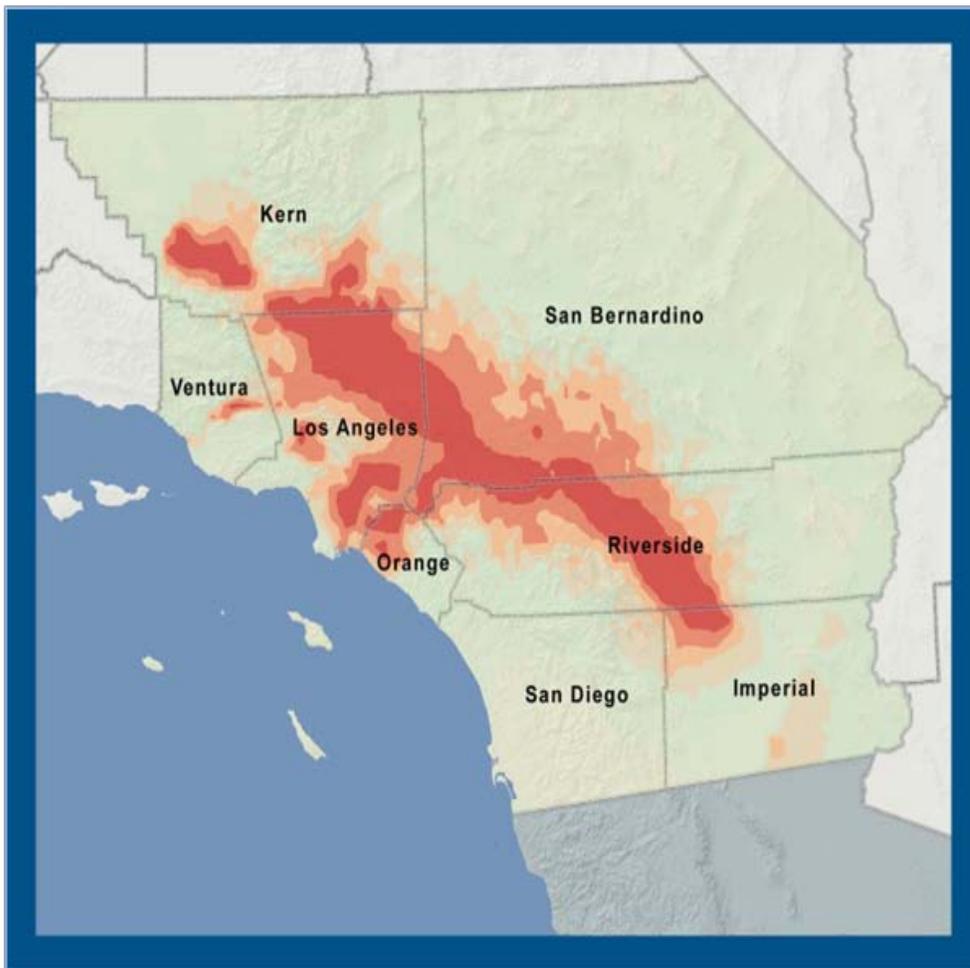




# CALIFORNIA EMERGENCY MANAGEMENT AGENCY

## GOLDEN GUARDIAN 2012 EXERCISE SERIES EXECUTIVE BRIEF



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### **INTRODUCTION**

Eleven years after 9/11, California continues to be a national leader in prevention, protection, mitigation, response, and recovery activities addressing catastrophic natural and man-made incidents. A significant part of this effort is the California Emergency Management Agency's (Cal EMA) robust training and exercise programs designed to meet the needs of the state's 58 counties, roughly 38 million residents, tribal nations, approximately 650,000 first responders, 11 ports, over 1,500 critical infrastructure sites, and 10 major metropolitan cities. Working in concert with preparedness partners, Cal EMA's exercise program features the Governor's Annual Exercise Series, "Golden Guardian."

Golden Guardian allows local, state, federal, and private sector partners to train and exercise with the goal of evaluating and improving their capabilities in all mission areas related to catastrophic natural and man-made incidents in California. A successful Golden Guardian exercise series usually entails 12-18 months of planning, numerous exercises, and a wide range of participants. Cal EMA conducts Golden Guardian based on goals identified in California's Strategic Plan. The exercise series implements critical elements of the State of California Emergency Plan, the Standardized Emergency Management System (SEMS), the National Preparedness Goal (NPG), the National Response Framework (NRF), and the National Incident Management System (NIMS).

Golden Guardian 2012 (GG12) consisted of a series of 13 building block exercises focused on the 2010 Southern California Catastrophic Earthquake Response Plan. These exercises were mutually agreed upon by the members of the Exercise Planning Team (EPT), which was comprised of planners from Cal EMA, FEMA Region IX, and other state and local partners. This GG12 Executive Brief will provide you an overview of the following:

- 1. Introduction**
- 2. Golden Guardian 2012 Exercise Purpose and Planning**
- 3. Golden Guardian 2012 Exercise Scenario**
- 4. Golden Guardian 2012 Exercise Objectives and Capabilities**
- 5. Golden Guardian 2012 Exercise Series Overview**
- 6. Cal EMA Exercise Program**

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**GOLDEN GUARDIAN 2012 PURPOSE AND PLANNING**

The Golden Guardian 2012 (GG12) exercise series was funded by the Homeland Security Grant Program and designed to familiarize local, state, and federal governments, and private sector partners on portions of the 2010 Southern California Catastrophic Earthquake Response Plan. The most important aspect of the exercise series was to raise awareness of key components of the plan and critical emergency management decision-making processes that would happen during a catastrophic earthquake. Planning for GG12 began in March of 2011 and ended with a Unified Coordination Group Functional Exercise in August 2012. GG12 was comprehensive and complex and consisted of 13 synchronized building block exercises:

- Five Southern California Catastrophic Earthquake Plan “Roll-Out” Seminars
  - Three conducted for Operational Areas in California’s Southern Region
  - One conducted for Cal EMA Executives
  - One conducted for State of California agencies and departments
- Unified Coordination Group Seminar
- Regional Mass Care Seminar
- Business and Utilities Operations Centers Tabletop Exercise
- Southern California Catastrophic Earthquake Response Plan Task Forces Workshop
- Mass Care Workshop
- Business and Utilities Operations Centers Functional Exercise
- California Statewide Multi-Agency Coordination System Functional Exercise
- Unified Coordination Group Functional Exercise

To successfully coordinate the exercise series, members of Cal EMA’s exercise program used an expanded approach by establishing a joint exercise planning team between Cal EMA and FEMA Region IX. The Exercise Planning Team (EPT), co-chaired by Cal EMA and FEMA IX senior exercise planners, held three planning conferences for all scheduled exercises. The EPT worked closely with Operational Areas, non-governmental organizations, state and federal agencies, private sector partners, the Mass Care Working Group, and the Task Forces Working Groups identified in the Southern California Catastrophic Earthquake Plan.

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**GOLDEN GUARDIAN 2012 EXERCISE SCENARIO**

GG12 utilized the capabilities-based planning methodology which allowed exercise participants to assess capabilities suitable for the wide range of threats and hazards they would experience during a catastrophic earthquake. In order to test these capabilities, a scenario working group comprised of subject matter experts from Cal EMA, the California Utilities Emergency Association, and FEMA Region IX developed a challenging scenario and situation status reports tailored to meet the needs of the various GG12 participants. Using information from the U.S. Geological Survey's 2008 ShakeOut Report, the working group developed the following GG12 scenario:

It is currently 72 hours after a catastrophic M7.8 earthquake erupted for 90 seconds along a 270 kilometer line of the Southern San Andres Fault from the Salton Sea to Lancaster, California. The earthquake struck at 9:00 am on August 14, 2012 impacting Imperial, Los Angeles, Riverside, San Bernardino, Orange, and Ventura Operational Areas (OAs). All OAs activated their Emergency Operation Centers (EOCs) and responded to incidents within the impact zone. Cal EMA's Southern Regional Emergency Operations Center (REOC) was damaged and unable to activate, thus all REOC response operations were transferred to the State Operations Center (SOC). Starting the exercise at 72 hours after the earthquake allows for the integration of local, state, federal, and private sector response operations. Based on data from 2008 USGS study, the situation status on the third day after the catastrophic earthquake is:

- 1,800 deaths
- 53,000 injuries
- 300,000 buildings significantly damaged (1 in 16)
- 1,600 ignitions requiring a fire engine, 1,200 exceed capability of first engine
- 542,000 individuals require mass care and shelter, to include those with access, functional and other special support needs. This includes 10% (50,000+) toddlers and infants
- 2.5 million individuals shelter-in-place and need basic resource support (e.g., food and water)
- 267,000 displaced household pets
- 4,500 rescues
- \$213 billion damages

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**GOLDEN GUARDIAN 2012 OBJECTIVES AND CAPABILITIES**

Cal EMA’s Exercise Program utilizes a capabilities-based approach to exercise program management, foundation, design, development, conduct, evaluation, and improvement planning. Capabilities-based planning is defined as planning, under uncertainty, to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. Capabilities-based planning addresses uncertainty by analyzing a wide range of realistic scenarios to identify required capabilities, and is the basis for guidance such as the National Preparedness Goal, the Core Capabilities, and the Target Capabilities List (TCL). Golden Guardian 2012 Exercise Series objectives were developed by exercise stakeholders based on input from senior leaders, Operational Areas, and information in the Southern California Catastrophic Earthquake Response Plan. The GG12 exercise objectives were:

- Validate and identify gaps in the Unified Coordination Group (UCG) formation and decision making processes
- Exercise UCG decision-making for allocation of scarce resources
- Exercise the California Statewide Multi-Agency Coordination System (CSMACS) in a Southern California Earthquake
- Validate and identify gaps in Task Forces and Mass Care portions of the Southern California Catastrophic Earthquake Response Plan

Golden Guardian 2012 incorporated the following Core and Target Capabilities:

<b>Core Capability</b>	<b>Corresponding Target Capability</b>
Planning	Planning
Operational Communications	Communications
Operational Coordination	EOC Management
Public & Private Sector Resources	Critical Resources & Logistics Distribution
Mass Care Services	Mass Care
Infrastructure Systems	Restoration of Lifelines

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## **GOLDEN GUARDIAN 2012 EXERCISE SERIES OVERVIEW**

The primary success of Golden Guardian 2012 was the bringing together of nearly 800 stakeholders over 13 separate exercises to familiarize them with and improve their awareness of the newly published 2010 Southern California Catastrophic Earthquake Response Plan. The below successes and areas of improvement are summaries from the 13 Golden Guardian 2012 exercises.

### **Golden Guardian 2012 Successes**

#### **Roll-out Seminars**

During the period of July through September 2011, Cal EMA hosted a series of five roll-out seminars to familiarize stakeholders with the December 2010 Southern California Catastrophic Earthquake Response Plan. Three seminars were held for Operational Areas in various locations in Southern California, one for state agencies in Sacramento, and one for new Cal EMA leadership. The seminars provided a framework for all levels of government, private sector partners, and non-governmental organizations to review, discuss, and understand the critical emergency management decision-making processes related to a catastrophic Southern California earthquake. Important items addressed and discussed by participants were the expected effects of the earthquake; how Operational Areas, Cal EMA, and FEMA will coordinate response operations; current plans for establishing a Joint Field Office, and the role of the Unified Coordination Group. Participants left the seminars with a greater understanding of the processes and procedures that will be in place to help them work together to resolve the difficult issues everyone will face if the earthquake occurs.

#### **Mass Care Seminar & Workshop**

Golden Guardian 2012 provided a forum for all levels of government and non-governmental organizations to review mass care plans and issues they will face in the event of a catastrophic earthquake in Southern California. All participants agreed that some of the critical decisions leaders will face right after the earthquake will center around mass care and sheltering of effected populations. As a result, seminar and workshop participants had successful discussions regarding sheltering resources needed to support the expected 542,000 individuals requiring mass care and sheltering services as well as the expected 2.5 million people who will shelter in place. While the mass care and sheltering of large number of people after a catastrophic event is a difficult subject to address, those involved in the exercises successfully discussed possible courses of action for three distinct mass care groups:

- Populations who shelter in place within the impact zone
- Populations who seek shelter within the impact zone
- Populations who evacuate the impact zone and are in need of support

#### **Business Operations Center and Utilities Operations Center Exercises**

Part of the GG12 series included a Tabletop Exercise and Functional Exercise for business and utilities partners who co-locate response operations within Cal EMA Headquarters during disasters. The two exercises highlighted the strong public-private partnerships that exist in

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California and validated the collocation of the Business Operations Center and Utilities Operations Center within Cal EMA Headquarters and the State Operations Center (SOC). Having the two operations centers in close proximity to Cal EMA streamlined the coordination and cooperation that took place between private sector partners and emergency managers during the exercise. The exercises were an opportunity for private sector liaisons to practice standard SOC procedures and rehearse participating in Incident Command System planning meetings and briefings.

#### **Southern California Catastrophic Earthquake Response Plan Task Forces Workshop**

The Catastrophic Earthquake Response Plan identifies three Task Forces that will stand up in the event the earthquake strikes Southern California. These Task Forces are centered on the Cajon Pass, Water Conveyance, and Port Reconstitution. An important success of GG12 was the bringing together of the various task forces members through a Task Forces Workshop. The Workshop provided a forum for members to review current plans and discuss ways to build on them. The Workshop provided an opportunity to discuss important strategic and policy level issues that the Task Forces may face during a catastrophic earthquake incident. The Workshop was an environment for task force members to identify critical resource needs and develop recommended priorities that will assist in the strategic level decision making process.

#### **California Statewide Multi-Agency Coordination System Functional Exercise**

In 2012, Cal EMA published a draft California Statewide Multi-Agency Coordination System (CSMACS) Guide to assist with making resource allocation decisions at the regional and state levels. The draft CSMACS Guide was successfully tested during GG12 in a Functional Exercise involving Operational Area emergency managers and personnel from Cal EMA Operations and Planning. During the exercise, emergency managers and Cal EMA personnel practiced using the new CSMACS Guide to make regional level mass care resource and prioritization decisions. The exercise provided valuable feedback about the CSMACS Guide that allowed Cal EMA to make revisions and updates to better meet the needs of local emergency managers. The exercise demonstrated that multi-agency coordination system, a process initially developed for used in fire response situations, is very effective when applied to a decision-making in catastrophic incidents.

#### **Unified Coordination Group Exercises**

A priority for GG12 was to exercise Unified Coordination Group (UCG) formation and decision-making during a catastrophic earthquake. In order to accomplish this objective, Cal EMA hosted a UCG Seminar in October 2011 and a UCG Functional Exercise in August 2012. The October 2011 Seminar brought together state and federal UCG members, as well as local emergency managers, to familiarize them with UCG portion of the 2010 Earthquake Response Plan. Seminar participants also had an opportunity to discuss the role of the UCG, how the group will receive important information, and the process the UCG will use to make priorities and allocate resources. UCG members and local emergency managers had an opportunity to ask questions and gain an understanding of how they will work together in the event the earthquake occurs.

The GG12 capstone event was a UCG Functional Exercise which took place in August 2012. The exercise put UCG members in an earthquake plus 72 hours scenario where they received

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update briefings from Cal EMA and FEMA Region IX Operations and Plans Chiefs, just as they would in a real situation. The exercise gave the UCG a feel for decisions they may face regarding mass care and sheltering, water shortages, and critical infrastructure damage. The involvement of senior officials in the UCG Exercise was a key component of the state's exercise program and directly contributed to improving the preparedness of senior officials in California.

### **Areas for Improvement**

#### **Periodic Plan Awareness and Familiarization**

Golden Guardian 2012 successfully improved awareness of local, state, federal, and private sector stakeholders about the new Southern California Catastrophic Earthquake Response Plan. It was a forum for participants to discuss important components of the plan, but more importantly, how decision-makers at all levels of government will coordinate together under the plan's construct. An area to consider for the future is revisiting the plan periodically to familiarize emergency managers and decision-makers who are new due to normal personnel turnover. These periodic awareness seminars would also be excellent opportunities to brief updates or changes to the plan and get feedback from the field on how to make the plan better.

#### **Mass Care and Sheltering Planning**

Mass care and sheltering was identified by many Golden Guardian participants and senior leaders as an important issue decision-makers will face in the event of a catastrophic earthquake. Golden Guardian 2012 brought together nongovernmental organization, local, state, and federal government mass care and sheltering subject matter experts and planners to discuss and work through these difficult issues. Together these individuals discussed draft courses of action to address the mass care and sheltering needs of Southern California's population affected by the earthquake. It is recommended that these groups continue to build on their GG12 successes and review, update, and exercise these courses of action on a periodic basis.

#### **Scarce Resource Allocation and Priority Setting**

Discussions throughout the GG12 exercise series clearly identified that a catastrophic earthquake will result in resource allocation challenges for emergency managers. GG12 gave emergency managers and senior level decision-makers a feel for what some of these challenges may be in a low stress environment. Practicing these types of catastrophic situations through exercises is an extremely valuable endeavor that directly hones skills and improves preparedness. When possible, emergency managers and senior leaders should exercise scarce resource allocation decisions and priority setting at the strategic level. Future Golden Guardian exercises are designed to provide those opportunities when needed.

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### **Conclusion**

The Governor's Annual Golden Guardian Exercise Series 2012 provided the opportunity to evaluate and validate the 2010 Southern California Catastrophic Earthquake Plan. Bringing together state and federal agencies, southern California Operational Areas, and private sector partners, while complex, was extremely successful. Golden Guardian continues to prove itself to be a valuable tool for California to test its prevention, protection, mitigation, response, and recovery capabilities for catastrophic natural or manmade incidents. Golden Guardian 2012 enhanced and spotlighted the spirit of planning, coordination, and cooperation between participants at all levels, thus ensuring that the State of California will continue to be a national preparedness leader. As a result of multiple coordinated exercises; local, regional, state, and federal agencies are better prepared to respond to and recover from a catastrophic earthquake in California.

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### **CAL EMA EXERCISE PROGRAM**

Cal EMA administers its Exercise Program through the California Specialized Training Institute (CSTI). CSTI's exercise team consists of professionals from a wide variety of experiences and backgrounds, including individuals from the California Military Department, Sacramento County Sheriff's Department, American Red Cross, University of California at Davis, and the Sacramento Metropolitan Fire District.

The purpose of CSTI's Exercise Program is to develop, coordinate, and lead a statewide exercise and evaluation program that is all-hazards based yet focuses on California specific hazards and catastrophic incidents. The overarching goals for the program are to:

- Conduct the Governor's Annual Exercise Series, Golden Guardian;
- Continue implementation of Homeland Security Exercise and Evaluation Program (HSEEP) methodology in California;
- Support regional exercise initiatives;
- Provide exercise support to California state agencies;
- Remain flexible and adaptable in order to conduct functional initiative exercises to meet the emerging needs of California;
- Conduct the annual State Training and Exercise Planning Workshop and produce the Multi-Year Training and Exercise Plan; and
- Provide oversight for the HSEEP toolkit for California which includes the National Exercise Schedule (NEXS) and the Design and Development System (DDS).

### **Golden Guardian Exercise Series**

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

Each year's Golden Guardian theme is developed with stakeholder input and is designed to assess regional or catastrophic emergency plans for threats and hazards that face California. The themes for future Golden Guardian exercises are as follows:

- 2013: Bay Area Earthquake
- 2014: Cascadia Earthquake and Tsunami
- 2015: Southern California Flood (Proposed)
- 2016: Terrorism: Animal Disease Outbreak (Proposed)
- 2017: Cyber Attack: State Government (Proposed)

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### Exercise Support Program

California Specialized Training Institute’s exercise program provides exercise support focused on multi-agency/multi-jurisdictional discussion based and functional exercises at the county and regional levels as well as for state agencies and departments. Exercise support program materials are designed to be quickly tailored to meet specific requests.

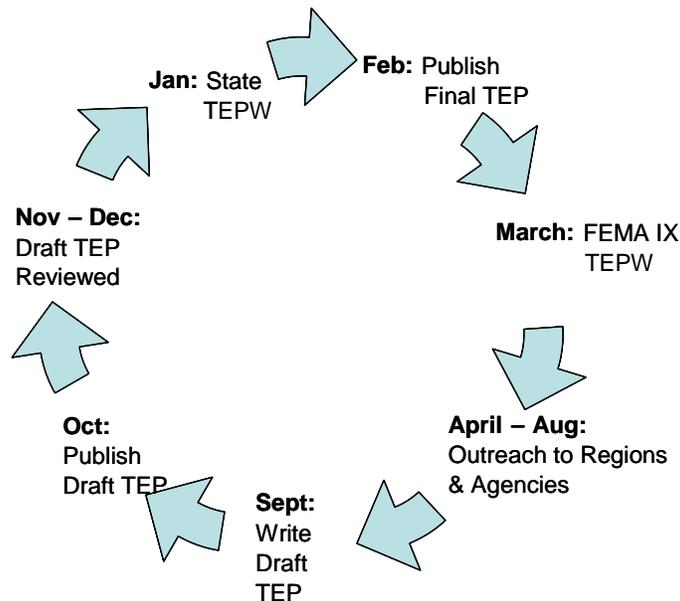
### The California HSEEP Training Course

The California Homeland Security Exercise and Evaluation Program (HSEEP) Course for Responders is a 32-hour (four-day) intermediate-level training course that incorporates the HSEEP Toolkit while using HSEEP methodology. Throughout the course, participants learn about topics including exercise conduct, program management, design and development, evaluation, and improvement planning. The course walks participants through the toolkit with an emphasis placed on creating a tabletop exercise (TTX).

### The California Multi-Year Training and Exercise Plan

California Specialized Training Institute’s exercise team, in collaboration with our local, regional, and state partners, as well as tribal nations and private industry partners, develops and revises a multi-year training and exercise plan/program for the state. Each year, CSTI conducts a Training and Exercise Planning Workshop (TEPW) where exercise planners and stakeholders work together to coordinate their training and exercise plans in a three to five year rolling cycle.

### California’s Training and Exercise Annual Planning Cycle



The goal of the TEPW is to align, de-conflict, and synchronize training and exercise opportunities where possible. A three-to-five-year training and exercise plan enhances communication and coordination among all exercise planners. It also ensures the most efficient and cost effective use of personnel and resources.

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The TEPW process produces the State's Multi-Year Training and Exercise Plan which includes federal level exercises that affect California, the annual Golden Guardian Exercise Series, other state agency and department exercises, functional area initiative exercises, and local and regional exercises. The plan also coordinates important training course offerings to meet the training of TEPW participants.

### **State and Federal Strategies and Presidential Directives**

CSTI utilizes guidance from the following state and federal strategies and directives in developing its exercise program:

#### **The Standardized Emergency Management System**

The Standardized Emergency Management System (SEMS) standardizes response to emergencies involving multiple jurisdictions or multiple agencies. SEMS is intended to be flexible and adaptable to the needs of all emergency responders in California. SEMS requires emergency response agencies to use basic principles and components of emergency management including ICS, multi-agency or inter-agency coordination, the operational area concept, and established mutual aid systems.

#### **Cal EMA's Strategic Plan**

Cal EMA's Strategic Plan outlines the vision, mission, values, goals, and objectives critical to protecting lives and property in the Golden State. It is a vision of a safe and resilient California that relies on strong, cohesive leadership and meaningful partnerships. Protecting lives and property in the most populous, diverse state in the nation is not an easy task, but is achievable by enlisting, entrusting, empowering, and encouraging state and local partners. A key objective of Cal EMA's mission is to conduct training and exercises across all mission areas, while enhancing professional training for emergency management and homeland security disciplines.

#### **Cal EMA's Strategic Goals**

- Effectively respond to and quickly recover from both intentional and natural disasters
- Strengthen and unify Cal EMA's operations and management to increase operational efficiency and effectiveness
- Enhance prevention and detection capabilities to protect our State and critical infrastructure from all hazards
- Strengthen California's ability to plan, prepare for, and mitigate disasters, emergencies, and terrorist events
- Streamline the delivery and investment of homeland security and emergency management funding

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#### **National Security Strategy, May 2010**

The National Security Strategy articulates the federal approach to homeland security and provides guidance on how the nation will strive to achieve the goals outlined in the Strategy. Exercises are an important component of the National Strategy:

“We are building our capability to prepare for disasters to reduce or eliminate long-term effects to people and their property from hazards and to respond to and recover from major incidents. To improve our preparedness, we are integrating domestic all hazards planning at all levels of government and building key capabilities to respond to emergencies. We continue to collaborate with communities to ensure preparedness efforts are integrated at all levels of government with the private and nonprofit sectors. We are investing in operational capabilities and equipment, and improving the reliability and interoperability of communications systems for first responders. We are encouraging domestic regional planning and integrated preparedness programs and will encourage government at all levels to engage in long-term recovery planning. It is critical that we continually test and improve plans using exercises that are realistic in scenario and consequences.” *Reference Page 19.*

#### **Homeland Security Presidential Directives**

The President uses Presidential Directives to provide guidance on priorities for many issues, including homeland security. Two 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 Framework (NRF), and a National Incident Management System (NIMS).

Presidential Policy Directive 8: On March 30, 2011, the President issued “PPD-8: National Preparedness.” This PPD-8 establishes a new approach to national preparedness focusing on the country’s security and resilience. The directive is aimed:

“...at strengthening the security and resilience of the United States through systematic preparation for the threats that pose the greatest risk to the security of the Nation, including acts of terrorism, cyber attacks, pandemics, and catastrophic natural disasters.”

PPD-8 directs a national system that includes guidance for planning, organization, equipment, training, and exercises to build and maintain domestic capabilities. It also directs all executive departments and agencies with roles in the national planning frameworks to develop department-level operational plans to support the interagency operational plans, as needed. Each national planning framework will include guidance to support corresponding planning for state, local, tribal, and territorial governments. Finally it directs a national preparedness system that provides

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guidance for a national training and exercise program that facilitates the nation's ability to build and sustain the capabilities defined the national preparedness goal and evaluate progress toward meeting that goal.

#### **National Preparedness Goal, September 2011**

The September 2011 National Preparedness Goal builds on previous achievements and presents a unified, nationwide vision of preparedness; identifies the necessary conditions for its realization; and couples this vision with a system for its employment, maintenance, and sustainment. The National Preparedness Goal is:

“A secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.”

#### **National Incident Management System (NIMS)**

National Incident Management System 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. Exercises are vital to ensuring that NIMS is effective.

#### **National Response Framework (NRF)**

The National Response Framework was published in January of 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**

Federal Homeland Security Grants provide the funding for many of California's exercise initiatives. Exercises utilizing these funds are posted on the National Exercise Schedule (NEXS) and produce After Action Reports (AARs) and Improvement Plans (IPs). AARs and IPs are formatted according to HSEEP guidelines and a password-protected copy is emailed to [hseep@dhs.gov](mailto:hseep@dhs.gov).

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### A Background to Exercise

Exercises allow personnel charged with public safety, from first responders to senior officials, as well as tribal and private sector partners, 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, CSTI aims to help entities validate training and equipment obtained based on their organizational mission. This helps ensure that gaps, deficiencies, and vulnerabilities are resolved prior to a real incident, all while 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 inter-agency agreements;
- Validating training personnel on their roles and responsibilities;
- Improving inter-agency coordination and communications;
- Identifying best practices;
- Identifying gaps in capabilities;
- Improving individual performance; and
- Identifying opportunities for improvement.

### The Homeland Security Exercise & Evaluation Program (HSEEP)

CSTI uses the U.S. Department of Homeland Security’s HSEEP doctrine in conducting its exercise programs. The purpose of 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. In the spirit of NIMS, all efforts should be made to ensure consistent use of the terminology and processes described in HSEEP.”

### Exercise Planning and Execution – A Building Block Approach

The HSEEP exercise design model is the crawl, walk, run or “building block” approach to exercise planning and execution. 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. California’s response entities possess different levels of preparedness regarding catastrophic



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events. Therefore, Cal EMA uses the baseline exercise progression which 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.

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; and
- Track Improvement Plans.

### The Exercise Planning Team

An exercise planning team is responsible for the 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 to a manageable size. The team is managed by an exercise planning team leader and is most effectively structured using the principles of the Incident Command System (ICS), as stated in SEMS and NIMS as referenced in the figure below.



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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.

**Planning Meetings:** There are six basic exercise planning conferences utilized in HSEEP doctrine. Some can be combined or deleted in planning for less complex exercises. The six basic conferences are:

- Concept & Objectives Meeting (C&O): The C&O Meeting is the formal beginning of the exercise planning process. It is held to agree upon already-identified type, scope, capabilities, objectives, and purpose of the exercise. For less complex exercises and for jurisdictions/organizations with limited resources, the C&O Meeting can be conducted in conjunction with the Initial Planning Conference (IPC).
- 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 Conference (MSEL): Develops the Master Scenario Events List; a chronological list supplementing the exercise scenario with event synopses, expected responses, capabilities to be demonstrated and responsible personnel.
- Final Planning Conference (FPC): The final forum for reviewing exercise processes and procedures.
- After Action Review Conference: The forum for analyzing the outcome of the exercise to identify strengths and challenges and for developing corrective action plans.

### **Exercise Types**

There are seven types of exercises utilized under HSEEP methodology. They are divided up into two broad categories, discussion-based and operations-based.

#### *Discussion Based Exercises:*

- Seminar: 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.
- Workshop: Focus is on achieving or building a product; such as plans or policies.
- Tabletop Exercise (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.

## GOLDEN GUARDIAN 2012 EXERCISE SERIES EXECUTIVE BRIEF

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- Game: 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:*

- Drill: A coordinated, supervised activity usually employed to validate a single, specific operation or function in a single agency or organization entity.
- Functional Exercise (FE): 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 Exercise (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. EOCs 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.