

U.S. Department of
Homeland Security

United States
Coast Guard



Contingency Preparedness Planning Manual, Volume III - Exercises



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Subj: CONTINGENCY PREPAREDNESS PLANNING MANUAL VOLUME III – EXERCISES

- Ref: (a) Contingency Preparedness Planning Manual Volume I, Planning Doctrine and Policy, COMDTINST 3010.11 (Series)
 (b) Department of Homeland Security (DHS), Homeland Security Exercise and Evaluation Program (HSEEP) Volumes I-IV, February 2007
 (c) Oil Pollution Act of 1990
 (d) Maritime Transportation Security Act of 2002
 (e) Exercise Program Management and National Exercise Program Implementation Roles and Responsibilities, COMDTINST 3500.6 (series)
 (f) National Exercise Program Implementation Plan, December 2008

1. PURPOSE. This Manual provides policy and guidance for the U.S. Coast Guard’s (USCG) contingency exercise program and for planning, conducting and evaluating exercises.
2. ACTION. All USCG unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters staff elements shall comply with the provisions of this manual. Internet release is authorized.
3. DIRECTIVES AFFECTED. Contingency Preparedness Planning Manual (CPPM) Volume III – Exercises, COMDTINST M3010.13A; Exercise Planning Manual, COMDTINST M3010.21; Coast Guard Contingency Preparedness System, COMDTINST 3010.22; and all past CG-535 Guidance Letters are cancelled. Guidance Letters will be used in the future to supplement this manual.

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4. DISCUSSION.

- a. This revision updates exercise policy and guidance to reflect changes in USCG and Department of Homeland Security (DHS) requirements and legislative mandates.
- b. Exercise Requirements. Since CPPM Volume III was first published, the USCG has accumulated many additional exercise requirements. A summary of current exercise requirements is contained in Appendix A.
- c. Program Management. The goal of program management is to improve Preparedness. Program management is focused on multi-year optimization of exercise activities. This manual introduces new program management concepts from the Homeland Security Exercise and Evaluation Program (HSEEP), such as Multi-year Training and Exercise Plans (MTEP), Training and Exercise Planning Workshops (TEPW), and capabilities-based exercises. Several new USCG concepts have been introduced, such as the Contingency Preparedness Assessment, measures for preparedness and a Commander's Exercise and Training Strategy (CETS). An increased use of risk management is part of the Contingency Preparedness Assessment. Exercise Program Management is primarily addressed in Chapter Two of this manual.
- d. Project Management. Project management is focused on a single exercise. The USCG is required by the National Exercise Program (NEP) Implementation Plan, December 2008, to comply with the DHS HSEEP. HSEEP Volumes I-III describe project management procedures, standardized terminology and guidance for planning, executing and evaluating contingency exercises conducted by government and civilian organizations. The HSEEP approach was blended with proven CG exercise guidance. Exercise Project Management is addressed in Chapter Three of this manual.
- e. Information Management. The Coast Guard Exercise Program uses an internal information technology system. The Coast Guard's system of record is the [Contingency Preparedness System \(CPS\)](#), which is comprised of four distinct but connected modules: Plans, Concept of Exercise (COE), Coast Guard Standard After-Action Information and Lessons Learned System (CG-SAILS), and the Remedial Action Management Program (RAMP).¹
- f. CG Modernization. This Manual recognizes new commands and their published responsibilities at the time this manual was submitted for signature.
- g. Impact Assessment. New tasks to be performed by Sectors, MSUs with COTP authority, Districts and Areas are: a Contingency Preparedness Assessment; a Commander's Exercise and Training Strategy (CETS); attendance at local, State and FEMA regional Training and Exercise Planning Workshops (TEPW)s; and creation of an MTEP.
 - (1) PERSONNEL RESOURCES REQUIRED. Preparedness staff at the Sector, District and Area levels will require approximately one month to complete the annual Program Management processes. An additional month will be needed to oversee and

¹ <http://lintra.comdt.uscg.mil/cps/>

assist their subordinate commands on the MTEP. New preparedness billets have been given to sectors, districts and areas in the last two years.

- (2) TRAINING REQUIRED. Preparedness and exercise training for Sector, MSUs with COTP Authority, District, and Area staff will continue to be provided at the Contingency Preparedness School in Yorktown, VA. More specialized training to address District- and Area-specific exercise requirements will be arranged and funded by CG-535.
- (3) FUNDING. Funding will primarily be for program and project management as described in Chapter Two.
5. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATION. Environmental considerations were examined in the development of this Manual and are not applicable.
6. FORMS/REPORTS. None.
7. LEGAL. Insofar as this document may have an indirect impact on persons outside the USCG, it does not impose any new legally binding requirements or responsibilities on such persons.

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Vice Admiral, U.S. Coast Guard
Deputy Commandant for Operations

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Chapter 1: Introduction

Overview

- Purpose of Manual** This Manual provides policy, guidance, and doctrine for the USCG Contingency Exercise Program. It is designed to assist USCG commands in managing an effective exercise program to improve preparedness. This Manual, in concert with Contingency Preparedness Planning Manual (CPPM) Volume I - Planning Doctrine and Policy and CPPM Volume II - Personnel and Equipment Requirements, provides guidance for improving USCG performance during contingencies. It aligns the USCG exercise program with [Homeland Security Exercise and Evaluation Program \(HSEEP\) Volumes I-IV](#)¹ as required by [Homeland Security Presidential Directive 8 \(HSPD-8\)](#)² and the National Exercise Program (NEP).
- Goal** The goal of exercise program is to improve the United States Coast Guard's (USCG) ability to conduct effective contingency operations. This chapter introduces key aspects of the USCG Contingency Exercise Program:
- Contingency Exercises
 - Contingency Exercise Requirements
 - Contingency Exercise Program Management
 - Contingency Exercise Project Management
-

¹ https://hseep.dhs.gov/pages/1001_HSEEP7.aspx

² http://www.dhs.gov/xabout/laws/gc_1199894121015.shtm#1

Contingency Exercises

Purpose of Exercises

Exercises provide opportunities to improve preparedness by:

- Validating plans, policies, doctrine, procedures and the ability to conduct contingency operations
- Building, clarifying, and strengthening relationships with partners and stakeholders prior to an actual threat or response
- Assessing preparedness/readiness with an emphasis on identifying shortfalls and closing gaps
- Refining plans, identifying available resources and capabilities, conducting training, and evaluating training plans
- Providing familiarization and on-the-job training for players in their roles and responsibilities for conducting contingency operations
- Familiarizing players with [National Incident Management System/Incident Command System \(NIMS/ICS\)](#) terminology and processes³

National Exercise Program (NEP) Alignment

NEP is the Nation's overarching exercise program. It was mandated by the National Security Council/Homeland Security Council (NSC/HSC) and developed by the Federal Emergency Management Agency (FEMA) National Exercise Division (NED). The NEP is jointly supported by Federal agencies when participating in national level (Tier I/II), regional level (Tier III), and state/local level (Tier IV) exercises.

The NED manages the NEP and created the HSEEP Volumes to standardize exercise procedures and terminology. HSEEP provides general guidance for exercise program management and individual exercise project management. The NEP mandates that all Departments and Agencies use HSEEP to ensure the U.S. Government (USG) has a single, comprehensive exercise plan. The USCG has adopted HSEEP as the standardized policy and methodology for exercises.

The following activities are key to achieve a national standard for all exercises:

- Conduct Training and Exercise Plan Workshops (TEPWs) and develop, maintain, and update a Multi-year Training and Exercise Plan (MTEP)
- Plan and conduct exercises in accordance with HSEEP
- Develop and submit an After Action Report/Improvement Plan (AAR/IP) for all exercises
- Track and implement remedial actions identified in the AAR/IP

There are occasional differences between the use of HSEEP and this Manual, e.g., capability-based planning and certain exercise evaluation criteria. When these occur, the guidance in this Manual should be followed, since it is more specific for USCG use.

³ <http://www.fema.gov/emergency/nims/>

Contingency Exercise Requirements

The following section summarizes the sources of contingency exercise requirements. These requirements are set by internal USCG Contingency Sponsors and the interagency (Executive, Legislative, and Department) mandates. For a more detailed list of exercise requirements set by USCG Deputy Commandant for Operations (DCO) or the Department of Homeland Security (DHS), see Appendix A.

Internal

Each Contingency Sponsor establishes exercise requirements for their contingency. The contingency plans are listed in CPPM Volume I. The required frequency and type of exercises varies with each contingency (see Appendix A). Each operational level (Areas, Districts, Sectors, and Units) may have created additional planning and exercise requirements to address their specific preparedness needs and risks.

Interagency (Executive, Legislative & Department Mandates)

The White House mandates federal agency participation in the NEP, which includes all threats and all hazards contingencies. Congress mandates that the USCG manage contingency programs with exercises for Oil and Hazardous Material (OHM) and Maritime Security. As an agency under DHS, the USCG participates in Homeland Security operations and supports the National Response Framework (NRF), which requires regular exercises. The USCG as a military service has traditionally participated in some Homeland Defense exercises sponsored by the Department of Defense (DoD).

DHS - NEP

The NEP requires the participation of all appropriate department and agency leadership and operational elements at the National, State, and local levels. These exercises test the capability of the USG to prevent, respond to, or recover from threatened or actual terrorist attacks, major disasters, and other emergencies. The NEP program includes four levels—Tier 1 through Tier IV. Each tier is defined in more detail in the glossary (Appendix I).

PREP

The National Preparedness for Response Exercise Program (PREP) was established to meet the exercise requirements of the [Oil Pollution Act of 1990](#).⁴ PREP is a unified Federal effort that focuses on preparedness for prevention, response, and recovery. It satisfies the OHM exercise requirements of the USCG, Environmental Protection Agency (EPA), Department of Transportation Office of Pipeline and Hazardous Materials Safety Administration (DOT PHMSA) and the Department of Interior (DOI) Bureau of Ocean Energy Management, Regulations and Enforcement (BOEMRE), previously, Minerals Management Service. The PREP requirements were jointly developed by these agencies, with industry input. The PREP exercise requirements are listed in the PREP Guidelines and summarized in Appendix A.

⁴ <http://www.epa.gov/OEM/content/lawsregs/opaover.htm>

- AMSTEP* The Area Maritime Security Training and Exercise Program (AMSTEP) was established to meet the exercise requirements of the Maritime Transportation Security Act of 2002, as codified in 33 Code of Federal Regulation (CFR) 103 and the Safe Port Act. It supports the Port, Waterways, Coastal Security (PWCS) mission and its full spectrum of prevention, protection, response, and recovery. AMSTEP focuses on preparedness for external, community-based, anti-terrorism measures covered by Area Maritime Security (AMS) Plans. AMSTEP standards are published in Navigation and Vessel Inspection Circular (NVIC) 09-02 series, which includes guidance for conducting multiple-objective exercises in conjunction with other contingencies. See Appendix A for additional information.
- DHS* The National Response Framework (NRF) specifies fifteen Emergency Support Functions (ESFs), some of which include USCG as a capability provider. There are various USG operational plans in support of the NRF that require regular exercises. For example, DHS sponsors mass migration exercises of the Homeland Security Task Force – Southeast (HSTF – SE). The USCG Seventh District Commander serves as Director of the HSTF – SE.
- DoD* The USCG has a unique relationship with the Department of Defense (DoD), the U.S. Navy (USN), and Combatant Commanders (CCDRs). Through a series of Memorandums of Agreement (MOAs) and Memorandums of Understanding (MOUs), the USCG and USN have established that the USCG is the supported commander for Maritime Homeland Security and USN/DoD is the supported commander for Maritime Homeland Defense. These relationships are routinely exercised by the USCG and the DoD. This Manual does not address all USCG involvement with DoD exercises. Additionally, Area Commanders have MOAs/MOUs with the USN Numbered Fleets that may require exercises.
-

Contingency Exercise Program Management

Contingency Exercise Program Management uses a set of processes and a multi-year approach to improve preparedness. Exercise Program Management includes assessing preparedness, reviewing requirements, developing a Multi-year Training and Exercise Plan (MTEP), and overseeing improvement plans and corrective actions. Contingency Exercise Program Management must be performed in accordance with this Manual and referenced material to be effective. Chapter Two of this Manual discusses Exercise Program Management in detail.

Preparedness Responsibilities and functions of the Preparedness program are depicted in yellow in the outer ring of Figure 1-1. The Contingency Exercise Program, shown at the bottom of Figure 1-1, is a key component of Preparedness. Preparedness is often referred to as a cycle with many phases that are linked to one another. The seven phases shown in dark blue in the inner ring of Figure 1-1 are consistent with the NRF and National Preparedness Guidelines. Using this common approach improves the USCG's ability to synchronize with Other Government Agencies (OGAs) and private sector capabilities during contingencies.



Figure 1-1: Preparedness Cycle

Preparedness crosses multiple missions with responsibilities residing in several Commandant (DCO) offices at the Headquarters level. These DCO offices share responsibility for contingency preparedness with Chief of Staff (future Deputy Commandant for Mission Support), Force Readiness Command (FORCECOM), and operational commanders.

The Contingency Exercise Program, as depicted by the gold banner in Figure 1-1, is designed to objectively validate planning, resources and training efforts. The Exercise Program provides a system to identify, analyze, and monitor improvements to Coast Guard preparedness. Specifically, the Exercise Program Management process, described in Chapter Two of this Manual, contains a Contingency Preparedness Assessment, Commander's priority shortfalls and the Commander's Exercise and Training Strategy (CETS) as parts of the Multi-year Training and Exercise Plan (MTEP).

<i>Management Responsibilities</i>	The Office of Contingency Exercises (CG-535) manages exercises , exercise related training, and After Action Reports/ Improvement Plans (AAR/IPs) as part of evaluation, as shown bottom outer ring of Figure 1-1. Information from AAR/IPs is provided to Commandant (DCO) program sponsors for their analysis . Program sponsors are responsible for taking actions to improve their program's preparedness. Contingency planning doctrine and policy is provided by the Office of Incident Management and Preparedness (CG-533). The program sponsors provide resources and mission area training to increase contingency capabilities . All program offices are responsible for providing funds to operate their portion of the overall preparedness program/function. A summary of exercise program and project management responsibilities is found in Appendix D.
<i>CPPM Manuals</i>	There are three Coast Guard manuals that link directly to the preparedness cycle in Figure 1-1: CPPM Volume I – Planning Doctrine and Policy (Contingency Planning), Volume II – Personnel and Equipment Requirements (Capabilities), and Volume III – Exercise Manual (Contingency Exercise and Analysis).

Contingency Exercise Project Management

Contingency Exercise Project Management is the process of designing, developing, conducting, evaluating, and reporting on a single exercise. Chapter Three of this Manual discusses Exercise Project Management in detail.

Exercise Cycle

Each exercise progresses through the five phases of the exercise cycle: Foundation, Design & Development, Conduct, Evaluation, and After Action Report/Improvement Plan, as outlined in HSEEP and as illustrated in Figure 1-2. This section provides an overview of the exercise cycle.



Figure 1-2: Contingency Exercise Project Management

- Foundation (Phase 1)** The exercise cycle starts with the foundation. In this phase, the exercise planning team is established and begins reviewing plans, port assessments, and lessons learned from past exercises or actual contingency operations.
- Design and Development (Phase 2)** Next, the exercise planning team, including subject matter experts (SMEs) from participating entities, design and develop the exercise. This phase is the largest part of the exercise cycle in terms of workload.
- Conduct (Phase 3)** Plans, policies, doctrine and capabilities are tested during exercise conduct. Participants improve their understanding of contingency plans, ICS and coordination mechanisms, partner capabilities, limitations, etc.
- Evaluation (Phase 4)** After exercise conduct, observations captured during exercise play are developed into a written evaluation that identifies strengths and areas for improvement.
- AAR/IP (Phase 5)** The AAR/IP contains specific recommendations for improvement identified from the evaluation, player hotwash, and participant feedback forms.

Exercise and Preparedness Cycle Relationship

The relationship between the Contingency Exercise Project Management Cycle and the Preparedness Cycle is depicted in Figure 1-3 below. The exercise phase of the Preparedness Cycle includes all the steps of the Contingency Exercise Project Management Cycle. The exercise cycle starts with Foundation and completes with the AAR/IP phase. The AAR/IP provides input to the Evaluate phase of the Preparedness Cycle. Each year, hundreds of exercises are conducted, evaluated, and AAR/IPs submitted. At the Commandant (DCO) level, these AAR/IPs are grouped by contingency for program manager analysis. The analysis of AAR/IPs is one input into the Evaluate phase of the Preparedness Cycle. To gain the most from the Contingency Exercise Program, the Preparedness Cycle phases should be completed and issues resolved before they are exercised again.

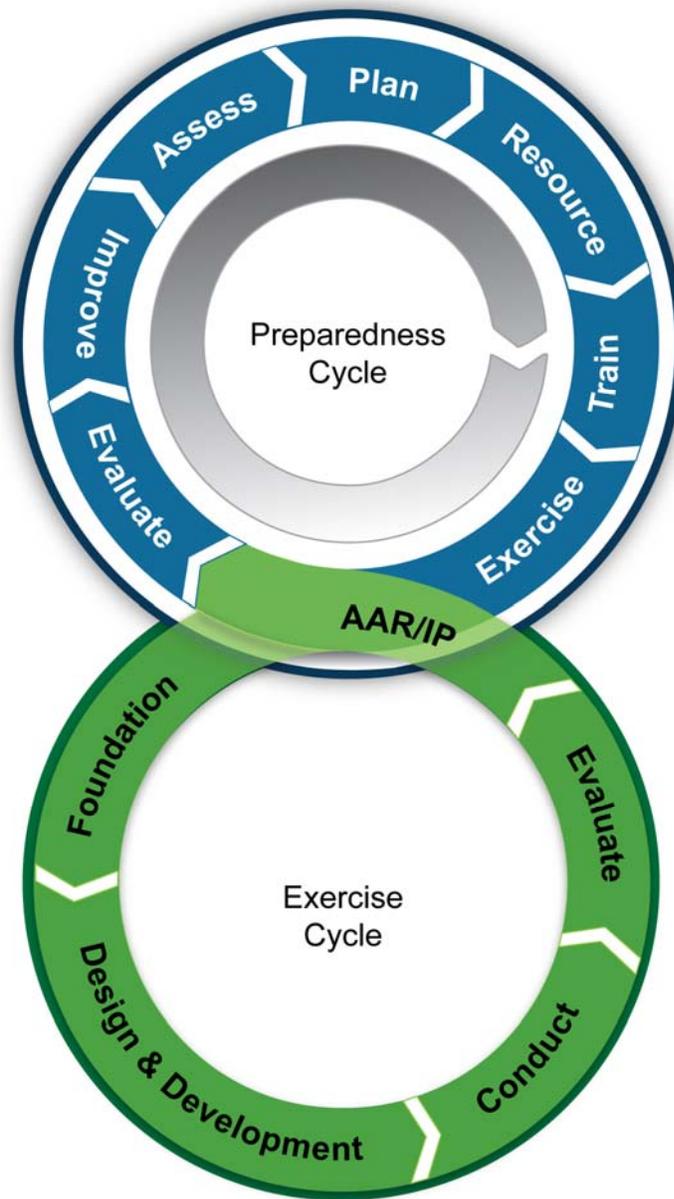


Figure 1-3: Relationship Between Exercise Cycle and Preparedness Cycle

Outreach

Outreach is building working relationships and coordination with government agencies and private entity stakeholders who will participate in actual contingency operations. Outreach is a crucial aspect of preparedness for contingency operations and exercises. It occurs in all phases of the preparedness and exercise cycles. This coordination and cooperation is accomplished through numerous committee and working group meetings, MTEP development, and the HSEEP grant approval process.

Summary of CPPM Volume III

This Manual is organized into four Chapters:

Chapter One - Introduction

Chapter Two - Exercise Program Management

Chapter Three - Exercise Project Management

Chapter Four - Exercise Support (Staffing, Training, and Technology)

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Chapter 2: Contingency Exercise Program Management

Overview

Contingency Exercise Program Management, as described in this chapter, is primarily planning and resource management. The HSEEP Multi-year Training and Exercise Plan (MTEP) process provides the basic structure for program management planning. In the MTEP process a multiyear training and exercise schedule is developed to meet USCG strategic priorities and capability shortfalls. Financial, operational, personnel and equipment resources available for exercises are described.

Areas, Districts, Sectors and MSUs with COTP authority are required to complete contingency exercise program planning.

Exercise Program Planning

Exercise Program planning is the process of developing the best exercise regime for improving preparedness. The MTEP process provides the basic structure for it. Two new USCG components are the Contingency Preparedness Assessment (CPA) and the Commander's Exercise and Training Strategy (CETS). By completing these two new components, the U.S. Coast Guard (USCG) Commander is able to more accurately assess the current state of command preparedness, set priorities and strategies, and develop a tailored training and exercise schedule documented in the MTEP. These three components listed below, are to be completed by Sectors, MSUs with COTP authority, Districts, and Areas in an annual cycle. The components of Exercise Program Planning include:

Contingency Preparedness Assessment (CPA)

- Contingency Preparedness Assessment Checklist
- Contingency Preparedness Assessment Visit

Commander's Exercise and Training Strategy (CETS)

- Command Priorities
- MTEP Planning Guidance
- Exercise Requirements

Multi-year Training and Exercise Plan (MTEP)

- CETS
- Exercise Schedule

- Exercise Support
- MTEP Review and Approval
- MTEP Memorandum
- Training and Exercise Plan Workshops (TEPW)

SOPP and MTEP relationships

Instructions for completing these component processes will now be described in a sequential mode as shown in Figures 2-1, 2-2 and 2-3.

Contingency Preparedness Assessments (CPA)

The Contingency Preparedness Assessment (CPA) (Figure 2-1) is an internal appraisal designed to identify gaps in preparedness. It is a self evaluation of command preparedness made from a standardized checklist of measureable parameters or indicators. The checklist consists of questions about 1) contingency risk; 2) standards of preparedness; and 3) capabilities. These assessments are conducted annually by Areas, Districts, Sectors and MSUs with COTP authority. The Contingency Preparedness Assessment is completed by the command's staff as part of the MTEP process.

Completion of Contingency Preparedness Assessment Checklist

The checklist is used to conduct a standardized internal identification of standard and capability shortfalls. The command should conduct a risk estimate of contingencies by considering the probability, vulnerability, and impact of a contingency in their Area of Responsibility (AOR). The preparedness staff should then review After Action Reports/Improvement Plans (AAR/IPs) and Remedial Action Issues (RAIs) to identify shortfalls that have not been corrected. Field commands are aware of the capabilities needed to successfully execute a contingency operation and should specify those critical capabilities that need improvement. Any capability shortfalls for normal operations would be exasperated by the need to execute a contingency operation. These shortfalls would be indicated on the capabilities portion of the Contingency Preparedness Assessment.

The CPA template with instructions, which will be continually refined based on field input, can be found in Appendix G, and the latest version will be posted on the [CG-535, Office of Contingency Exercises, CG Portal site](https://cgportal.uscg.mil/delivery/Satellite/CG535).¹

¹ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

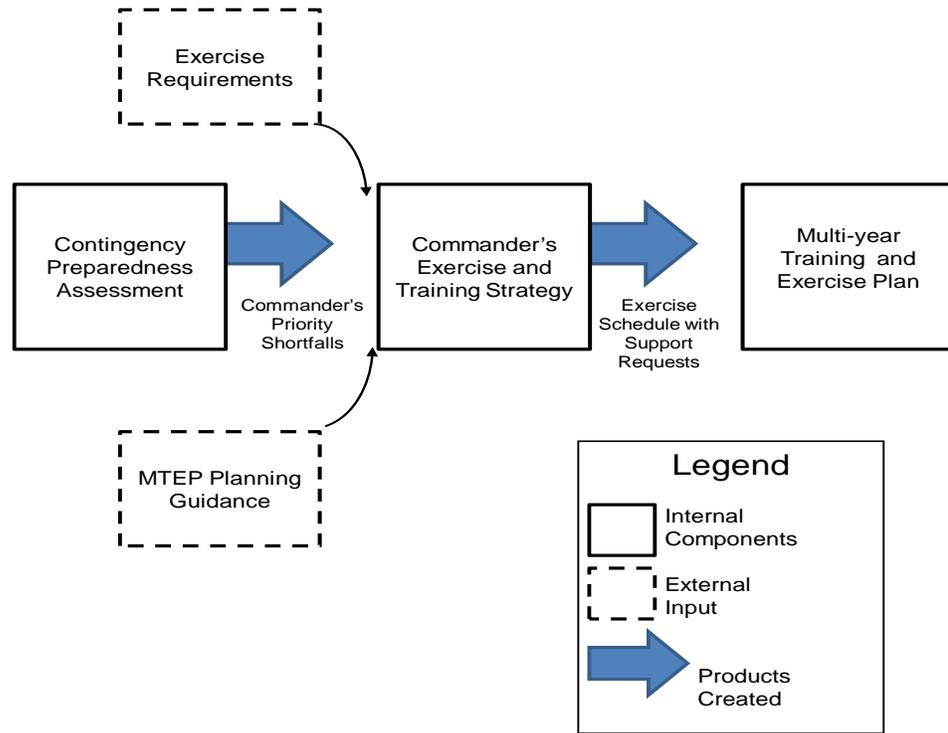


Figure 2-1 MTEP Sequential Process

Contingency Preparedness Assessment Visit

Contingency Preparedness Assessment Visits are designed to facilitate and assist commands in evaluating their preparedness and developing command priorities using a standardized process. These visits are conducted by preparedness specialists from the next level up in the chain of command. The visiting Preparedness Specialist will review the checklist with the command’s preparedness staff, answer questions, and provide guidance. They are conducted annually by the appropriate Area/District Preparedness Specialist or representative. The visits also provide an opportunity to share information on the overall contingency preparedness efforts throughout the Area of Responsibility (AOR). The specialist can answer questions and offer solutions for completing the Commander’s Exercise and Training Strategy (CETS), described below.

Commander's Exercise and Training Strategy (CETS)

The CETS is the commander's strategy for making the best use of the available resources to improve preparedness through exercises and exercise preparatory training. The strategy guides the command in developing its exercise and training schedule. The CETS is developed based on the following requirements or priorities:

- Command priority shortfalls from the Contingency Preparedness Assessment and past exercises
- MTEP Planning Guidance and strategic priorities
- Exercise requirements

The CETS, which will be continually refined based on field input, can be found in Appendix G, and the latest version will be posted on the [CG-535, Office of Contingency Exercises, CG Portal site](#).

This Manual is limited to developing strategies for exercise-specific training, exercise conduct, and the AAR/IP process. In many cases, the corrective actions needed to address shortfalls or gaps in preparedness are beyond the scope of exercise and exercise specific training activities, such as inadequate equipment.

Command Priority Shortfalls

The Command prioritizes the shortfalls identified in the Contingency Preparedness Assessment, AAR/IPs, and RAIs that pose the greatest risk to the unit's overall preparedness. These high risk shortfalls become the command priorities. Exercise objectives are designed to address these shortfalls. These objectives help determine the most appropriate type of exercises to conduct. For example, if a contingency plan revision is a command priority, the appropriate exercise would be a workshop to revise the plan before conducting a scheduled operational exercise for that contingency.

MTEP Planning Guidance

COMDT CG-535 promulgates this guidance annually in the first quarter. The guidance announces the beginning of the MTEP process and provides strategic level polices and priorities for two years. It sets dates for Area/District MTEP workshop (as necessary) and provides detailed procedural instructions for preparing the MTEP, including due dates for command submissions.

Exercise Requirements

Commanders shall review exercise requirements to ensure compliance or to identify the need for requesting a waiver, postponement, or change in type of exercise. The approving authority for changes is usually the Command setting the requirements. Exercise requirements are promulgated by Commandant (DCO), Areas, Districts and some Sectors.

There are methods for commands that are overburdened with exercise requirements to reduce the workload. Conducting discussion-based exercises or drills instead of FEs or FSEs. This is appropriate when the priority shortfalls are capabilities necessary to conduct an operational exercise, e.g. C2 or voice communications. Units should participate in exercises sponsored by other agencies as long as USCG exercise objectives can be met. Commands can also blend or combine two contingency exercise requirements into a single exercise as long as the exercise duration is long enough to address the objectives. Requesting full scale exercise (FSE) requirement credit for actual contingency operations is strongly encouraged and is discussed later in this chapter and in Appendix C.

Multi-year Training and Exercise Plan (MTEP)

Creating a Multi-year Training and Exercise Plan (MTEP) is the final step of exercise program planning. The MTEP process translates the Commander’s strategy into a schedule. The MTEP serves as a guide for allocating exercise preparatory training and support resources. MTEP key components as shown in Figure 2-1 include :

- **Commander’s Exercise and Training Strategy (CETS).** Existing exercise requirements, MTEP guidance and strategic priorities are balanced with command preparedness shortfalls and risk assessments to better improve preparedness.
- **Exercise Schedule.** The five-year schedule is the result of the CETS recommendations. The schedule identifies any exercise requirement changes, waivers or postponements. It is coordinated with interagency partners and stakeholders through Training and Exercise Planning Workshops (TEPWs).
- **Exercise Support.** The schedule includes requested exercise preparatory training, funding, resources, and operational assets from the USCG and participating entities. A detailed two-year prioritized list of requested support is developed.

Each command that holds contingency plans shall produce an MTEP. MTEPs are living documents that are updated annually. Most of the data for an MTEP is contained in the Contingency Preparedness System (CPS).

**Exercise
Schedule**

The exercise schedule should reflect exercise requirements (see Appendix A), strategic level polices and priorities and the specific exercise and training strategies developed by the Command.

All exercises, and scheduled events receiving exercise credit, must be entered into CPS. Instructions for entering a Concept of Exercise (COE) in CPS can be found in the online user guide within CPS. Each command that submits an MTEP must maintain a five-year schedule of exercises and events in CPS.

Effective exercise selection is critical for developing the exercise schedule. The selection process involves identifying training and exercises to best implement the Command's strategy for addressing high priority shortfalls and meeting exercise requirements. This is the critical step in maximizing the use of training and exercises to increase preparedness. The strategy for selecting training and exercise activities should take into consideration exercise objectives, exercise type, exercise blends, participating in versus sponsoring exercises, and credit for events or actual operations.

Naming Exercises. Standardized exercise names allow for efficient data inquiries within CPS. The name of an exercise shall include the unit name, program/contingency/plan exercised, type of exercise (FSE, FE, etc.), unique name (if applicable), and year. For example, an Area Maritime Security Training and Exercise Program (AMSTEP) workshop in Sector New Orleans would be named: "Sector New Orleans AMSTEP WS Blue Shield 2011" and a blended security and oil spill exercise in Sector San Francisco would be named, "Sector San Francisco AMSTEP/PREP Government-led FSE 2012." When the Coast Guard supports or participates in another agency's exercise, the name will normally be assigned by the sponsoring agency.

Exercise Objectives. Objectives are derived from the Commander's priority shortfalls. Select exercises which are best suited for addressing or exercising these objectives.

Exercise Type. The exercise program uses seven exercise types that produce distinct outputs. They include discussion-based (seminar, workshop, tabletop, and game) and operations-based (drill, functional, and full scale). See Appendix B for detailed descriptions of each exercise type.

Exercise types may be viewed in a building block approach. Within a particular contingency, a seminar can prepare participants for a workshop or tabletop, and the tabletop for a functional exercise. Choosing the right progression is a strategy for success.

Exercise Blends. Individual contingency exercise contingency requirements may be blended together into one exercise to reduce the amount of time and effort required. Blended exercises can also focus on a single capability (e.g., port evacuation) that applies to multiple contingencies (e.g., natural disaster, OHM, anti-terrorism). Such combinations are authorized as long as the scenarios are realistic and the length of the exercise adequately meets the requirements of each

contingency being exercised.

Participating vs. Sponsoring. The USCG Contingency Exercise Program is limited primarily by staff resources. Sponsoring or directing a functional exercise (FE) or full-scale exercise (FSE) entails a large planning workload and involves many participating entities. Wherever possible, participation in exercises sponsored by other entities should be considered, as long as USCG exercise requirements or objectives can be met.

Events or Actual Operations in lieu of Exercise. Evaluating real world contingency operations or planned events for exercise credit is strongly encouraged. The benefits of evaluating these types of events include reducing the exercise burden and collecting the lessons learned from 24 hour/day real world operations. Commands should determine if actual contingency operations present an opportunity to satisfy exercise requirements and meet their priorities. Events should be scheduled and documented in the same way exercises are in the MTEP. Unplanned contingency operations, i.e. incidents, are documented in accordance with the process for obtaining credit for real world operations, described in Appendix C of this Manual.

Exercise Requirement Deviation Specifics. Submitting exercise change requests in MTEPs allows the chain of command to determine if the requirements governing the frequency and type of exercises are balanced with the risks and needs of the command. There may be a need to modify the frequency and/or type of a required exercise. District staff or EST leaders can be consulted when deliberating on the type of exercises best suited to the command's needs. Certain exercise requirements allow some flexibility and no waiver requests are necessary. Other requirements require written justification for making adjustments to the exercise schedule. Requests are listed on the MTEP Memorandum for review and approval by the appropriate District, Area, or Commandant (DCO) Contingency Sponsor.

Exercise Support

Commands are required to ensure that exercises scheduled in the first two years contain firm budget estimates and support requests. Scheduled exercises or events usually require some level of support. In addition to financial and operational forces support, discussed in the next section, the four basic types of exercise support resources are: funding, Exercise Support Teams (ESTs), Deployable Operation Group (DOG) assets, and exercise preparatory training. These are discussed in Chapter Four.

Commands identify exercise support needs for each exercise or event and enter them into CPS. All requested exercise support will be prioritized at each successive level of review. Often a large number of exercises are scheduled in the third quarter of the FY. As a result, there are not enough ESTs or DOG assets to cover these requests during that quarter. Commands can increase the likelihood of receiving support by scheduling exercises across the calendar.

MTEP Review and Approval

Preparedness staff present the proposed MTEP to the Commander and key staff in an internal meeting for their review and approval. Internal reviews occur at all USCG command levels. Many Districts and the Areas already have an “exercise control board” which reviews and approves the proposed MTEPs.

Figure 2-2 shows the flow of MTEPs from the field units to the Commandant (DCO), as well as the continual coordination with partners and stakeholders through external TEPWs. TEPWs are scheduled throughout the year and cannot all be synchronized with the required submission dates of the USCG METP process. The MTEPs created by Sectors or MSUs with COTP authority shall be reviewed by the District and then validated, prioritized, and forwarded with the District MTEP to the Area. Areas shall conduct a similar review process and forward the consolidated MTEPs to Commandant (CG-535). Commandant (CG-535) will coordinate a review of the Area input by Commandant (DCO) Contingency Sponsors to ensure exercise requirements are met or properly waived and priorities are set for exercise support. The CG-MTEP schedule is published each year with final approval of contingency preparedness exercises, training, support, and funding.

Schedule Changes. For exercises that have support allocated (EST, DOG, ICS), it is critical that the exercise dates in the first two years remain as firm as possible to preclude scheduling conflicts with stakeholders, agency partners, or assigned support. To change the dates of exercises with scheduled support published in years one or two of the CG-MTEP, a memo must be submitted through the impacted support command (EST, DOG, ICS) and District, and approved by the respective Area. Areas shall notify CG-535 of all approved changes. Exercises in years three, four, and five are understood to be tentative and may change with future multi-year planning cycles.

MTEP Memorandum

An MTEP Memorandum is used to submit the command’s action plan for training and exercise activities. The MTEP Memorandum includes:

- CETS summary statement
- Statement that the five-year exercise schedule has been entered into CPS
- Prioritized spreadsheet listing the two-year exercise schedule
- Total funding requested for all exercises, training, and program management responsibilities
- List of deviations from exercise requirements and justification

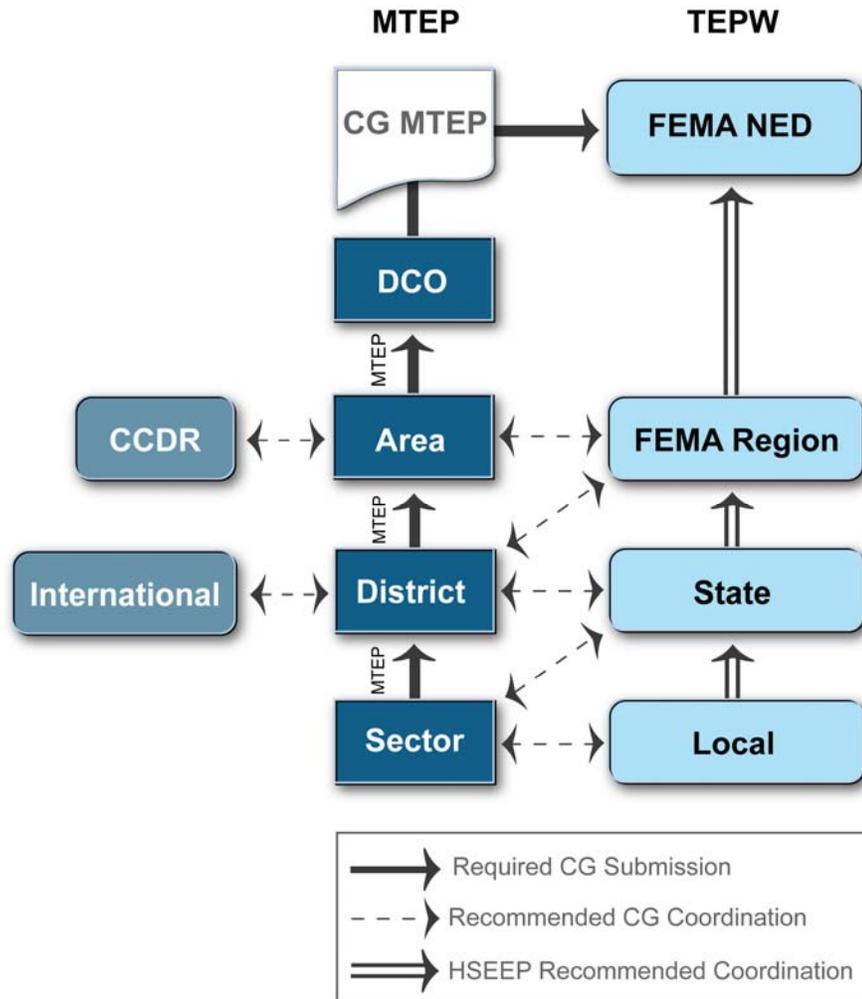


Figure 2-2: MTEP Review and Synchronization Process

TEPWs

Training and Exercise Plan Workshops (TEPWs). The TEPWs are workshops attended by potential public and private exercise participants from a given geographic area. Participants have the opportunity to combine exercises, participate in another entity’s exercise, or garner support for exercises they sponsor. During TEPWs, the exercise participants present their training and exercise requirements, proposed schedules or MTEPs, exercise objectives, and available resources. The workshops provide a continual opportunity to coordinate efforts that may impact the command’s MTEP annual revisions. Funding to attend TEPWs will come from the Command’s program management base, provided by CG-535.

Federal Emergency Management Agency (FEMA) Regions, States, and Local TEPWs. TEPWs are hosted annually by FEMA Regions and by most States. These TEPWs are held throughout the year, but mostly in the fourth and first quarters of the FY. Local level TEPWs are held less often, whenever a local entity chooses to host one. All three levels involve stakeholders.

USCG Attendance. There should be USCG representation at all TEPWs that have maritime components on their agenda. It is important that USCG commands make early contact with agency partners to obtain TEPW schedules and initiate participation. Prior to attending a partner's TEPW, commands should have their updated MTEP schedule with exercise types and objectives they need to conduct. The responsibility for attending is dispersed throughout the USCG chain of command.

Sectors. Sectors are expected to participate in local and/or State-sponsored TEPWs. A local TEPW should include participation of maritime partners and stakeholders. When appropriate, existing port level committee meetings should be used to gather information for the MTEP. The local TEPW should address all required or proposed exercises.

Ideally, the Sector's draft MTEP schedule should be vetted through the local and State TEPWs before being sent to the District (See Figure 2-2). However, the State TEPW schedule may not line up with the CG-MTEP timeline. In these cases, units submit their MTEPs as directed by the chain-of-command.

Districts. Districts are expected to coordinate their MTEP schedules by attending TEPWs hosted by the States and/or FEMA Regions. Districts should also coordinate with international partners.

Areas. Areas are expected to coordinate schedules with Combatant Commanders (CCDR) and regional partners.

USCG Deputy Commandant for Operations (DCO). Commandant (DCO) is expected to coordinate schedules with the National Exercise Program (NEP), the Joint Staff, and other federal departments/agencies.

**Relationships:
SOPP and
MTEP** Contingency operations and exercises are addressed in both the Standard Operational Planning Process (SOPP) and the MTEP process. The interactions between the MTEP process and SOPP are shown in Figure 2-3. A description of the SOPP and its interaction with the MTEP process follows.

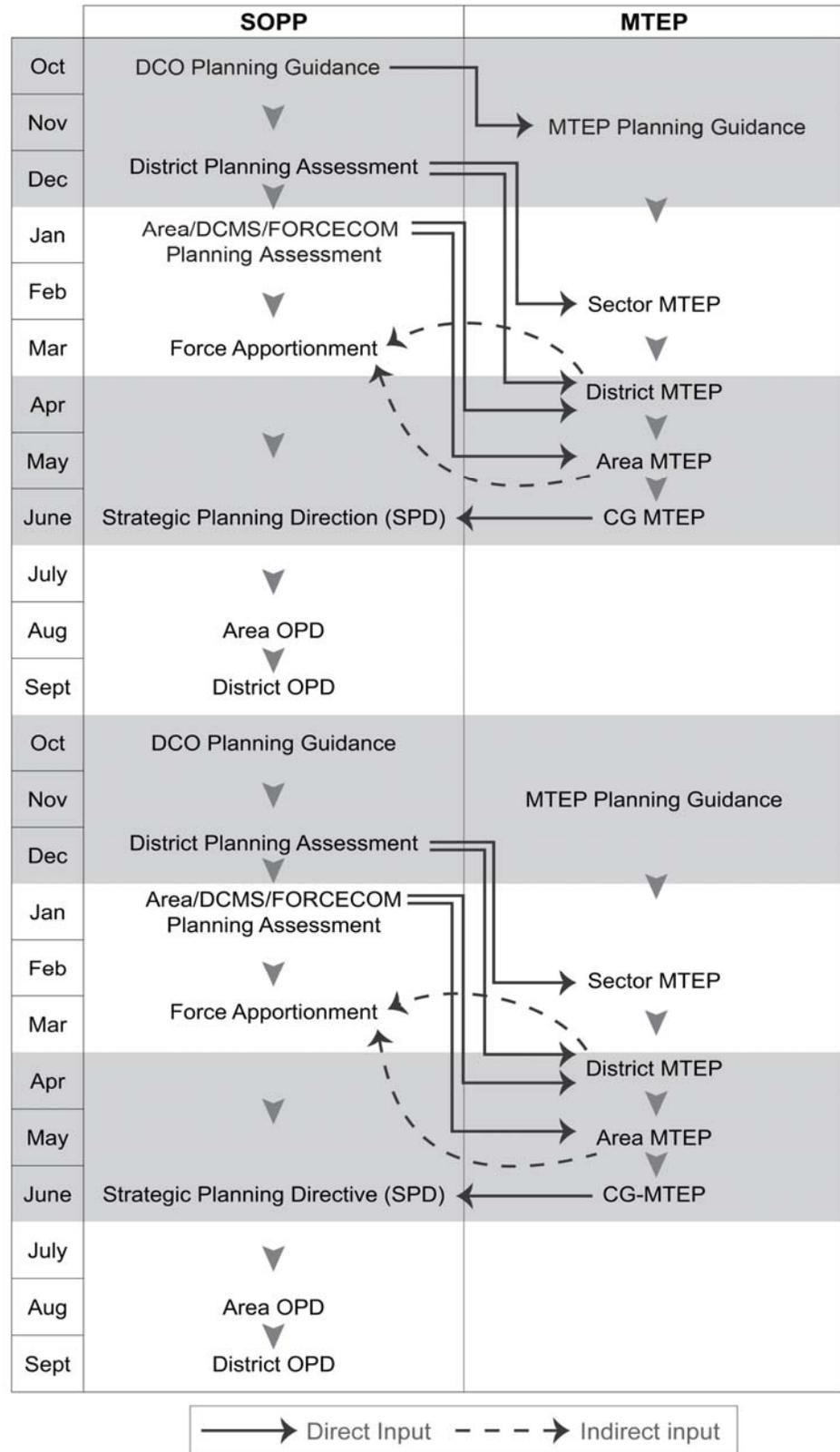


Figure 2-3: SOPP and MTEP Process Relationships

SOPP

The Standard Operational Planning Process (SOPP), COMDTINST 3120.4 (series), manages all resources for apportionment, allocation, and assignment within the Coast Guard.

DCO Planning Guidance. The SOPP cycle is initiated annually with the release of the Commandant (DCO) Planning Guidance in October. The Planning Guidance sets the timeline for the various SOPP product submissions and contains preliminary operational and contingency preparedness planning direction. It outlines strategic level policies and priorities for two years that inform the MTEP Planning Guidance (Figure 2-3). The release of the DCO Planning Guidance initiates the assessment stage of the SOPP.

Planning Assessments. The SOPP Planning Assessments are submitted by Districts, Areas, DCMS-53 and FORCECOM in the first and second quarters of the FY to inform Commandant (DCO) of current and future operational, support and training mission area challenges. Each District solicits input from field commands to develop individual District Planning Assessments for inclusion in the Area Planning Assessment. District and Area Planning Assessments identify operational challenges (readiness shortfalls) which may also impact contingency preparedness and are direct input (solid arrows in Figure 2-3) during the development of the MTEPs.

Force Apportionments. The draft District and Area MTEPs provide major exercises and planned event schedules as input to the Force Apportionment workshop in March as indicated by dotted lines arrows in Figure 2-3.

SPD/OPD. The CG-MTEP provides an approved schedule of contingency events and exercises. It will be an attachment to the Strategic Planning Direction (SPD). The SPD from Commandant (DCO) is released in June. It sets annual mission and contingency preparedness priorities, apportions resources, and provides performance targets to the Area Commanders. The SPD guides operations and contingency preparedness efforts for the next two FYs. This direction is further refined by Areas and Districts as Operational Planning Directions (OPDs).

Exercise Program Resource Management

Resources are essential to successful multi-year exercise program management. This section describes the typical resources available, how to request them, and their suggested use. Resource considerations include:

- Financial Management
- Operational Resources

Financial Management

Commandant (CG-535) has transitioned from a contingency-based funding model to a distribution of funds based on spend plans in CPS.

Fund Sources

The sources of funding for USCG preparedness activities are:

- Maritime Transportation Security Act of 2002 (MTSA) funds
- Oil Pollution Act of 1990 (OPA-90) funds
- GAC funds for annual Contingency Preparedness Support
- DOD funds for participation in DOD exercises
- Reserve Training funds (Allotment Fund Code (AFC)-90)
- Units may obligate AFC-30 funds

Financial Management

Effective financial management is the responsibility of all levels of the USCG. The objective of the budget process is effective and efficient use of preparedness funds. It is important for program managers to maintain awareness of available resources and expected expenditures. Preliminary budget requests should be based on input from field commands. Funding allocations shall be based on program priorities as indicated in the annual MTEP Planning Guidance, CETS, and MTEP.

The fund sources collectively form the primary funding source for the exercise program. Funds are prioritized, approved, and allocated based on well-documented spend plans attached to the COEs.

Funding requests for exercise program management activities are documented in one unique COE, with an attached spend plan, titled "PROGRAM MANAGEMENT ACTIVITIES," and summarized on the MTEP Memorandum.

Beyond initial exercise funding allocations, Commands may request additional funds through the chain of command. Additionally, Area and District program representatives may make backlog/fallout funding available at the end of the fiscal year.

Spend Plan Development and Approval Process

The MTEP contains COEs with spend plans, which are the primary method of requesting financial support. A well-documented spend plan greatly enhances the likelihood of approval. Likewise, an incomplete COE or spend plan will not fare well against submittals that clearly articulate and support their requests.

Funding requests could include consumable items, training and training aids, travel and per diem, and upgrades to command posts that are listed in the plan and owned by a government agency. Conversely, requests for funding to upgrade commercially owned facilities will be carefully scrutinized.

Well-supported COEs with spend plans must be entered into the CPS database two years before the scheduled start date of the exercise. COE submissions shall have command approval.

Approval. Each level of the chain of command shall approve their subordinate's MTEP submissions before submitting their MTEP to the next level of command. Districts shall review proposed COEs and spend plans to ensure Sectors submit well-documented requests. If the District does not approve the COE and spend plan, \$0.00 will be entered in the "District Reviewed AFC-30" column. Likewise, if the Area does not approve a District's COE and spend plan, \$0.00 will be entered in the "Area Approval AFC-30" column.

Funds Transfers. The Area Exercise Funds Manager reviews the spend plan and initiates funds transfer through the chain of command. The detailed Funds Transfer Authorization (FTA) is sent to each District for further distribution to the field units. The FTA specifically identifies the receiving unit, the total amount earmarked for the exercise, and the associated COE number. The linkage of funds to the COE number helps guide the movement of support through the USCG accounting systems and facilitates communications through all levels of the service. Additionally, an entry is made in CPS that reflects the amount transferred to the corresponding District for a specific exercise. This entry provides visibility of funding to the Exercise Director, Exercise Planning Team Leader (EPTL), and appropriate Contingency Sponsor. A spend plan template can be found in CPS.

Expenditure Reports. Exercise expenditure reports provide Commandant (CG-535) the information needed to support exercise budget model adjustments.

Operational Resources

Exercise planners must consider the need for operational resources, including resources under the control of other USCG commands, the USCG Auxiliary, and exercise participants (e.g., federal, state, local, and private sector). This section provides an overview of operational resources commonly used in exercises. The operational resources requested should support exercise operations.

Coast Guard Resources

The EPTL should discuss with the Exercise Director and Exercise Sponsor how much, if any, of the unit's Contingency Personnel Requirements List (CPRL) should be used for the exercise, based on exercise scope, objectives, and funding. The CPRL contains a listing of CG personnel requirements needed to respond to a given contingency operation or exercise scenario. (More information about the CPRL can be found in CPPM Volumes I and II.)

Planners should request reserve personnel as needed through the Reserve Forces Readiness System (RFRS) staff at Sectors or Districts. If personnel from outside the unit need to be activated, then travel funding may be required and should be requested in the COE spend plan.

Resource Request Process

Resource requests are initially made in the COE and documented in the MTEP, where they should be clearly tied to specific exercise objectives. Upon approval of the MTEP, requests are updated as needed and reflected in the appropriate COE. Each level of the chain of command should be given opportunity to provide input to the resource scheduling process. Resource controlling authorities (e.g., ESTs, ICS, and DOG) shall have final input in resource allocations in the CG-MTEP.

Initial requests for Coast Guard operational assets, including DOG assets, are submitted through the MTEP process. Commands may be required to further document their final request if deemed necessary by the capability provider. See Chapter Four for more information.

DoD Resources

DoD assets are obtained through the Request for Assistance (RFA) process. These RFAs are staffed through the Office of Counterterrorism and Defense Operations (CG-532), who acts as the Principal Coordinating Authority (PCA) and the Areas, who act as the Principal Planning Agent (PPA) for USCG and DoD exercises. For more information see Commandant (DCO) memorandum 5000 dated Dec 12, 2008, posted on the [CG-535, Office of Contingency Exercises, CG Portal site.](https://cgportal.uscg.mil/delivery/Satellite/CG535)²

² <https://cgportal.uscg.mil/delivery/Satellite/CG535>

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Chapter 3: Exercise Project Management

Overview

This chapter focuses on project management, i.e., planning, conducting and evaluating a single exercise. Most USCG contingency exercises today involve public and private participants. In order to facilitate coordinated planning between the USCG and exercise participants, the procedures, terminology and general guidance in this chapter are similar to that of [Homeland Security Exercise and Evaluation Program \(HSEEP\) Volumes I, II and III](#).¹ This chapter primarily standardizes guidance and terminology for the USCG exercise program.

Exercise Types

The USCG uses the following seven (7) exercise types:

- Discussion based (4 types)
 - Seminar
 - Workshop (WS)
 - Tabletop (TTX)
 - Game
- Operations based (3 types)
 - Drill
 - Functional exercise (FE)
 - Full scale exercise (FSE)

Exercise descriptions, uses, objectives and planner workload for each exercise type are discussed in detail in Appendix B.

Exercise Phases

This chapter is organized according to the five phases of the HSEEP exercise cycle:

- Phase 1: Foundation
 - Phase 2: Design and Development
 - Phase 3: Conduct
 - Phase 4: Evaluation
 - Phase 5: After Action Report (AAR)/Improvement Plan (IP)
-

¹ https://hseep.dhs.gov/pages/1001_HSEEP7.aspx8

Phase One: Foundation

Overview

Building a Foundation is essential to conducting an effective exercise. Efforts during this phase ensure the participation and support of the entities committing resources to the exercise.



There are a series of activities that should be completed to establish the exercise foundation:

- Determine the exercise scope
- Determine the plan(s) to be exercised
- Create a base of support (stakeholders)
- Develop an exercise organization
- Develop project management timeline and establish milestones
- Schedule planning conferences

These activities are common to all exercises but differ in complexity with the exercise type and scope. Responsibility for these planning activities depends on whether the U.S. Coast Guard (USCG) is sponsoring or participating in the exercise.

Exercise Scope

Defining the exercise scope involves determining the type, the duration, and the number of objectives, locations/sites, entities, and participants.

Contingency Plan

The Command priority shortfalls generated during the Multi-year Training and Exercise Plan (MTEP) process identify gaps in preparedness, which are used to identify plan parts to be exercised.

Base of Support

Establishing a base of support involves a firm commitment from senior officials of participating entities. The appropriate senior officials should be briefed at the Concept and Objectives (C&O) Meeting to gain their support. This offers senior officials the opportunity to commit their organization.

Exercise Organization

All exercises have an Exercise Sponsor (ES), an Exercise Director (ED), and an Exercise Planning Team (EPT). The size and composition of the EPT depends on the complexity and scope of the exercise. See Table 3-1 for more information on exercise roles. Leadership roles and responsibilities for National Level Exercises are discussed in more detail in COMDTINST 3500.6 series.

Exercise Sponsor

The Exercise Sponsor (ES) is the organizational element that prescribes the policy and obtains the funding for the contingency being exercised. The ES provides direction, much like an agency executive. See Table 3-1 for more information. The ES shall:

- Establish the type of exercise required to validate a contingency plan and force capability
- Assign the ED
- Ensure the exercise schedule proposed through the Multi-year Training and Exercise Plan meets policy and legislative requirements
- Ensure adequate funding and resources
- Provide strategic policy guidance
- Provide strategic level objectives
- Provide oversight on planning, conduct, and evaluation of exercise
- Provide subject matter experts (SMEs)
- Track post-exercise corrective actions

Exercise Director

The ED is the plan holder and is responsible for conducting operations. The ED fulfills the exercise project management responsibilities. The ED role may be shared with other lead agencies, since the USCG should pursue exercises with port community partners. The ED shall:

- Provide supporting objectives that link to the strategic objectives and Commander’s Priority Shortfalls
- Solicit participation in the EPT, ensuring the team is adequately staffed and contains the appropriate number of non-USCG representatives
- Assign the Exercise Planning Team Leader (EPTL)
- Create the base of support with senior officials from stakeholders
- Articulate the USCG’s position to interagency/other agency exercise partners
- Approves:
 - Concept of Exercise (COE) and exercise spend plan
 - Products developed by the EPT (e.g., objectives, scenario, exercise documentation)
 - AAR/IP
- Ensure exercise timelines and milestones are realistic and being met by the EPT
- Communicate the exercise timeline and milestones to all commands and entities in sufficient time to align support, schedule participation, and address any planning or resource shortfalls

The recommended Exercise Sponsor, Sponsor’s Representative (see Reference (e))and

Director for various levels of USCG sponsored exercises are shown in Table 3-1 below. The Sponsor’s Representative at Area or District will be those staff SMEs for the primary contingency being exercised.

Level of Exercise / NEP Tier	Sponsor	Sponsor’s Representative	Director
National / Tier I/II	Commandant (DCO)	N/A	Commandant (DCO)
CCDR / Tier III	CG-53	CG-532	Area
Regional / Tier III	CG-53	CG-53 or Area	Area or District(s)
International / Tier III	CG-53	Area	District(s)
State or Local / Tier IV	CG-53	District	Sector/Unit/COTP

Table 3-1: Exercise Roles

Exercise Planning Team

The EPT is responsible for exercise planning, design, development, conduct, control and evaluation. Planning team members refine the COE and create the scenario and supporting events to focus on the exercise objectives and requirements. The team schedules and conducts exercise planning conferences, briefings, and training sessions. The EPT develops an Exercise Plan (ExPlan) and Master Scenario Events List (MSEL) to meet exercise objectives; selects the processes used in evaluation, control, and simulation; and develops and distributes pre-exercise materials. The EPT is required to accomplish these requirements without exceeding resource and budgetary constraints.

A VEPT is an EPT at a different command level or geographic area. For example, an Area will be the VEPT leader for a Tier I or II exercise. In larger exercises, one or more VEPTs may be established to support the EPT. The EPT coordinates with any Venue Exercise Planning Teams (VEPTs) in the exercise. VEPTs are responsible for exercise planning, design, development, conduct, control and evaluation at the operational and tactical level. The VEPTs report to the EPT Leader (EPTL).

Composition. The EPT should represent the full range of participating organizations, but remain manageable in size. At a minimum, the participating organizations should provide SMEs to draft scenario events for their functional area. When possible, the EPT should meet in person to facilitate interaction and the exchange of information. For a larger exercise, the planning team members should include representatives from each port community and participating functional area (e.g., Area Committee, fire and rescue, law enforcement, public works, public health, Citizen Corp Council, private sector).

Role During Exercise. Because planning team members are highly involved in the exercise, they are excellent candidates for exercise facilitator, controller, or evaluator positions, as shown in Table 3-2. Generally, the EPTL will oversee the EPT throughout the entire process and become the senior controller during the exercise. The knowledge gained by EPT members about the scenario events renders them

ineligible to participate in the exercise as players, except in cases where resources are severely limited. Planning team members are designated as “trusted agents” who should not release scenario-related information to players prior to an exercise.

PLANNING TEAM POSITION		EXERCISE POSITION
Planning Team Leader		Senior Controller
Evaluation Leader		Senior Evaluator
Planning Team Members	Facilitator, Controller, Evaluator, as assigned	

Table 3-2: Transition of Planning Team Members

Organization. The EPT membership should be tailored to fit the type and scope of the exercise. The larger and more complex the exercise, the larger the EPT. For smaller exercises, planning team members can be assigned multiple functional responsibilities. The following are estimates of the number of staff required to plan the different types of exercises.

- Discussion-Based:
 - Seminar or Workshop. One planner should be able to plan, facilitate, and evaluate a single objective seminar or workshop. SME(s) will be needed to conduct/facilitate these exercises.
 - Tabletop Exercise (TTX). For a TTX, the planning section should have a minimum of two or three planners to conduct planning conferences, construct the scenario, develop documents, etc. Logistics and Administration/Finance would become collateral duties of the Planning Team Leader, and Operations may have a facilitator for the conduct of the exercise.
 - Game. A game requires one or more planners with subject matter expertise to design simulated conditions for exercise play. Controllers present the outcome of player actions and ensure that play takes place within the game rules and timeframe.
- Operations-Based:
 - Drill. One planner can manage preparations for a drill. SMEs will be needed to execute and evaluate participant performances during the drill.
 - Functional Exercise (FE). An FE requires at least three planners with part-time assistance from SMEs to draft realistic scenario events for the MSEL. FEs require the largest MSEL of any exercise type due to the amount of simulation involved. FEs may require full-time support for exercise logistics and part-time support for Administration/ Financial support. An Evaluation Plan (EvalPlan) and training for evaluators is also necessary. Planners must prepare an ExPlan, a Controller and Evaluator (C/E) Handbook, and Exercise Evaluation Guides (EEGs).

- Full Scale Exercise (FSE). An FSE may require performing all the functions shown in Figure 3-1. Currently, most FSEs are completed in eight hours or less due to participating entities' time constraints. However, some FSEs are conducted on a 24-hour/day basis over several days. This simulates the increased stress on the operational and support systems present in an actual contingency and, therefore, requires more staffing.

*Exercise
Planning
Team (EPT)
Organization*

The Planning Team Organizational Diagram in Figure 3-1 depicts staffing organization and responsibilities or functions for a large FSE conducted 24 hours/day for 2-5 days. A single planner may fulfill multiple functions. The number of planners will depend on the scope and complexity of the exercise. Figure 3-1 organization is based on Incident Command System (ICS) organizational concepts, with sections for Operations, Planning, Logistics and Administration/ Finance, whose chiefs report directly to the EPTL. The ED oversees all Sections and the entire exercise process.

*EPT
Organization
Descriptions*

EPT members are assigned specific responsibilities based on the scope of the exercise. The EPT structure (Figure 3-1) includes:

EPTL. The EPTL is responsible for providing planning team members with clearly stated roles and responsibilities, assignment of controllers and evaluators, delivery of exercise documents to the ED, coordinating planning team meetings, and developing and maintaining an exercise project management timeline. The EPTL shall report directly to the ED(s).

Command Staff. Command Staff, including Liaison, Public Affairs Officer (PAO), and Safety Officers report directly to the ED(s), but in coordination with the EPTL.

Planning Section. The Planning Section is responsible for compiling and developing all exercise documentation. They review exercise objectives and the contingency plan(s) to be exercised. The Planning Section is responsible for determining the simulated actions of agencies not participating in the exercise and planning exercise evaluation.

Logistics Section. The Logistics Section provides the supplies, materials, facilities, and services that enable the exercise to function smoothly. It consists of two subsections: service and support. The service section provides transportation, barricades, signage, real-life medical capability, exercise-site perimeter security, and food and drinks (if provided by a non-USCG entity). The support section provides communications, purchasing, general supplies, very important personnel (VIP)/observer processing, and recruitment/management of victims/actors. For more information on logistics, see Exercise Logistics in Phase Two: Exercise Design and Development, of this chapter.

Administration/Finance Section. The Administration/Finance Section provides fiscal management and administrative support throughout exercise development. It is responsible for the registration process and coordinates schedules for the planning team, the EPTL, participating agencies.

Operations Section. Unlike other sections, the Operations Section does not stand-up until Start of Exercise (STARTEX), with most of the Planning Section members transitioning to Operations Section positions during exercise conduct. The Operations Section is responsible for control, simulation, opposition and evaluation during the conduct phase of the exercise cycle.

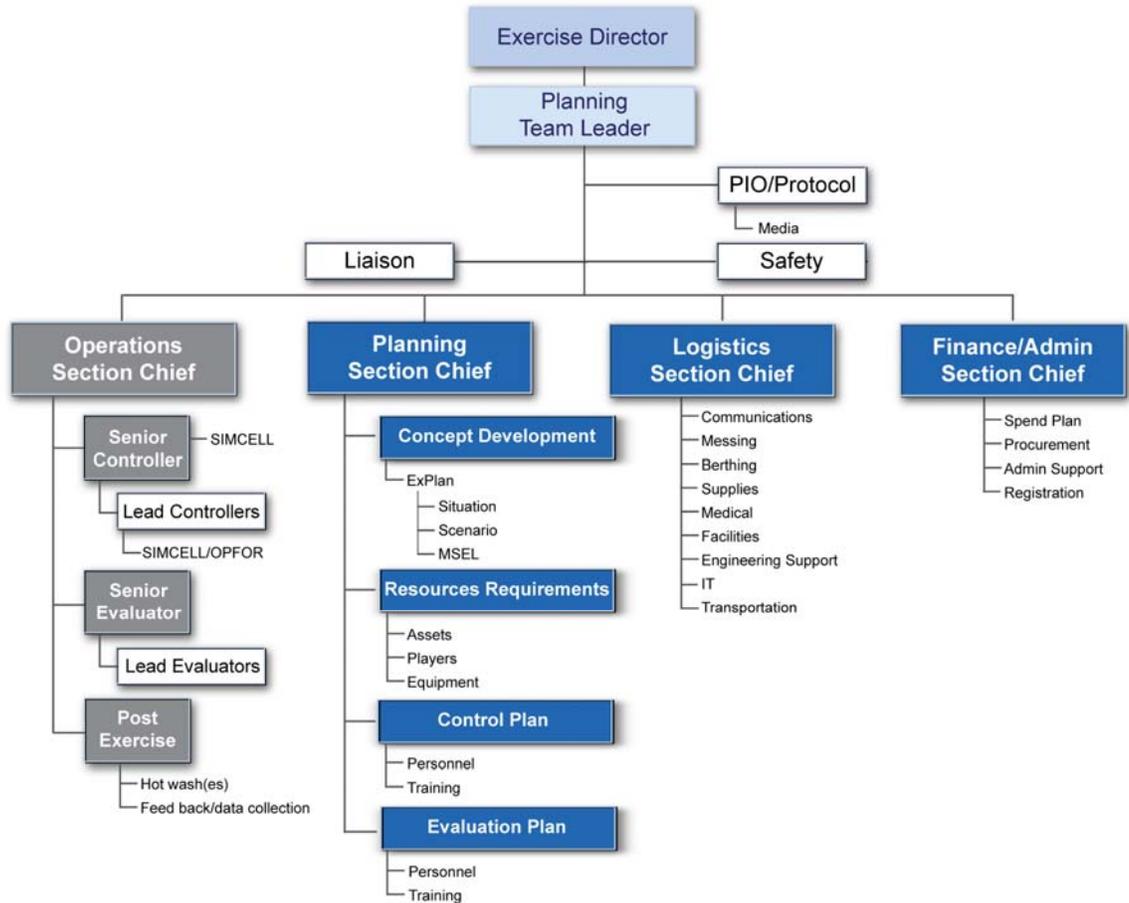


Figure 3-1: Exercise Planning Team Organization for long (2-5 day) 24 hrs/day FSE with over 200 players and multiple field sites

Principles of Operation

Exercise Planning Teams operate according to the following principles:

Organized Structure. EPTs should adhere to the organizational structure and span of control principles of ICS, as defined by the National Incident Management System (NIMS).

Project Management. EPTs are responsible for identification, development, and control of critical and supporting activities. This requires frequent communication on the project status and use of milestones and timelines (e.g., scheduling software and Gantt charts found in Microsoft Project) to manage tasks.

Clearly Defined Roles and Responsibilities. Activities should be identified and assigned to the appropriate EPT members, and clear deadlines should be established.

Functional Area Skills. SMEs should create a realistic and challenging scenario that ensures the exercise meets the designated objectives.

Standard Exercise Design/Development Process. EPT members implement standardized processes of exercise design and development, such as incorporating responsibility, time, and project management. Exercise planning conferences should be scheduled to develop and review activities (e.g., reserving planning conference space) and outputs (e.g., exercise documentation).

In summary, the EPT should:

- Be adequately sized and afforded time to plan based on exercise complexity
- Represent each participating entity
- Avoid participating as players in the exercise

Milestones and Timelines

There are several key milestones in successful exercise planning. These milestones include invitations to participants, exercise development conferences, exercise training, contracting of services and products, exercise conduct, after-action reporting, and improvement planning. The key exercise planning conferences are covered in more detail in Appendix E.

Timelines may vary based on the EPT’s experience in conducting exercises, available resources, EPT size, and complexity of an exercise. Table 3-3 denotes a sample timeline for a large, complex, Tier IV, operational exercise. The timeline for small, simple exercises may be compressed to as little as a couple months. The EPT is encouraged to adhere to recommended timelines as much as possible to allow for identification of additional exercise participants, arrangement of logistical needs, and development of exercise documents.

Exercise Phase	Time* (E = Date of Exercise Start)	Exercise Related Tasks/Events
Foundation	E minus 18 months	<ul style="list-style-type: none"> • MTEP Agreements on: <ul style="list-style-type: none"> ○ Host/Exercise Director ○ General scenario ○ Type(s) of exercise ○ Preliminary objectives ○ Resource commitments • Schedule tentative dates for planning conferences
	E minus 8-12 months*	<ul style="list-style-type: none"> • Assign Exercise Planning Team Leader

Design and Development	E minus 6-10 months	<ul style="list-style-type: none"> • Initial contact with Exercise Support Team (if assigned) • Review tentative timeline
	E minus 5-9 months	<ul style="list-style-type: none"> • Meeting between the EPTL and EST Leader • Concept and Objectives (C&O) Conference • Solicit planning team members from partners, stakeholders, and unit • Complete Exercise Support Contract with EST
	E minus 3-7 months	<ul style="list-style-type: none"> • Initial Planning Conference (IPC)
	E minus 2-4 months	<ul style="list-style-type: none"> • Mid-Term Planning Conference (MPC) • Refine MSEL
	E minus 1-3 month	<ul style="list-style-type: none"> • Final Planning Conference (FPC) • Final Master Scenario Events List synchronization conference (MSEL Sync)
Conduct/Evaluation	E	<ul style="list-style-type: none"> • Exercise Conduct • Hotwash
Improvement Planning	E plus 3 weeks	<ul style="list-style-type: none"> • After Action Conference
	E plus 8 weeks	<ul style="list-style-type: none"> • Finalized AAR/IP
* The range in planning time depends upon the scope of the exercise being conducted.		

Table 3-3: Exercise Planning Timeline for a large Tier IV FSE

Project Management Tools

Planners are encouraged to use Project Management tools such as assignment checklists or Microsoft Project for all exercises. Checklists for exercises are posted on the [CG-535, Office of Contingency Exercises, CG Portal site](https://cgportal.uscg.mil/delivery/Satellite/CG535).² These tools are especially helpful when used early in the planning process and updated frequently.

Conference Scheduling

Scheduling conferences as early as possible will ensure attendees have time on their calendars and meeting rooms are available. Exercise staff should publish and advertise dates and locations for the conferences as soon as they are confirmed. More information about the planning conferences is contained in Phase Two, below, and in Appendix E.

² <https://cgportal.uscg.mil/delivery/Satellite/CG535>

Phase Two: Design and Development

Overview

The Design and Development process is where the EPT comes together to build the exercise. There are a series of activities that provide a structured approach to completing Phase Two.

Design and Development activities include:

- Reviewing plans, policies, and procedures
- Establishing objectives and capabilities
- Drafting the scenario
- Developing exercise documentation
- Coordinating external Affairs
- Establishing exercise control and evaluation
- Coordinating logistics
- Conducting planning conferences



Plans, Capabilities & Objectives

In exercise project management, contingency plans, capabilities and objectives are the cornerstones of design and development. Contingency plans cover a range of information and should include the capabilities needed to execute the plan.

Definitions

A capability is the ability to execute an element, component, or function of a mission, e.g., communications, port evacuation. An activity is a component or subgroup of the capability, e.g., voice communications and evacuation routes. A task is a component or subgroup of the specific activity, e.g. access to common frequencies and traffic control. An objective is a goal for improving a capability, activity or task that is currently a shortfall or gap in preparedness.

Objectives

Well-defined exercise objectives provide the framework for scenario and MSEL development and exercise evaluation criteria. They provide common goals for various participating agencies and focus support on exercise priorities. Capabilities, tasks, and objectives are identified during the Concept and Objectives (C&O) Meeting.

Objectives are discussed and refined during the Initial Planning Conference (IPC). Generally, planners should limit the number of exercise objectives to no more than seven; three to five is ideal. The scope of each objective should also be limited to what can be performed and properly evaluated within the timeframe and scope of the exercise. With input from the ED and participating entities, the EPT should refine objectives based on capability shortfalls and recent improvements. Limiting objectives enables timely exercise conduct and supports successful completion of exercise goals.

SMART Objectives

Planners shall ensure exercise objectives are SMART:

- **Specific** – Activity-based and detailed
- **Measurable** - Expressed in precise, fixed units or measurements such as time, speed, capacity, quantity, or distance; or as an indisputable “yes” or “no”
- **Achievable** - Possible to accomplish within the constraints of the exercise
- **Realistic** - Challenging but consistent with contingency plans, standard operating procedures, operations, previous lessons learned, etc.
- **Task-oriented** - Related to tasks that satisfy the exercise objectives

If a command identifies the need to validate its interoperable communications, the planners could choose to focus on a few tasks associated with this capability; for example:

- Implement response communication interoperability plans and protocols
- Establish an Incident Command Post (ICP) in a location that is safe and appropriate to facilitate communications
- Designate a Communications Unit Leader (COML), as appropriate, and report designation to all relevant personnel who will carry out these responsibilities

Based on these tasks, planners could design the following SMART objective as related to its particular standard operating procedures:

Examine the ability of Sector Puget Sound to communicate directly with Area Maritime Security Committee (AMSC) using Alert Warning System (AWS) within one hour of notification of incident.

Capabilities: DHS TCL & CG UTL

State and local exercise participants using grant money are required under HSEEP to design objectives based on the Department of Homeland Security (DHS) Target Capabilities List (TCL). The capabilities listed in the TCL do not adequately cover those needed to execute CG mission area contingencies. The CG Universal Task List (CG UTL), (COMDTINST 3501.6, series) has not yet been fully developed for Sector contingency operations. Therefore, the use of the TCL and UTL for USCG objectives is limited at this time.

Scenario

A scenario is the storyline or theme that drives an exercise. It is based on the contingency(ies) being exercised and is a sequence of events. The scenario can be written as a narrative or depicted as a timeline.

The scenario should facilitate achievement of the exercise objectives. Scenarios should be constructed to avoid sensitivities that may arise, such as the use of real names of terrorist groups or sensitive venues (e.g., a school or private company). The EPT shall develop scenario events that focus on the capabilities and tasks supporting each objective.

A scenario should be realistic, plausible, and a challenging worst case, but not so complicated that it overwhelms the players. A scenario consists of three basic elements: 1) general context or comprehensive story; 2) conditions to meet the exercise objectives; and 3) technical details necessary to depict a realistic scenario. The following factors are taken into consideration when developing a scenario:

- Level of realism
- Type of threat/hazard
- Weather variables
- Optimal date and time for conducting the exercise

Realism

Exercise scenarios reflect a range of probable threats that participants face. They must be credible enough for players to suspend their inherent disbelief in hypothetical situations. To enhance realism, the levels of risk and white noise should be considered.

Risk. The Contingency Preparedness Assessment examines the probability, vulnerability and impact of various threats. This analysis can contribute to scenario development. For example, if a certain area is known to be susceptible to earthquakes, the exercise scenario could feature a quake affecting that location. EPT members should also consider previous real-world incidents and existing plans that have been developed.

White Noise. White noise is information that does not pertain to development of the scenario event but does occur in actual operations. The level of detail provided in a scenario should reflect real-world uncertainty. The use of white noise should not detract from completing the objectives of the exercise. The inclusion of white noise should be discussed and agreed upon by the EPTL and ED.

Threat/Hazard

The first step in drafting a scenario is determining the type of threat/hazard or contingency for the exercise. The EPT should choose a threat/hazard that best validates the capabilities, tasks, and objectives on which the exercise will focus. For example, if validating evacuation capabilities, the EPT could use a hurricane scenario requiring the evacuation of the general public from low lying coastal areas.

The identification of this threat/hazard scenario should be based on the entity's risk analysis of probability, consequence, and vulnerability. For the USCG, this process is part of the Contingency Preparedness Assessment. For example, the threat of chemical, biological, or radiological terrorism may be considered more probable in a densely populated, high-profile city than in a rural area. Likewise, the threat of hurricanes is high in the southeastern United States while earthquakes are a concern on the West Coast.

Weather

For FSEs, exercise planners must decide whether to use real-world weather conditions or simulated weather conditions to prompt a certain chain of events. Wind direction and speed are typical examples of conditions that are simulated so that exercise play can be more easily controlled (e.g., in order to more readily disperse a chemical). If weather elements are simulated, the weather information should be written into the ExPlan and player briefing, which are described in more detail in the Exercise Documentation

section.

Date and Time For all exercise scenarios, the date and time of the events affect exercise play. Many communities have different population demographics on weekdays, weekends, and holidays, as well as at night and during special events. These differences may affect players’ expected actions and can be incorporated into the scenario. For example, when a major sporting event is held at a stadium, it may temporarily increase a community’s population and change traffic patterns. This will in turn affect evacuation routes and/or response times. Exercise planners may consider conducting an exercise on a weekend or at night to test off-hour resource levels and to minimize disruption to traffic and ongoing operations.

Exercise Documentation

This section describes typical documents used during exercises. The number of documents and level of detail depends upon the type of exercise. Discussion-based exercises generally do not use as many types of documents as operations-based exercises. Table 3-4 lists the types of documents, exercises that use that document, the primary audience, and the key features of each document. Examples of the documents listed in Table 3-4 will be posted on the [CG-535, Office of Contingency Exercises, CG Portal site](https://cgportal.uscg.mil/delivery/Satellite/CG535).³

Document Title	Exercise Usage	Distribution	Key Document Features
Concept of Exercise (COE)	All Exercises	All CG Preparedness staff	Supports MTEP, Funding, AAR/IP
Invitation and/or Confirmation letter	All Exercises	Entity leaders with authority to commit resources	Notifies participants of the need to start planning Requests confirmation of intent to participate
Situation Manual (SitMan)	Discussion-based	Participants, observers	Provides textual background for exercise Includes administrative information and scenario details
Exercise Plan (ExPlan)	Operations-based	Participants, observers	Includes general exercise information, but does not contain scenario details Enables players to understand their roles and responsibilities in the exercise
Exercise Evaluation Guides (EEGs)	TTXs and Operations-based	Evaluators, controllers	Helps evaluators assess performance of capabilities, tasks, and objectives during an exercise

³ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

Master Scenario Events List (MSEL)	FEs and FSEs	Controllers, Evaluators, Simulators	Lists the events and injects that drive exercise play/ discussion Produced in both short quick reference, or long all encompassing formats
Controller and Evaluator (C/E) Handbook	Operations-based	Controllers, Evaluators	Supplements the ExPlan with exercise control information and scenario details
Multimedia Presentation	All Exercises, as needed	All Exercise participants	Enhances exercise realism with audio visual depiction of scenario details
Quick Look Report (QLR)	All Exercises, as needed	Chain of Command	Summarizes areas needing immediate improvement beyond the unit’s capability to correct
After Action Report/ Improvement Plan (AAR/IP)	All Exercises	All exercise participants	Identifies strengths and areas for improvement based on evaluation of exercise objectives Provides recommendations for improvements

Table 3-4: Exercise Documents

Concept of Exercise

The COE contains the elements of and justifications for the exercise. A detailed COE is essential to schedule limited resources (e.g., funding, evaluators, equipment, subject matter experts, etc.) in support of an exercise. All COEs shall contain the **first four** elements below. COEs for the next two years need to address all the elements. Annually, COEs should be reviewed and updated as objectives and other exercise specifics are finalized. COEs must be finalized by the IPC. The COE includes:

- **Exercise name**
- **Type**
- **Dates and location**
- **Contingency (or Hazard)**
- Exercise scenario
- Participating entities
- Objectives
- Spend plan and then budget levels when funded
- Planning timeline
- Concept of operations

**Confirmation
or Invitation
Letters**

A Confirmation letter from the Exercise Director notifies all participating entities and commands of the time and place for start of the exercise planning process. It requests confirmation of prior commitments to participate made at Training and Exercise Plan Workshops (TEPWs) or other venues.

An Invitation letter notifies potential participants of the intent to hold an exercise, probable date and probable scope. It is used to determine interest as well as make notification of intent to proceed.

**Situation
Manual**

A Situation Manual (SitMan) is developed for TTXs and distributed to players, facilitators, evaluators, controllers, and observers.

The SitMan includes:

- Introduction - schedule of events, exercise purpose, scope, capabilities, tasks, and objectives
- Exercise structure (order of the modules)
- Instructions for exercise facilitators, players, and observers
- Exercise assumptions and artificialities
- Exercise rules
- List of participating entities
- STARTEX scenario background
- Discussion questions and key issues
- Appendices with relevant supporting information, such as:
 - Threat-specific information
 - Relevant documents, e.g., plans, Standard Operating Procedures (SOP), etc.
 - A list of reference terms

The SitMan's introduction provides an overview of the exercise, including scope, capabilities, tasks and objectives, structure, rules, and conduct, as well as an exercise agenda. The scenario is often divided into chronologically sequenced modules. Each module represents a specific time segment of the overall scenario, e.g., pre-incident warning, notification, response, or recovery, that is connected to exercise objectives. For example, hurricane exercises typically contain pre-landfall module, whereas terrorism scenarios offer planners the opportunity to include a warning phase and initial response modules.

Each module is followed by discussion questions, usually divided by professional discipline (e.g., public safety, port security, emergency management, public affairs) or function (e.g. command and control, communications, operations, logistics, etc). These discussion questions can be derived from tasks and capabilities contained within each EEG. Responses to the discussion questions are the focus of the exercise and reviewing them provides the basis for evaluating exercise results.

Exercise Plan The Exercise Plan (ExPlan) is distributed to participants and observers in operations-based exercises prior to STARTEX. Size of the ExPlan will vary depending on the scope and type of exercise being conducted. It provides a brief synopsis of the exercise, addresses exercise objectives and scope, and assigns activities and responsibilities for exercise conduct. It enables participants to understand their roles and responsibilities in exercise planning, conduct, and evaluation. The ExPlan does not contain detailed scenario information.

ExPlan Elements. An ExPlan typically contains the following sections:

- Administrative handling instructions/security designation
- Purpose, scope, and objectives
- Duration, date, and time of exercise and schedule of events
- EPT, VEPT and control staff organization
- List of participating entities
- Roles and responsibilities
- Rules of conduct
- Safety issues, including real emergency codes/phrases, safety controller responsibilities, and prohibited activities
- Logistics
- Security and access to the exercise site
- Communications (e.g., radio frequencies/channels)
- Maps and directions

Rules of Play. Rules of Play (ROP) are particularly important when conducting a FSE or operational drill that involves Opposition Forces (OPFOR) or Red Teams. ROP set limitations on exercise play. They identify neutral parties and give guidance on non-exercise encounters, weapons use, and "engagement rules." For example, ROP may require OPFOR small boats to fly an identifying pennant to distinguish them from the general boating public. ROP are meant to protect both the exercise players as well as the public and surrounding environment. ROP are either included as an annex to the ExPlan or incorporated into the plan itself.

*Exercise
Evaluation
Guides*

Exercise Evaluation Guides (EEGs) provide consistent standards and guidelines for observations and data collection. They are a valuable tool and should be developed early in the exercise planning process since they aid in designing exercise events. They streamline data collection, enable a thorough assessment of objective capabilities, and support development of the After Action Report/Improvement Plan (AAR/IP). They also provide a consistent and replicable process for assessing preparedness through exercises. EEGs are used to compare exercise results to exercise objectives for further assessment and analysis.

A USCG standard EEG format with instructions can be found on the [CG-535, Office of Contingency Exercises, CG Portal site](#).⁴ This CG EEG format is modeled after the DHS EEGs. Information in the EEG follows the typical flow of activities and tasks to be accomplished. The EEG should provide space to record observations. While EEGs are generally developed for use by SMEs, they should be organized for use by less experienced personnel. Evaluators use EEGs before and during the exercise to determine the activities, tasks, and expected outcomes associated with the exercise objectives.

State and local exercise partners using grant funds are required under HSEEP to evaluate exercises against the DHS Target Capabilities List (TCL), so their EEGs will be focused on the component activities and tasks of those broad capabilities. USCG exercise planners should be familiar with the DHS TCL and how capabilities can be integrated with USCG contingency-specific capabilities as identified by contingency program sponsors.

*Master
Scenario
Events List*

A MSEL is used in FEs and FSEs to document the chronological list of injects that drive scenario events in exercise play. The MSEL links simulation to action by listing injects that prompt players to perform the capabilities and tasks being validated. Injects are MSEL entries that simulators, controllers or OPFOR deliver. Expected action events are MSEL entries that represent expected player actions.

Each MSEL entry should contain:

- Designated exercise time
- Capability, task, or objective to be demonstrated (if applicable)
- Event description
- Controller responsible for delivering the inject with controller/evaluator special instructions (if applicable)
- Intended player (i.e., agency or individual player for whom the MSEL event is intended)
- Expected action (i.e., player response expected after a MSEL inject is delivered)
- Notes section for controllers and evaluators to track actual events against those listed in the MSEL with special instructions for individual controllers and evaluators (if applicable)

Times listed in a MSEL should reflect the time an inject is to be delivered and the expected timeline for completion. These times should be as realistic as possible and should be based on input from SMEs. The MSEL helps identify where contingency injects are needed to elicit the desired player response. The three types of events that comprise a MSEL are contextual injects, expected action events, and contingency injects.

⁴ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

Contextual Injects. Contextual Injects are introduced to a player by a controller to help build the exercise operating environment. These injects provide information about the scenario and the actions of simulator players.

Expected Action Events. Expected Action Events reserve a place in the MSEL timeline and notify controllers when a response action should typically take place.

Contingency Injects. Contingency Injects are communicated by a controller to a player if the expected action does not take place. This ensures that play moves forward, as needed, to adequately evaluate performance of activities. For example, if a simulated secondary device is placed at the scene during a terrorism exercise, but is not discovered, a controller may want to direct a victim/actor to approach a player and say that he/she witnessed suspicious activity close to the device. This should cause the responder to discover the device and result in subsequent execution of the desired notification procedures. A controller intending to introduce a contingency inject should check with the Senior or Lead Controller before doing so.

Controller and Evaluator Handbook

The C/E Handbook, used in FEs and FSEs, describes the roles and responsibilities of exercise controllers and evaluators, including the procedures they must follow. Because the C/E Handbook contains information about the scenario and exercise administration, it is distributed only to designated controllers and evaluators. The C/E Handbook supplements the ExPlan. It points readers to the ExPlan for more general exercise information, such as participant lists, activity schedules, required briefings, and the roles and responsibilities of participants.

C/E Handbook Elements. The C/E Handbook usually contains:

- Controller and evaluator assignments, roles and responsibilities, instructions, and organization chart
- Exercise safety plan
- Controller communications plan (phone list, call-down tree, instructions for the use of radio channels, etc.)
- Description of Simulation Cell (SimCell) interaction with players
- Controller tools (e.g., MSEL and timeline forms)
- Evaluator tools (e.g., EEGs)

Controller Staff Instructions/EvalPlan

For large and/or complex exercises that require more coordination among control and evaluation staffs, stand-alone Controller Staff Instructions (COSIN) and Evaluation Plans (EvalPlans) may be used. The COSIN contains guidance for controllers and simulators on procedures and responsibilities for exercise control, simulation, management structure, and support. The EvalPlan provides evaluation staff with guidance and instructions on evaluation/observation methodology to be used and essential materials required to execute their specific functions. The EvalPlan is a limited distribution document. Evaluators use it in conjunction with the ExPlan and the MSEL. More information on the COSIN and EvalPlan is in the Developing Evaluation Documents section in this chapter and in HSEEP Volume III.

Quick Look Report The ED is responsible for developing a Quick Look Report (QLR) when the hotwash identifies urgent issues that have USCG-wide impact and/or require immediate attention to correct. A template is provided in COMDTINST 3010.19 (series).

After Action Report/Improvement Plan The After Action Report/Improvement Plan (AAR/IP) provides a description of what happened, describes any best practices or strengths, identifies areas for improvement, and provides recommendations for achieving improvements. The format for AAR/IPs is located in the Contingency Preparedness System online tutorial.

Participants and Documents It is important to ensure participants receive the correct documentation in order to be prepared for their roles in the exercise. Table 3-5 summarizes exercise participant responsibilities and associated documents.

Role	Key Responsibilities	Document Distribution
Players	Conduct mission by reacting to injects or OPFOR	ExPlan or SitMan Multimedia Presentation
Controllers	Implement MSEL to Guide Exercise Play	C/E Handbook or COSIN ExPlan or SitMan Multimedia Presentation MSEL
Evaluators	Observe and record player activities	C/E Handbook or EvalPlan ExPlan or SitMan Multimedia Presentation MSEL
Victims/ Actors	Deliver MSEL injects as directed, role players	ExPlan MSEL
Observers	Not to interfere with exercise play	ExPlan or SitMan
Opposing Forces (OPFOR)	Represent adversary in exercise play	ExPlan or SitMan MSEL Multimedia Presentation
SimCell	Represent non-participating personnel or entity in exercise play	ExPlan or SitMan Multimedia Presentation MSEL
Exercise Director	Overall management of exercise	All

Table 3-5: Participant Responsibilities and Documents

External Affairs

The External Affairs program is organized into two functional sections: 1) public affairs work with the media and 2) government affairs coordinates with government officials. Districts usually have personnel assigned to fulfill both functions. Sectors may only have a Public Affairs Officer (PAO) as a collateral duty. For operations-based exercises, the EPT, PAO and Government Affairs Officer use the Communications Action Plan (CAP) process to decide what actions are appropriate. An External Affairs Plan is developed and included in the ExPlan or SitMan as appropriate.

For exercises not sponsored by USCG, see Media/Public Information Documentation in chapter two of HSEEP Volume II.

Real Media Role

Members of the real world media have the ability to fulfill an important function before, during, and after an exercise. Prior to an exercise, they inform the public that an exercise will take place. During an exercise, they can remind the public that the exercise is taking place and facilitate the validation of public information plans and procedures. Following an exercise, the media may release details to the host community on the lessons learned or accomplishments of the exercise, if the Exercise Director provides such information.

For USCG-sponsored exercises, the media should have an opportunity to conduct interviews with key USCG exercise planners and USCG participants prior to the exercise.

The USCG Public Affairs Officer (PAO) has primary responsibility for coordinating with media representatives and assigning media escorts during USCG sponsored exercises. At discussion-based exercises, the media shall not be present during the discussion of any potentially sensitive information, such as operational tactics. If the media would like video footage of exercise proceedings and participants, they should be allowed to film from the back of the room until scenario discussions begin. This allows participants to speak freely and openly during the exercise without outside distractions or intimidation.

During operations-based exercises, media may be allowed to video certain activities, but should be cautioned not to interfere with exercise play. The media should not be present during sensitive operational play.

Public Announcement

The public, the media, and other agencies are very sensitive about potential threats or terrorist incidents. To minimize confusion, public announcements shall be made prior to a USCG-sponsored operations-based exercise, especially if OPFOR are involved. In addition, sharing exercise communications plans with the media, as appropriate, may further reduce confusion.

Announcements can be made through local television or radio, local newspapers, press releases, mass mailings or pamphlets, unit webpages, and/or signs near the exercise site. When Operational Security (OPSEC) is a concern, the announcement for a security exercise should not contain detailed scenario information, such as the type of threat/hazard or venue, nor should it contain information that might hinder exercise outcomes. It may be appropriate to release limited initial information to the public prior to STARTEX, followed by a more detailed announcement after the End of Exercise (ENDEX). Announcements should confirm that USCG assets will be deployed to prevent false media reports.

Exercise Media

If mock media (exercise controllers or actors simulating the real-world media) are employed during an exercise, they shall be kept separate from any real-world media that may be observing the exercise.

*Press
Release*

Prior to a USCG sponsored exercise, the EPTL, in coordination with the PAO, is responsible for the development of a written press release that informs the media and the public about general exercise information, with consideration for OPSEC as mentioned above.

Typical press releases include:

- USCG letterhead
- Introduction, including exercise program information
- Purpose and expected outcomes
- Scope and duration
- General scenario information (e.g., site/venue, goals, objectives)
- Confirmation that USCG assets will deploy
- Participating agencies or disciplines
- Contact information

**Exercise
Logistics**

Logistics is an important aspect of an exercise. Successful implementation of logistical details can make the difference between a smooth, seamless exercise and one that is inefficient, frustrating and unproductive. This section describes logistical considerations for discussion-based and operations-based exercises.

*Discussion-
Based
Exercises*

For a detailed description of facility and room selection, audio/visual requirements, supplies, badges, table tents, registration and table/breakout identification, see Exercise Logistics in chapter two of HSEEP Volume II.

Food and Refreshments. Food and refreshments during an USCG-sponsored exercise deserve special consideration. While USCG exercise funding cannot be used to purchase food and refreshments, arrangements should be made so that food is available for purchase during prolonged exercises. Exercise planners should consider the availability of food onsite or nearby. In joint or interagency exercises, other participating agencies can be asked to provide food and/or refreshments.

Use of Observer/Media Areas. If observers and media are invited to an exercise, they should be directed to a designated area that provides them with a view of the exercise play but prevents them from distracting the players. This area must be reserved and identified for observers prior to STARTEX. Because participants may discuss sensitive information, observers and media may only be invited to observe certain portions of the exercise.

Sensitive Information. The primary security consideration for discussion-based exercises is sensitive information control. Control procedures for documents marked Sensitive Security Information (SSI) or For Official Use Only (FOUO) should be discussed in detail during the participant briefings.

Weapon Safety. When law enforcement personnel who are required to carry a weapon as part of their uniform, are participating in discussion-based exercises, they should

follow their agency's weapons policy. Any site-specific weapons restrictions should be noted in the SitMan and communicated to participants prior to the exercise.

Color-Coded Badge System. Figure 3-2 is a standardized color-coded system to identify the various types of participants.



Figure 3-2: Exercise Participant Badges

Site Breakdown. The EPT should oversee site breakdown at the end of the exercise. This may include clearing, collecting, and/or destroying any exercise-specific or sensitive information in the areas. The team should ensure any equipment, supplies, and A/V resources are returned, packed, stored, etc., and the room is returned to its original configuration. All participant lists, player evaluation forms, issue cards (if used), controller materials, and evaluator documents should be collected for input into the AAR. The team should meet with the venue points of contact (POCs) to discuss final logistical details (e.g., address billing, final room closeout, and other concerns).

Operations- Based Exercises

Facilities.

- **Space.** FEs and FSEs have more facility requirements than discussion-based exercises since they have more participants, field operations, and may have more than one exercise site,.
 - Adequate space is needed for controllers, SimCell, Command Posts, Joint Information Centers and media briefing rooms. For exercises over eight hours long, messing and berthing should be centrally located to facilitate potential recalls, reduce transportation needs, ease watch relief, etc.
 - The exercise facility provider should be listed in the ExPlan. For USCG-sponsored exercises, the use of commercial facilities, such as hotels, is discouraged since the money spent on adding phone lines and computer networks does not benefit the USCG after the exercise is completed. Alternatively, units are encouraged to submit spend plans that request funds for permanent upgrades to government owned facilities listed in their plan.
 - Accessible lodging is important when exercises are longer than one day or when participants are traveling from out of town.
- **Command Center.** The command centers designated in contingency plans for use in actual contingencies should be used in FEs and FSEs.

Use of Assembly Areas/Staging Areas. Assembly areas/staging areas are the gathering places for deployable resources prior to STARTEX, as determined by exercise design or as determined during exercise) play. Assembly areas are managed by the Assembly Area Controller as described in the control section earlier in this chapter.

Assembly/staging areas must be identified and reserved during the early planning stages. To minimize traffic congestion and safety concerns, the deploying units should assemble in the staging area prior to the exercise. By having all deployable units in a staging area, the controllers can optimize the realistic timing of their arrival to achieve exercise objectives. All participants who are assigned to off-site locations, such as port facilities, Emergency Operations Centers (EOCs), Unified Commands (UCs), etc., should report to the assembly/staging areas designated by their respective organizations. Because personnel may be gathered in the assembly/staging areas for extended periods of time prior to dispatch, it is important to provide potable water, food, restrooms, shelter, etc.

Areas of Play. Operation areas are large spaces where tactical operations, such as waterside security, oil spill response, decontamination, or render safe procedures (RSP), take place. If exercising in port areas, specific exercise play areas shall be predetermined with all concerned parties. Any logistical needs pertaining to use of these areas must be coordinated well in advance of the exercise in order to reduce the possibility of accidents and liability issues. Directions, maps, and/or charts should be produced and provided to participants before the exercise. Areas of play for operations-based exercises should be clearly marked and have minimal impact on the non-exercise population.

Parking. Sufficient parking should be available and clearly labeled for VIP, observers, media, and exercise participants.

Food and Lodging. FSEs involve use of operational forces in the field and have additional food and lodging needs. If an exercise exceeds four hours in length, a meal should be available for purchase. For FSEs conducted for longer than one day, berthing, messing, and medical services shall be available. Transportation from operational sites to berthing and messing sites should be provided.

Visual Recording. Video Recording is a good way to document exercise events for future training, additional evaluator observation, public awareness initiatives, or even public record. Due to security concerns, it is important for the EPT to determine which parts of an exercise, if any, may be video recorded. If there is a visual recording team, members should be clearly identified and should be escorted through the exercise play space. Use clear identification to avoid confusion with members of the media.

Weapon Safety Policy. If weapons play is expected in an exercise, a written weapon safety policy must be approved by the ED and senior officials of participating entities prior to exercise conduct. This policy should be in accordance with the Ordnance Manual, COMDTINST M8000.2 (series) and all participating agency weapons policies. The ED must designate a Weapons Safety Officer, who serves under the exercise Safety Officer. Each entity participating in the weapons portion of the exercise should provide a representative on the staff of the Weapons Safety Officer and ensure their personnel adhere to the Weapon Safety Policy.

Weapons must be clearly marked to indicate they are safe for use in exercise play. Law enforcement and site security personnel not participating in the exercise may continue to carry assigned weapons in accordance with (IAW) existing agency weapons policy. (See Weapon and Safety Policy in Chapter Two of HSEEP Volume II.)⁵ In addition to normal safety precautions, the Weapons Safety Officer should note and communicate any site-specific weapons restrictions in advance of exercise conduct.

Site Security. Due to the sensitive nature of some exercises, it is important to consider site security, especially at vulnerable locations. Site security includes protecting exercise resources and personnel. Additionally, Operations Security (OPSEC) should be considered to prevent unauthorized observation of sensitive operations and tactics. Local law enforcement agencies are valuable resources for site security. The EPT should contact the appropriate jurisdiction early in the development process to ensure site security is established. The EPT should contact port facilities that require a Transportation Worker Identification Credential (TWIC) for site access to coordinate entry for exercise participants.

Safety. Safety is the most important consideration in planning an operations-based exercise. The following actions must take place to ensure a safe environment:

- Identify and designate safety controller(s) (*not to be confused with a safety officer on the player side*)
- Whenever unsafe conditions are observed, exercise play should be stopped and actions should then reported to the nearest controller
- Controllers should use the term “STOPEX” to communicate unsafe conditions to all exercise participants; only the Senior Controller can order play to resume
- For FSEs, conduct an Operational Risk Management (ORM) assessment, as described in COMDTINST 3500.3, and complete exercise specific ICS-208 Site Safety Plan
- Consider other safety issues outside the scope of exercise control (e.g., weather, heat stress, hypothermia, fire/pyrotechnics, weapons, animals/K-9s, use of force, use of personal protective equipment)
- Ensure availability of ambulance unit(s) for potential real world emergencies during the exercise

Communications.

- Public Announcement. Before an operations-based exercise starts, public announcements of the dates, location and type of contingency shall be made and the media appropriately briefed (see Real Media Role, page 3-20).
- Voice communications. Prior to the exercise, players, controllers/SimCell operators, and evaluators should be assigned separate radio frequencies or designated exercise channels. The frequencies shall not interfere with operations that are outside the scope of the exercise. Because the potential exists for exercise communication to be confused with real-world operations, all transmissions shall

⁵ See https://hseep.dhs.gov/pages/1001_HSEEP7.aspx

begin and end with “**This is an exercise....**” Consider using encrypted communications during security exercises for players and SimCell operators. A separate radio frequency is assigned to controllers for coordinating logistics, updating exercise status, and relaying information on real emergencies. When feasible, handheld radios should be provided to all controllers prior to an exercise. All radio and telephone requirements for players, controllers, and SimCell operators must be identified and published prior to STARTEX. The logistics section is responsible for developing a communications plan for the exercise. The PAO will share this plan with the media, as appropriate. ICS form 205 may be used for this purpose.

- Written communications. Any written exercise communications, to include email and message traffic, must be clearly marked with “**exercise material only**” and shall not interfere with normal operations.

Exercise Enhancements

Enhanced exercises provide a realistic scenario or field environment and increase the learning potential for participants. Enhancements can include multimedia presentations, detailed research on a specific hazard, props, equipment, victims/actors, special effects, and opposing forces. See Chapter Two of HSEEP Vol. II for a detailed description.

Exercise Control

Controllers plan and manage exercise play, set up and operate the exercise site, simulate the roles of individuals and entities not actually playing in the exercise, and manage the performance of victims/actors and OPFOR personnel. Controllers in the Simulation Cell (SimCell) “paint the picture” for players (verbally or with limited written materials). Multimedia presentations (video/ audio from news organizations) of STARTEX situation and periodic news updates adds realism and stimulates players. Controllers give key data to players and may prompt or initiate certain player actions (as listed in the MSEL) to ensure exercise continuity with objectives. Proactive planning and organization prior to an operational exercise is imperative to ensure effective exercise control. The control team is responsible for exercise play at all locations. A controller may also serve as an evaluator, as long as the scope of the exercise does not detract from their ability to meet the performance requirements for both roles.

Goals

The control team should be organized to accomplish the following:

- Make controller assignments—there should be a lead controller for each field site, venue, or functional activity and a senior controller coordinating the exercise operations in the Director’s AOR
- Define control requirements based on exercise objectives
- Prepare the C/E Handbook
- Conduct a C/E briefing on day before STARTEX.

Specific Duties and Responsibilities

The control team should fulfill the following duties and responsibilities:

- Introduce MSEL injects at the prescribed time and location
- Track the accomplishment of exercise objectives and inform the Senior Controller of any significant deviations or changes
- Guide exercise play and coordinate changes to MSEL with Senior or Lead Controller
- Observe, record, and report exercise artificialities that interfere with exercise realism or progress
- Respond to player-produced exercise materials intended for entity representatives who are not participating in the exercise
- Act as safety observers and institute ‘*stop exercise*’ procedures as necessary
- Enforce the Rules of Play (ROP) and real world security requirements
- Suspend exercise play if players are about to make a serious procedural or tactical error that has no learning benefit or does not contribute to exercise objectives
- Safeguard the C/E Handbook from unauthorized disclosure
- Assume final authority over exercise play at the scene

Control Team Responsibility

The ED or the EPTL assigns the Senior Controller. The Exercise Planning Section Chief and the Senior Controller assign control team members. The control team's primary responsibility is development and successful implementation of the Control Plan (part of C/E Handbook) and MSEL injects. Controller assignments and locations should be described in the Control Plan. Individuals serving as controllers should be familiar with the exercise control organization, the player and controller communications systems, and procedures to ensure effective coordination. Members of the EPT are good candidates for staffing the exercise control team during the exercise.

Senior Controller. The Senior Controller is responsible for keeping the exercise focused on the exercise objectives. The Senior Controller should have the management and leadership skills needed to oversee a team of controllers, as well as the knowledge and skills to direct the flow of information during exercise play.

In preparation for the exercise, the Senior Controller is responsible for development of the MSEL; defining controller requirements; recruiting, assigning and training controllers; and development of the C/E Handbook or SitMan. During the exercise, the Senior Controller supervises control of play and the operation of the SimCell. After the exercise, the Senior Controller supervises the conduct of player hotwashes and controller debriefs, ensures that player critiques are collected, and provides controller input to the AAR.

The Senior Controller should be a senior-level individual who is familiar with:

- Capabilities, activities and tasks of the exercise objectives of the exercising unit(s)

- Incident command and decision-making processes of the exercising unit(s)
- Interagency and/or multi-jurisdictional coordination issues relevant to the exercise

Assembly Area Controller. The assembly area controller is responsible for the logistical organization of the assembly area, which is used in an FSE as the gathering place for deployable resources prior to STARTEX. The assembly area controller remains in close communication with other controllers throughout the exercise to ensure safe, timely and realistic dispatch of units. Organization of the assembly area is critical to exercise success and safety. Therefore, it is imperative for the EPT to create a deployment timetable based on realistic response times from a unit or entity's home station or office. Failure to do so will result in an unrealistic and disorganized exercise. The assembly area controller should be informed of any updates to the exercise that may require changes to the deployment timetable.

Control Team Structure

Control Requirements. The Senior Controller and the exercise control team define exercise control requirements by considering exercise scope and objectives. These requirements include the tools, plans, and personnel needed to effectively control action and collect data from the hotwash after the exercise.

Venue Controllers. Exercises that involve multiple jurisdictions and/or multiple play locations should assign jurisdictional or venue or lead controllers. Venue lead controllers report to the senior controller and manage the activities of other controllers assigned to that location or jurisdiction. The EPTL and Senior Controller should make decisions about control requirements for personnel, time commitments, inject management, and coordination mechanisms between EPT and VEPTs (when used). These decisions should be documented in the C/E Handbook.

Recruit, Assign, and Train Controllers. Once control requirements have been defined, the Senior Controller oversees recruiting, assigning, and training of controllers. The Senior Controller and the planning team leader should present their recruiting needs to the Exercise Director. Control requirements play a critical role in determining the number of controllers, the subject matter expertise they should possess, where they are assigned, and what kind of training or instruction may be required.

- Recruiting Controllers. Controllers should have experience and subject matter expertise in the functional area they are assigned to control, e.g., Search and Rescue (SAR), oil spill response, command and control, fire, law enforcement, security, etc. The time commitment for controlling discussion-based exercises is generally no longer than one day, including after exercise processes such as the hotwash. The time commitment for operations-based exercise controllers is usually one to four days during the exercise plus one day prior to the exercise for training and one day after the exercise for debriefing and input for the AAR/IP. Exercise planners should ask other USCG units, participating entities or their chain of command to help supply controllers. USCG units and participating entities should implement a long-term strategy to develop and maintain a cadre of trained controllers who can regularly participate in exercises. The USCG Reserve and Auxiliary may be good sources for controllers since they are available for part-time assignments and have a relatively low turnover rate.

- Assigning Controllers. During operations-based exercises, controllers should be assigned to different areas of play and venues based on their subject matter expertise. Reference to the MSEL can help the lead controllers determine the times at which specific controllers should be at certain locations. Controller assignments should be established, documented in the Control Plan or C/E Handbook, and communicated to evaluators prior to exercise conduct.
- Training Controllers. Controller training must take place at least one day prior to the exercise. This training should address all aspects of the exercise, including exercise goals and objectives; exercise scenario; participants; and controller roles, responsibilities, and assignments. The senior controller should brief controllers on the content of any specific plans, policies, procedures, or agreements that pertain to exercise objectives. Controller training should include guidance on communications, including key contact information for personnel during play, stop exercise procedures and conduct of a player hotwash following the exercise. Prior to training, controllers should be provided copies of the following materials to review:
 - Exercise documents such as the SitMan for discussion-based exercises or the ExPlan, C/E Handbook, and MSEL for operations-based exercises
 - Exercise agenda and schedule, controller assignments, controller materials, Participant Feedback Forms, and other control tools
 - Appropriate plans, policies, procedures, and agreements of the exercising entity(ies) related to exercise objectives

*Finalize
Control Plans*

Once exercise requirements are defined and control planning is completed, the Controller team completes the controller portion of the C/E Handbook. Operations-based exercises will use a C/E Handbook to distribute exercise control and evaluation information.

**Exercise
Evaluation**

Evaluators are responsible for producing an objective appraisal of how well the exercise objectives were met and what shortfalls exist.

The USCG approach to evaluation and improvement planning is patterned after the eight steps outlined by HSEEP. Steps 1-4 of the evaluation and improvement planning are shown in Figure 3-3. This section discusses Step 1: Planning and Organizing the Evaluation. For Steps 2-3, see Phase Four (Exercise Evaluation) and for Steps 4-8, see Phase Five (Improvement Planning).

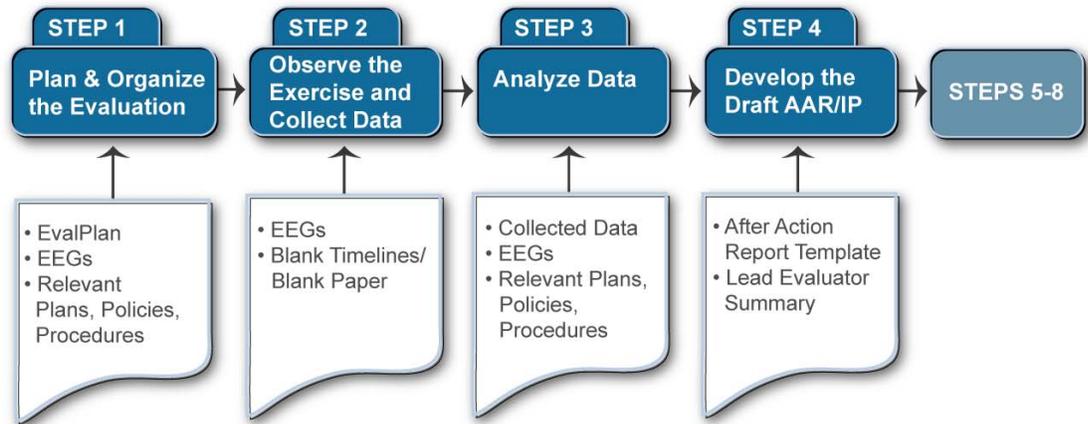


Figure 3-3: Steps 1-4 of the Evaluation and Improvement Process

Plan and Organize Evaluation (Step 1)

Planning and organizing the evaluation includes:

- Appointing a senior evaluator
- Defining evaluation requirements based on exercise objectives
- Developing evaluation documents
- Recruiting, assigning, and training evaluators

Appointing Senior Evaluator

The EPTL or ED should appoint a senior evaluator with experience to oversee all facets of the evaluation process. The Senior Evaluator shall be responsible for recruiting evaluators to establish an evaluation team, designating lead evaluators, creating an evaluation plan, developing EEGs, and giving evaluator training. During the exercise, the Senior Evaluator will monitor evaluator performance, conduct briefings, and assist the Senior Controller with post exercise activities. After the exercise evaluators will compile their data as input for the AAR. The Senior Evaluator should be familiar with:

- Capabilities, activities and tasks of the exercise objectives of the exercising unit(s)
- Plans, policies, and procedures to be exercised
- Incident command and decision-making processes to be exercised
- Interagency and/or inter-jurisdictional coordination issues relevant to the exercise

Defining Evaluation Requirements

Exercise evaluation requirements are determined by the exercise scope and objectives along with guidance produced by the EPT. The exercise evaluation requirements include the tools, plans, and personnel needed to effectively observe the exercise, collect data, and analyze information.

Exercise Scope. Exercise scope helps determine the number of evaluators needed and where evaluators should be placed (e.g., facilities/sites, command/control centers, patrol assets). Exercise scope consists of, but is not limited to, the days and hours and duration of the exercise, the location/sites for exercise play, the number of exercise players, the type of exercise, i.e., discussion-based or operations-based. The objectives help determine the number, subject matter expertise and locations of evaluators needed. For

seminars and workshops, data collectors record observations during the exercise and document the exercise outcomes, including best practices and areas for improvement. Participants, facilitators and planners also contribute to the documentation of seminars and workshops. In TTXs and operations-based exercises, controllers can also function as evaluators; however, a Senior Evaluator is still necessary to draft the EvalPlan, brief the controller/evaluators, and provide input to the AAR/IP.

Exercise Objectives. Exercise objectives are composed of the capabilities, activities, and tasks that a unit or entity wishes to exercise. They are based on a specific capability in the contingency plan. Each capability has subordinate activities and tasks that can be separately evaluated. The evaluator's goal is to objectively evaluate the capability based on its component tasks to determine whether the exercise objectives were met.

Exercise Evaluation Team Organization, Structure, and Responsibilities. The Senior Evaluator should determine the structure of the exercise evaluation team based on the scope of the exercise, the exercise objectives, and the associated capabilities, activities, and tasks that will be exercised. Exercises that involve multiple jurisdictions and/or multiple play locations may require venue lead evaluators. Lead evaluators support the Senior Evaluator and manage the activities of other evaluators assigned to that location. The Evaluation Team's responsibilities include, but are not limited to:

- Verifying objectives that are specific, measureable, attainable, realistic and task-oriented (SMART)
- Documenting exercise evaluation requirements (e.g., staffing, funding, data collection requirements)
- Identifying potential evaluators and data collectors
- Determining evaluation criteria
- Developing EEGs based on exercise objectives
- Developing procedures for data collection and analysis
- Reviewing MSEL development to ensure consistency with exercise goals
- Creating the EvalPlan
- Recording observations during exercise conduct
- Participating in the player hotwash, C/E Debrief and After Action Conference
- Developing the AAR
- Assisting in development of the IP

Developing Evaluation Documents

Evaluation Plan. Once evaluation requirements and exercise objectives have been defined, the EvalPlan can be developed. The size and complexity of the EvalPlan is dictated by the scope of the exercise. Normally the EvalPlan is part of the C/E Handbook. In large and complex exercises, the EvalPlan may be a stand-alone document. Reviewing the capabilities to be evaluated early in the process will ensure that the evaluation team develops the appropriate documentation for evaluation.

The Evaluation Plan contains:

- Exercise scenario, schedule of events, and evaluation schedule
- Evaluation team organization, assignments, and location
- Step-by-step direction for evaluators regarding what to do before, during, and following the exercise
- Exercise-specific EEGs and/or analysis forms, MSEL, and process for post-exercise evaluation analysis
- Date of After Action Conference (AAC)

The EPT and the Senior Evaluator make decisions about evaluation requirements for personnel, time commitments, evaluation tools, and subject-matter expertise. These decisions should be recorded in a preliminary draft of the EvalPlan.

Sample evaluation materials and templates, including C/E Handbooks, SitMans, EEGs, and evaluator training briefings, are available on the [CG-535, Office of Contingency Exercises, CG Portal site](#),⁶ on HOMEPOR, or from an EST.

Exercise Evaluation Guides (EEGs). EEGs provide exercise evaluators with standards, guidelines, capabilities, activities and tasks for observations and data collection during the exercise and support root cause analysis after the exercise.

Participant Feedback Forms. Participant Feedback Forms provide participants an opportunity to report on the strengths and shortfalls that they identified during exercise conduct.

Summary of Evaluation Documentation. Table 3-6 shows which evaluation documents are used for each exercise type.

Exercise Type	Evaluation Documentation			
	EvalPlan	EEG	Feedback forms	AAR/IP
Seminar			X	X
Workshop			X	X
Tabletop	X	X	X	X
Game		X	X	X
Drill		X	X	X
Functional	X	X	X	X
Full-Scale	X	X	X	X

Table 3-6: Exercise Evaluation Documentation

⁶ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

*Recruiting,
Assigning,
and Training
Evaluators*

Once evaluation requirements have been defined, the Senior Evaluator oversees recruiting, assigning, and training evaluators. Evaluators have a passive role in the exercise and should record players' actions and decisions and times that they occurred. They should not interfere with exercise flow or decision making by players. Evaluators record observations and notes on EEG forms and chronological logs (optional).

Lead Evaluators. Lead evaluators are assigned in operations-based exercises that involve different exercise type or where player action takes place in geographically isolated locations or at multiple command levels. Each of these areas shall have a lead evaluator that reports to the Senior Evaluator.

Recruiting Evaluators. Evaluators should have experience and subject matter expertise in the functional area they are assigned to observe e.g., command and control, spill response, mass rescue operations, etc. Evaluators can be selected from the Exercise Planning Team and from non-participating entities or USCG units. Areas and Districts shall maintain a list of experienced evaluators in their AOR for assignment to exercises as needed. EPT members are often excellent candidates for controller and evaluator roles due to their involvement in developing the scenario, MSEL and evaluation criteria. When developing plans for recruiting qualified exercise evaluators, exercising commands and agencies should consider long-term strategies for developing and maintaining a cadre of trained evaluators who can regularly participate in exercise evaluation. The USCG Reserve and Auxiliary are good sources of evaluators since they are available for part time assignments and have a relatively low turnover rate. Evaluators should be made aware of the level of commitment expected for the duration of their participation in the exercise. Evaluators are encouraged to complete the EMI Exercise Evaluation and Improvement Planning (IS 130) course.

Assigning Evaluators. During exercises, evaluators should be assigned to different exercise play areas based on their subject matter expertise and evaluator experience. This is especially important during operations-based exercises. Reviewing the MSEL can help the Senior Evaluators and lead evaluators determine the times at which specific evaluators should be at certain locations. Evaluator assignments should be recorded in the EvalPlan and communicated to evaluators prior to exercise conduct. The number of evaluators assigned to each exercise play location depends on the level and scope of the exercise.

Training Evaluators. Evaluator training takes place at least one day prior to the exercise. It must address all aspects of the exercise and specific controller and evaluator roles, responsibilities, and assignments.

- Prior to training, evaluators should be provided with copies of the following materials to review:
 - Exercise documents such as the C/E Handbook and MSEL, the SitMan or the ExPlan
 - Appropriate portions of plans, policies, and procedures being exercised
- Evaluator training should include guidance on monitoring exercise discussions or observing operations: what to look for, what to record, and how to use the EEGs

and chronologic log. To promote effective observation evaluators should:

- Be at the designated position when players arrive
 - Get a good view of player actions/discussions, but avoid getting in the way
 - Focus on observing the activities and tasks in relevant EEGs to ensure exercise objectives are well documented
 - Take legible, detailed notes, including times and sequence of events
 - Remain at the assigned post at key times
 - Avoid prompting players or answering player questions
-

Phase Three: Conduct

The conduct activities include:

- Setup
- Pre-exercise Briefings
- Exercise Play



Discussion-Based Exercise Conduct

The required conduct activities vary with the type of exercise. Seminars typically focus on formal presentations, while TTXs focus on player interaction. The section below describes key aspects of conducting each type of discussion-based exercise.

Setup

Members of the EPT assigned to setup should visit the exercise site at least one day prior to the event to arrange the room and test A/V equipment. On the day of the exercise, EPT members should arrive several hours early to resolve any remaining logistical or administrative items and to arrange for registration. Prior to exercise conduct, the EPT should deliver the necessary exercise materials and equipment, which include:

- Adequate number of Situation Manuals (SitMans) or other participant materials
- Multimedia presentation
- Appropriate A/V equipment (e.g., projectors, screens, microphones, and speakers)
- Table tents
- Name badges identifying the role of each exercise participant
- Sign-in sheets
- Participant Feedback Forms

Pre-Exercise Briefings

The exercise STARTEX briefing provides relevant background information to exercise participants. All participants should be encouraged to contribute to the discussions. They should be reminded that the exercise is a no-fault environment.

The briefing typically starts with remarks by the Exercise Director, representatives from the EPT or sponsoring entity, and/or senior officials from the local jurisdiction. Following opening remarks, a brief introduction to the exercise is given. Attendees are introduced to facilitators and evaluators, given the background on the exercise process, and advised on their individual roles and responsibilities.

Exercise Play **Seminar.** A seminar is typically conducted in a lecture format with limited feedback or interaction from participants. They often feature speakers on key topics related to the objectives of the exercise. A facilitator is responsible for keeping participants on track and making sure objectives are met within the time constraints. Designating a recorder to take notes allows the facilitator to focus on key discussion issues, time and keeping players on track. Seminars share these attributes:

- Information is conveyed through different instructional techniques, including lectures, multimedia presentations, panel discussions, case study discussions, and decision support tools
- Discussions are led by the facilitator
- There are no firm time constraints
- They can be used for small and large groups

Workshop. Workshops involve participant interaction. Effective workshops focus on a specific issue and a clearly defined outcome, product, or goal. Workshops share these attributes:

- Information is conveyed through different instructional techniques, including lectures, multimedia presentations, panel discussions, case study discussions, and decision support tools
- They use facilitated breakout sessions for large groups
- Discussions are led by the facilitator
- There are no firm time constraints
- They can be used for small and large groups

Typically, workshops begin with a presentation or briefing that conveys the background, specific activities, and expected outcomes.

The opening presentation may be followed by facilitated breakout sessions, where smaller groups focus on specific issues. These breakout sessions should increase participant interaction through the use of issues most relevant to the participant's expertise.

Ideally, breakout sessions are facilitated by someone with both subject matter expertise and facilitation skills. If this is not possible, then it is more important to use a strong facilitator that will keep the discussion on track. Facilitators should be aware of time constraints, notify participants about progress, and warn them when time is about to expire. Designating a recorder to take notes allows the facilitator to focus on key discussion issues, time and keeping players on track. Following breakout sessions, the groups reconvene in a plenary session to present outcomes in a structured format that is coordinated by the lead facilitator. A written product is usually expected.

TTX. A TTX brings together key decision makers or SMEs for a functional area into an informal setting to generate discussion of various issues. TTXs share these attributes:

- Information related to the scenario may be conveyed through multimedia presentations
- They use facilitated breakout sessions and moderated discussion for large (>20 persons) groups
- Discussions are led by a facilitator
- There are no firm time constraints
- They can be used for small and large groups

TTXs can be conducted using facilitated and/or moderated discussion. In a large group, the participants should be divided into breakout groups. These group discussions occur ideally in separate rooms or at individual tables in a large room. They are organized by discipline, function or organization with a facilitator for each breakout group. The objectives for each TTX should be limited (one to three issues) to the time (one to three hours) available for everyone to speak and produce an in-depth discussion of the objectives. The breakout facilitator is responsible for keeping the discussion focused on objectives and ensuring all key issues are explored (time permitting). Players should discuss their responses based on their knowledge of current plans, policies, doctrine and capabilities. Facilitated discussions take place before moderated discussions.

In moderated discussions, a representative from each table presents summarized results of their group's discussion. This representative is selected before the facilitated discussion begins so they can be prepared to speak on behalf of the group. They summarize the facilitated discussion, present key findings and issues, and present any unresolved issues or questions. At the end of the presentation, time is allotted for questions, answers and brief discussion. At the end of these moderated presentations, another period for discussions may be scheduled. At this session, discussion is limited to key spokespersons.

With a large number of participants, there is an issue of equal speaking opportunity during the TTX. Time is limited and the challenge of listening to every participant's comments should be clearly addressed. Supporting staff should pass their questions or comments to their pre-designated spokesperson. Other players can pass their questions or comments to facilitators. Unanswered questions/comments should be collected for review by the EPT.

Designating a recorder to take notes allows the facilitator to focus on key discussion issues, time and keeping players on track. At the conclusion of the TTX, the facilitator provides an overview of the day's activities, followed by comments by the Exercise Director.

- Operations-Based Exercise Conduct** This section describes key aspects of conducting functional and full-scale exercises.
- Functional Exercises (FEs) are designed to evaluate capabilities and interoperability. An FE is typically used to evaluate the management of command centers and to assess the adequacy of response plans and resources. Events are projected through an exercise scenario with injects that drive play. An FE is conducted in a realistic, real-time environment with simulated movement of field personnel and equipment.
- Full-Scale Exercises (FSEs) involve field forces and are typically the most complex and resource-intensive exercises. An FSE tests many components of one or more capabilities and is typically used to assess plans, doctrine, and coordinated response under real-world conditions. The FSE simulates the realities of a complex response and involves critical thinking, rapid problem solving, and responses by personnel. The FSE is conducted in realistic, real-time environment with mobilization of personnel, assets, and equipment.
- Setup** The appropriate EPT members begin event setup at the exercise venue(s) as many days prior to the event as necessary. EPT members should:
- Resolve any remaining logistical or administrative items pertaining to setup
 - Mark the appropriate exercise operating areas and perimeters
 - Arrange briefing rooms
 - Set up and test A/V equipment, run phone lines and data networks for control and evaluation, and conduct a communications check
 - Place props and effects for simulation
 - Check for potential safety issues
 - Arrange registration area

Pre-Exercise Briefings Briefings educate participants about their roles and responsibilities prior to an exercise. By scheduling separate briefings for controllers, evaluators, victims/actors, and on-site and off-site players, EPT members can tailor material to the different groups. If the EPT has enough members, briefings may be scheduled simultaneously to prevent delay of STARTEX.

Controller and Evaluator (C/E) Briefing. At least one day before the exercise, the Senior Controller and Senior Evaluator provide a brief to C/E staff. This C/E brief includes an exercise overview, schedule of events, scenario, control and simulation procedures, communications, controller and evaluator responsibilities, and other relevant information. The staff is given the opportunity to ask questions and make final preparations. This briefing often includes a tour of the exercise site(s) so staff know where they should position themselves to observe exercise play and how to use equipment (including computer and phone systems).

Player Briefing. Typically, the Senior Controller conducts a briefing for all players that includes roles and responsibilities, exercise parameters, safety, security, Rules of Play (ROP), what is being simulated and how to interact with SimCell staff, OPFOR (if applicable), and any logistical exercise concerns or questions.

When multiple venues participate in operations-based exercises, a separate briefing for each venue is generally conducted by the lead controller the day before the exercise. This brief may include a review of communications procedures between the main exercise site and venues.

Victim/Actor Briefing. The victim/actor briefing is generally conducted the morning of the exercise, prior to the victims/actors taking their positions. The lead controller for victims/actors gives the briefing, which covers the exercise overview, safety, real emergency procedures, symptomology, acting instructions, and schedule. Identification badges and symptomology cards are distributed before or during this briefing. If moulage is to be applied to victims/actors, it should be completed before the briefing.

Observer/VIP Briefing. An observer briefing informs exercise observers and VIPs about program background, scenario, schedule of events, observer limitations, and any other miscellaneous information. Often, observers will be unfamiliar with public safety procedures and will have questions about the activities they see. Designating a coordinator to answer questions prevents observers from asking questions of players, controllers, or evaluators. The observer briefing is usually conducted prior to STARTEX on the day of an exercise.

In exercises with numerous VIPs, a separate annex is included in the ExPlan for VIP procedures.

Exercise Play **Controllers.** The Senior Controller starts the exercise and oversees the pace and focus of the exercise. In order to prevent accidental deployments, all exercise communications must be easily identifiable. This is accomplished by including the phrase “**exercise material only**” prominently on all printed communications (e.g., fax, e-mail), and by beginning each verbal communication stating, “**This is an exercise.**”

Due to the great deal of simulated activity that occurs, these exercises require a detailed MSEL and close communication between the site controller(s) and the SimCell. Site and venue controllers should advise the SimCell on the pace of exercise play and request more or fewer injects to maintain an appropriate pace and focus on objectives. The senior controller may authorize deviations from the original MSEL, if necessary. During exercise play, the controllers need to be alert for unsafe conditions and stop the exercise if appropriate.

During FSEs, the Assembly Area Controller oversees the dispatch of exercise participants and apparatus to the exercise location. The Assembly Area Controller ensures all players are present when a unit arrives at the assembly area. Units are positioned according to their deployment times. A designated Weapons Safety Officer performs a weapons check to guarantee the tagging of all inspected weapons indicating they are safe for exercise play. Coordinating with the senior or lead controller(s), the appropriate units are dispatched to arrive on schedule.

For exercises longer than one day, a daily synchronization conference is held for controllers and evaluators to provide updates on exercise events.

Evaluators. As players make decisions or discuss actions, evaluators should take notes to capture key information. For more on evaluation, see the Phase Four below.

Observers. Observers view the exercise or selected portions of exercise play. Areas of access during the exercise should be clearly communicated to observers prior to StartEx. Observers should be accounted for and provided with rules pertaining to observer participation to alleviate potential disruptions. They should have an escort to answer their questions.

Opposing Forces (OPFOR). OPFOR serve as event implementers during drills and FSEs, and are an integral part of the exercise control organization. OPFOR must be closely monitored to ensure that they only implement specific MSEL events. Controlling OPFOR is the responsibility of the Lead Controller(s) on scene.

Phase Four: Exercise Evaluation Overview (Steps 2-4)

Evaluation

The evaluation phase is an integral part of the exercise cycle. Planning and organizing evaluation (Step 1) occurred during the design and development phase. Evaluation continues as observations are recorded during the conduct phase. The data is then analyzed to identify the strengths (best practices) and areas for improvement (shortfalls) which are included in the After Action Report/Improvement Plan.

Exercise Evaluation Activities:

- Collect Data (Step 2)
- Analyze Data (Step 3)
- Develop AAR/IP (Step 4)



Collect Data (Step 2)

The debriefs after ENDEX provide an opportunity to collect, discuss and clarify exercise feedback from participants. The focus of debriefs should be on how well objectives were met.

Player Hotwash. Immediately following the exercise, lead controllers in each functional area facilitate a hotwash to allow their players the opportunity to provide immediate feedback. Lead controllers and a senior player from each functional area or location participate in a final hotwash facilitated by the senior controller. This enables controllers and evaluators to capture information about exercise events while they are still fresh in the players' minds. The hotwash is an opportunity to ascertain the players' opinion of the exercise, identify issues or concerns, and propose areas for improvement. At this time, players are usually more than willing to give their opinions and should be encouraged to do so in writing. Players complete and submit their Participant Feedback Forms during or right after the hotwash. EPTs should immediately read these player critiques and ask for clarification when needed. Evaluators take notes during conduct and the hotwash for later analysis with other observations from their functional areas. Information from Participant Feedback Forms is used to help generate the AAR/IP. The EPT collects and secures attendance lists.

Controller and Evaluator Debrief. The C/E debrief provides each controller and evaluator with an opportunity to share their findings on the functional area observed and to discuss both strengths and areas for improvement. The Senior Evaluator is responsible for this debrief and the EPTL provides facilitation. The C/E debrief typically follows the player Hotwash. During the debrief, controllers and evaluators complete and submit their EEGs and their Participant Feedback Forms. Debrief results are captured for inclusion in the AAR/IP.

Analyze Data (Step 3) One of the most important duties of the exercise evaluation team is data analysis. The information derived from analysis provides the objective basis for post-exercise reports. These reports should be used to improve preparedness. The precise methodology for analyzing exercise evaluation data should be described in the EvalPlan. The process should include review of Participant Feedback Forms, completed EEGs or other evaluation tools, and evaluator and data collector notes. The goal of this process is to identify areas for improvement, i.e. shortfalls, and best practices for each exercise objective.

Exercise Event Timeline and Analysis The exercise timeline and detailed analysis of evaluator observations provide the foundation needed to prepare the exercise AAR/IP. The analysis should capture all relevant key observations in the exercise. The exercise timeline records exercise events as they actually occurred. This timeline can be used with other evaluation tools to answer the following questions to support the AAR/IP:

- What did evaluators observe?
- What should evaluators have observed according to policies and doctrine in the plan(s)?
- Is there a difference? If so, why?
- What is the consequence of that difference and did it impact the objective?
- What improvements are needed and what best practices should be adopted?

Identifying Root Cause and Developing Recommendations Shortfalls or gaps are identified by using the root cause process. It is important for evaluators to discover not only what happened, but exactly why it happened. To arrive at a root cause, the evaluation team should trace the problem back to its respective cause(s). Root cause analysis may also require the review and evaluation of an entity’s emergency plans, training programs, staffing, equipment, policies, and doctrine. Uncovering root causes is key to developing actionable solutions to shortfalls. These proposed recommendations are based on the evaluation team’s expertise, experience, and best judgment. The responsibility for accepting and implementing recommendations ultimately lies with the unit command and/or responsible entities.

Develop the Draft AAR/IP (Step 4)

The AAR/IP provides a description of any best practices, identifies areas for improvement, and provides recommendations. The format for AAR/IPs is located in the Contingency Preparedness System online tutorial.

Evaluators should review their notes and begin to develop a preliminary analysis of the exercise. Preliminary analysis involves developing a chronological narrative of relevant exercise activities and associated objectives. When developing preliminary analysis, evaluators should consider the following questions:

- Were the objectives met?
- Were all personnel able to successfully complete the tasks necessary to execute each activity? If not, why?
- What were the key decisions associated with each activity?
- Were all personnel adequately trained to complete the activities/tasks needed to demonstrate a capability?
- Were any resource shortcomings identified that could inhibit the ability to execute an activity?
- Do the current plans, policies, and doctrine support performance of activities? Are players familiar with these documents?
- Do personnel from multiple agencies or jurisdictions need to work together to perform a task, activity, or capability? If so, are the agreements or relationships in place to support the required coordination?
- What should be learned from this exercise?
- What strengths were identified for each activity?
- What areas for improvement are recommended for each activity?

All exercises entered into CPS require the development of an AAR/IP. The Exercise Director is responsible for the preparation and submission of the AAR/IP. If a USCG Command participates in an exercise with a non-USCG Exercise Sponsor and Director, the USCG command must submit an AAR/IP and should include an electronic copy of the Director's AAR/IP, if and when available.

Expenditure Reports. An expenditure report shall be submitted as an attachment to the AAR, except for PREP notification drills and exercises that receive only general administrative funding. The expenditure report must include all funds expended, including any local unit AFC-30 funds. It provides Commandant (CG-535) the information needed to support exercise budget model adjustments. The exercising unit is responsible for using allocated funds for items in the spend plan. The AARs shall not be considered complete until expenditures are submitted. An expenditure report template is accessible in CPS.

Phase 5: Improvement Planning (Steps 5-8)

Overview

A main function of exercises is to help commands and entities gain objective assessments of their preparedness. Then gaps, shortfalls, and vulnerabilities can be addressed prior to a real threat or incident. The improvement planning process focuses on using the information gained from exercises to implement improvements that will enhance capabilities to prevent, protect against, respond to, or recover from natural or man-made disasters. Figure 3-4 summarizes the four steps in the improvement planning process.

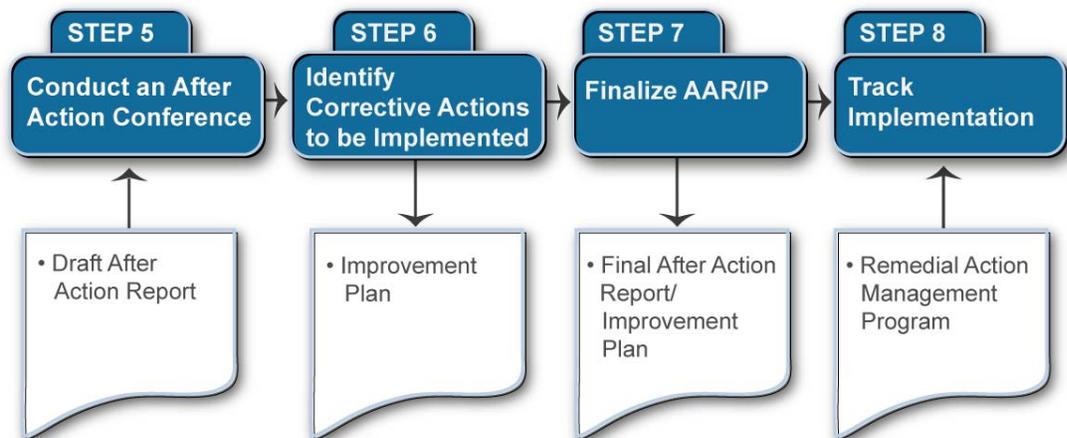


Figure 3-4: Steps 5-8 of the Evaluation and Improvement Process

AAR/IP

Improvement planning is the process where issues and recommendations recorded in the AAR/IP are resolved. The IP contains Remedial Action Items (RAIs) designed to rectify issues. It designates a unit POC responsible and a timeframe for resolution. The tracking and resolution of Remedial Action Issues (RAIs) is primarily the responsibility of the unit assigned. The senior levels of Command are responsible for conducting oversight and providing assistance as needed to resolve the issue(s).

Conduct AAC (Step 5)

The purpose of the After Action Conference (AAC) is to present, discuss, and refine the AAR/IP, which will be submitted for review and approval to the Exercise Director. As soon as possible after completion of a draft AAR/IP, the evaluation team, EPT, and exercise participants should conduct an AAC. When setting the AAC date, the planning team leader should allow sufficient time for the evaluation team to prepare the draft AAR. The draft AAR/IP should be distributed to conference participants, key individuals, and organization representatives for review prior to the AAC to identify issues they wish to discuss. Attendees refine the IP and assign a responsible person or unit to correct each RAI. It also ensures that exercises are results-oriented and contribute to preparedness by recommending concrete improvements. The AAC is interactive and provides attendees the opportunity to

confirm the observations and recommendations recorded in the draft AAR/IP. Attendees provide insight into events that may have been omitted or misinterpreted by evaluators. They provide an account of key exercise events, differences between expected performance and actual performance, major observations, and the recommendations for improvement.

Identify Remedial Actions to be Implemented (Step 6)

A good IP must be relevant to exercise issues and include attainable outcomes that increase preparedness. A remedial action should contain enough detail to make it useful. It states what types of actions should be performed and who should perform those actions.

Participating Commands and entities should use the following questions as a guide for developing remedial actions:

- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to organizational/management structures to improve performance?
- What training is needed to improve performance?
- What changes to (or additional) equipment is needed?
- What lessons can be learned that will direct how to approach a similar problem in the future?

Finalize AAR/IP (Step 7)

Following the AAC, the exercise planning and evaluation teams finalize the AAR/IP. This involves incorporating corrections, clarifications, and other feedback provided during the AAC. Next, the AAR/IP is distributed to members of the EPT to ensure that it is an accurate document that covers all the exercise objectives. This step ensures that the AAR/IP addresses the needs of the Commands and participating entities and serves as a useful tool to guide the following areas:

- Strategy development
- Exercise program planning
- Sharing lessons learned
- Changes to plans, policies, and doctrine
- Capability development and refinement
- Efforts to focus limited resources upon improvements in preparedness

Once the exercise planning and evaluation teams have captured all feedback, the AAR/IP shall be submitted for review and approval to the Exercise Director. To protect potentially sensitive information, the EPT should agree on a distribution list for the final AAR/IP and distribute the document exclusively to those on the list. Information submitted via the CPS requires Command approval and all AARs submitted constitute Command endorsement.

AAR Review and Release The AAR review and release process is managed with the Coast Guard After Action Program (CGAAP).

Responsibilities:

Exercise Directors shall:

- Submit final AAR/IPs, as appropriate

CGAAP Administrators (CG-535) shall (IAW COMDTINST 3010.19 series):

- Coordinate the review, validation, and posting of AAR into CPS/CG-SAILS
- Provide electronic notification of AAR review and release to CG Commands and programs
- As appropriate, provide support to units with regard to CPS/CG-SAILS usage

Unit Commanding Officers, Districts, Areas, FORCECOM, and Commandant (DCO) Contingency Sponsor shall:

- Designate a Remedial Action Coordinator (RAC), (in accordance with COMDTINST 3010.19 series), that oversees the tracking and resolution of RAIs as assigned
- Ensure RACs review RAMP reports in CPS

AAR Process. Figure 3-5 represents the AAR/IP process as it appears from a CPS user perspective from anywhere in the USCG. Starting in the upper left corner and proceeding counter-clockwise, an exercise is conducted. AAR/IPs must be entered into CPS within 60 days following completion of each exercise. The exception is National Preparedness for Response Exercise Program (PREP) notification exercises, which shall be entered within ten days. The CGAAP administrators in the Office of Contingency Exercises (CG-535) review all reports. Incomplete reports or ones requiring corrections are returned to the unit for revisions. The completed AAR is grouped with others of the same contingency, e.g. COOP, Anti-Terrorism, Oil & Hazardous Materials Substance Response, etc. and reviewed at a Program Management AAR Meeting.

Contingency Sponsor Reviews. Contingency Sponsors and Exercise Program Management representatives at all levels of the USCG should routinely review the collective outputs of exercises and Remedial Action Issue (RAI) improvements. These reviews serve three purposes:

- Provide a forum to discuss the mission area program management issues and processes to identify shortfalls, provide clarity of intent, and propose opportunities for improvement
- Identify compliance issues with applicable contingency exercise requirements to facilitate necessary changes in policy
- Ensure that exercises are producing the desired results to highlight the need for preparedness improvements.

Program Managers acquire a working knowledge of issues affecting the field and recommendations to address them. The foundation for policy, doctrine, TTP, and resource decisions is derived from these meetings. Following a meeting, CGAAP administrators release the AARs to the CPS database and assign each corrective action issue, i.e., RAI. An “AAR release” e-mail notifies the unit and contains a listing of all RAIs and at which level they are assigned to for action. The action office is given 30 days to submit comments, with command approval, on how and when the issue will be addressed. CGAAP administrators then review the comments. If the comments fail to address the issue, they are returned to the unit for clarification. Otherwise, CGAAP approves the comments and changes the status of the corrective action issue accordingly (pending or resolved). Finally, corrective action issues become a basis for developing COEs and future MTEPs, thus renewing the exercise cycle.

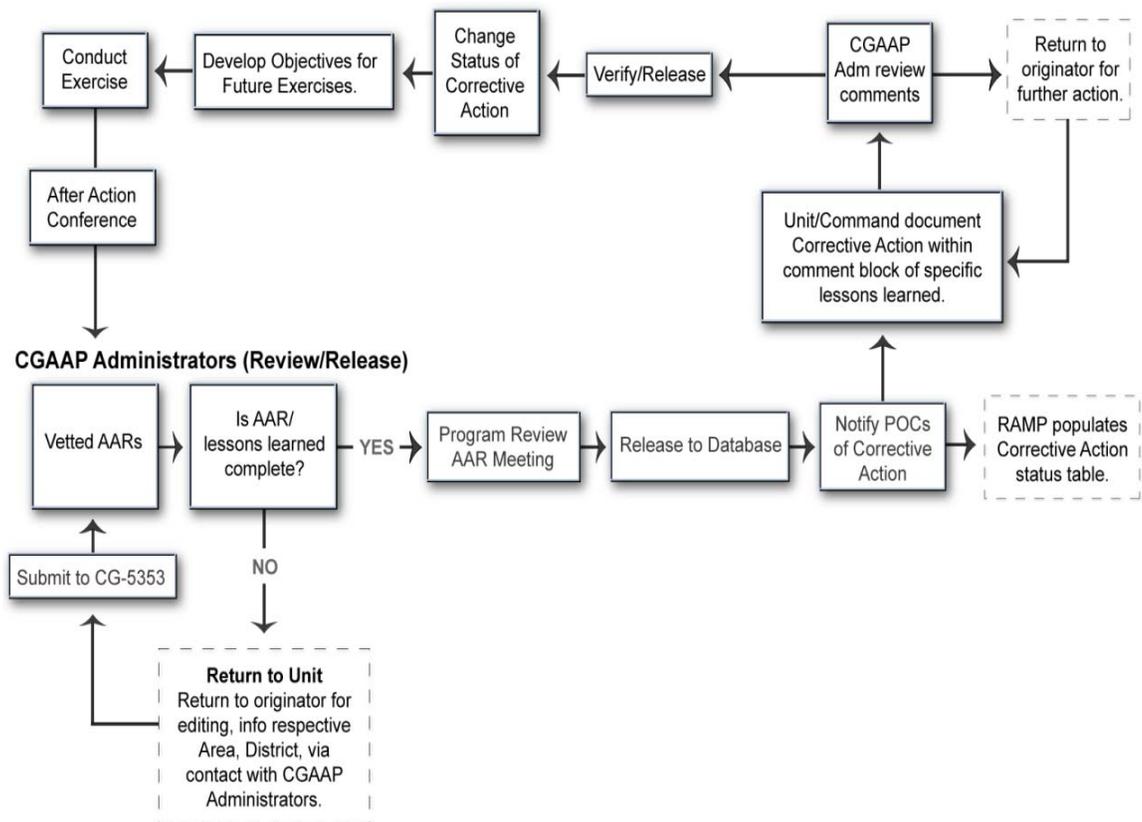


Figure 3-5: AAR/IP Process

Deliverable	Due Date
PREP Notification AAR/IP	10 days after exercise completion
AAR/IP (all except PREP Notification)	60 days after exercise completion
RAI Action Office Comments	30 days after AAR release

Table 3-7: AAR/IP Process Timeline

Track Implementation (Step 8)

The Remedial Action Management Program (RAMP) is the primary management tool used to assign responsibility and track the progress of the RAIs documented in the AAR/IP. The remedial actions identified in the AAR/IP should be tracked and continually updated as part of RAMP. Timely action with regard to RAIs is a critical link in fortifying preparedness efforts.

Remedial Action Coordinator

The Remedial Action Coordinator (RAC) is responsible for continuously tracking implementation of the corrective actions and providing regular updates. Senior levels of Command conduct oversight and provide assistance as needed to resolve the issue(s). RAMP provides tools to assist in this oversight. When a USCG command participates in a non-USCG hosted exercise, the command’s RAC provides updates on progress of USCG issues to sponsoring entity.

Role of Contingency Sponsor. Each CG Contingency Sponsor is responsible for tracking remedial actions related to their contingency program and sharing contingency-specific lessons learned and best practices, as they see fit. The Contingency Sponsor should also ensure that implemented remedial actions are fed back into the exercise program cycle, such that improvements are exercised, tested, and validated. This process ensures continual improvement of capabilities. Contingency sponsors are responsible for incorporating the appropriate policies and priorities into the Strategic Planning Direction (SPD).

Continual Improvement

Phases Four and Five described in this chapter offer units and partners a defined process for exercise evaluation and improvement planning. Using this process, an evaluator may record strengths and areas for improvement using the observations section of an EEG. Following an exercise, these observations are analyzed in order to produce broad recommendations for an entity’s improvement. During the AAC, these broad recommendations are converted into corrective actions in the finalized IP. Lastly, IP recommendations are recorded and tracked in RAMP and the implementation of corrective actions leads to improvements in preparedness.

Once units and partners have implemented corrective actions, a new cycle of exercise activities can begin to further test and validate corrective actions and improve plans and capabilities. This continual improvement process is shown in Figure 3-6.

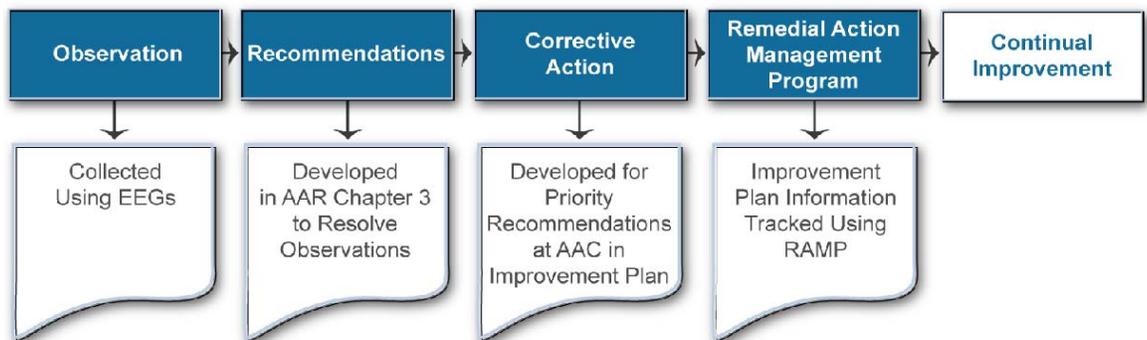


Figure 3-6: Continual Improvement Process

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Chapter 4: Support

Overview

This chapter discusses three central elements of support to the Contingency Exercise Program: Staffing, Training, and Technology. The primary focus of these three elements is supporting U.S. Coast Guard (USCG) commands and units in Contingency Exercise Project and Program Management.

This chapter includes:

- Staffing
 - Training
 - Technology
-

Staffing

USCG staff and outside resources are available to assist with designing and conducting exercises. Requests for support resources shall be submitted through the Contingency Preparedness System (CPS) and documented in the Multi-year Training and Exercise Plan (MTEP).

- Commandant (DCO) Contingency Sponsors** USCG Deputy Commandant for Operations (DCO) Contingency Sponsors perform the responsibilities of Exercise Sponsors for all National Level (Tier I/II) and Regional Exercises (Tier III) under the National Exercise Program (NEP). Responsibilities are listed in the Exercise Sponsor section in Chapter 3 of this manual.
- The Office of Contingency Exercises (CG-535) shall provide the Exercise Planning Team Lead (EPTL) for National Level Exercises (Tier I/II), except for Spill of National Significance (SONS) Exercises. The Office of Incident Management & Preparedness (CG-533) provides the EPTL for SONS.
- FORCECOM** Force Readiness Command (FORCECOM (FC)) provides exercise support for the design, development, conduct, and evaluation of contingency exercises.

Exercise Support Team Program The FORCECOM (FC-57) Exercise Support Division, as depicted in Figure 4-2, reports to the FORCECOM Director of Staff (DoS). FC-57 provides Exercise Support Team (EST) resources to commands, as requested through the MTEP process. The ESTs provide expertise and support in the design, development, conduct, and evaluation process of contingency exercises.

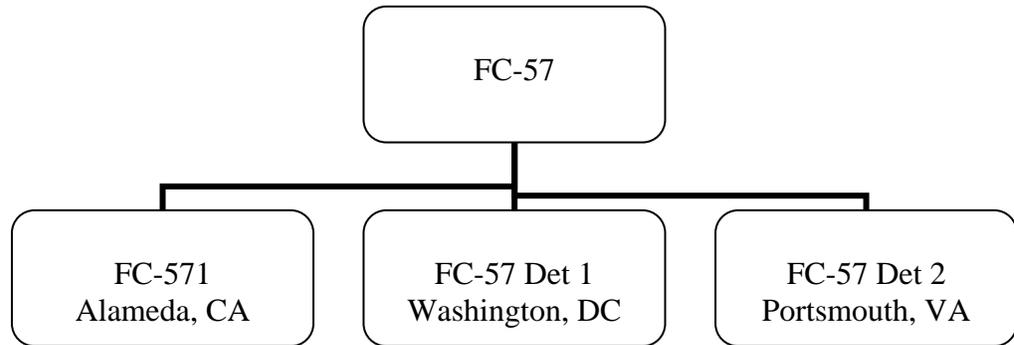


Figure 4-1: FORCECOM-57 Structure

Exercise Assistance. Primary exercise assistance is offered through the Exercise Support Team (EST) Program. This program was established to support exercise design, conduct, evaluation, and After Action Report/Improvement Plan (AAR/IP) preparation. An EST typically has three to four members with exercise and preparedness experience. ESTs may be a USCG team or a contractor team.

EST assistance ranges from providing telephonic guidance to fulfilling the on-site roles and responsibilities of the Exercise Planning Team (EPT). Assistance can also be requested for completing other program management functions, e.g., assistance in selecting exercise types during the MTEP process to best improve command contingency preparedness. EST members should not be used as exercise players.

Exercise Support. ESTs provide exercise subject matter expertise and development skills to assist the Exercise Planning Team Leader (EPTL) with all phases of an exercise. During the initial meeting, the EST Team Leader and Exercise Director and/or EPTL determine exactly what support will be provided (e.g., which meetings and conferences require support and facilitation, which documents will be developed, how the ESTs will support exercise control and evaluation, etc.). The EST signs an agreement with the Exercise Director that lists the services they will provide with deadlines. It is important that ESTs and EPTs honor this agreement. Since each EST supports multiple exercises at the same time, they have limited capacity to perform functions beyond those listed in the agreement.

ESTs may assist with these specific items:

Support and facilitation of:

- Contingency Plan Review
- Concept & Objectives Meeting (C&O)
- Initial Planning Conference (IPC)

- Mid-term Planning Conference (MPC)
- Master Scenario Events List (MSEL) Conference
- Final Planning Conference (FPC)
- Controller/Evaluator Training
- Player Briefing
- After Action Conference

Management of:

- Exercise Control Staff
- Exercise Simulation Cell (SimCell)
- Exercise Evaluation Team
- Very Important Personnel (VIP) and Observers

Creation and dissemination of:

- Exercise Plan (ExPlan)
- Situation Manual (SitMan)
- Controller and Evaluator (C/E) Handbook
- Evaluation Plan (EvalPlan) and Exercise Evaluation Guides (EEGs)
- After Action Report/Improvement Plan (AAR/IP)

Follow-up on:

- Planning conference participant feedback
- Exercise program improvements
- Assistance with the exercise selection process during next MTEP

*Deployable
Operations
Group*

The Deployable Operations Group (DOG) provides equipped, trained, and organized Deployable Specialized Forces (DSF) to USCG, Department of Homeland Security (DHS), Department of Defense (DoD), and interagency operational and tactical commanders. The DOG coordinates participation of Maritime Safety and Security Teams (MSSTs), the Maritime Security Response Team (MSRT), the National Strike Force (NSF), Port Security Units (PSUs), and Tactical Law Enforcement Teams (TACLETs). SME personnel from the DOG may serve as exercise planners, controllers, simulators, evaluators, or players. DOG Exercise Branch (DG-57) shall be the primary coordinator for DOG/DSF participation in USCG or Other Government Agency (OGA) sponsored exercises.

The DOG assigns exercise support for discussion-based and functional exercises (FEs) based on requests submitted through the annual MTEP and in response to emerging exercise requirements. For full-scale exercises (FSEs), the DOG will review the MTEP and communicate with units if further documentation is required.

In particular, for FSEs that require the use of DOG equipment and resources (e.g., waterside security, maritime law enforcement boarding teams, and dive and canine teams and equipment), the supported command may be required to submit a more formal request outlining the DOG support needed for the exercise. This documentation provides service-wide visibility of DOG exercise support to prevent conflict with operations.

MSSTs. Maritime Safety and Security Teams (MSSTs) specialize in protecting harbors from terrorist attacks and other security threats. MSSTs augment local USCG commands to safeguard the public and protect vessels and port facilities from crime or terrorist activity and to respond if such activity should occur. MSSTs can enforce moving and fixed security zones, conduct high speed intercepts and boardings, respond to criminal or terrorist acts, and supplement U.S. Armed Forces. MSSTs may be called upon to conduct missions usually performed by TACLETs. MSSTs often support anti-terrorism/counter-terrorism exercises with boat forces and Maritime Law Enforcement and Force Protection teams.

MSRT. The Maritime Security Response Team (MSRT) is the USCG's advanced interdiction force for higher risk law enforcement and counter-terrorism operations. The MSRT conducts maritime threat response unilaterally or as part of an interagency adaptive force package. The MSRT is capable of interdicting, boarding, verifying threats, and engaging in offensive operations against a hostile threat. MSRT resources include tactical aviation and boat delivery; Chemical, Biological, Radiological, Nuclear and high-yield Explosive (CBRNE) response; precision marksmen; canine teams; and explosive ordnance detection equipment. The MSRT supports CG and national level and international level anti-terrorism/counter-terrorism exercises.

NSF. The National Strike Force (NSF) has three Strike Teams of highly trained specialists in spill response techniques, Incident Command System (ICS), and operations documentation. NSF personnel are recognized experts in preparedness and response to mitigate the effects of Weapons of Mass Destruction (WMD) incidents, hazardous substance releases, oil discharges, and other emergencies.

The NSF deploys the Public Information Assist Team (PIAT), composed of experienced public affairs specialists who coordinate interaction with the media during major incidents or operations-based exercises. The PIAT is an especially useful resource for Sectors without a full time Public Affairs Officer (PAO). The NSF supports oil and hazardous substance response exercises at all levels.

PSUs. Port Security Units (PSUs) are CG Reserve forces that conduct port security and defense operations in support of Combatant Commanders' operations worldwide. They provide security and protection for military and critical logistics material and handling. PSUs also provide waterborne and limited land-based anti-terrorism and force protection for shipping and critical port facilities. PSUs may be deployed for domestic security or natural disaster operations. PSUs participate in USCG security and DoD exercises.

TACLETS. Tactical Law Enforcement Teams (TACLETS) are designed to conduct a full spectrum of maritime security and law enforcement activities in support of USCG and OGA operational commanders. TACLETS perform counter-drug, national defense, Proliferation Security Initiative, and national maritime security operations. TACLETS are primarily involved in international and DoD exercises.

Area	Areas provide staff to assist Districts in exercise development, conduct, evaluation, and improvement planning. Each Area has a staff that can assist with both program and project management.
District	Districts provide staff to assist Sectors in exercise development, conduct, evaluation, and improvement planning. Each District has a staff that can assist with both program and project management.
<i>Preparedness Specialist</i>	Preparedness Specialists are assigned to each District and are responsible for the administration of exercise program management and supporting the preparedness activities of subunits. They conduct Contingency Preparedness Assessment Visits, facilitate MTEP development, and help Sectors select appropriate exercises. Also, Preparedness Specialists can help with the exercise development, conduct, evaluation, and improvement planning.
<i>DRGs and DRATs</i>	District Response Groups (DRGs) are formed to assist Federal On-Scene Coordinators (FOSCs) with oil spill technical assistance, personnel, and equipment. The DRG includes a District Response Advisory Team (DRAT) that consists of full-time spill professionals who can assist the FOSC with pre-positioned equipment and oil/hazardous materials response. Individuals from the DRG or DRAT may provide subject matter expertise during the design and development of an exercise and/or participate as players, controllers, or evaluators. For more information, see COMDINST 16465.41(series).
Sector	Sector Contingency Preparedness staff are responsible for exercise program and project management at the Sector level.
<i>Security Specialist</i>	Civilian Security Specialists coordinate Ports, Waterways and Coastal Security (PWCS) operations and support emergency response efforts. Their responsibilities include administration of Port Readiness Committees (PRCs), maintenance of 9700/9800 plans and unit level Military Out Load (MOL) plans, and exercise planning. Specifically, they review and maintain Area Maritime Security Plans (AMSPs) and provide strategic and tactical port security expertise. They are also responsible for the Maritime Security Risk Analysis Model (MSRAM), which provides Commanders the ability to assess the risk of attacks on maritime infrastructure and transportation systems. While Security Specialists are an essential part of EPTs for security exercises, their experience may be leveraged for any contingency exercise. Some Districts have Security Specialists who support exercise program and project management.

Intelligence Staff	USCG intelligence coordination and fusion centers provide time-critical and actionable intelligence in support of USCG planning, decision making, and mission execution. Intelligence staff can provide subject matter expertise during the design and development of an exercise and/or participate as players, controllers, or evaluators during exercise conduct.
<i>Commandant (CG-2)</i>	The Assistant Commandant for Intelligence and Criminal Investigations (CG-2) oversees the Coast Guard intelligence program, including planning, policy, programming, budgeting, training, security, and information systems support. CG-2 serves as the primary interface between the Coast Guard and the Intelligence Community. The following components within CG-2 are responsible for specific aspects of the USCG's intelligence efforts: Coast Guard Investigative Service, Coast Guard Counterintelligence Service, and Coast Guard Cryptologic Group.
<i>ICC</i>	The Intelligence Coordination Center (ICC) is the USCG's National Level Coordinator for collection, analysis, production, and dissemination of intelligence. The ICC provides all-source, tailored, and integrated intelligence and intelligence services to DHS, the Commandant, senior decision makers, field commanders, the Intelligence Community, Combatant Commanders, and other services and agencies. The ICC's primary functions are providing global situational awareness, strategic intelligence analysis, vessel and person screening, and interagency intelligence collaboration. The ICC reports to CG-2.
<i>LANT/PAC</i>	The intelligence staff at LANTAREA and PACAREA provide collection, analysis, production, and dissemination of intelligence.
<i>MIFCs</i>	Maritime Intelligence Fusion Centers (MIFCs) are tactical intelligence coordination centers for Districts and subordinate units. There are two MIFCs, LANT and PAC, which report to their respective Area Commands.
<i>Sector</i>	Intelligence staff at each Sector support intelligence collection and dissemination.
Other Agency Resources	Several resources are available outside of the USCG to help support exercise project management. The resources listed below are a few of the most commonly used. Exercise planners should augment this list with local resources. Units should review the Hazardous Materials Response Special Teams Capabilities and Contacts Handbook for additional information.
<i>SSCs</i>	Scientific Support Coordinators (SSCs) are provided by the National Oceanic and Atmospheric Administration (NOAA) to advise FOSCs on effects of spills and the feasibility of response tactics, as well as to coordinate input and concerns of the scientific community. The NOAA SSCs are located at the USCG District Offices.
<i>EPA ERTs</i>	The Environmental Protection Agency's (EPA) Environmental Response Teams (ERTs) provide expert advice on hazard evaluation, risk assessment, and material treatment technologies. EPA's Radiological Emergency Response Teams (RERTs) provide response support for incidents involving radiological hazards.

Training

There are several training programs tailored to the preparedness community. They include contingency preparedness courses at Yorktown, Homeland Security Exercise and Evaluation Program (HSEEP) training, Federal Emergency Management Agency (FEMA) courses, and the FEMA Master Exercise Practitioner Program (MEPP) course. These courses provide training in both exercise program and project management. There are ICS Team courses that are focused on training exercise players in emergency management functions. The following sections provide further description of this training.

TRACEN Yorktown

The main source of resident training for USCG planning and exercise staff is the Contingency Preparedness & Response Management School at [Training Center \(TRACEN\) Yorktown](#).¹ This School offers entry and senior level contingency preparedness and exercise courses. They are the Basic Preparedness Exercise Course (BPEC) and Advance Preparedness Exercise Course (APEC). The curriculum for these courses is jointly managed by CG-535 and CG-533. These courses focus on developing USCG exercise and planning expertise. Requests to attend TRACEN Yorktown courses are submitted via Electronic Training Request (ETR) through the unit training officer.

HSEEP Training Course

The HSEEP Training Course is geared toward preparedness staff and covers the full spectrum of exercise project management: foundation, design, development, conduct, evaluation, and improvement planning. The HSEEP course uses an interactive format that allows participants to share lessons learned and best practices while gaining practical experience. In addition to the instructor-led course presentations, the course includes small group activities, videos, group discussions, and introductions to HSEEP and related initiatives such as technology (e.g., HSEEP Toolkit), and capabilities-based planning (e.g., Target Capabilities List (TCL) and Universal Task List (UTL)). HSEEP courses are typically conducted by state emergency management agencies.

FEMA

The [FEMA Emergency Management Institute \(EMI\) website](#)² offers correspondence courses, such as An Introduction to Exercises (IS-120.a), Exercise Evaluation and Improvement Planning (IS-130), and Exercise Design (IS-139). Additionally, there are other exercise courses, both resident and non-resident, offered through the DHS. These courses should be used to complement and enhance exercise project management expertise. As with all training requests, planning and exercise staff should follow their unit-specific request process. For more information on these and other courses, contact Commandant (CG-535) or the EMI.

¹ <http://www.uscg.mil/tcyorktown/>

² <http://training.fema.gov/EMI/>

MEPP

FEMA's MEPP course is a performance-based curriculum focusing on the competencies required to design, plan, conduct, and evaluate exercises. The three-week MEPP course serves as the U.S. Government professional-level exercise course. The MEPP is held at both the Emergency Management Institute (EMI) in Emmitsburg, MD and the Center for Domestic Preparedness (CDP) in Anniston, Alabama. MEPP is open to Federal, State, local, and tribal personnel who participate in emergency services/emergency management exercises and/or manage exercise programs. To enhance USCG exercise capability, Commandant (CG-535) initiated a program to train at least one MEPP graduate at all Sectors, MSUs with COTP Authority, Districts, and Areas. Requests to attend MEPP can be arranged through CG-535.

ICS

The USCG ICS program offers training courses to prepare personnel for emergency response management. These are divided into three categories:

- General ICS Training, e.g., ICS-300, ICS-400, etc.
- Team ICS training, e.g., Intermediate Incident Management Team (ICS-320), Multi-Agency Coordination (ICS-408), Command and General Staff (ICS-420), and Area Command/Joint Field Office (ICS-620)
- Position ICS Training, e.g. ICS-410 Advanced Incident Commander, ICS-430 Operations Section Chief, etc.

General ICS Training courses are managed by the District ICS Coordinators. Team ICS Training is requested via the MTEP process. Position ICS Training is requested by individual quotas by members via an Electronic Training Request (ETR) in Direct Access through the unit training officer.

Technology

There is technology support for both exercise program and project management. The primary exercise Information Technology (IT) tool used by the USCG is the Contingency Preparedness System (CPS). CPS is an online searchable database intended to connect exercise planning and conduct with contingency plans, lessons learned, and corrective actions. It is used to enhance management of the USCG Exercise Program and individual contingency planning programs. Commandant (CG-535) hosts a CG Portal website with policy, exercise program, and exercise project management tools. FEMA hosts an online HSEEP Toolkit that supports exercise scheduling, design, conduct, evaluation, and improvement planning.

CPS

CPS is comprised of four distinct but connected modules:

- PLANS. The PLANS module contains relative information regarding the unit's various contingency plans.
- COE. The COE module links COEs to the plan(s) intended to be exercised. COEs are primarily used as a tool for scheduling, basic exercise design (objectives/goals), and budgeting.
- CG-SAILS. The Coast Guard Standard After-Action Information and Lessons Learned System (CG-SAILS) is the Coast Guard's AAR/IP builder, which links back to the COE and PLANS modules. CG-SAILS can also be used to capture after action information from a real world event without a COE.
- RAMP. The Remedial Action Management Program (RAMP) is the Coast Guard's corrective action system, which is linked back to the other three modules. RAMP functions include identifying, analyzing, validating, assigning responsibility for, and monitoring the remediation of issues and problems resulting from operations, exercises, or training events.

CPS provides an efficient means of entering, integrating, managing, and monitoring Contingency Plans, COEs, spend plans, and AARs, from real events, incidents, and exercises. [CPS](http://lintra.comdt.uscg.mil/cps)³ resides on a USCG Intranet database with access to USCG Commands for entry, retrieval, and review of data. A [CPS User Manual](#)⁴ is available online to aid USCG members.

CPS Manager Within CG-535, the Exercise Evaluation and Analysis Division (CG-5353) manages CPS. CG-5353 works with all Contingency Sponsors to enhance and maintain the CPS software application.

Process Commandant (DCO) Contingency Sponsors, Area, and District review the CPS data entered by their subordinate commands to enhance program management and ensure compliance with this Manual. CPS is used to create the documents used in the MTEP process.

³ <http://lintra.comdt.uscg.mil/cps>

⁴ <http://lintra.comdt.uscg.mil/cps/Links.htm>

- CG Portal** The primary webpage for the Office of Contingency Exercises is located on the [CG-535, Office of Contingency Exercises, CG Portal site](https://cgportal.uscg.mil/delivery/Satellite/CG535).⁵ The webpage includes policy, program and project management documents, templates of exercise documents, and a discussion forum.
- HOMEPORT** HOMEPORT is a U.S. Coast Guard online tool that provides secure information dissemination, advanced collaboration, electronic submission for vessel and facility security plans, and complex electronic and telecommunication notification capabilities. The approved security features of HOMEPORT enable the posting of SSI documents for collaboration and review. The Exercise Planning Team can create a folder within HOMEPORT with the name of the exercise and send invitations to appropriate members for controlled access.
- LLIS** The DHS [Lessons Learned Information System \(LLIS\)](https://www.llis.gov)⁶ is a national network of lessons learned, best practices, innovative ideas, and preparedness information. The system provides an AAR repository and a network enabling emergency response professionals to share their knowledge and expertise. Commandant (CG-535) selects data from CPS for inclusion in LLIS. LLIS houses a library of homeland security plans, procedures, templates, and tools from jurisdictions across the nation. Exercise channels can be established on LLIS that allow for exercise coordination using different tools available on LLIS. Typically, each NEP Tier I and II exercise will have an exercise channel allowing only exercise participants to access exercise information.
- HSEEP Toolkit** The [HSEEP Toolkit](https://hseep.dhs.gov)⁷ is an interactive, online collection of systems and tools for exercise scheduling, design, development, conduct, evaluation, and improvement planning. These tools may be used, with some exceptions, by USCG exercise planners to develop exercises. USCG understanding of the HSEEP toolkit can improve interaction with partners and stakeholders since they use HSEEP for exercises supported by grants. The tools are described below.
- HSEEP Tools**
- NEXS System.** The National Exercise Schedule (NEXS) System facilitates scheduling, de-confliction, and synchronization of all Federal, State, and local exercises. While USCG units do not directly enter USCG exercises into NEXS, they are encouraged to review exercise proposals from other agencies that are posted in NEXS. Commandant (CG-535) manages all USCG input into NEXS.
- DDS.** The Design and Development System (DDS) is a comprehensive tutorial for the design, development, conduct, and evaluation of exercises. DDS provides users with templates and guidance from the HSEEP volumes for developing timelines, planning teams, and exercise documentation (e.g., SitMans, ExPlans, exercise planning conference materials, etc.).
- EEG Builder.** The EEG Builder allows users to create customized EEGs by selecting

⁵ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

⁶ <https://www.llis.gov>

⁷ https://hseep.dhs.gov/pages/1001_Toolk.aspx

desired activities from a given capability that will be evaluated. Users are able to create customized tasks and measures to focus the evaluation process.

MSEL Builder. The MSEL Builder allows exercise planners to create customized MSEL formats. Data field population allows users to select from pre-defined exercise information to create individual injects for the MSEL.

CAP. The Corrective Action Program (CAP) enables users to prioritize, track, and analyze Improvement Plans (IPs) from exercises and real-world events. Features of the CAP include IP creation and maintenance, corrective action assignment and tracking, and reporting and analysis. The CAP supports the process by which exercises and real events can improve exercise programs and other preparedness components. Currently, USCG field units do not directly enter USCG improvement plans into the CAP system. Commandant (CG-535) manages all USCG input into CAP.

HSEEP. The [HSEEP](https://hseep.dhs.gov)⁸ webpage includes the volumes of policy and guidance that frame how to conduct exercise program management and project management.

Simulation and Modeling Software

Simulation and modeling is used primarily to enhance the realism of operations-based exercises, but can also be incorporated into discussion-based exercises. Use of simulation or modeling software should reduce the number of support personnel needed for simulation activities in an exercise. Software can also be used to simulate scenarios in which personnel must respond and deal with the effects of their decisions and actions.

PISCES

Potential Incident Simulation Control and Evaluation System (PISCES) is the current simulation and modeling software available for Oil and Hazardous Materials (OHM) spills. PISCES enables the USCG to standardize and automate tasks associated with the conduct of spill exercises in the areas of:

- Spill scenario development prior to an exercise
- Evaluating effectiveness of response tactics
- Spill scenario control during an exercise
- Debriefing participants and reviewing their performance in booming, containment, recovery, use of dispersants, in-situ burning, and general response management

Exercise Support Teams (ESTs) should be contacted for assistance in use of the software.

Other Information Management Tools

Many command centers are using the [Enterprise Geographical Information Systems \(E-GIS\)](#)⁹ to manage response data. Computer Aided Management of Emergency Operations (CAMEO), designed for OHM scenarios, can be used for PREP exercises. CAMEO is available through the USCG data network.

⁸ <https://hseep.dhs.gov>

⁹ <http://gisnet.osc.uscg.mil/>

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Appendix A: Contingency Exercise Requirements

This serves as a quick reference list of the exercise requirements associated with USCG required contingency plans, and should be used by operational commands at all levels as a guide when developing their MTEP. Requirements are tied to the specified plan, not a particular contingency addressed in the plan, unless otherwise depicted.

Plan	Contingencies (not all inclusive)	Mission Area	Operational Units Required to Exercise	Exercise Type/Frequency
CG OPLAN (9700/9800 series)	Natural Disasters (ND) - Floods; Hurricanes; Earthquakes; Severe Weather; Tsunamis	Various, e.g. Ports. Waterways and Coastal Security (PWCS), Search and Rescue (SAR), Marine Environmental Protection (MEP)	AREAs and Districts; Sectors/Groups/ MSUs, as directed.	Any Type/Annually
	Major Marine Disaster (MMD)			
	Pandemic Influenza	Degradation of mission areas		
	Mass Migration Interdiction Operation (MMIO)	PWCS & Maritime Law Enforcement (MLE)		
	Civil Disturbance (CD)			
	Combatant Commander Support (CCS)	Defense Readiness (DR)		
Counter-Terrorism (CT) (Areas only)				
CG OPLAN Annex or AMSP Supplement	Military Outload (MOL)	DR, PWCS	Designated Sectors/MSUs	Discussion-based/Triennially
CG OPLAN Annex or COOP (stand-alone)	Continuity of Operations (COOP)	Any	AREAs and Districts; Sectors, as directed	Any Type/Annually (1)
Area Contingency Plan (ACP)	Oil & HAZMAT (OHM)	MEP	Sectors and MSUs with COTP Authority	TTX/Annually, with a FSE/Triennially (2)
National Contingency Plan (NCP)/Regional Contingency Plan (RCP)			AREAs and Districts	FSE/Triennially i.e. Spill of National Significance (SONS)
MEXUS/CANUS (International)			Border Districts	Any Type/Biennially
AMSP	Anti-Terrorism (AT)	PWCS	District Eight and Sectors and MSUs with COTP/FMSC Authority	Annually, 3 Discussion-based & 2 Operations- based over a 5-yr period
MRO	Mass Rescue (MRO)	SAR	Districts	1 Discussion based & 1 Operations- based in a 5 yr period
CANUS (International)			Districts (bordering Canada)	Varies by district
OVS/MOTR	National Level Exercises (NLEs)	Various	As Directed	As Directed

Table A-1: Exercise Requirements for Operational Units

- Notes:** (1) A new COOP instruction is pending signature that may change the current exercise type/frequency requirements.
- (2) ACP / RCP also require specific exercises/drills not captured in Table 1, noted below:
- Notifications – Quarterly (Sector/MSU)
 - CG Equipment – Annually (District)
 - VOSS & SORS – Annually (District)
- Specifics can be found in the NPREP Guidelines, Section 7.

Appendix B: Exercise Types

Exercise Types

The U.S. Coast Guard uses the seven types of exercises identified in Homeland Security Exercise and Evaluation Program (HSEEP). These seven exercise types fall into two groups: discussion-based and operations-based, as shown in the table below.

Discussion-Based Exercises	
Seminar (SEM)	Provides presentation of new or current plans, resources, strategies, concepts, procedures or tactics.
Workshop (WS)	Achieves specific goal or build product (e.g., exercise objectives, SOPs, RAI resolutions, policies, plans).
Tabletop Exercise (TTX)	Validates plans and procedures and provides experience for participants by using a scenario to drive discussions. Good format for discussing Command and Control (C2) policies.
Game	Explores decision-making process and examines consequences of those decisions. Infrequently used by USCG.
Operations-Based Exercises	
Drill	Focuses on a single operation or function of an agency or several agencies. Maximizes on-the-job training (OJT) benefits.
Functional Exercise (FE)	Evaluates plans, functions, capabilities and staffs of Incident Command, Unified Command, intelligence centers, or other multi-agency coordination centers. Good format to evaluate Command, Control, and Communication (C3) capabilities (e.g., Emergency Operations Centers, command posts, etc.).
Full-Scale Exercise (FSE)	Same as FE but with actual deployment of field forces; includes mobilization of operational and support resources, conduct of operations, and integrated elements of exercise play.

Table B-1: Exercise Types and Purpose

Discussion-Based Exercises

Discussion-based exercises are used to familiarize participants with plans, doctrine, policies, agreements, and procedures. These exercises, compared with operations-based exercises, are relatively low cost (time and money) and useful for addressing coordination and cooperation with stakeholders and partners. Typically, participants in discussion-based exercises are guided by a facilitator or controller. Thorough preparation by the facilitator or controller and the exercise planning team is essential to the success of these exercises.

- Seminars*** These are informal presentations, unconstrained by real-time portrayal of events and led by a Subject Matter Expert (SME) instructor. Seminars are generally held in a classroom format with a lecture, discussion, and question and answer session. Seminars can provide an introduction and pertinent information just before a drill, workshop, or tabletop exercise. They are commonly employed to orient participants to, or provide an overview of, authorities, strategies, policies, procedures, doctrine, tactics, response resources, or concepts and new ideas. The seminar provides a good starting point for entities that are developing or making changes to their plans and procedures.
- Workshops*** Workshops have greater participant interaction than seminars and the focus is on building a product, such as a plan update or policy. A workshop may be used to draft or update contingency plans, standard operating procedures (SOP), emergency operations plans (EOPs), and memorandums of agreement (MOAs). Workshops can also be used to complete pending Remedial Action Management Program (RAMP) issues. To be effective, workshops should be highly focused on one to three specific issues, and the desired outcome or goal must be clearly defined.
- Tabletop Exercises*** Tabletop Exercises (TTXs) involve key personnel discussing hypothetical scenarios in an informal setting. This type of exercise can be used to assess plans, policies, and procedures. TTXs are typically aimed at facilitating the understanding of concepts, identifying strengths and shortfalls, and achieving changes in the approach to a particular situation. Participants discuss issues in depth and develop decisions or key questions through deliberate problem solving. The effectiveness of a TTX is contingent on the involvement of participants and their assessment of recommended revisions to current policies, doctrine, and plans.
- Games*** Games are a simulation of operations that often involve two or more teams and use rules, data, and procedures to depict an actual or assumed real-life situation. The goal of a game is to explore decision-making processes and the consequences of those decisions. The sequence of events affects and is affected by the decisions made by players. A game does not require use of actual resources. The USCG participates in a limited number of games, which are generally sponsored by DOD.
- Operations-Based Exercises*** Operations-based exercises are used to validate operational doctrine and tactics, familiarize personnel with their responsibilities, and identify capability gaps. FEs and FSEs are more complex and require more planning effort and players than discussion-based exercises. They should be scheduled when a command and its stakeholders have completed discussion-based exercises; validated agreements, roles, and responsibilities; and resolved preparedness gaps, especially in command, control and communications.

Drill

A drill is a coordinated, supervised activity usually employed to improve performance of a single, specific operation or function in a single agency or organizational entity. Drills are commonly used to provide training on new equipment, develop or validate new tactics or procedures, or practice to maintain current skills. Drills, like discussion-based exercises, are relatively low in cost and planning time. Typical drills include:

- Narrow focus, measured against established standards
- Immediate feedback
- Realistic environment
- Performance in isolation

Although drills are one of the seven types of exercises, they are not required to be developed in accordance with the guidance in Chapter Three unless they are done in conjunction with another exercise.

Functional Exercise

A Functional Exercise (FE) is designed to validate and examine capabilities, activities within a capability, or interdependent groups of tasks. An FE simulates the reality of operations in a functional area by presenting complex and realistic problems that require rapid decision-making by trained personnel in a stressful, time-constrained environment. Events in the exercise scenario are injected to drive activity at the management level. Field forces are not involved. FEs require more planning effort than any other type of exercise to prepare an effective Master Scenario Events List (MSEL).

Full-Scale Exercise

A Full-Scale Exercise (FSE) involves deployment of field forces and is the most expensive and complex type of exercise. FSEs are usually multi-entity exercises that test many facets of preparedness. FSEs focus on the implementation of plan, policies, operational doctrine, tactics, and cooperative agreements. In FSEs, the execution of operations in multiple functional areas presents complex and realistic problems that require critical thinking, rapid problem solving, cooperation, and responses by trained personnel. Events are projected through a scenario. FSEs are conducted in real time, creating a stressful, time-constrained environment that closely mirrors live events. The level of support needed to conduct an FSE is greater than that of other types of exercises.

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Appendix C: Credit for Real World Operations

Requesting Credit in Lieu of Conducting Required Exercises

This Appendix includes information concerning the exercise credit process for planned events, incidents, or threats that require the implementation of a contingency plan.

Planned Event

Planned events provide enough lead-time to plan for a structured evaluation of objectives. A request for an event to be used for credit in lieu of an exercise can be made when event operations meet or exceed the required objectives for an exercise. A recurring event or one planned far enough in advance, such as a National Special Security Event (NSSE) or intelligence-driven surge operation, can be included in a unit's Multi-Year Training and Exercise Plan (MTEP). An event included in the MTEP is planned and evaluated like an exercise. If an event is not scheduled far enough in advance to be included in the MTEP, then the process for receiving credit should follow that of an incident.

Incident/Threat

Exercise credit for incidents that are evaluated and reported can be requested by the procedures listed below. The exercise credit process for an incident is standard for most contingency operations. Anti-Terrorism (AT), Military Outload (MOL), and Oil and Hazardous Material (OHM) contingencies have additional criteria and approval requirements described below.

Exercise Credit Process

Standard Process

The request for credit, Concept of Exercise (COE) (for planned events), and After Action Report/ Improvement Plan (AAR/IP) must be submitted to the Operational Commander for approval within six months of the operation's completion.

Anti-Terrorism

To be eligible for credit, the incident must be consistent with Program Standards per Tab C, Enclosure (4) to NVIC Circular 9-02 series. In addition, the AAR must be approved by the Area Maritime Security Committee (AMSC).

Military Outload

To be eligible for credit, the AAR must be approved by the Port Readiness Committee.

Oil and Hazardous Material

The request for credit for Type 1 and 2 operations must be submitted within three years. For Type 3 operations, the window for credit request submission is one year. Coast Guard Field Commanders can set earlier deadlines for submission. The AAR must be approved by the National Schedule Coordination Committee (NSCC), chaired by CG-533.

Checklist for Credit of Real World Operations
Planned Event
<input type="checkbox"/> Determine what capabilities used in event operations match the objectives of the exercise requirement
<input type="checkbox"/> Complete a COE in the Contingency Preparedness System (CPS)
<input type="checkbox"/> During the MTEP process, request evaluators be present during the event
<input type="checkbox"/> Evaluate designated objectives
<input type="checkbox"/> Note capability areas needing improvement
<input type="checkbox"/> Prepare an AAR
<input type="checkbox"/> Obtain AAR approval
<input type="checkbox"/> Submit AAR into CPS
<input type="checkbox"/> Retain credit record for 3 years
Incident/Threat
<input type="checkbox"/> Determine appropriate objectives to be evaluated based upon record of incident operations
<input type="checkbox"/> Review incident situation reports and hotwash to determine the eligibility of the incident being credited towards an exercise requirement
<input type="checkbox"/> Discuss incident with key Coast Guard personnel who participated in the incident
<input type="checkbox"/> Develop a memo requesting credit for real world operations including: <ul style="list-style-type: none"> • Incident name, date and plan(s) used • Mission areas and objectives evaluated • Level of port community participation
<input type="checkbox"/> Modify relevant COE in CPS to describe incident
<input type="checkbox"/> Prepare an AAR
<input type="checkbox"/> Obtain AAR approval from the Operational Commander and, if appropriate, a committee
<input type="checkbox"/> Submit AAR into CPS
<input type="checkbox"/> Retain credit record for 3 years

Figure C-1: Checklist for Credit of Real World Operations

Appendix D: Responsibilities Summary

The U.S. Coast Guard (USCG) contingency exercise program has tasks and responsibilities for all USCG commands having contingency plans. The tasking and responsibilities discussed throughout this Manual are summarized below.

Common Tasking

Sectors, MSUs with COTP authority, Districts, and Areas shall:

- Provide guidance to subordinate commands on exercise Program Management
- Develop and maintain a Multi-year Training and Exercise Plan (MTEP) (*p. 2-4*)
 - Complete Contingency Preparedness Assessment (*p. 2-2*)
 - Prioritize preparedness shortfalls identified in the Contingency Preparedness Assessment (*p. 2-3*)
 - Complete a Commander's Exercise and Training Strategy (CETS) (*p. 2-3*)
 - Enter and update a Concept of Exercise (COE) with a spend plan in CPS for exercises and contingency events in the five year MTEP exercise schedule (*p. 2-5*)
 - Enter into MTEP and CPS all resource support requests (i.e. spend plans and requests for EST support, DOG assets, and training) with adequate justification for two FYs (*p. 2-4*)
 - Attend appropriate TEPWs (*p. 2-8*)
- Plan, conduct and evaluate exercises as scheduled in the MTEP (*Ch. 3*)
 - Ensure Subject Matter Experts (SMEs) are assigned to evaluate exercises and real world events and incidents (*p. 3-32*)
 - Approve and submit exercise After Action Reports (AARs)/Improvement Plans (IPs) with expenditure reports (*p. 3-43, 3-44*)
 - Ensure exercise funds are expended IAW the CG-MTEP (*p. 3-42*)
 - Assign responsibilities, prioritize Remedial Action Items (RAI), and track resolution (*p. 3-44*)
- Incorporate resolved RAIs from exercises, real-world events and incidents into existing plans; policies; doctrine; or Tactics, Techniques, and Procedures (TTP) (*p. 3-47*)

**Commandant
(DCO)
Contingency
Sponsors**

Contingency Sponsors shall:

- Propose contingency exercise and training requirements to Commandant (CG-53)
- Update contingency policy and organizational doctrine
- Notify Commandant (CG-535) of any new International/inter-agency agreements to conduct joint exercises
- Develop Resource Proposals (RPs) to improve preparedness and to meet the strategic intent and Congressional initiatives (*p. 1-5*)
- Coordinate with CG-535 to provide contingency exercise priorities for inclusion in the Strategic Planning Direction (SPD) and MTEP Planning Guidance (*p. 2-4*)
- Ensure the exercise schedule proposed through the MTEP meets policy and legislative requirements (*p. 2-6*)
- Review AARs and take action on issues related to policy and resources (*p. 3-44*)
- Coordinate and work with Commands/Units and other programs, as necessary, to resolve any open RAI s requiring their SME attention (*p. 3-46*)

**Commandant
(CG-535)**

Commandant (CG-535) shall:

- Develop and maintain the CPPM Volume III – Exercises
- Oversee the MTEP process (*Ch 2*)
 - Host annual Training and Exercise Plan Workshop (TEPW) and publish CG-MTEP
 - Coordinate a review of Area MTEP exercise schedules by Commandant (DCO) Contingency sponsors
- Provide strategic contingency exercise priorities for inclusion in the SPD and MTEP guidance (*p. 2-11*)
- Ensure continued program alignment with the NEP, HSEEP, CG Contingency program, Area Maritime Security Training and Exercise Program (AMSTEP), and Department of Defense (DoD) as appropriate (*Reference (e)*)
 - Negotiate USCG participation in Tier I exercises with the National Exercise Division (NED)
 - Recommend Tier II exercises to NED
- Establish preparedness program training requirements in coordination with Commandant (CG-533) (*p. 4-7*)
- Sponsor the All Contingency Preparedness Summit (ACPS)

- Develop a USCG-wide contingency exercise program management budget
 - Manage and disburse funding for exercises, exercise specific training and exercise program management (*p. 2-12*)
 - Monitor exercise spending (*p. 2-13*)
- Serve as the manager for the design, development, training and maintenance of CPS (*p. 4-9*)
- Coordinate and manage the CG After Action Program (CGAAP) (*p. 3-45*)
 - Coordinate with applicable Contingency Sponsors to review AAR submissions
 - Manage the issues requiring corrective actions through the Remedial Action Management Program (RAMP).
 - Assign RAIs from exercise and real world AAR/IPs
- Coordinate the sharing of exercise AAR/IPs across CG organizational levels
 - Facilitate and oversee as appropriate the transfer of AARs to DoD, DHS, and other agencies, when necessary
 - Submit pertinent portions of the published AAR to the DHS Lessons Learned Information Sharing (LLIS.gov) web portal for wider distribution
 - Act as the CG AAR liaison to DHS/FEMA (*Reference (e), Encl (1), para. 5.b.*)
- Continue development and modifications of CG exercise management tools (*p. 1-6*)
- Provide project management for USCG participation in National Exercise Program (*Reference (e)*)

FORCECOM

FORCECOM shall:

- Analyze AAR/IPs for shortfalls related to doctrine and TTP
- Participate in the MTEP/TEPW process:
 - Provide Exercise Support Team (EST) support for the design, development, conduct, and evaluation of contingency exercises when requested and approved (FC-57) (*p. 4-1*)
- Manage USCG preparedness training courses

Areas**Areas shall:**

- Augment exercise guidance provided in the SPD by promulgating the OPD to Districts (*p. 2-11*)
- MTEP specific responsibilities (*p. 2-2 to 2-9*)
 - Host an annual internal Training and Exercise workshop with Districts
 - Participate in national and regional-level TEPWs (*p. 2-8*)
 - Review and approve MTEPs for each District and submit Area MTEP to Commandant (CG-535). (*p. 2-6*)
- Review and approve requests for exercises that fall outside of the MTEP Cycle (*p. 2-9*)
- Participate in the DoD semi-annual Worldwide Joint Training and Scheduling Conference (WJTSC)
- For Tier I/II NEP exercises: (*see Reference (e), COMDTINST 3500.6*)
 - Participate in USCG Planning Team to represent the interest of the operational commander
 - Provide input on strategic and policy objectives through CG-535
 - Translate strategic objectives into operational/tactical objectives
 - Act as the Venue Exercise Planning Team Leader (VEPTL) for exercises
- Fulfill Area roles for exercises in Table 3-1 (*p. 3-4*)
- Assign Exercise Director for Area sponsored exercises (*p. 3-3*)
- Assign USCG EPTL and VEPTL for all Area-directed Tier III exercises (*Reference (e)*)
- Assign Area assets and resources to support exercises as appropriate
- Provide Area support resources, e.g., communications, Incident Management Assist Teams (IMAT), etc., to fill priority requests
- Provide Deployable Specialized Forces (DSF) to support the design, development, conduct, and evaluation of contingency exercises when requested and approved (DOG-PACAREA only) (*p. 4-3, 4-4*)
- Request resource support from appropriate organizational elements
- Participate in National and Regional level exercises (*Reference (e)*)
- Maintain list of experienced evaluators

Districts

Districts shall:

- Augment Area exercise guidance through the District OPD to Sectors
- MTEP specific responsibilities (*p. 2-1 to p. 2-9*)
 - Host an annual internal workshop with Sectors
 - Attend State level and/or FEMA Region TEPWs (*p. 2-7, 2-8*)
 - Coordinate exercise schedule with International and regional partners and domestic stakeholders (*p. 2-8, Fig 2-1*)
 - Assist Sectors in preparation of their Contingency Preparedness Assessment and CETS (*p. 2-3*)
 - Review Sector Contingency Preparedness Assessments and CETSs (*p. 2-3*)
 - Assist Sectors in selecting the most appropriate type of exercises to support Contingency Preparedness Assessment results (*p. 2-5*)
 - Formally document District approval of Sector exercise schedules, exercise budgets, and training requests in MTEP process (*p. 2-8*)
- Provide District resources to support Sector exercises (*p. 3-3*)
- Coordinate intra-District Sector resources to support Sector exercises (*p. 3-3*)
- Fulfill District roles for Tier III/IV exercises in Table 3-1 (*p. 3-4*)
- Assign EPTL or VEPTL for District directed Tier III exercises (*p. 3-3*)
- Approve AAR/IP for District-led Tier III exercises (*p. 3-3*)
- Coordinate delivery of ICS courses to units as approved in the MTEP (*p. 4-8*)
- Designate assignments for all non-District resources
- Maintain list of experienced evaluators

Sectors & Commands with Contingency Plans

Sectors, MSUs with COTP authority and other plan holders shall:

- Develop and maintain stakeholder lists and face-to-face relationships
- Attend or host port level TEPWs for units and stakeholders, (*p. 2-8*)
- Attend State level TEPWs (*p. 2-8*)
- For local Tier IV Exercises:
 - Serve as the Exercise Director (*p. 3-3, Table 3-1*)
 - Assign the EPTL or VEPTLs for all Sector directed contingency plan exercises (*p. 3-3*)
- Designate assignments for all non-Sector/MSU resources

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Appendix E: Exercise Planning Conferences

Overview

The following section provides information on the primary planning conferences (C&O Meeting, IPC, MPC, MSEL Conference, FPC and AAC) used in the exercise cycle. It provides information on tools (e.g., agendas, draft documents, presentations) used to assist the Exercise Planning Team in developing, conducting and evaluating an exercise. Not every conference listed here is necessary for every exercise. For simple discussion-based exercises and drills, only an IPC and FPC may be necessary. Many conferences may be conducted via telephone conference or video teleconference (VTC). Checklists for each conference can be accessed on the [CG-535, Office of Contingency Exercises, CG Portal site](https://cgportal.uscg.mil/delivery/Satellite/CG535).¹

Below is a table showing a suggested timeline for planning an exercise depending upon the tier and type of exercise.

Exercise Planning Conference	Tier I, II, & III Exercises	Tier IV Exercises
Seminar		
Concept and Objectives (C&O) Meeting	6 months	Concurrently with IPC
Initial Planning Conference (IPC)	4 months	3 months
Mid-term Planning Conference (MPC)	N/A	N/A
Master Scenario Events List (MSEL) Conference	N/A	N/A
Final Planning Conference (FPC)	1 month	3 weeks
After Action Conference (AAC)	N/A	N/A
Workshop		
C&O Meeting	6 months	Concurrently with IPC
IPC	4 months	3 months
MPC	N/A	N/A
MSEL Conference	N/A	N/A
FPC	1 month	3 weeks
AAC	N/A	N/A
Tabletop Exercise (TTX)		
C&O Meeting	8 months	4 months or concurrently with IPC
IPC	6 months	3 months
MPC	N/A	N/A
MSEL Conference	N/A	N/A
FPC	2 months	1 month
AAC	TBD	NLT than 30 days after ENDEX

¹ <https://cgportal.uscg.mil/delivery/Satellite/CG535>

Game		
C&O Meeting	9 months	5 months or concurrently with IPC
IPC	7 months	4 months
MPC	5 months	2 months
MSEL Conference	N/A	N/A
FPC	2 months	3 weeks
AAC	N/A	N/A
Drill		
C&O Meeting	N/A	Concurrently with IPC
IPC		3 months
MPC		N/A
MSEL Conference		N/A
FPC		3 weeks
AAC		N/A
Functional Exercise (FE)		
C&O Meeting	12 months	8 months
IPC	8 months	6 months
MPC	5 months	4 months
MSEL Conference	4 months	3 months
FPC	2 months	1 month
AAC	TBD	NLT than 30 days after ENDEX
Full-Scale Exercise (FSE)		
C&O Meeting	18 months	9 months
IPC	13 months	7 months
MPC	8 months	4 months
MSEL Conference	5 months	3 months
FPC	2 months	1 month
AAC	TBD	NLT than 30 days after ENDEX

Table E-1: Timeline for Planning Conferences

Conference Preparation

In preparation for the IPC, the Exercise Director (ED) shall provide the Exercise Planning Team Leader (EPTL) with information on the exercise goals and scope, draft objectives, capabilities, and limitations. The EPTL and team members decide on the number of meetings needed to successfully plan a given exercise. Providing information to planning team members prior to conferences can significantly enhance the efficiency and effectiveness of planning conferences (if they read the information before the conference). Materials should be provided in a read-ahead packet that typically includes: proposed agenda, relevant background information (e.g., rationale for conducting the exercise), and expected conference outcomes. These items should be delivered to all conference participants at least one week prior to the conference.

Concept & Objectives Meeting

The Concepts & Objectives (C&O) Meeting is the formal beginning of the exercise planning process. The goals of this meeting are to verify the purpose of the exercise, location, commitments of resources (personnel, equipment, funding), exercise objectives, and more specific dates and duration. Attendees include the Exercise Director, and the EPTL, representatives of the sponsoring organization, and officials from participating and potentially participating organizations. The C&O meeting is a

good opportunity to recruit additional entities and confirm commitments for participation and support.

For small exercises, the C&O Meeting can be combined with the IPC. Typically, the C&O Meeting is held before the IPC for large-scale exercises, complex FSEs, or high-profile exercises that necessitate a high level of support from executives or authorities.

<i>Length</i>	Depending on the scope of the exercise, the C&O Meeting can range from two to eight hours.
<i>Location</i>	The ED determines the location of the meeting in consideration of the senior officials in attendance. The C&O Meeting can also be held via teleconference where expenses or schedules preclude a face-to-face meeting.
<i>Discussion Points</i>	<p>Possible topics or issues for a C&O Meeting include the following:</p> <ul style="list-style-type: none">• Exercise purpose• All previous exercise After Action reports (AARs), Lessons Learned, and appropriate RAMP items• Proposed exercise scenario, capabilities, tasks, and objectives• Available exercise resources• Proposed exercise location, date, and duration• Exercise planning team and exercise participants• Exercise assumptions and artificialities• Exercise control and evaluation• Exercise-related training• Exercise security organization and structure• Local issues, concerns, and sensitivities• Exercise logistics
<i>Tools</i>	The primary tools for the C&O Meeting are a read-ahead packet containing the COE, entity goals and objectives, AAR/IPs and RAIs from previous exercises, agenda, and background/rationale for conducting the exercise. Briefings are useful for presenting the preliminary commitments made by participating entities as well as the proposed exercise methodology for those unfamiliar with HSEEP.

<i>Outcomes</i>	<p>The Exercise Planning Team should accomplish the following:</p> <ul style="list-style-type: none"> • Review the risk assessments for the port or jurisdictional area • Discuss the exercise purpose • Agree on exercise name, type, scenario, portion of plan to be exercises, capabilities, tasks, objectives, and assumptions and artificialities • Address local issues and concerns • Discuss exercise security, organization and structure • Determine basic cost and resource-sharing agreements • Identify training needs • Update the Concept of Exercise (COE) • Determine which other entities should be invited to the IPC • Agree on exercise location, approximate date, and duration • Confirm Planning Team membership and participants • Assign roles and responsibilities to Planning Team members • Distribute Meeting minutes • Prepare IPC agenda • Invite potential participating entities to the IPC
Initial Planning Conference	<p>The Initial Planning Conference (IPC) marks the beginning of the exercise development phase. The primary purpose for the IPC is to verify the exercise scope by seeking input from the participating entities represented on the Exercise Planning Team. Exercise scope includes threat/hazard, duration, location(s), objectives and participating entities. The capabilities, tasks, and objectives should be developed in sufficient detail to drive the design of an exercise scenario. Planning Team members are assigned responsibility and due dates for each task.</p>
<i>Length</i>	<p>Depending on the type and scope of the exercise, the IPC can range from four hours to three full working days.</p>
<i>Location</i>	<p>The exercise director determines the location for the IPC with input from Planning Team members. The conference facilities should be accessible to all participants, have computer work station, and provide a work environment free from distraction.</p>

Discussion Points

Possible topics or issues for an IPC include the following:

- Understand the rationale for exercise development
- Ensure clearly defined and measurable capabilities, tasks, and objectives
- Incorporate community Emergency Operations Plans (EOPs), Memorandums of Agreement (MOA), participating agency Standard Operating Procedures (SOPs), and/or other relevant policy into the exercise design
- Identify local issues, concerns, or sensitivities
- Determine the extent of play for each participating entity by establishing what each entity will demonstrate and be evaluated on at the exercise, allowing for appropriate logistical needs to be arranged in order to support those activities
- Develop a schedule for training and briefings
- Ensure that exercise planners consider themselves trusted agents and understand that, in most cases, they will participate as facilitators, controllers, or evaluators (rather than as players)
- Choose subjects for photographs and/or audio/visual (A/V) recordings to incorporate into exercise documents and multimedia presentations (to enhance realism)
- Decide whether or not to record exercise proceedings (audio or video)
- Determine the optimum duration of the exercise
- Ensure that exercise planners understand that the exercise is conducted in a no-fault environment intended to validate plans and procedures and identify problems and potential solutions
- Select or customize the appropriate Exercise Evaluation Guides (EEGs) to determine whether or not exercise capabilities, tasks, and objectives were achieved and to allow participants to provide feedback
- Reach a consensus regarding the date, time, and location for the next conference

Tools

The primary tools for the IPC are the agenda, the list of capabilities to be exercised, hazard information (if applicable), a proposed room layout (for discussion-based exercises), maps and/or charts of proposed exercise area (for operations based exercises), the Project Management timeline, and a briefing for presenting an overview of the exercise to the planning team.

Outcomes

The Exercise Planning Team should accomplish the following:

- Confirm exercise development schedule
- Develop clearly defined, realistic, and measurable capabilities, tasks, and objectives
- Select and customize EEGs

- Determine the extent of play, the objectives to be evaluated, and the appropriate scenario events for each participating entity
- Identify exercise scenario variables (e.g., scope of hazard, venue, conditions)
- Confirm a list of exercise participants, individuals or organizations, and their assignments; these should be listed in an Extent of Play document
- Confirm training schedule
- Update COE
- Identify the availability of SMEs and presenters for scenario event and inject drafting, vetting, control, and/or evaluation
- Prepare draft exercise scenario and injects prior to MPC or MSEL synchronization conference
- Select subjects for photographs and/or A/V recordings to incorporate into exercise documents and presentations to enhance realism (optional)
- Determine whether to record exercise play
- Confirm roles of exercise planners as controllers, evaluators, or facilitators during the exercise
- Determine which exercise documents and presentations must be developed and give assignments for drafting each with associated timelines
- Review and ensure availability of all documents (e.g., policies, plans, procedures) needed to draft exercise documents and presentations, and a source for each
- Assign responsibility for exercise logistical issues (e.g., messing, berthing, registration, badges, invitations)
- Agree on date, time, agenda and location for the next conference and the exercise
- Complete or schedule a visit to all facilities that will be used for exercise play and control to ensure adequate space for the participants and exercise staff
- Identify IT needs to allow sufficient time to meet contracting timelines
- Disseminate IPC minutes

**Mid-Term
Planning
Conference**

Mid-term Planning Conferences (MPCs) are typically used only in FEs and FSEs. MPCs provide additional opportunity to resolve logistics and organizational issues that arise during planning. The MPC is a working session to discuss: 1) exercise participant organization and staffing; 2) scenario and timeline development; 3) draft documentation, e.g., scenario, Exercise Plan (ExPlan), Controller and Evaluator (C/E) Handbook, MSEL; 4) scheduling; 5) training; 6) logistics; and 7) administrative requirements. A time consuming aspect is the development of the MSEL. For large, complex exercises, a separate MSEL conference may be held. See the section on MSEL Conference for more information.

<i>Length</i>	Depending on the agenda, the MPC is generally a one to two-day conference (usually two if no separate MSEL planning conference is scheduled).
<i>Location</i>	The MPC should be held at or near the exercise site to facilitate the walk-through.
<i>Discussion Points</i>	<p>Possible topics or issues for an MPC include the following:</p> <ul style="list-style-type: none">• Comments on draft exercise documentation• Identification of exercise venue artificialities and/or limitations• Agreement on final logistical items• Assignment of additional responsibilities• Construction of the scenario timeline, usually the MSEL, if an additional MSEL planning conference will not be held
<i>Tools</i>	MPC tools include, at minimum, a status briefing, an agenda, IPC minutes, a draft scenario timeline, draft documentation (e.g., ExPlan, C/E Handbook), and other selected documentation needed to illustrate exercise concepts and provide planning guidance. These documents should be distributed to MPC attendees at least 3 - 4 days in advance.
<i>Outcomes</i>	<p>The Exercise Planning Team should accomplish the following</p> <ul style="list-style-type: none">• Determine exercise venue artificialities and/or limitations• Finalize exercise MSEL with well-developed scenario injects (imperative if no additional conferences are scheduled)• Finalize exercise documentation (e.g., ExPlan, scenario, C/E Handbook, etc.)• Agree on the exercise site(s)• Perform a walk-through of the exercise site• Assign outstanding tasks to Planning Team members with associated timelines• Finalize date, time, agenda, and location of the Final Planning Conference (FPC)• Finalize COE• Finalize procurement or contracting needs for IT and other support• Disseminate MPC minutes

MSEL Conference	The Master Scenario Events List (MSEL) Conference focuses on developing the MSEL. It can be merged with the MPC when exercise participants from each agency/organization bring their developed MSELs. A teleconference or document exchange can be conducted prior to the MPC to allow planners to determine progress or identify problems prior to the MPC/MSEL Conference. In developing a MSEL, the exercise planning section should first consider the capabilities, tasks and conditions supporting each exercise objective. The team should craft the MSEL to ensure the exercise focuses on the objectives.
<i>Length</i>	The length of a MSEL Conference varies according to the scope of the exercise and MSEL development team's level or preparedness for the conference. The EPTL should schedule one to three days to conduct a MSEL Conference.
<i>Location</i>	The location of the MSEL conference should have adequate work stations and room to project the draft MSEL on a large screen to facilitate editing.
<i>Discussion Points</i>	<p>In developing a MSEL, the exercise planning team must first consider the tasks, conditions, and standards set forth by each exercise objective. As described in Chapter 4 of HSEEP Volume I, completing a task is one step toward demonstrating a capability. A condition is the environment in which a task is performed and can be provided by the scenario or through the MSEL.</p> <p>If scenario conditions do not stimulate performance of the appropriate task, the exercise planning team must develop a MSEL entry to simulate the desired situation. A well-written entry considers the following questions:</p> <ul style="list-style-type: none"> • Is the event key (i.e., is it directly related to meeting an exercise objective)? • What is the desired task? Who will demonstrate the task? • What puts the inject into play (e.g., course of play, phone call, victim/actor, video)? Who receives it and how? • What action is the player expected to complete? • Should a contingency inject be developed to use in case the players fail to demonstrate the task?
<i>Tools</i>	MSEL Conference tools include, but are not limited to, previous planning conference minutes, draft exercise documentation, computer and projector, and an agreed-upon MSEL template. (See HSEEP Volume IV for MSEL templates, examples and tools.)
<i>Outcomes</i>	Following a MSEL Conference, the status of the MSEL's completion may vary. At a minimum, key events and the time of inject delivery are identified. Responsibility for constructing the remaining events is assigned to planning team members. Once the MSEL is drafted, the exercise planning section coordinates and sequences the event entries to resolve conflicts and ensure the smooth progression of events throughout the exercise. The final MSEL need to be completed at least one month prior to the exercise so the simulation staff can review the injects.

Final Planning Conference	The Final Planning Conference (FPC) is the final forum for reviewing exercise processes and procedures. Prior to the FPC, the Exercise Planning Team finishes final drafts of all exercise materials. The FPC is generally held one month prior to STARTEX. No major changes to the design or scope of the exercise or its supporting documentation should take place at or after the FPC. The FPC ensures that all logistical requirements have been met, all outstanding issues have been identified and resolved, and all exercise products are ready for printing.
<i>Length</i>	Generally, the FPC is a half-day conference for discussion-based exercises and a one to three-day conference for operations-based exercises.
<i>Location</i>	The FPC should be located in close proximity to the planned exercise site to allow for a final walk-through. The facility should be accessible to all participants and conducive to discussing and accomplishing work.
<i>Discussion Points</i>	The following items are addressed during the FPC: <ul style="list-style-type: none">• Any open issues related to exercise planning and last-minute concerns that may arise• Exercise logistical activities review, e.g., equipment, supplies, contracts, schedule, registration, attire, messing and berthing (if needed), special needs, etc.• Comprehensive, final review and approval of all exercise documents, e.g., SitMan, ExPlan, MSEL, C/E Handbook, presentation materials, etc.• MSEL review by Controllers/SimCell
<i>Tools</i>	The primary tools for the FPC include IPC and/or MPC minutes, an agenda, and final draft exercise documents. If possible, these materials should be delivered to other Planning Team members five days prior to the FPC.
<i>Outcomes</i>	The Exercise Planning Team should accomplish the following: <ul style="list-style-type: none">• Give final approval for exercise processes and procedures• Have a clear understanding of participants' roles for exercise conduct, e.g., players, controllers, evaluators, and check-in personnel• Finalize and approve exercise documents and materials for production• Identify and resolve last minute issues• Schedule and confirm logistical elements, including A/V equipment, contracts, supplies, room configuration and setup, refreshments, and schedule• Disseminate FPC minutes• Disseminate exercise documentation to appropriate personnel prior to the exercise

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Appendix F: Quick Reference Guide



FOUNDATION (Phase 1)

- Determine the focus and scope
- Review the plan to be exercised
- Create a base of support (stakeholders/response partners)
- Promulgate an invitation or confirmation letter
- Establish an exercise organization and assign tasks
- Develop project management timeline and establish milestones
- Schedule planning conferences

DESIGN & DEVELOPMENT (Phase 2)

- Refine objectives and scope
- Draft the scenario and major events
- Conduct planning conferences
- Complete exercise documents
- Establish exercise control
- Establish exercise evaluation
- Finalize logistics and reservations

CONDUCT (Phase 3)

- Set up
- Pre-exercise briefs
- Manage control, simulation and evaluation

EVALUATE (Phase 4)

- Conduct player hotwash
- Conduct controller and evaluator debrief
- Collect data
- Analyze data
- Draft AAR/IP

AAR/IP (Phase 5)

- Conduct After Action Conference
- Identify corrective actions
- Complete AAR/IP
- Track Implementation

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Appendix G: Exercise Program Management

Contingency Preparedness Assessment (CPA)

There are three categories of parameters proposed here when assessing contingency preparedness: 1) risk 2) standards and 3) capabilities. This check list was developed by CG-535 and CG-533 and will be continually refined based on field input.

Risk estimates are for contingencies in the command's AOR. Measurement of standards is relatively simple, however they may not be the best indicators of overall preparedness. Direct measurements of capabilities are more complex, but are much better preparedness measures.

Homeland Security Exercise and Evaluation Program uses capability based plans and exercises. The USCG has contingency based plans, however, we do exercise capabilities from these plans. The USCG has used three terms to describe functions similar to capabilities; 1) mission essential tasks, 2) core components and 3) plan elements. At present the USCG does not have a standardized set of capabilities clearly defined for use and measurement by Sectors and Districts.

In this assessment there is no standardized means of weighing the relative importance of each listed parameter. Commands should use their own judgment in prioritizing shortfalls.

Although this check list was designed with Sectors in mind, it can also be used by other units by noting "N/A" where the parameter does not apply.

A. Risk Estimate

Rank contingencies by relative risk within your AOR based on your knowledge of the probability, vulnerability, impact and public expectation of USCG responsibility for each contingency. List the contingencies from highest (1) to lowest (10) risk. The goal is a command list of contingencies prioritized by risk. Input from the command's government partners and private stakeholders is encouraged.

___ Anti-Terrorism	___ Military Outload
___ Oil and Hazardous Substance	___ Mass Rescue Operations
___ Natural Disaster (specify)	___ Mass Migration Interdiction Operations
___ Civil Disturbance	___ Major Marine Disaster
___ Defense Readiness (CCS)	___ Other (specify) _____

B. Standards

1. Status of Contingency Plans

List all required plans and date of publication or last significant revision.

Required Plans	<u>Date of publication</u>	<u>Date of formal review by District or Area</u>	<u>Required Frequency of Revision</u>	<u>Date of last revision</u>
Area Maritime Security (AMS)				
Area Contingency Plan (ACP)				

Continuity of Operations (COOP)-districts				
OPLAN 9700/9800				
Additional Plans				
When were these plans last tested in an exercise and what type of exercise was conducted?				
<u>Contingency</u>	<u>Date Last Exercised</u>	<u>Exercise Type/COE#</u>	<u>Next Exercise Date</u>	<u>Exercise Type/COE#</u>
Anti-Terrorism				
Military Out load				
Oil and Hazardous Materials				
Continuity of Operations				
9700/9800 OPLAN executions for:				
Combatant Commander Support				
Major Marine Disaster				
Civil Disturbance				
Natural Disaster				
Mass Rescue Operations				
Mass Migration Interdiction Operations				

2. NRF CONOP WQSB Survey Questions	Yes	No
a. Does Sector have a WQSB that meets Type III Requirements?		
Remarks:		
b. Does the unit Training Officer have a list of the qualified personnel? (copy of qualification letters for personnel)		
Remarks:		
c. Is there 95% accuracy comparison between unit PAL and WQSB?		

Remarks:		
d. Is WQSB visible to all personnel? (either electronic and/or hard copy posted)		
Remarks:		
e. Is WQSB visible to all personnel? (either electronic and/or hard copy posted)		
Remarks:		
f. Is review of WQSB required upon check-in to unit?		
Remarks:		
	Date	Plan Used
g. When was WQSB last exercised and what plan was used?		
Remarks:		
	Date	Department
h. Who/What department maintains WQSB? Date of last update?		
Remarks:		

3. Port Survey Question	Yes	No
a. If the Sector has a Tier 1 port, has a site visit been conducted of all local EOC's IAW NRF CONOP?		
Remarks:		

4. Preparedness Liaison Officer (PLO) Survey Questions	Yes	No
a. Does Sector have a Preparedness Liaison Officer (PLO)?		
Remarks:		
b. Has PLO connected with all part stakeholders?		
Remarks:		
c. Does the Sector have an Incident Management Team?		
Remarks:		

5. Incident Management Team Survey Questions	Last Used	Type of Incident
a. When was the IMT last used and for what type of incident		
Remarks:		
	Yes	No
b. Were lessons learned captured?		
Remarks:		

6. Plan Execution Survey		Yes	No
a. Was a contingency beyond the organic capability of the command executed for real world events or incidents in the last 12 months?			
Event/Incident:			
b. Were lessons learned captured for the actual events or incidents?			
Remarks:			
c. Were the events or incidents evaluated for exercise credit?			
Remarks:			

7. Contingency Committees: Status of stakeholder involvement				
<u>Committee (contingency)</u>	<u>List of Stakeholder Organizations</u>	<u>Required Frequency of Meetings</u>	<u>Date of Last Meeting</u>	<u>Is Committee effective? (Y or N): If No, Why</u>
Area Committee (Oil)	Provide copy of sign-in sheets & minutes	Quarterly		
Area Maritime Security Committee	Provide copy of annual rpt	At least once in CY		
Port Readiness (MOL)	Provide sign-in sheets & minutes	Semi-annual		
Other, e.g. Harbor safety	Provide sign-in sheets & minutes	Annual		
Regional Response Team (if applicable)	Provide copy of annual rpt	Semi-annual		

8. Training and Exercise Plan Workshops (TEPW) attended		Yes/No/NA	Date
1. Local TEPW			
Remarks:			
2. State TEPW			
Remarks:			
3. FEMA Region TEPW			
Remarks:			

C. Capability Shortfalls

Identify capability shortfalls as an estimation of relative overall preparedness within your AOR. There are several sources for finding capability shortfalls, such as Remedial Action Items from past AARs.

Describe each shortfall by selecting a capability title from these lists or assigning a title appropriate to the capability shortfall, e.g. worst case scenario.

- the response plan core components (for OHM),
- plan elements (for AMS),
- DHS Target Capabilities List (TCL) or
- the plan elements based on 9700/9800 format;
 - Command and Control
 - Communications
 - Operations
 - Intelligence or Info Sharing
 - Training
 - Resources
 - Logistics
 - External affairs
 - Legal

Each capability shortfall can be broken down into a sub-category or “Activity”, a “Task” and finally the root cause of the problem. See examples in 1, 2, 3, 4 and 5. Districts can help identify these root causes during the Preparedness Assessment Visit and Review process.

Numerous “shortfalls” may be indentified in this Contingency Preparedness Assessment. The command should prioritize these based on their relative impact on overall command preparedness. Record the top 5-7 priority shortfalls as shown below. Some capability shortfalls cannot be addressed with training or exercises. The Command’s shortfalls listed are those that can realistically be addressed through training and exercises, as scheduled in unit’s MTEP.

List high priority capability shortfalls:

1.
2.
3.
4.
5.

Status of Remedial Action Management Program (RAMP) issues, e.g. training, personnel, equipment, etc. shortfalls as identified in AAR/IPs			
Number of Remedial Action Issues (RAI)			
Assigned	Pending	Resolved	RAMP Compliance (%)
(RAMP compliance is # resolved / total # = %) Comments:			

[Command]

Commander’s Exercise and Training Strategy (CETS)

Legend: Standard narrative, *instructions*, [information to be filled in].

CETS is the Command’s opportunity to articulate preparedness needs based on risk, field experience and identified priority shortfalls from the Contingency Preparedness Assessment. (CETS should focus on the first two years of the upcoming Multi-year Training and Exercise Plan).

This strategy was prepared to clearly define why and how [Unit] developed its training and exercise schedule. [Unit], with [Senior Unit] assistance, conducted a Contingency Preparedness Assessment on [date]. Capability and standard shortfalls were identified and prioritized during that assessment. Contingencies were prioritized by risk estimates. [Unit] priorities were compared with annual Multi-year Training and Exercise Plan planning guidance and Coast Guard-wide exercise requirements. The goal is to obtain maximum increases in command preparedness from the resources available to conduct exercises and training.

A. Command Priorities

1. Command Priority Shortfalls. *List the Command Priorities as derived from the Contingency Preparedness Assessment (CPA). These priorities should focus training and exercise selection towards addressing high priority contingencies and capability shortfalls, and should be ranked in order of precedence.*

Contingency Priorities ranked by risk from Section A of CPA

Priority Standard & Capability Shortfalls from Section B and C of CPA

2. Priority Differences. *List any differences between the unit's priorities and the priorities laid out in the MTEP Planning Guidance and other higher level strategic direction.*

Priority Differences

B. Exercise & Training Goals

List the Command's exercise and training goals based upon the prioritized shortfalls and contingencies from the tables above. Exercise and training goals discussed here are related to contingency preparedness. Necessary training should be scheduled prior to exercise, and should be related to exercise goals. Seminars are excellent ways to deliver specific training.

Goals for Exercises	Goals for Training



C. Exercise Goals & Training Goals Linkage to Scheduled Exercises

Demonstrate how scheduled exercises link with the Command's goals for exercises and training by filling in the table below. These goals should be matched with the most appropriate exercise types and contingencies. The goals can and should be across as many exercises as feasible.

The table shows exercise objective, contingency in which it is being exercised, type of exercise or training, COE # and date.

Exercise Goals	Contingency	Type	COE#	Date

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Appendix H: Acronym List

A

AAC	After Action Conference
AAR/IP	After Action Report/Improvement Plan
ACP	Area Contingency Plan
ACPS	All Contingency Preparedness Summit
ADOS	Active Duty Operational Support
AFC	Allotment Fund Code
AMS	Area Maritime Security
AMSC	Area Maritime Security Committee
AMSP	Area Maritime Security Plan
AMSTEP	Area Maritime Security Training and Exercise Program
AOR	Area of Responsibility
APEC	Advanced Preparedness Exercise Course
AT	Anti-Terrorism
A/V	Audio/Visual
AWS	Alert Warning System

B

BOEMRE	Bureau of Ocean Energy Management, Regulations and Enforcement
BPEC	Basic Preparedness Exercise Course

C

C2	Command and Control
C3	Command, Control, and Communications
CAMEO	Computer Aided Management of Emergency Operations
CAP	DHS Corrective Action Program <i>or</i> CG Communications Action Plan
CBRNE	Chemical, Biological, Radiological, Nuclear and high-yield Explosive
CCDR	Combatant Commander
CCS	Combatant Commander Support
CPA	Contingency Preparedness Assessment
CD	Civil Disturbance
CDP	Center for Domestic Preparedness
C/E	Controller/Evaluator
CETS	Commander's Exercise and Training Strategy
CFR	Code of Federal Regulation
CG	Coast Guard
CG-SAILS	Coast Guard Standard After Action Information and Lessons Learned System
CGAAP	Coast Guard After Action Program
C&O	Concept and Objectives
COE	Concept of Exercise

COMDT	Commandant
COMDINST	Commandant Instruction
COML	Communications Unit Leader
COOP	Continuity of Operations
COSIN	Controller Staff Instructions
COTP	Captain of the Port
CPPM	Contingency Preparedness Planning Manual
CPRL	Contingency Personnel Requirements List
CPS	Contingency Preparedness System
CPX (DoD term)	Command Post Exercise
CT	Counter-Terrorism

D

DCMS	Deputy Commandant for Mission Support
DCO	Deputy Commandant for Operations
DDS	Design and Development System
DHS	Department of Homeland Security
DoD	Department of Defense
DOG	Deployable Operations Group
DOI	Department of Interior
DoS	Director of Staff
DOT	U.S. Department of Transportation
DR	Defense Readiness
DRAT	District Response Advisory Team
DRG	District Response Group
DSF	Deployable Specialized Forces

E

E-GIS	Enterprise Geographical Information Systems
ECB	Exercise Control Board
ED	Exercise Director
EEG	Exercise Evaluation Guide
EMI	Emergency Management Institute
ENDEX	End of Exercise
EOC	Emergency Operations Center
EOP	Emergency Operation Plans
EPA	Environmental Protection Agency
EPT	Exercise Planning Team
EPTL	Exercise Planning Team Leader
ERT	Environmental Response Team
ES	Exercise Sponsor
ESF	Emergency Support Function
EST	Exercise Support Team

Acronym List

ETR Electronic Training Request
EvalPlan Evaluation Plan
ExPlan Exercise Plan

F

FE Functional Exercise
FEMA Federal Emergency Management Agency
FMSC Federal Maritime Security Coordinator
FORCECOM (FC) Force Readiness Command
FOOSC Federal On-Scene Coordinator
FOUO For Official Use Only
FPC Final Planning Conference
FSE Full-Scale Exercise
FTA Funds Transfer Authorization
FTX (DoD term) Field Training Exercise
FY Fiscal Year

G

GAC Governmental Affairs Committee

H

HSC Homeland Security Council
HSEEP Homeland Security Exercise and Evaluation Program
HSPD Homeland Security Presidential Directive
HSTF – SE Homeland Security Task Force – Southeast

I

I-STEP Intermodal Security Training and Exercise Program (TSA)
IAW In Accordance With
ICC Intelligence Coordination Center
ICP Incident Command Post
ICS Incident Command System
IMAT Incident Management Assist Team
IP Improvement Plan
IPC Initial Planning Conference
IT Information Technology

L

LANTAREA Atlantic Area

LLIS Lessons Learned Information System

M

MEP Marine Environmental Protection
 MEPP Master Exercise Practitioner Program
 MIFC Maritime Intelligence Fusion Center
 MMD Major Marine Disaster
 MMIO Mass Migration Interdiction Operation
 MOA Memorandum of Agreement
 MOL Military Outload
 MOU Memorandum of Understanding
 MPC Mid-term Planning Conference
 MRO Mass Rescue Operations
 MSEL Master Scenario Events List
 MSRAM Maritime Security Risk Analysis Model
 MSRT Maritime Security Response Team
 MSST Maritime Safety and Security Team
 MSU Marine Safety Unit
 MTEP Multi-Year Training and Exercise Plan
 MTSA Maritime Transportation Security Act

N

NCP National Contingency Plan
 ND Natural Disaster
 NED National Exercise Division
 NEP National Exercise Program
 NEXS National Exercise Schedule
 NIMS National Incident Management System
 NLE National Level Exercise
 NOAA National Oceanic and Atmospheric Administration
 NRF National Response Framework
 NSC National Security Council
 NSCC National Schedule Coordination Committee
 NSF National Strike Force
 NSSE National Special Security Event
 NVIC Navigation and Vessel Inspection Circular

O

OGA Other Government Agency
 OHM Oil and Hazardous Material
 OJT On the Job Training
 OPA-90 Oil Pollution Act of 1990

Acronym List

OPD	Operational Planning Direction
OPFOR	Opposing Forces
OPSEC	Operations Security
OTJ	On-the-job

P

PACAREA	Pacific Area
PAO	Public Affairs Officer
PCA	Principal Coordinating Authority
PHMSA	Pipelines and Hazardous Materials Safety Administration
PIAT	Public Information Assist Team
PISCES	Potential Incident Simulation Control and Evaluation System
POC	Point of Contact
PPA	Principal Planning Agent
PRC	Port Readiness Committee
PREP	National Preparedness for Response Exercise Program
PSU	Port Security Unit
PWCS	Ports, Waterways, and Coastal Security

Q

QLR	Quick Look Report
QRC	Quick Response Card

R

RAC	Remedial Action Coordinator
RAI	Remedial Action Items
RAMP	Remedial Action Management Program
RCP	Regional Contingency Plan
RERT	Radiological Emergency Response Team
RFA	Request for Assistance
RFF	Request for Forces
ROP	Rules of Play
RSP	Render Safe Procedures

S

SAR	Search and Rescue
SimCell	Simulation Cell
SitMan	Situation Manual
SMART	Specific, Measurable, Achievable, Realistic, Task-Oriented
SME	Subject Matter Expert

SONS	Spills of National Significance
SOP	Standard Operating Procedures
SOPP	Standard Operational Planning Process
SORS	Spilled Oil Recovery System
SPD	Strategic Planning Direction
SSC	Scientific Support Coordinator
SSI	Sensitive Security Information
STARTEX	Start of Exercise

T

TACLETS	Tactical Law Enforcement Teams
TCL	Target Capabilities List
TEPW	Training and Exercise Plan Workshop
TRACEN	Training Center
TSA	Transportation Security Administration
TTP	Tactics, Techniques, and Procedures
TTX	Tabletop Exercise
TWIC	Transportation Worker Identification Credential

U

UC	Unified Command
USCG	United States Coast Guard
USG	United States Government
USN	United States Navy
UTL	Universal Task List

V

VEPT	Venue Exercise Planning Team
VEPTL	Venue Exercise Planning Team Leader
VIP	Very Important Personnel
VOSS	Vessel of Opportunity Skimming System

W

WMD	Weapons of Mass Destruction
WS	Workshop

Appendix I: Glossary

Term	Definition
Actor Briefing	An actor briefing is generally conducted the morning of the exercise and provides <i>actors</i> with an overview of the exercise (e.g., schedule, safety information, actual emergency instructions, role and responsibilities, and acting instructions). Identification badges should be distributed before or during this briefing.
After Action Conference (AAC)	After completion of the draft <i>After Action Report (AAR)</i> , the <i>lead evaluator</i> , the <i>evaluation team</i> , and other members of the <i>exercise planning team</i> should conduct an After Action Conference (AAC) to present, discuss, and refine the draft AAR and to develop an Improvement Plan (IP). This conference is a chance to present the AAR to <i>participants</i> in order to solicit feedback and make necessary changes. A list of corrective actions should be generated to identify what will be done to address the <i>recommendations</i> , who (which agency/person) is responsible, and the timeframe for implementation.
After Action Report/Improvement Plan (AAR/IP)	The main product of the evaluation and improvement planning process is the AAR/IP. The AAR/IP has two components: 1) an AAR, which captures observations of an exercise and makes <i>recommendations</i> for post-exercise improvements; and 2) an IP, which identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion.
Area Maritime Security Training and Exercise Program (AMSTEP)	AMSTEP is a U.S. Coast Guard contingency training and exercise program designed to assess the effectiveness of Area Maritime Security Plans (AMSPs) and port communities' ability to prevent, respond to, and recover from a transportation security incident (TSI).
Assembly Area	The assembly area is the gathering place for deployable resources (e.g., fire engines, police cars) before the start of an <i>operations-based</i> exercise. The assembly area simulates each department or agency's home station or office. The assembly area provides a safer and more controlled environment than deploying apparatus from each agency's home station. In order to realistically simulate the response from the agency's home station or office, response times should be collected for each unit, so units can be appropriately released from the assembly area after they have been dispatched.
Assembly Area Controller	The assembly area controller is responsible for the logistical organization of the <i>assembly area</i> , including placement locations for units and coordination of exiting patterns for dispatched units.

Awareness	Awareness is the continual process of collecting, analyzing, and disseminating intelligence, information, and knowledge to allow organizations and individuals to anticipate requirements and to react effectively.
Base of Support	A concept of support or “buy-in” from the appropriate senior officials and/or private sector executives for the conduct of an exercise or execution of an exercise program. Establishing this base of support indicates that an exercise’s <i>purpose</i> and <i>objectives</i> are consistent with strategic and organizational goals and objectives.
Best Practices	Best practices are peer-validated techniques, procedures, and solutions that prove successful and are solidly grounded in actual experience in operations, training, and exercises. <i>AAR/IPs</i> should identify <i>lessons learned</i> and highlight <i>best practices</i> . Many of these can be found on Lessons Learned Information System (www.llis.gov), the U.S. Department of Homeland Security’s (DHS’s) lessons learned / best practices portal.
Building Block Approach	The building block approach focuses on exposing participants to a cycle of training and exercises that escalates in complexity, with each exercise designed to build upon the last in terms of scale and subject matter. For example, a building block series of exercises may include a <i>seminar</i> leading to a <i>workshop</i> which leads to a <i>tabletop (TTX)</i> .
Capabilities-Based Planning	Capabilities-based planning is defined as planning to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice. It addresses uncertainty by analyzing a wide range of realistic <i>scenarios</i> to identify required <i>capabilities</i> , and it is the basis for guidance such as the <i>National Preparedness Goal</i> , <i>Target Capabilities List (TCL)</i> , and <i>Universal Task List (UTL)</i> .
Capability	Capability is the ability to execute an element, component or function of a <i>mission</i> .
Coast Guard Standard After Action Information and Lessons Learned System (CG-SAILS)	CG-SAILS resides within the Contingency Preparedness System (CPS) and is an unclassified system. CG-SAILS is used to collect, compile, monitor the resolution of, and report the status of <i>After Action Reports (AARs)</i> , <i>Lessons Learned</i> , and <i>Best Practices</i> .

<p>Combatant Commander (CCDR)</p>	<p>A Combatant Commander is a commander of one of the unified or specified combatant commands established by the President. There are six regional unified combatant commands covering the globe, which include U.S. Africa Command (USAFRICOM), U.S. Central Command (USCENTCOM), U.S. European Command (USEUCOM), U.S. Pacific Command (USPACOM), U.S. Northern Command (USNORTHCOM), and U.S. Southern Command (USSOUTHCOM).</p>
<p>Command Post Exercise (CPX)*</p>	<p>In CPXs forces are simulated, involving the commander, the staff, and communications within and between headquarters and field command posts.</p>
<p>Commander’s Exercise and Training Strategy (CETS)</p>	<p>The Commander’s Exercise and Training Strategy (CETS) is the commander’s strategy for making the best use of the available resources to improve preparedness through exercises and exercise preparatory training. The strategy guides the command in developing its exercise and training schedule. The CETS is developed based on Command priority shortfalls from the Preparedness Assessment, MTEP Planning Guidance strategic priorities, and exercise requirements.</p>
<p>Concept and Objectives (C&O) Meeting</p>	<p>The Concepts & Objectives (C&O) Meeting is the formal beginning of the exercise planning process. The goals of this meeting are to verify the purpose of the exercise, location, commitments of resources, funding, exercise objectives, and more specific dates and duration. Attendees include the field representative of the sponsoring organization, senior officials from participating and potentially participating organizations, the exercise director, and the Planning Team Leader. The C&O meeting is a good opportunity to recruit additional entities and confirm commitments for participation and support. Typically, the C&O Meeting is held before the IPC for large-scale exercises, complex FSEs, or high-profile exercises that necessitate a high level of support from executives or authorities. For small exercises without multi-jurisdictional involvement, the C&O Meeting can be combined with the IPC.</p>
<p>Contingency</p>	<p>A contingency is an incident, threat, or event that, due to its complexity or size, requires capabilities beyond that of normal operations. These additional capabilities may come from outside sources or a reprioritization of resources. Contingencies may be caused by natural disasters, terrorists, accidents, military operations and other human activities.</p>
<p>Contingency Preparedness Assessment</p>	<p>An internal appraisal designed to identify gaps or shortfalls in contingency preparedness. It is a self evaluation of command preparedness made from a standardized checklist of measureable parameters or indicators. The checklist consists of questions about 1) contingency risk; 2) standards of preparedness; and 3) capabilities.</p>

Contingency Preparedness System (CPS)	CPS is an online searchable database intended to connect exercise planning and conduct with contingency plans, lessons learned, and corrective actions. It is used to enhance management of the USCG Exercise Program and individual contingency planning programs. CPS provides an efficient means of entering, integrating, managing, and monitoring Contingency Plans and Concepts of Exercise (COEs), spend plans, and AARs, from real events, incidents, and exercises.
Contingency Sponsor	The Contingency Sponsor, previously the program manager, is the CG office responsible for policy, guidance, requirements, and support for a given <i>Contingency</i> .
Controller	In an <i>operations-based exercise</i> , <i>controllers</i> plan and manage exercise play, set up and operate the exercise incident site, and possibly take the roles of individuals and agencies not actually participating in the exercise in the <i>Simulation Cell (SimCell)</i> . Controllers, who are often members of the <i>exercise planning team</i> , direct the pace of exercise play, provide key data to players, and may prompt or initiate certain player actions and injects to the players as described in the <i>Master Scenario Event List (MSEL)</i> to ensure exercise continuity.
Controller Staff Instructions	The COSIN contains guidance that <i>controllers</i> may need concerning procedures and responsibilities for exercise control, simulation, and support. The COSIN, typically only used in larger, more complex exercises, is designed to help exercise controllers understand their roles and responsibilities in exercise execution in order to conduct an effective exercise. For most exercises, however, the COSIN can be combined with an <i>Evaluation Plan (EvalPlan)</i> to produce a <i>Controller and Evaluator (C/E) Handbook</i> .
Controller/Evaluator (C/E) Briefing	The C/E briefing is a pre-exercise overview for <i>controllers</i> , <i>evaluators</i> , and exercise administrative staff. The briefing summarizes the <i>C/E Handbook</i> (or the <i>COSIN</i> and <i>EvalPlan</i>) and focuses on explaining the roles and responsibilities of controllers and evaluators.
Controller/Evaluator (C/E) Debrief	The C/E debrief provides each <i>controller</i> and <i>evaluator</i> with an opportunity to provide an overview of the functional area they observed and to discuss <i>best practices</i> and <i>lessons learned</i> . Members of the <i>evaluation team</i> should take detailed notes of the C/E debriefing discussion.

Controller/Evaluator (C/E) Handbook	The C/E Handbook is an exercise overview and instructional manual for <i>controllers</i> and <i>evaluators</i> . A supplement to the <i>Exercise Plan (ExPlan)</i> , it contains more detailed information about the <i>scenario</i> , and describes controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it should be distributed only to those individuals specifically designated as controllers or evaluators.
Corrective Action	Corrective actions are the concrete, actionable steps outlined in <i>IPs</i> that are intended to resolve preparedness gaps and shortcomings experienced in exercises or real-world events.
Corrective Action Program (CAP)	A CAP is an HSEEP element of improvement planning process through which <i>corrective actions</i> from the <i>AAR/IP</i> are prioritized, tracked, and analyzed continuously until they have been fully implemented and validated. RAMP is the USCG comparable program.
Design and Development	Building on the exercise <i>foundation</i> , the design and development process should consist of identifying <i>capabilities</i> , <i>tasks</i> , and <i>objectives</i> ; designing the <i>scenario</i> ; creating documentation; coordinating logistics; planning exercise conduct; and selecting an evaluation and improvement methodology.
Discussion-Based Exercise	Discussion-based exercises include <i>seminars</i> , <i>workshops</i> , <i>TTXs</i> , and <i>games</i> . They are normally used as a starting point in the <i>building-block approach</i> to the exercise cycle. These types of exercises typically highlight existing plans, policies, Memorandums of Agreement (MOAs), and doctrine, and are used to familiarize agencies and personnel with an entity's current or expected <i>capabilities</i> . Discussion-based exercises typically focus on strategic, policy-oriented issues.
Doctrine	Doctrine is the set of officially sanctioned beliefs and fundamental principles that guide the Coast Guard in support of national objectives. Doctrine is authoritative but not directive, requires judgment in application, and provides decision makers and personnel a standard frame of reference. The four types of Coast Guard Doctrine are Organizational, Operational, TTP (Techniques, Tactics and procedures) and Support.
Drill	A drill, a type of <i>operations-based</i> exercise, is a coordinated, supervised activity usually employed to test a single specific operation or function in a single agency. Drills are commonly used to provide training on new equipment, develop or test new policies or TTP, or practice and maintain current skills.

Emergency Operations Center (EOC)	An EOC is the physical location at which the coordination of information and resources to support domestic incident management activities normally takes place. An EOC may be a temporary facility or may be located in a central or permanently established facility, perhaps at a higher level of organization within a jurisdiction. EOCs may be organized by major functional disciplines, by jurisdiction, or by some combination thereof.
Evaluation	Evaluation, one of the five phases of the exercise process, it documents strengths and opportunities for improvement in an entity's preparedness and is the first step in the improvement process. Evaluations are conducted through <i>player</i> observation and the use of <i>Exercise Evaluation Guides (EEGs)</i> , which outline exercise performance measures expected from <i>players</i> .
Evaluation Plan (EvalPlan)	The EvalPlan is typically used for <i>operations-based</i> exercises of a large <i>scope</i> and scale. The EvalPlan is designed to help exercise <i>evaluators</i> understand their roles and responsibilities in exercise data collection and evaluation in order to conduct an effective <i>analysis</i> of the exercise and produce a comprehensive <i>AAR/IP</i> .
Evaluation Team	The evaluation team consists of evaluators trained to observe and record <i>player</i> actions. These individuals should be familiar with the exercising entity's plans, policies, TTP, and agreements.
Evaluator	Evaluators are selected from participating agencies based on their expertise in the functional areas they will observe. Evaluators use <i>EEGs</i> to measure and assess performance, capture unresolved issues, and analyze exercise results. Evaluators passively assess and document players' performance against established emergency plans and exercise evaluation criteria.
Event	An event is an expected action in the <i>MSEL</i> that is planned to take place during an exercise.
Exercise	An exercise is an activity to practice, assess, and improve performance in <i>capabilities</i> in a risk-free environment. Exercises can be used for testing and validating policies, plans, procedures, training, equipment, and inter-agency agreements; clarifying and training personnel in roles and responsibilities; improving interagency coordination and communications; identifying gaps in resources; improving individual performance; and identifying opportunities for improvement.
Exercise Director (ED)	The Exercise Director (ED) is the plan holder. The ED fulfills the exercise project management responsibilities. For duties of the director, see p. 3-3 of this Manual.

<p>Exercise Evaluation Guide (EEG)</p>	<p>EEGs are documents that support the exercise <i>evaluation</i> process by providing <i>evaluators</i> with consistent standards for observation, <i>analysis</i>, and <i>AAR/IP</i> development. Each EEG is linked to a <i>target capability</i> and provides standard activities, performance measures, and tasks to be evaluated based on the exercise <i>objectives</i>. The consistent guidelines provided in EEGs facilitate creation of <i>AAR/IPs</i> resulting in actionable <i>RAIs</i> that target specific personnel, planning, organization, equipment, and training needs within capabilities.</p>
<p>Exercise Plan (ExPlan)</p>	<p>ExPlans provide general information to help <i>operations-based</i> exercises run smoothly. They are published and distributed prior to the start of exercise and provide an overview of the exercise. In addition to addressing exercise <i>objectives</i> and <i>scope</i>, ExPlans assign activities and responsibilities for successful exercise execution. They enable <i>participants</i> to understand their roles and responsibilities in <i>exercise planning</i>, execution, and <i>evaluation</i>. The ExPlan is intended for use by exercise <i>players</i> and <i>observers</i>; therefore, it does not contain detailed <i>scenario</i> information that may reduce the realism of the <i>tasks</i> to be performed. Players and observers should review all elements of the ExPlan prior to exercise participation.</p>
<p>Exercise Planning Team (EPT)</p>	<p>The EPT is responsible for all aspects of exercise design, development, conduct, and evaluation. The team is comprised of representatives from each major participating organizational element, participating entities, as well as other relevant stakeholder organizations. Duties of the EPT include:</p> <ul style="list-style-type: none"> • Developing exercise documentation (e.g. objectives, evaluation guides, and exercise plans) • Coordinating logistics • Acting as controllers and/or evaluators during the exercise • Coordinating with the Venue Exercise Planning Team(s)
<p>Exercise Planning Team Leader (EPTL)</p>	<p>The EPTL chairs the exercise planning team. Duties include:</p> <ul style="list-style-type: none"> • Coordinating planning team meetings • Developing and maintains the project management timeline • Coordinating assignment of <i>EPT</i> members to working groups • Coordinating assignment of <i>controllers</i> and <i>evaluators</i> • Delivering exercise documents to the <i>Exercise Director</i> for approval
<p>Exercise Play Area</p>	<p>The exercise play area is the site or facility where the bulk of tactical player activities and <i>tasks</i> are demonstrated during an <i>operations-based</i> exercise.</p>
<p>Exercise Play Rules</p>	<p>Exercise play rules are the parameters that exercise participants follow during the exercise. Exercise play rules describe appropriate exercise behavior, particularly in the case of real-world emergencies.</p>

Exercise Program Management	Contingency exercise program management uses a multi-year approach to selecting exercises and building an exercise schedule to better improve preparedness. Exercise program management includes a set of processes to help commands with contingency plans determine their training and exercise needs and develop a Multi-year Training and Exercise Plan (MTEP) for achieving them. By completing these processes, the command will create strategies that effectively focus their preparedness efforts.
Exercise Project Management	The Exercise project management process involves foundation, design, development, conduct, and evaluation, and improvement planning. It begins with an approved and funded exercise. Exercise project management ends when the <i>Improvement Plan</i> is created.
Exercise Setup	Exercise setup involves the pre-staging and dispersal of exercise materials, including registration materials, documentation, signage, and other equipment, as appropriate.
Exercise Sponsor (ES)	The Exercise Sponsor (ES) is the organizational element that prescribes the policy and obtains funding for the contingency being exercised. The ES provides direction, much like an agency executive. For duties of the sponsor, see p. 3-3 of this manual.
Exercise Support Team (EST)	The EST Program was established to support Coast Guard Commands in exercise design, planning, conduct, and. Currently, ESTs support all hazards and all threats exercises at the Federal, State, local, tribal, private sector, and international levels. An EST typically has three to four members with exercise and preparedness improvement experience. Requests for exercise support are submitted through the CPS system and accomplished through the multi-year training and exercise scheduling process.
Facilitated Discussion	During a <i>discussion-based</i> exercise, a facilitated discussion is a focused discussion of specific issues using a <i>facilitator</i> with functional area or subject matter expertise. Facilitated group discussions occur at individual tables organized by discipline or agency/organization. Facilitated discussions take place before moderated discussions.
Facilitator	During a <i>discussion-based</i> exercise, the facilitator is responsible for keeping <i>participant</i> discussions on track to meet the exercise <i>objectives</i> and making sure all issues and objectives are explored as thoroughly as possible within time constraints.
Field Training Exercise (FTX)*	In an FTX actual forces are used to train commanders, staffs, and individual units in basic, intermediate, and advanced-level warfare skills. Generally a multi-day , 24hr/day exercise.

Final Planning Conference (FPC)	The FPC is the final forum for the <i>exercise planning team</i> to review the process and procedures for exercise conduct, final drafts of all exercise materials, and all logistical requirements. During the FPC, there should be no major changes made to either the design or the <i>scope</i> of the exercise, nor to any supporting documentation. The FPC ensures all logistical requirements have been arranged, all outstanding issues have been identified and resolved, and all exercise products are ready for printing.
Foundation	Foundation is the first stage in the exercise process, preceding <i>Design and Development</i> . The Foundation stage focuses on developing a project management timeline, establishing milestones, identifying an <i>exercise planning team</i> , and scheduling planning conferences.
Full-Scale Exercise (FSE)	An FSE involves actual deployment of resources in a coordinated response as if a real incident had occurred. FSE are commonly multi-agency and/or multi-jurisdictional. An FSE tests many components of one or more capabilities within emergency response and recovery, and is typically used to assess plans, procedures, and coordinated response under crisis conditions. Characteristics of an FSE include mobilized units, personnel, and equipment; a stressful, realistic environment; and scripted exercise scenarios.
Functional Exercise (FE)	An FE is a single or multi-agency activity designed to evaluate capabilities and multiple functions using a simulated response. An FE is typically used to evaluate the management of Emergency Operations Centers (EOCs), command posts, and headquarters, as well as to assess the adequacy of response plans and resources. Characteristics of an FE include simulated deployment of resources and personnel, rapid problem solving, and a highly stressful environment.
GAC	GAC funds for annual Contingency Preparedness Support are maintained by each Area and used for the 9700/9800 plan contingencies.
Game	A game is a simulation of operations using rules, data, and procedures designed to depict an actual or assumed real-life situation. A game is typically used to explore the processes and consequences of decision making, conduct “what if” analyses of existing plans, and develop new plans. In general, games use rules, data, and procedures; are designed to depict an actual or assumed real-life situation; often involve two or more teams usually in a competitive environment; and, increasingly, include models and simulations. Games do not involve the use of actual resources and are <i>discussion-based</i> exercises.

Ground Truth	Ground Truth is a component of prevention exercise documentation comprised of the detailed elements of the <i>scenario</i> that must remain consistent during exercise development and conduct to ensure that realism is maintained and <i>objectives</i> are met in the unscripted move-countermove exercise environment.
Ground Truth Advisor	In <i>prevention</i> exercises, the Ground Truth Advisor tracks how the moves and countermoves of the adversary (notional and <i>Red Team</i>) and players (e.g., law enforcement, intelligence analysts, private industry) change the fabric of the exercise environment, potentially creating additional elements of the Ground Truth, but never detracting from it.
Homeland Security Exercise and Evaluation Program (HSEEP)	HSEEP is a <i>capabilities</i> - and performance-based exercise program that provides standardized policy, doctrine, and terminology for the <i>design, development, conduct, and evaluation</i> of homeland security exercises. HSEEP provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.
Homeland Security Presidential Directive (HSPD) – 5	HSPD-5, an Executive Branch-issued policy, required DHS to coordinate with other Federal departments and agencies, as well as State, local, and tribal governments to establish the National Response Plan (NRP) and the <i>National Incident Management System (NIMS)</i> .
Homeland Security Presidential Directive (HSPD) – 8	HSPD-8, an Executive Branch-issued policy, was drafted to: 1) 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 <i>preparedness</i> goal; 2) establish mechanisms for improved delivery of Federal preparedness assistance to State and local governments; and 3) outline actions to improve the capabilities of Federal, State, and local entities.
HOMEPORT	HOMEPORT is a U.S. Coast Guard online tool to facilitate compliance with the requirements set forth in the Maritime Transportation Security Act (MTSA) of 2002. HOMEPORT provides secure information dissemination, advanced collaboration, electronic submission for vessel and facility security plans, and complex electronic and telecommunication notification capabilities. HOMEPORT should be used for collaboration on exercise related documents that are SSI.

<p>Hotwash</p>	<p>A hotwash is a <i>facilitated discussion</i> held immediately following an exercise among exercise <i>players</i> from each functional area. It is designed to capture feedback about any issues, concerns, or proposed improvements players may have about the exercise. The hotwash is an opportunity for players to voice their opinions on the exercise and their own performance. Evaluators can also seek clarification on certain actions and what prompted players to take them. Evaluators should take notes during the hotwash and include these observations in their analysis. The hotwash should last no more than 30 minutes.</p>
<p>HSEEP Toolkit</p>	<p>The HSEEP Toolkit is an interactive, online system for exercise scheduling, design, development, conduct, evaluation, and improvement planning. The HSEEP Toolkit includes the National Exercise Schedule (NEXS) System, Design and Development System (DDS), and Corrective Action Program (CAP) System.</p> <p>The NEXS System is the Nation's online comprehensive tool that facilitates scheduling, de-confliction, and synchronization of all National Level, Federal, State, and local exercises.</p> <p>The Design and Development System (DDS) is a project management tool and comprehensive tutorial for the design, development, conduct, and evaluation of exercises. The DDS provides users with the appropriate templates and guidance from the HSEEP volumes for developing timelines, planning teams, and exercise documentation.</p> <p>The Corrective Action Program (CAP) System is a web-based application that enables users to prioritize, track, and analyze <i>improvement plans</i> developed from exercises and real-world events. Features of the CAP System include IP creation and maintenance, corrective action assignment and tracking, and reporting and analysis.</p>
<p>Improvement Plan (IP)</p>	<p>For each task, the IP lists the corrective actions that will be taken, the responsible party or agency, and the expected completion date.</p>
<p>Incident</p>	<p>An incident is an occurrence, caused by either human action or natural phenomena, requiring action to prevent or minimize loss of life or damage to property and/or natural resources.</p>
<p>Incident Command System (ICS)</p>	<p>ICS is a standard on-scene emergency management construct specifically designed to provide for the adoption of an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. ICS is the combination of facilities, equipment, personnel, procedure, and communications operating with a common organizational structure, designed to aid in the management or resources during incidents.</p>

<p>Initial Planning Conference (IPC)</p>	<p>The IPC is typically the first step in the planning process (unless a <i>C&O Meeting</i> is held) and lays the <i>foundation</i> for the exercise. Its purpose is to gather input from the exercise planning team on the <i>scope</i>, the design requirements and conditions (such as assumptions and artificialities), the <i>objectives</i>; the level of participation; and the <i>scenario</i> variables (e.g., location, threat/hazard selection); and the <i>MSEL</i>. During the IPC, the exercise planning team decides on exercise location, schedule, duration, and other details required to develop exercise documentation.</p>
<p>Inject</p>	<p>Injects are <i>MSEL</i> entries that drive play of an event that <i>controllers</i> must simulate. Exercise controllers provide injects to exercise <i>players</i> to drive exercise play towards the achievement of <i>objectives</i>. Injects can be transmitted via written, oral, televised, and other means (e.g., fax, phone, message, e-mail, voice, radio, or sign). Injects can be contextual or contingency.</p> <p>A controller introduces a contextual inject to a player to help build the exercise operating environment. For example, if the exercise is designed to test information-sharing capabilities, a <i>MSEL</i> inject can be developed to direct a controller to select an <i>actor</i> to portray a suspect. The inject could then instruct the controller to prompt another actor to approach a law enforcement officer and inform him/her that this person was behaving suspiciously.</p> <p>A controller introduces a contingency inject to a player if players are not performing the actions needed to sustain exercise play. This ensures that play moves forward, as needed, to adequately test performance of activities. For example, if a simulated secondary device is placed at an incident scene during a terrorism response exercise, but is not discovered, a controller may want to prompt an actor to approach a player to say that he/she witnessed suspicious activity close to the device location. This should prompt the responder's discovery of the device, and result in subsequent execution of the desired notification procedures.</p>
<p>Joint Exercise*</p>	<p>A Joint Exercise is a joint military maneuver, simulated wartime operation, or other event designated by the Chairman of the Joint Chiefs of Staff or by a combatant commander that involves planning, preparation, execution, and evaluation. The forces of two or more military departments interact with a combatant commander or subordinate joint force commander, as well as with joint forces and/or staffs. The exercise is conducted using joint doctrine or joint tactics, techniques, and procedures.</p>

<p>Lead Evaluator</p>	<p>The lead evaluator should participate fully as a member of the <i>exercise planning team</i>, and should be a senior-level individual familiar with <i>prevention, protection, response, and/or recovery</i> issues associated with the exercise; plans, policies, and procedures of the exercising entity; Incident Command and decision-making processes of the exercising entity; and interagency and/or inter-jurisdictional coordination issues relevant to the exercise. The lead evaluator must have the management skills needed to oversee a team of <i>evaluators</i> over an extended process, as well as the knowledge and analytical skills to undertake a thorough and accurate <i>analysis</i> of all <i>capabilities</i> being tested during an exercise.</p>
<p>Lessons Learned (LL)</p>	<p>Lessons learned are knowledge and experience (both positive and negative) derived from observations and historical study of actual operations, training, and exercises. Exercise AAR/IPs should identify lessons learned and highlight <i>best practices</i>.</p>
<p>Master Scenario Events List (MSEL)</p>	<p>The MSEL is a chronological timeline of expected actions and scripted events that <i>controllers</i> inject into exercise play to generate or prompt <i>player</i> activity. It ensures necessary events happen so that all <i>objectives</i> are met. The MSEL links simulation to action, enhances exercise experience for players, and reflects an incident or activity meant to prompt <i>players</i> to action. Each MSEL record contains a designated <i>scenario</i> time; an <i>event</i> synopsis; the name of the <i>controller</i> responsible for delivering the inject; and, if applicable, special delivery instructions, the <i>task</i> and <i>objective</i> to be demonstrated, the intended player, and a note-taking section.</p>
<p>Master Scenario Events List (MSEL) Conference</p>	<p>The MSEL Conference may be held in preparation for more complex, <i>operations-based</i> exercises, specifically to review the <i>scenario</i> timeline and focus on <i>MSEL</i> development.</p>
<p>Media Personnel</p>	<p>Some media personnel may be present as <i>observers</i>, pending approval by exercise personnel and exercise support team members. The SimCell may simulate media interaction in order to enhance realism and to meet related exercise <i>objectives</i>.</p>
<p>Mid-Term Planning Conference (MPC)</p>	<p>The MPC, an <i>operations-based</i> exercise planning conference, is used to discuss exercise organization and staffing concepts; <i>scenario</i> and timeline development; and scheduling, logistics, and administrative requirements. It is also a session to review draft documentation (e.g., <i>scenario, ExPlan, C/E Handbook, MSEL</i>).</p>

Mission	The Coast Guard has 11 missions falling under three broad roles. The three roles include Maritime Safety, Maritime Security, and Maritime Stewardship. The missions include Search and Rescue; Marine Safety; Marine Environmental Protection; Living Marine Resources; Ice Operations; Aids to Navigation; Other Law Enforcement; Defense Readiness; Migrant Interdiction; Drug Interdiction; and Ports, Waterways, and Coastal Security.
Moderated Discussion	A moderated discussion is a facilitated, discussion-based table top (TTX) in which a representative from each functional area breakout presents <i>participants</i> with a summary and results from a group's earlier <i>facilitated discussion</i> . During moderated discussions, spokespersons summarize the facilitated discussion, present key findings and issues, and discuss any unresolved issues or questions.
Multi-Year Training and Exercise Plan (MTEP)	The MTEP is the foundational document guiding a successful exercise program. The MTEP provides a mechanism for long-term coordination of training and exercise activities toward an entity's <i>preparedness</i> goals. This plan describes the program's training and exercise priorities and associated <i>capabilities</i> , and aids in employing the <i>building block approach</i> for training and exercise activities. Within the MTEP, the multi-year schedule graphically illustrates training and exercise activities that support the identified priorities. The schedule is color-coded by priority and presents a multi-year outlook for task and priority achievement. As training and exercises are completed, the document can be updated, modified, and revised to reflect changes to the priorities and new capabilities that need to be assessed. The MTEP and schedule are produced based on the outcomes of the <i>Training and Exercise Plan Workshop (TEPW)</i> .
National Exercise Division (NED)	NED is the FEMA component that provides exercise and evaluation policy and planning support to FEMA, DHS, the Federal Interagency, and State and local stakeholders.
National Exercise Program (NEP)	The NEP creates a framework to reinforce the importance of timely integrated planning, decision making, strategic coordination, and operational awareness for both domestic and international crises. It coordinates the exercise requirements of <i>HSPD-8</i> and multiple other Presidential Directives and Strategies.
National Exercise Schedule (NEXS)	NEXS is a compilation of all national-level, Federal, State, and local exercises. NEXS provides basic information on each planned exercise including the exercise name, location, date, major <i>participants</i> , and points of contact. It also serves as a management tool and reference document for <i>exercise planning</i> and provides exercise visibility to planners and leadership.

<p>National Incident Management System (NIMS)</p>	<p>The NIMS standard was designed to enhance the ability of the United States to manage domestic incidents by establishing a single, comprehensive system for incident management. It is a system, mandated by <i>HSPD-5</i>, that provides a consistent, nationwide approach for Federal, State, local, and tribal governments; the private sector; and non-governmental organizations to work effectively and efficiently together to enhance <i>preparedness</i> for, <i>response</i> to, and <i>recovery</i> from domestic incidents, regardless of cause, size, or complexity.</p>
<p>National Level Exercise (NLE)</p>	<p>NLE is the annual operations-based exercise, either a Functional Exercise (FE) or a Full-Scale Exercise (FSE), for which participation by heads of departments and agencies is required under the NEP. NLEs address U.S. Government strategic- and policy-level objectives and challenge the national response system. An NLE will involve all levels of Federal, State, and local authorities, and critical private sector entities. The NLE may involve international partners, as appropriate.</p>
<p>National Strategy for Homeland Security</p>	<p>The purpose of the National Strategy for Homeland Security is to guide, organize, and unify our Nation’s homeland security efforts. This complex mission requires coordinated and focused effort from Federal, State, and local governments; the private sector; and the American people. The strategic objectives of homeland security, in order of priority, are to prevent and disrupt terrorist attacks; protect the American people, our critical infrastructure, and key resources; respond to and recover from incidents that do occur; and continue to strengthen the foundation to ensure our long-term success.</p>
<p>Objectives</p>	<p>An objective is a goal for improving a capability, activity or task that is currently a shortfall or gap in preparedness. Well-defined objectives provide a framework for exercise <i>scenario</i> development, guide individual organizations’ objective development, and inform exercise <i>evaluation</i> criteria. Entities should frame exercise objectives with the aim of attaining <i>capabilities</i> established as priorities at the Federal, State, and local level, as captured in the entity’s <i>MTEP</i> and schedule. Objectives should reflect specific capabilities that the exercising entity establishes as priorities, and the <i>tasks</i> associated with those capabilities. Objectives should be <i>specific, measurable, achievable, realistic, and task-oriented (SMART)</i>. Planners should limit the number of exercise objectives to enable timely execution and to facilitate design of a realistic scenario.</p>
<p>Observer</p>	<p>Observers do not directly participate in the exercise; rather, they observe selected segments of the exercise as it unfolds, while remaining separated from player activities. Observers view the exercise from a designated observation area and are asked to remain within the observation area during the exercise. A dedicated exercise <i>controller(s)</i> should be assigned to manage the/these group(s).</p>

Observer Briefing	An observer briefing is a pre-exercise overview given by one or more members of the <i>exercise planning team</i> to educate <i>observers</i> about program background, <i>scenario</i> , schedule of <i>events</i> , observer limitations, and any other exercise information.
Observer/Media Area	The Observer/Media Area is a designated exercise area that provides <i>observers</i> and media representatives with a view of exercise play without the potential to interfere. It should be adjacent to the exercise site but should not allow interference with response routes or egress points. Because many entities prefer to keep operations of groups such as Special Weapons and Tactics (SWAT) teams, bomb squads, and explosive ordnance disposal (EOD) teams confidential, these activities could take place some distance from the Observer/Media Area.
Operational Planning Direction (OPD)	The OPD is part of the multi-year planning cycle and a product of the Standard Operating Planning Process (SOPP). The <i>Strategic Planning Direction (SPD)</i> is used to develop the OPD.
Operations-Based Exercise	Operations-based exercises are characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually held over an extended period of time. Operations-based exercises can be used to validate plans, policies, agreements, and procedures. They include <i>drills</i> , <i>functional exercises (FEs)</i> , and <i>full-scale exercises (FSEs)</i> . They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance.
Participants	Participants are the overarching group that includes all <i>players</i> , <i>controllers</i> , <i>evaluators</i> , and staff involved in conducting an exercise.
Partners	Partners are the Federal, State, and local government agencies that work with the Coast Guard to secure and protect ports and waterways.
Planning Conferences	The <i>exercise planning team</i> holds planning conferences as forums for the <i>design and development</i> of exercises. The <i>scope</i> , type, and complexity of an exercise determine the number of conferences necessary to successfully conduct an exercise. These milestones of the exercise planning process are typically comprised of the <i>IPC</i> , the <i>MPC</i> , and the <i>FPC</i> . Potential additional exercise planning conferences include the <i>C&O Meeting</i> , the <i>MSEL Conference</i> , and the <i>Red Team Planning Conference</i> . <i>Discussion-based</i> exercises usually convene IPCs and FPCs, whereas <i>operations-based</i> exercises may call for an IPC, MPC, FPC, and a MSEL Conference.

<p>Players</p>	<p>Players have an active role in <i>prevention</i>, <i>response</i> to, or <i>recovery</i> from the risks and hazards presented in the exercise <i>scenario</i>, by either discussing (in a <i>discussion-based exercise</i>) or performing (in an <i>operations-based exercise</i>) their regular roles and responsibilities. Players initiate actions that will respond to and/or mitigate the simulated emergency.</p>
<p>Player Briefing</p>	<p>The player briefing, held immediately prior to an <i>operations-based</i> exercise, addresses individual roles and responsibilities, exercise parameters, safety, badges, and any other logistical items. For a <i>drill</i> or <i>FSE</i>, player briefings typically take place in the <i>assembly area</i>.</p>
<p>Policy</p>	<p>Policy is restrictive or prescriptive direction issued by an accountable person in authority to accomplish a planned outcome.</p>
<p>Preparedness</p>	<p>Preparedness is a continuous cycle of activities to improve and maintain the ability to conduct contingency operations. These seven phases of the preparedness cycle are: assess, plan, resource, train, exercise, and improve.</p>
<p>Press Release</p>	<p>A press release is developed and disseminated before an exercise and given to media representatives, the public, <i>observers</i>, and VIPs. Press releases typically include an introduction, purpose, <i>scope</i>, duration, general <i>scenario</i>, and participating agencies.</p>
<p>Prevention</p>	<p>The Prevention element of the Ports, Waterways & Coastal Security (PWCS) mission encompasses activities that serve to safeguard the domestic maritime domain from intentional and unintentional threats to ports, waterways, waterway facilities, MTSA-regulated facilities, vessels, and other maritime infrastructure and the supply chain. They are actions and compliance measures taken to avoid or deter an incident or to intervene to stop an incident from occurring. They involve actions and measures taken to prevent the loss of lives and property and infrastructure. Prevention involves applying regulatory requirements; applying intelligence and other information to a range of activities that may include such countermeasures as deterrence operations; heightened inspections; improved surveillance and security operations; investigations to determine the full nature and source of the threat; public health and agricultural surveillance and testing processes; immunizations, isolation, or quarantine; and, as appropriate, specific law enforcement operations aimed at deterring, preempting, interdicting, or disrupting illegal activity and apprehending potential perpetrators and bringing them to justice. For a broader definition of Prevention, see HSEEP Volume I.</p>
<p>Prevention Exercises</p>	<p>Prevention exercises can be either <i>discussion-</i> or <i>operations-based</i> and may focus on issues that pertain to information and intelligence sharing, credible threats, surveillance, and/or opposing force or <i>Red Team</i> activity.</p>

Project Management Timeline	The Project Management Timeline is a tool that lists key dates and milestones, as well as critical exercise planning responsibilities, agreed upon by the <i>exercise planning team</i> .
Props	Props are non-functional replications of objects. The presence or discovery of props requires certain actions by exercise <i>players</i> . Examples of props include simulated bombs, bomb blast debris (i.e., shrapnel), mannequins or body parts, and foam bricks and beams. Simulants that mimic the effects of chemical or radiological hazards or that cause a positive reading of an actual detection device are also considered props.
Protection	The Protection mission area includes actions to reduce the vulnerability of critical infrastructure or key resources in order to deter, mitigate, or neutralize terrorist attacks, major disasters, and other emergencies. Protection focuses on deterrence, mitigation, and <i>response</i> -oriented activities to prevent an attack from occurring, whereas prevention centers on the recognition of threats via information sharing and intelligence analysis.
Public Announcement	A public announcement is given to the public before any <i>operations-based</i> exercise to alleviate confusion for passing motorists and pedestrians and help the public avoid congestion near the exercise site by providing suggestions for alternate routes. Announcements can be made on local television or radio, in local newspapers, through mass mailings or pamphlets, and/or on signs near the exercise site.
Purpose	The purpose is a broad statement of the reason the exercise is being conducted. The purpose should explain what capabilities are to be assessed, evaluated, or measured.
Quick Look Report (QLR)	The QLR is an abbreviated version of the AAR that provides commanders and/or senior leadership a preliminary “snapshot” of issues arising from operations, exercises, or training events. The QLR documents the results of the hotwashes and highlights preliminary areas for improvement and strengths. The QLR also identifies issues that require immediate attention beyond the unit’s capability to correct.
Recommendations	Recommendations are developed to address the areas for improvement identified during an exercise and are listed in the <i>AAR/IP</i> .
Readiness	Readiness is the ability to execute day-to-day operational missions.

<p>Recovery</p>	<p>Recovery consists of short-term and long-term phases. Unless otherwise stated, Coast Guard exercises involving recovery focus on the short-term phase. Short-term recovery covers the period during which impacted infrastructure and supporting activities within the incident area have been returned to service and are capable of operations or service at some level. Initial activities, policies, or mitigation strategies aimed at recovery are notionally considered to be achievable in 90 days or less. Principal Coast Guard activities include restoration of infrastructure and navigation systems, mitigation of effects of oil and hazardous materials spills, and facilitation of recovery of the Marine Transportation System. Long-term recovery covers the period in which infrastructure and supporting activities have been returned to pre-incident conditions or service, or have the capacity or capability to operate or provide service at pre-incident levels. Activities, policies, or mitigation strategies aimed at long-term recovery may take longer than 90 days. Long-term recovery as used here parallels long-term community recovery measures associated with National Response Framework Emergency Support Function (ESF) #14. For a broader definition of recovery, see HSEEP Volume I.</p>
<p>Red Team/ Opposition Force (OPFOR)</p>	<p>The Red Team, or opposition force (OPFOR), is a group of subject matter experts (SMEs) from various appropriate disciplinary backgrounds who provide an independent peer review of plans and processes, act as the adversary’s advocate, and knowledgeably role-play the adversary using a controlled, realistic, interactive process during operations planning, training, and exercising. In <i>prevention</i> exercises, this group of operators adapt to player decisions and actions according to the prescribed adversary’s motivations and tactics, which often provide players with instant feedback.</p>
<p>Red Team Planning Conference</p>	<p>The Red Team Planning Conference, conducted in preparation for a <i>prevention</i> exercise, is held to confirm safety redundancies, rules of exercise play, operational plans, and the exercise timeline.</p>
<p>Registration Area</p>	<p>The registration area is where <i>participants</i> sign in and receive exercise identification, such as badges or hats.</p>
<p>Remedial Action Issue (RAI)</p>	<p>An RAI is an issue or problem identified in an <i>After Action Report/Improvement Plan</i> that was not or could not be resolved during the course of the event. Problems related to the performance of individuals are not to be addressed and will not be identified for remedial action.</p>

Response	The Response mission area focuses on activities that address the short-term, direct effects of an incident. Response includes immediate actions to save lives, protect property, and meet basic human needs. Response also includes the execution of Emergency Operation Plans (EOPs) and incident mitigation activities designed to limit loss of life, personal injury, property damage, and other unfavorable outcomes. As indicated by the situation, response activities include: applying intelligence and other information to lessen the effects or consequences of an incident; increasing security operations; continuing investigations into the nature and source of the threat; conducting ongoing public health and agricultural surveillance and testing processes; performing immunizations, isolation, or quarantine; and conducting specific law enforcement operations aimed at preempting, interdicting, or disrupting illegal activity, and apprehending actual perpetrators and bringing them to justice.
Response Area	The response area is a large space where operations occur (e.g., decontamination, triage, treatment).
Risk	Probability, vulnerability and impact of losses linked to hazards.
Rules of Play (ROP)	In <i>prevention</i> exercises, ROP provide specific guidance for the behavior of all exercise <i>participants</i> . These rules define the boundaries for exercise play; establish limits on <i>Red Team</i> activity; ensure that useful information is gathered; and most importantly, ensure participant safety.
Safety Controller	The safety controller is responsible for monitoring exercise safety during exercise setup, conduct, and cleanup. All exercise <i>controllers</i> assist the safety controller by reporting any safety concerns. The safety controller should not be confused with the safety officer, who is identified by the incident commander during exercise play.
Scenario	A scenario provides the backdrop and storyline that drive an exercise. The first step in designing a scenario is determining the type of threat/hazard (e.g., chemical, explosive, cyber, natural disaster) to be used in an exercise. The hazards selected for an exercise should realistically stress the capabilities an entity is attempting to improve through its exercise programs. A hazard should also be a realistic representation of potential threats faced by the exercising entity. For <i>discussion-based</i> exercises, a scenario provides the backdrop that drives <i>participant</i> discussion. For <i>operations-based</i> exercises, the scenario should provide background information on the incident catalyst of the exercise.
Scope	Scope includes: type of exercise, number of entities and their level of participation, number of exercise objectives, duration, location(s) and size of exercise area of operations.

<p>Seminar</p>	<p>Seminars orient <i>participants</i> to authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and/or ideas. Seminars provide a good starting point for entities that are developing or making changes to their plans and procedures.</p>
<p>Senior Controller</p>	<p>The senior controller is responsible for the overall organization of the exercise. The senior controller monitors exercise progress and coordinates decisions regarding deviations or significant changes to the <i>scenario</i> caused by unexpected developments during play. The senior controller monitors the actions of individual <i>controllers</i> and ensures they implement all designated and modified actions at the appropriate time. The senior controller conducts the <i>Controller/Evaluator debrief</i> after the exercise and oversees the setup and teardown of the exercise.</p>
<p>Simulation Cell (SimCell)</p>	<p>The SimCell is an exercise area where <i>controllers</i> generate and deliver <i>injects</i> and receive player responses to non-participating organizations, agencies, and individuals who would likely participate actively in an actual incident. Physically, the SimCell is a working location for a number of qualified professionals who represent of non-participating organizations, agencies, and individuals who would likely participate during an actual incident.</p>
<p>Situation Manual (SitMan)</p>	<p>The SitMan is a handbook provided to all <i>participants</i> in <i>discussion-based</i> exercises, particularly <i>tabletop exercises (TTXs)</i>. The SitMan provides background information on the exercise <i>scope</i>, schedule, and <i>objectives</i>. It also presents the <i>scenario</i> narrative that will drive participant discussions during the exercise.</p>
<p>Specific, Measurable, Achievable, Realistic, Task-Oriented (SMART)</p>	<p>SMART is a set of guidelines for developing viable exercise <i>objectives</i>.</p>
<p>Spend Plan</p>	<p>The spend plan is a list of requested funding used to track exercise budgets. It is attached to the Concept of Exercise (COE) in the Contingency Preparedness System (CPS). An example of a spend plan can be found in CPS.</p>
<p>Stakeholders</p>	<p>A stakeholder is a person, group, or organization who is involved with conducting contingency operations or exercises. The term includes government partners and private entities.</p>

Standard Operational Planning Process (SOPP)	The SOPP is a systematic, standardized operational planning process that uses assessments to develop and communicate direction, priorities, and resource apportionment throughout the chain of command. The SOPP provides alignment at the Sectors, Districts, Areas, FORCECOM, Mission Support Organization, and DCO. It provides enterprise guidance, while preserving the autonomy of units to conduct operations, as events require. The principal aim of the SOPP is to ensure effective translation of strategic intent to mission outcomes.
Strategic Planning Direction (SPD)	Annual preparedness priorities are established by the Deputy Commandant for Operations (DCO) mission program managers through the SPD. The SPD is a product of the <i>SOPP</i> .
Subject Matter Expert (SME)	SMEs add functional knowledge and expertise in a specific area or in performing a specialized job, task, or skill. They help to develop a realistic and plausible <i>scenario</i> and ensure entities have the appropriate <i>capabilities</i> to respond.
Support Staff	Exercise support staff includes individuals who are assigned administrative and logistical support tasks during the exercise (e.g., registration, catering).
Tabletop Exercise (TTX)	TTXs are intended to stimulate discussion of various issues regarding a hypothetical situation. They can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the <i>prevention</i> of, <i>response</i> to, or <i>recovery</i> from a defined incident. During a TTX, senior staff, elected or appointed officials, and/or other key personnel meet in an informal setting to discuss simulated situations. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or strengthening relationships between stakeholders. <i>Participants</i> are encouraged to discuss issues in depth and develop decisions through slow-paced problem solving, rather than the rapid, spontaneous decision making that occurs under actual or simulated emergency conditions.
Tactics, Techniques, and Procedures (TTP)	TTP are the codified, specific, and measurable actions and methods that implement <i>doctrine</i> or <i>policy</i> . Tactics involve the employment and ordered arrangement of forces in relation to each other. Techniques are non-prescriptive ways or methods used to perform missions, functions, or tasks. Procedures are standard, detailed steps that prescribe how to perform specific tasks.
Target Capabilities List (TCL)	The TCL is a list of <i>capabilities</i> that provides guidance on the specific capabilities that Federal, State, tribal, and local entities are expected to develop and maintain to enhance <i>prevention</i> , <i>protection</i> against, <i>response</i> to, and <i>recovery</i> from incidents of national significance, including terrorism or natural disasters, in order to maintain the level of preparedness set forth in the <i>National Preparedness Goal</i> .

<p>Tasks</p>	<p>Tasks are specific, discrete actions that individuals or groups must complete or discuss during an exercise to successfully carry out an activity. Successful execution of performance measures and tasks, either sequentially or in parallel, is the foundation for activities, which form the basis of <i>capabilities</i>.</p>
<p>Tier I Exercises</p>	<p>These exercises are White House-directed and include mandatory participation from departments and agencies across the Federal government. Strategy and policy are the focus of Tier I exercises. There is one <i>National Level Exercise</i> and four Principal Level Exercises every year. For more information on Tiered exercises, see the National Exercise Program Implementation Plan.</p>
<p>Tier II Exercises</p>	<p>Tier II exercises are Federal/department/agency exercises focused on U.S. Government Strategy, policy, and procedural issues that require national and regional federal interagency participation, either directly or through the <i>Simulation Cell</i>. Two to three Tier II Exercises are conducted every year.</p>
<p>Tier III Exercises</p>	<p>Tier III exercises are Federal exercises with an operational, tactical, or organizational focus and have some simulation. Department participation is voluntary.</p>
<p>Tier IV Exercises</p>	<p>Tier IV exercises are non-Federal exercises and have a State, Territorial, local, tribal, or private sector focus.</p>
<p>Training and Exercise Planning Workshop (TEPW)</p>	<p>A TEPW is usually conducted in order to create a <i>Multi-Year Training and Exercise Plan</i>. During the TEPW, <i>participants</i> review priority <i>preparedness capabilities</i> and coordinate exercise and training activities that can improve those capabilities. The Multi-Year Training and Exercise Plan developed during the workshop outlines multi-year timelines and milestones for execution of specific training and exercise activities.</p>
<p>Trusted Agent</p>	<p>Trusted agents are the individuals on the <i>exercise planning team</i> who are trusted not to reveal scenario details to players prior to exercise conduct.</p>
<p>Universal Task List (UTL)</p>	<p>The UTL is a comprehensive menu of <i>tasks</i> derived from all tasks that may be performed in major incidents as illustrated by the National Planning Scenarios. Entities at all levels of government should use the UTL as a reference to help them develop proficiency through training and exercises to perform their assigned missions and <i>tasks</i> during major incidents.</p>
<p>Venue</p>	<p>A venue is the primary location of exercise conduct. In <i>operations-based</i> exercises, this is typically the facility or site the <i>scenario</i> will affect. In <i>discussion-based</i> exercises, the venue is the conference room(s) where the discussion takes place.</p>

Venue Exercise Planning Team (VEPT)	The VEPT is an EPT located at a different command level or at a geographically isolated site.
Victim/Actor	Victims/actors are typically volunteer personnel responsible for simulating a specific role in an exercise. Victims/actors are vital to creating a realistic scenario and can play a variety of roles. For example, victims/actors can simulate victims of a disaster, be civilians receiving prophylaxis, or friends and family of victims.
White Noise	In an exercise scenario, white noise includes events and information that do not pertain to development of the overall scenario event.
Workshop	The workshop, a type of <i>discussion-based</i> exercise, represents the second tier of exercises in the <i>building-block approach</i> . Workshops focus on achieving or building a product (e.g., plans, policies) and have greater participation than seminars. A workshop is typically used to test new ideas, processes, or procedures; train groups in coordinated activities; and obtain consensus.
* Indicates a term used by the Department of Defense	

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