

# **STATE AGENCY TRAINING AND EXERCISE PLAN**

*Containing the requirements for state agencies to comply  
with Executive Order No. 34*



**Connecticut Department of Emergency Services and Public Protection**

**Division of Emergency Management and Homeland Security**

**October, 2019**

## Table of Contents

Plan Maintenance and Record of Change.....	3
1. PURPOSE AND BACKGROUND.....	4
2. TRAINING GOALS.....	5
a. Required Training for State Agency Staff and Contractors Involved in Emergency Preparedness, Planning, Response, or Recovery.....	6
b. Continuity of Operations Plan (COOP) Training.....	6
c. Recommended Additional Training .....	6
3. EXERCISE GOALS.....	7
a. Small Scale Exercises and Real-World Events .....	7
b. Annual Statewide Exercise.....	8
4. SUMMARY OF STATE AGENCY EMERGENCY MANAGEMENT TRAINING AND EXERCISE REQUIREMENTS.....	8
a. State Agencies.....	8
b. DEMHS Employee Training Tracking Procedure (similar procedure can be used by other agencies).....	9
Appendix A: Example of Staff Training Spreadsheet.....	10
Appendix B: HSEEP CHART OF TYPES OF EXERCISES.....	11
Appendix C: Guidance for State Agencies Receiving EMPG Funding.....	12

**Plan Maintenance and Record of Change**

**Plan Maintenance:**

The State Agency Training and Exercise Plan review and update schedule:

Review and Update (if necessary) by Planning Coordinator and Training Unit	Update schedule
<ul style="list-style-type: none"> <li>• Review for each new administration (Governor)</li> <li>• Review if change in Emergency Management Performance Grant (EMPG) training/exercise requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Change in Administration (Governor) or:</li> <li>• Every five years</li> </ul>

See the DEMHS Administrative Plan, Appendix D Plan and Procedures Maintenance Policy for more information.

**Record of Change Log:**

Date of Change	Description	Change made by
July 2019 (initial review by Training Unit)	Updates include: adoption of NIMS by Gov. Lamont, clarification on EMPG requirements,	G. Ruggiero, R. Stewart
	links updated	

## 1. PURPOSE AND BACKGROUND

This State Agency Emergency Management Training and Exercise Plan implements Governor's Executive Order 34<sup>1</sup>, which recognizes the National Incident Management System (NIMS) as the standard system within Connecticut for the management of domestic incidents that affect the health, welfare, safety and security of the residents of Connecticut. Among other things, this Executive Order directs all State Agency Commissioners and Department Heads to work with the Department of Emergency Services and Public Protection/Division of Emergency Management and Homeland Security (DESPP/DEMHS) to ensure that: (a) all appropriate agency emergency activities and other plans follow the NIMS components, and; (b) all agency staff and contractors with roles in emergency preparedness, planning, response, or recovery are trained in the appropriate NIMS and ICS components, including active participation in planning, training, and exercises. (See Paragraph 4 of the Order.) The full text of Executive Order No. 34 can be found at:

[http://www.governor.ct.gov/malloy/lib/malloy/EO\\_34\\_NIMS.pdf](http://www.governor.ct.gov/malloy/lib/malloy/EO_34_NIMS.pdf)

This mandate is further reinforced in Connecticut General Statutes Section 28-5(e), which states:

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

Connecticut uses the Homeland Security Exercise and Evaluation Program (HSEEP) as a guide to help standardize the methodology and terminology connected with the exercise design, development, conduct, evaluation, and improvement planning. Through exercises, strengths and areas for improvement are identified, corrected, and shared as appropriate prior to a real incident. The National Preparedness Directorate of the Federal Emergency Management Agency (FEMA) maintains the HSEEP at <https://www.fema.gov/media-library/assets/documents/32326>. Appendix B, attached to this document, provides a chart of types of exercises.

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

---

<sup>1</sup> The first NIMS Executive Order was released by Governor Rell. The current Executive Order 34 was issued by Governor Malloy and adopted by Governor Lamont.

also intended to meet the training and exercise grant requirements for any state agency receiving EMPG funds, which is addressed in Appendix C.

## **2. TRAINING GOALS AND AGENCY ACTION STEPS**

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

State agency commissioners and department heads should identify employees and contractors to take this training, including (1) those who participate at their agencies to manage an incident/emergency (e.g., the agency Incident Management Team) and (2) those who may staff the State Emergency Operations Center (SEOC) (i.e., state agency liaisons to the SEOC or to a local Emergency Operations Center). A good tool to help determine who should take these courses is to review the staff rosters associated with the agency Continuity of Operations Plan (COOP) and Emergency Response Plans.

**At the State agencies level, the first step is to identify a single agency Point of Contact (POC) as the agency NIMS Training and Exercise Coordinator. The POC can reach out to DEMHS with any questions or documentation by emailing [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov).**

The next step is to identify employees and contractors who should take the required on-line courses listed on page 6. Each agency should maintain a roster of such employees, with a spreadsheet (template available on the [DEMHS](#) website). It is important to keep track of completed course work, including maintaining a file of certificates of completed courses for agency personnel.

In order to assist DEMHS to maintain an overview of state agency training and exercise, state agencies will send their roster spreadsheets to the DEMHS Training Unit annually by August 1<sup>st</sup>, the traditional start of the hurricane season in Connecticut. The rosters can be emailed to [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov).

The following courses should be completed as soon as possible, but in any event within 6 months, after an individual has been hired into or assigned a role in an emergency planning, response, or recovery position at a state agency (such as serving as an agency liaison to the SEOC or on the agency incident management team).

**a. Required Training for State Agency Staff and Contractors Involved in Emergency Preparedness, Planning, Response, or Recovery**

*Independent Study Program NIMS Courses at <https://training.fema.gov/is/crslist.aspx> latest revision. (Note: Completion of prior revision of these courses is acceptable)*

- 1) IS-100.c - Introduction to Incident Command System, ICS-100 (See discipline specific IS-100 classes that may be substituted)
- 2) IS-200.c - ICS for Single Resources and Initial Action Incidents
- 3) IS-700.b - Introduction to the National Incident Management System (NIMS)
- 4) IS-800.c – National Response Framework – An Introduction

In addition, all State Agency Liaisons to the SEOC participate in annual EOC Refresher training. That training reviews the State Response Framework, SEOC operations and procedures, and the WebEOC online situational awareness system. This training is usually held in August of each year.

**b. Continuity of Operations Plan (COOP) Training**

Each state agency has a Continuity of Operations Plan (COOP), in order to determine agency staffing and priorities in an emergency situation affecting agency functions. The following FEMA independent study courses provide good background on continuity of operations planning:

- 1) IS 546: Continuity of Operations Awareness Course
- 2) IS 547: Introduction to Continuity of Operations

**c. Recommended Additional Training**

The following professional development series courses are a valuable resource to generally enhance emergency preparedness and leadership skills.

*Professional Development Series at <https://training.fema.gov/is/searchis.aspx?search=PDS>*

- 1) IS-120.c An Introduction to Exercises
- 2) IS-230.d Fundamentals of Emergency Management
- 3) IS-235.c Emergency Planning
- 4) IS-240.b Leadership & Influence
- 5) IS-241.b Decision Making and Problem Solving
- 6) IS-242.b Effective Communication
- 7) IS-244.b Developing and Managing Volunteers

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

- 1) ICS-300- Intermediate Incident Command System for Expanding Incidents
- 2) ICS-400- Advanced Incident Command System for Complex Incidents.

ICS-300 and ICS-400 are multi-day courses that are offered at locations in Connecticut throughout the year. Scheduled courses can be found on-line at the DEMHS web site. If you are interested in learning more about ICS training or scheduling a course, please contact DEMHS at [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov)

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

- 1) IS 702.a - NIMS Public Information Systems
- 2) IS-703.a - NIMS Resource Management
- 3) IS 706 - NIMS Intrastate Mutual Aid - An Introduction

Additional elective training including but not limited to self-study NIMS courses *within the Independent Study Program* at <https://training.fema.gov/is/crslst.aspx>

- 1) IS-393.b: Intro to Hazard Mitigation
- 2) IS-634: Intro to FEMA's Public Assistance (PA) Program

*Professional Development Series* at <https://training.fema.gov/is/crslst.aspx>

- 1) IS-130 Exercise Evaluation and Improvement Planning
- 2) IS-139 Exercise Design

Other Incident Specific Recommended Training

- 1) IS 003: Radiological Emergency Management
- 2) IS 403: Introduction to Individual Assistance (IA) (DF-103)

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

### **3. EXERCISE GOALS**

#### **a. Small Scale Exercises and Real-World Events**

In order to meet EMPG requirements and the directives of the Governor's Executive Order, state agencies that (1) participate in the Governor's Unified Command; (2) have a client base or provide a public service that could be affected by a disaster, or; (3) have resources that could be used in preparation for, response to, or recovery from, a disaster, should participate in the annual Governor's Emergency Planning and Preparedness Initiative (EPPI) Statewide Exercise, as well as at least one other exercise or actual activation of the SEOC or agency Incident Management Team per year. All employees who might have a role in an emergency, including senior leadership, should participate.

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

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

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

In order to assist DEMHS to maintain an overview of state agency training and exercise, state agencies will email a spreadsheet of their exercise participation over the previous calendar year, as well as any AAR/IPs, to the DEMHS Training Unit annually by January 1<sup>st</sup> of each year. A fillable form will be available on the DEMHS website. Please send these emails to: [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov).

#### **b. Annual Statewide Exercise**

As described above, the State of Connecticut, working through DEMHS, holds at least one full scale statewide exercise annually, known as the Governor's Emergency Planning and Preparedness Initiative (EPPI) Exercise. DEMHS submits an after-action report and participation roster to FEMA upon completion.

### **4. SUMMARY OF STATE AGENCY EMERGENCY MANAGEMENT TRAINING AND EXERCISE REQUIREMENTS**

#### **a. State Agencies**

- 1) Designate a single agency Point of Contact (POC) as the agency NIMS Training and Exercise Coordinator, and provide that name to the DEMHS Training Unit at [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov);
- 2) Identify and train appropriate personnel in the basics of the National Incident Management System, and provide opportunities for optional course work, and review and update this list at least annually;
- 3) Maintain records of training participation, including an employee training spreadsheet, submitted annually to the DEMHS Training Unit by August 1st;
- 4) Participate in the annual Statewide EPPI Exercise, and in 1 other exercise or EOC activation;
- 5) Maintain records of exercise participation, including a spreadsheet of agency exercise participation and After-Action Reports/Improvement Plans, submitted to the DEMHS Training Unit annually by January 1<sup>st</sup> for the previous year.



**b. DEMHS Employee Training Tracking Procedure (similar procedure can be used by other agencies)**

- 1) It is the responsibility of each DEMHS employee to keep a copy of all course certificates received.
- 2) Upon completion of a course, each DEMHS employee will scan the certificate, create a PDF file and e-mail to the Training Unit at [demhs.training@ct.gov](mailto:demhs.training@ct.gov) .
- 3) If a DEMHS employee receives an e-mail for a certificate for an ISP course from FEMA, or e-mailed certificate from another source, that e-mail should be forwarded to the Training Unit at [demhs.training@ct.gov](mailto:demhs.training@ct.gov) .
- 4) A FEMA EMI transcript listing completed ISP courses is acceptable instead of the individual course certificates, as the FEMA EMI transcript is the official record of all ISPs taken. FEMA EMI transcripts may also be scanned and e-mailed to [demhs.training@ct.gov](mailto:demhs.training@ct.gov) .
- 5) Each employee will be required to complete and send to EMI a transcript request form on an annual basis.
- 6) The DEMHS Training Unit will file the certificate or transcript PDF in a secure folder on the "G" drive. Each DEMHS employee will have a folder, with the name of the folder being the last name, and first initial for the employee.
- 7) For required training, the Training Unit, in conjunction with the Emergency Management Program Specialist administering the EMPG program, will keep a summary spreadsheet of courses defined as 'required' in Section I of this document. The spreadsheet will list each employee, all required courses for the employee, and completion dates for those courses that the employee has completed.

If you have any questions, please do not hesitate to contact DEMHS at [DEMHS.TrainingandExercise@ct.gov](mailto:DEMHS.TrainingandExercise@ct.gov)

# State Agency Training and Exercise Plan 2019

## Appendix A: Example of Staff Training Spreadsheet

This table tracks the staff and mandatory training required under the EMPG and Web EOC Training Required by DEMHS. Dates completed are shown in the boxes opposite each staff member.			ICS 100	ICS 200	ICS 700	ICS 800	IS 120	IS 230	IS 235	IS 240	IS 241	IS 242	IS 244	Web EOC 8.0 Training	PERCENT COMPLETION	Full Scale EPP1	Exercise #1 or EOC Activation	%	TOTAL %
No.	Name	Funding Source																	
3																			
4	1																		0.00%
5	2																		0.00%
6	3																		0.00%
7	4																		0.00%
8	5																		0.00%
9	6																		0.00%
10	7																		0.00%
11	8																		0.00%
12	9																		0.00%
13	10																		0.00%
14	11																		0.00%
15	12																		0.00%
16	13																		0.00%
17	14																		0.00%
18	15																		0.00%
19	16																		0.00%
20																			0.00%

## Records Available From Training Unit Upon Request

**Appendix B: HSEEP CHART OF TYPES OF EXERCISES**

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

## **Appendix C: Guidance for State Agencies Receiving EMPG Funding**

[NOTE: At this time, only two state agencies receive EMPG funding (DESPP and the Civil Air Patrol), so this guidance does not apply to most agencies.]

### **1. REQUIRED TRAINING (Agency staff funded by EMPG)**

*Independent Study Program NIMS Courses at <https://training.fema.gov/is/crslist.aspx> latest revision. (Note: Completion of prior revision of these courses is acceptable)*

- 1) IS-100.c - Introduction to Incident Command System, ICS-100 (See discipline specific IS-100 classes that may be substituted)
- 2) IS-200.c - ICS for Single Resources and Initial Action Incidents
- 3) IS-700.b - Introduction to the National Incident Management System (NIMS)
- 4) IS-800.c – National Response Framework – An Introduction

*Professional Development Series at <https://training.fema.gov/is/searchis.aspx?search=PDS>*

(Note: The following courses are required for all EMPG- funded personnel, regardless of unit assignment within DESPP or other position.)

- 1) IS-120.c An Introduction to Exercises
- 2) IS-230.d Fundamentals of Emergency Management
- 3) IS-235.c Emergency Planning
- 4) IS-240.b Leadership & Influence
- 5) IS-241.b Decision Making and Problem Solving
- 6) IS-242.b Effective Communication
- 7) IS-244.b Developing and Managing Volunteers

The following FEMA independent study courses are required for DEMHS personnel:

- 1) IS-546.a: Continuity of Operations Awareness Course
- 2) IS 547.a: Introduction to Continuity of Operations

### **2. MEASUREMENT METHOD**

#### **a. Percent completion**

By the EMPG-funded agencies in an exercise series of one exercise or EOC activation and one full-scale exercise (the annual state-wide EPPI meets this requirement) in a 12-month period (to include response to any real-world events) will be tracked on a quarterly basis.

**b. Submission of an AAR/IP**

For the one exercise or activation and one full-scale exercise that includes a list of corrective actions and lessons learned, submitted to FEMA via HSEEP.gov. A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the Quarterly Performance Progress Report submitted to the DEMHS Training Unit.

**2. REPORTING**

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

State agencies receiving EMPG funding will report quarterly in the Quarterly Performance Progress Report the percent completion of the progressive exercise series to include percent completion of personnel participation. These agencies will submit AAR/IPs for the 1 exercise or EOC activation and one full-scale exercise (state-wide EPPI exercise) to include corrective actions to the training unit. For real world events EMPG-funded agencies will also submit an AAR/IP and staff roster.

**a. Training Data Table**

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

State Agency Training and Exercise Plan 2019

Table 1– Training Data Table Example Template

FY 2018 Training Data Table Template Name of Training	Number of Personnel Trained	Number of EMPG Program funded personnel	Number of EMPG Program supported Personnel Trained	Training Aligned to Multi-Year Training and Exercise Plan and NPG Core Capabilities? (Yes/No)
NLE Exercise on XX/XX/2018	8	4	8	Yes
Millstone Rehearsal on XX/XX/2018	8	8	8	Yes
Millstone Exercise on XX/XX/2018	8	8	8	Yes
EPPI Exercise on XX/XX/2018	27	27	27	Yes
Activation on XX/XX/2018	32	29	32	Yes

(Adopted from FEMA, 2012)

State Agency Training and Exercise Plan 2019

Table 2 - Exercise Data Table Example Template

Type of Exercise	Number of Exercises	Number Counting Towards Multi-Year TEP	Number of EMPG Program Funded Personnel	Number of EMPG Funded Personnel Participating	Name of Description	Exercise Aligned to SRF and NPG Core Capabilities. (yes/no)
<b>Discussion Based</b>						
<b>Seminar</b>						
AAR Complete						
Corrective Action identified						
<b>Workshop</b>						
AAR Complete						
Corrective Action identified						
<b>Tabletop Exercise (TTX)</b>	2	2	35	8	Millstone Rehearsal and Exercise	Yes
AAR Complete	Yes					
Corrective Action identified	Yes 50% Complete					
<b>Game</b>						
AAR Complete						
Corrective Action identified						
Progress made towards addressing Corrective Actions. Please indicate at least the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more detail if satisfactory progress has not been made.						
<b>Drill</b>	1	1	35	4	NLE Exercise	Yes
AAR Complete						
Corrective Action identified						
<b>Functional Exercise</b>	1	1	35	27	REP	Yes
AAR Complete	Pending					
Corrective Action identified	Pending					
<b>Full-Scale Exercise</b>	2	2	35	35	Real world	Yes / No
AAR Complete	Yes					
Corrective Action Identified	Yes 25% Complete / Pending					
Progress made towards addressing Corrective Actions. Please indicate the percentage progress made towards the addressing the findings and recommendations of the AAR. Provide more detail if satisfactory progress has not been made.						