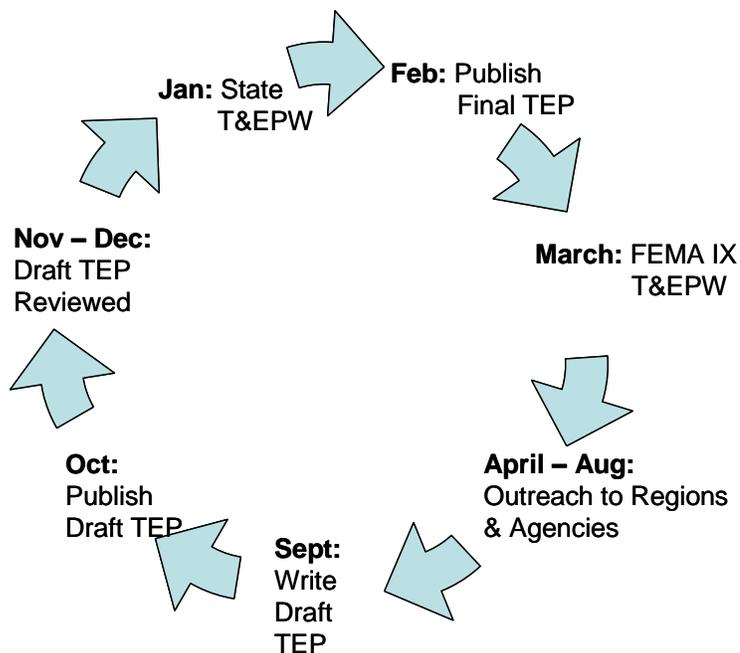
OHS is focused on providing participating agencies and jurisdictions at all levels of government and private industry with exercise events tailored to emphasize readiness for man-made or natural catastrophic events, as well as terrorism or Weapons of Mass Destruction (WMD) events (i.e. Chemical, Biological, Radiological, Nuclear or Explosive). The State's plan is to conduct exercises that stress the emergency management system from the local level through operational area, region and state. The exercise plan also seeks to integrate Federal Emergency Support Functions (ESFs) into statewide exercises as often as possible. These exercises are progressive in nature and designed to validate training, equipment, and emergency operations plans at all levels.

OHS manages its exercise activities in three administrative regional areas: Coastal, Inland and Southern Regions. State agency exercise activities are managed in a fourth category referred to

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as State Agencies. Exercise program guidance, management, and coordination are conducted by staff assigned to each of the three regions and state agencies.

The Office of Homeland Security, in collaboration with our state, regional, and local partners, develops and revises a multi-year training and exercise plan/program for the state. Each year, the Office of Homeland Security conducts an annual Training & Exercise Planning Workshop (TEPW) where exercise planners from all Operational Areas, Urban Area Security Initiatives, tribes, and state agencies lay out their training and exercise plans and dates for the upcoming three to five year rolling cycle.



California's Training and Exercise Annual Planning Cycle

The overall goals of the TEPW are to align, de-conflict, and synergize training and exercise opportunities where possible throughout the state to help prevent affected agencies and jurisdictions from being over tasked from “exercise fatigue.” Accounting and planning for exercises on a three to five year rolling cycle enhances communication and coordination among all exercise planners. It also ensures the most efficient and cost effective use of personnel and resources.

The culminating product of the TEPW's is the Multi-Year Training and Exercise Plan which is designed to systematically assess preparedness capabilities at the local jurisdiction, county (operational area), regional and state levels. The Multi-Year Plan includes federal level exercises that affect California, the annual statewide Golden Guardian Exercise Series, functional area initiative exercises, and other local and regional exercises based on USDHS HSEEP doctrine throughout the state.

The Multi-Year Training and Exercise Plan allows for ongoing, coordinated exercise planning of California's state agencies. The plan includes a description of the California preparedness

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program, exercise methodology, and program maintenance and evaluation requirements. The plan also includes common acronyms, the grant guidance from the US Department of Homeland Security for that particular planning cycle, guidance from the State Homeland Security Strategy, and a three year schedule of exercises constructed to assess a variety of state, county and local capabilities and requirements.

The Training and Exercise Plan is considered a living document that is updated on an annual basis, during the annual TEPW, to reflect changing needs. This plan is implemented and managed by OHS with support from other state agencies.

The capstone of the Multi-Year Exercise Plan is the Governor’s Annual Statewide Exercise Series, “Golden Guardian.” Golden Guardian is a series of exercises of increasing complexity. Depending on participants needs, preparation begins with a series of discussion based exercises (seminars, workshops, and tabletops) and works through a Functional Exercise, and finally to the final Full Scale Exercise. This is all done in a building block approach; each exercise building upon the lessons of the prior one. The Golden Guardian Exercise Series is multi-agency, multi-jurisdictional, and multi-dimensional based on the State and National Priorities, the National Scenarios, the Target Capabilities List and the Universal Task List.

The cycle of exercises addressed by California’s multi-year plan is intended to promote consistency in all areas including operational procedures by administrative services, transportation, fire services, Emergency Medical Services (EMS), public health, hospitals, correctional facilities, law enforcement, transportation, environmental protection personnel, and others. Both existing and future emergency response plans and the capabilities required to mitigate this set of potential disasters will be systematically tested through appropriate exercises to ensure that emergency plans are robust and that emergency response actions are effective.

Strategic Goals

OHS has the following strategic goals relating to exercises:

- Synchronize and synergize homeland security exercises being conducted in the State of California through the T&EPW process
- Conduct the Governor’s Annual Statewide Exercise Series, “Golden Guardian”
- Support state agencies’ exercise needs
- Conduct functional initiative exercises as directed
- Implement HSEEP Doctrine in California
- Provide oversight for the HSEEP toolkit for California which includes the National Exercise Schedule (NEXS), the Design and Development System (DDS), and the Corrective Action Plan System (CAPS)
- Maintain and update the Grants and Training (G&T), (former ODP) portal

The Training and Exercise Division goals are based on the strategic goals and objectives developed by the California Office of Homeland Security. California’s strategic goals support

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the seven National Priorities as described in the *U.S. Department of Homeland Security, National Preparedness Goal, published March 31, 2005*. The national priorities are as follows:

Overarching Priorities

- Implement the National Incident Management System and National Response Plan
- Expanded Regional Collaboration
- Implement the Interim National Infrastructure Protection Plan

Capability-Specific Priorities

- Strengthen Information Sharing and Collaboration Capabilities
- Strengthen Interoperable Communications Capabilities
- Strengthen CBRNE Detection, Response, and Decontamination Capabilities
- Strengthen Medical Surge and Mass Prophylaxis Capabilities
- Review Emergency Operations Plans and Status of Catastrophic Planning

Golden Guardian Planning – A Building Block Approach

The philosophy and doctrine of the USDHS HSEEP model of exercise design is the crawl, walk, run model also noted as the building block approach to exercise planning and execution. This allows for proper integration planning processes at the lowest levels and allows for growth and participants interagency collaboration during the process. The dual benefit of this building block process is not only the culmination of the full scale exercise play, but the integration, communication and collaboration of agencies and all levels of government entities during the actual planning process. The State of California's response entities possess different levels of preparedness regarding catastrophic events and WMD prevention, response, and recovery capabilities. Because of these differences, the exercise delivery strategy is a building-block approach that will remain constant throughout the life of the exercise program.



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The building-block approach ensures successful progression in exercise design, complexity, and execution, and allows for exercise objectives, scope, and scale to be tailored to the specific community while maintaining a consistent delivery method.

For California, the suggested baseline exercise progression is to move from a seminar, to a tabletop exercise, to a functional exercise, and finally, to a full scale exercise. This allows for a logical progression of regional and jurisdictional preparedness by increasing in size, complexity, and stress factor, while allowing for significant learning opportunities that complement, build upon, and directly lead into one another effectively. This model will remain flexible enough to allow for the addition of, or inclusion of, other desired exercise types that California may require.

Exercise Development and the Planning Cycle

Exercise planning should not exist in a vacuum and should be integrated into an overall community preparedness program. The following cycle is conducted annually:

- Conduct **Assessment/Re-assessment**
- Identify Vulnerabilities/**Targets (Critical Infrastructure)**
- Align **Missions** with National Preparedness Goals
- Identify Current Target **Capabilities**
- Integrate **Plans, Policies, Procedures, and Protocols**
- Conduct **Training**
- Conduct **Exercises**
- **Evaluation** of Exercises/Training
- Track **Improvement Plans**

The Exercise Planning Team

The OHS Exercise Branch utilizes an exercise planning team, responsible for successful execution of all aspects of an exercise, including exercise planning, conduct, and evaluation. The planning team determines exercise objectives; tailors the scenario to jurisdictional or agency needs; and develops documents used in exercise simulation, control, and evaluation. The exercise planning team also incorporates representatives from each major participating jurisdiction and agency, while keeping the planning team a manageable size. The exercise planning team is managed by a lead exercise planner and is most effectively structured using the principles of the Incident Command System (ICS), as stated in the National Incident Management System (NIMS) Standardized Emergency Management System (SEMS) and referenced in the figure below.



The team's project management principles reflect SEMS/NIMS, with clearly defined roles and responsibilities and a manageable span of control. Planning team members also help develop and distribute pre-exercise materials and conduct exercise briefings and training sessions.

The following events took place during the year-long planning cycle for GG07. Each planning meeting, seminar and workshop was conducted four times, once each for the participating regions (Southern, Inland and Coastal regions) and once for State and Federal agencies:

Planning Meetings: As outlined in USDHS HSEEP doctrine there are six basic conferences in an operations based exercise planning cycle:

- Concept and Objectives Meeting(C&O): The formal beginning of the planning process. It is held to identify the type, scope, objectives, and purpose of the exercise
- Initial Planning Conference (IPC): Lays the foundation for exercise development and is typically the first step in the planning process. Its purpose is to gather input from the exercise planning team on the scope, design, requirements and conditions, objectives, level of participation, and scenario variables
- Mid-Term Planning Conference (MPC): A working session for discussion of exercise organization and staffing concepts, scenario timeline development, scheduling, logistics, and administrative requirements
- Master Scenario Events List Conferences (MSEL): Develops the Master Scenario Events List; a chronological list supplementing the exercise scenario with event synopses, expected responses, objectives to be demonstrated and responsible personnel
- Final Planning Conference (FPC): The final forum for reviewing exercise processes and procedures
- After Action Review Conference (AAR): The forum for analyzing the outcome of the exercise to identify strengths and challenges and for developing corrective action plans

Exercise Types:

Discussion Based Exercises:

Seminars: Generally orient participants to authorities, strategies, plans, policies, procedures, resources, concepts, and ideas. Used by jurisdictions developing or making major changes to existing plans or procedures.

Workshops: Focus is on achieving or building a product; such as plans or policies.

Tabletop Exercises (TTX): Involve discussion by key staff, decision makers, and elected and appointed officials and are used in the application of group problem solving and to prepare for a more complex exercise.

Games: A simulation of operations that often involves two or more teams and uses rules, data, and procedures to depict an actual or assumed real-life situation.

Operations Based Exercises:

Drills: A coordinated, supervised activity usually employed to validate a single, specific operation or function in a single agency or organization entity.

Functional Exercises: Test and evaluate individual capabilities, multiple functions or activities within a function. The focus is on exercise plans, policies, procedures, and staff that direct and control functions within the Incident Command and Unified Command Systems. These are also known as Command Post Exercises.

Full-Scale Exercises (FSE): Response elements are required to mobilize and deploy to a designated site or location in response to a simulated attack, generally for an extended period. Actual mobilization and movement of personnel and resources are required to demonstrate coordination and response capability. Emergency Operations Centers (EOC's) and field command posts are activated. The FSE is the largest, costliest, and most complex exercise type and may involve participation at the State, local, regional, and Federal levels. Although pre-scripted events may be used, the exercise is primarily driven by player actions and decisions.

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