



To: Town Officials and Managers of Emergency Response Organizations
From: Jessica Stolz, Northern Planner, Homeland Security Unit
Date: May 2, 2008
Subj: FY 2006 State Homeland Security Grant – Exercise Funds

As a part of the Fiscal Year 2006 State Homeland Security Grant from the U. S. Department of Homeland Security (DHS), The Department of Public Safety, Homeland Security Unit (HSU), set aside \$175,000 in federal funds for all hazard exercises for local towns and response organizations, including fire, police, and emergency medical services (EMS). The attached Request for Proposal (RFP) outlines the requirements for the exercise grants.

The HSU Exercise Program offers exercises as an instrument to train for and practice prevention, vulnerability reduction, response, and recovery capabilities in a risk-free environment. These exercises can also be used to assess and improve performance and can be an excellent way to demonstrate community resolve to prepare for disastrous events.

In support of HSU's mission, the Exercise Program delivers expert assistance to local governments and their State partners, by providing direct support for exercise design, development, conduct, evaluation, and improvement planning.

Exercise funds may be requested to support and assist with exercise-related activities such as—

- Developing an multi-year Training and Exercise Plan
- Developing exercise documentation
- Designing exercise scenarios
- Facilitating planning meetings and exercise conduct
- Developing After Action Reports (AAR) and Improvement Plans (IP).

The HSU has developed guidelines regarding exercises to ensure that all departments in the state benefit from these grants. Please refer to the RFP for the guidelines.

The deadline for submitting exercise grant proposals is June 9, 2008. Proposals received after that date may not be eligible for consideration for the grants. Proposals will only be accepted electronically. To facilitate processing, grant proposals must be emailed to Jstolz@dps.state.vt.us

Please ensure that your exercise proposal matches your organization's plan and procedures for response to and/or prevention of an all hazard event. The HSU encourages local response organizations to coordinate exercise proposals with the appropriate departments in their mutual aid district as well as with local emergency planning committees and other regional response entities.



The FY 2006 Exercise Sub-grants will be awarded on a competitive basis; therefore it is possible that not all applicants will receive funding for their proposals from this offering of federal exercise funds.

Additional information on State and Local Preparedness Planning, Training, Exercising and Funding issues can be obtained at www.vthomelandsecurity.org. If you have any questions or require additional information, please contact the Homeland Security Unit at (802) 241-5094 or jstolz@dps.state.vt.us.

C: Tom Tremblay, Commissioner of Public Safety
Col. James Baker, Director Vermont State Police
Public Safety District Coordinators
Capt. Christopher Reinfurt, Director, HSU
Melisa Jenkins, DPS Administrative Officer



Request for Department of Homeland Security Exercise Grant Proposals
Fiscal Year 2006

INTRODUCTION

The purpose of this request is to obtain proposals from local Vermont towns, fire, police, and emergency medical (EMS) response organizations for discussion based exercises to examine plans and procedures that will enhance their capability to respond to or prevent potential all hazard incidents.

Grants are provided from 100% federal funds, therefore no match will be required.

All local discussion based exercise proposals will be evaluated by a review board composed of Exercise Subject Matter Experts. Once applications are approved, they will be sent on to the appropriate Local Emergency Planning Committee (LEPC) for review and comments. Discussion based exercise sub-grant awards will be selected based upon the best use of grant funds in the interest of the State of Vermont. Proposals must address the requirements of the scope of work in order to be eligible. Applicants who are not NIMS compliant will not be considered.

Discussion based exercise awards will be based on rating factors. Specifically, the following rating factors will be considered:

- **Current Exercise Program Status** – Exercise requests should be based on existing documents and plans, including state and local multi-year exercise plans.
- **Program Goals and Objectives** – Exercises should focus on prevention, preparedness, response, and recovery related to terrorism or all-hazard catastrophic incidents.
- **Exercise Program Doctrine** – Direct support requests must clearly demonstrate how the proposed exercise is Homeland Security Exercise & Evaluation Program (HSEEP)-compliant, and how it will fit into the overall State Exercise Plan and cycle of activity that includes exercises of increasing levels of complexity.

REQUIREMENTS FOR SUBMISSION

**The grant proposals must be submitted to the following email address by
June 9, 2008: Jstolz@dps.state.vt.us**

All organizations submitting grant proposals will be notified by electronic mail of the disposition of their proposal within 30 days. All proposed awards will also be posted on the HSU website at www.vthomelandsecurity.org.



SCOPE OF SERVICES REQUESTED/PROPOSAL FORMAT

Roles and Responsibilities

A detailed list of exercise responsibilities is outlined in Appendix A. The jurisdiction receiving the grant award will be expected to provide logistical support for all exercise related events. The VTHSU Staff will provide the exercise documentation and facilitation in accordance with HSEEP.

This grant can not be used to pay for personnel costs as it relates to exercise development, conduct or follow-up activities.

Appendix C provides an exercise timeline to help in the development of exercises.

Please use the following format for your grant proposal:

1. Provide the name of the Jurisdiction requesting the exercise and exercise point of contact.
2. Provide the specific location of where the exercise play is to take place. If a location is not yet known, please provide the city and state.
3. Provide the date, preferred date, or estimated date of exercise conduct.
4. Indicate the type of discussion based exercise being applied for. If a series of exercises or if a Training and Exercise Plan Workshop (TEPW) or HSEEP Training is being applied for, please indicate. Appendix B provides discussion based exercise type definitions.
5. Provide a short justification on why you are requesting the type(s) of exercise you are.
6. Indicate the scope of the exercise.
 - a. Single Local Jurisdictions (Only local agencies are included in play)
 - b. Multiple Local Jurisdictions (Only local agencies are included in play)
 - c. State/local (State and local agencies are included in play)
 - d. Federal/State/local (Federal, State, and local agencies are included in play)
 - e. Tribal (Tribal nations recognized by the Bureau of Indian Affairs are included in play)
 - f. Regional (Multiple regions within the same State and included in play)
 - g. Multi-State (One or more States are included in play)
 - h. Cross-Border (Individual or multiple States playing across international borders)



- i. Other (Please specify):
7. Indicate the focus of the exercise.
 - a. Prevention
 - b. Protection
 - c. Response
 - d. Recovery
8. Indicate the potential objectives.
9. Indicate which plans and procedures are going to be exercised and how the exercise(s) relate to your Multi-year Training and Exercise Plan.
10. Indicate if the jurisdiction has:
 - a. An Emergency Operations Plan (EOP) – If yes, the plan must be included with the proposal for direct support.
 - b. A Rapid Response Plan (RRP) - If yes, the plan must be included with the proposal for direct support.
 - c. When was the EOP last updated
 - d. When was the RRP last updated
 - e. Does the EOP have Functional Annexes
 - f. When was the last time the EOP or RRP exercised, and what type of exercise
 - g. When was the last time the Functional Annexes were exercised, and what type of exercise
 - h. When was the last time the jurisdiction’s Emergency Operations Center (EOC) was operational
 - i. Was the EOC operational for an event or an exercise
11. Indicate any training needs needed relative to this exercise request.
12. Provide a brief statement regarding the jurisdiction’s progress in implementing the National Incident Management System (NIMS), including progress on training, implementing written mutual aid agreements, and EOPs. If you are applying as a region, this statement must reflect the status of NIMS as a region or all parties who will potentially be playing.



13. List the HSU sponsored exercises the jurisdiction has participated in since 2003 and provide an update on the progress you have made on the improvement items identified in the last exercise(s)
14. Provide a brief statement as to why the proposed exercise should be funded
15. Indicate the potential list participating agencies and municipalities.
16. Justification and Budget Detail (Appendix D) for funds being requested.



Appendix A: Roles and Responsibilities

The following items are examples of support that the jurisdiction may need to provide. Not every item will be needed for every exercise, nor are all potential support needs represented.

- Identify and designate members of the Exercise Planning Team. Members of the team will be expected to use the Design and Development Program and the Corrective Action Program located online, when the programs become operational. The Exercise Planning Team should be of manageable size and should include a representative from each of the major participating jurisdictions and response agencies. For a single-jurisdiction exercise, planning team members should represent key agencies and departments. For a larger, multi-jurisdictional exercise, planning team members should include representatives from each jurisdiction and participating functional area (e.g., fire, law enforcement, medical, public works, private industry, and volunteer groups). The membership of an Exercise Planning Team should be modified to fit the type or scope of an exercise.
- Assign a lead POC for the exercise process
- Schedule planning conferences and exercise conduct
- Identify which Target Capabilities will be used as the basis for the exercise.
- Assign responsibilities and due dates for each task
- Identify participating agencies/organizations and observers
- Review documentation
- Secure facilities/rooms for exercise planning conferences
- Identify the exercise location and reserve room (e.g., conference room, banquet hall) for exercise conduct
- Arrange for food and refreshments
- Arrange for payment of the exercise evaluators, facilitators/controllers or other staff that are needed to hold the exercise
- Develop correspondence letters (e.g., participant invites, thank you letters)
- Exercise POC or other planning team member will be responsible for reporting progress back to VTHSU on a quarterly basis on improvements that have been made as a result of the evaluation of this exercise. The CAP will be the required program to help track improvements, when it becomes operational.



Specific roles and responsibilities of the jurisdiction and the Vermont Homeland Security Unit Staff are detailed below.

- Prepare all documentation (i.e., Situation Manual, Exercise Evaluation Guides, multimedia presentation) and meeting facilitation materials (e.g., agendas, presentations, and minutes) in support of two planning conferences, exercise conduct, and the After Action Conference.
- The use of the Exercise Design and Development Program online will be used to develop all exercise materials, when the program is operational.
- Post and maintain **all** materials in the DHS/ODP Secure Portal and the National Exercise Scheduling System.
- Review all materials as provided by the jurisdiction
- Conduct and facilitate a maximum of two planning conferences (Initial Planning Conference and Final Planning Conference)
- Provide facilitators to help conduct the exercise, including one facilitator per functional area or table. These individuals should also include an overall presenter during the exercise to lead the functional group discussions and ensure that participants stay focused on the exercise objectives. Facilitators provided by VTHSU **do not** serve as exercise evaluators.
- Identify, provide and assign data collectors/evaluators for exercise conduct
- Conduct Hot Wash with the Exercise Planning Team members immediately following the exercise, to see if objectives were met, and provide feedback on the exercise planning process
- Develop a draft AAR/IP based on input from evaluators and enter it into the Corrective Action Program (CAP) online when CAP is up and operational.
- Conduct and facilitate one After Action Conference
- Incorporate revisions and recommendations from the jurisdiction review of the draft AAR
- Distribute final copies of all deliverable exercise materials to DHS/ODP and jurisdiction via compact disc (CD) and/or hard copy as necessary



Appendix B: Types of Exercises

Discussion-Based Exercises

Discussion-based exercises are normally used as a starting point in the building block approach to the cycle, mix, and range of exercises. Discussion-based exercises include seminars, workshops, tabletop exercises (TTX), and games. These types of exercises typically highlight existing plans, policies, mutual aid agreements, and procedures. Thus, they are exceptional tools for familiarizing agencies and personnel with current or expected jurisdictional capabilities. Discussion-based exercises typically focus on strategic, policy-oriented issues; operations-based exercises tend to focus more on tactical response-related issues. Facilitators and/or presenters usually lead the discussion, keeping participants on track while meeting the objectives of the exercise.

Seminars

Seminars are generally employed to orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, or concepts and ideas. Seminars provide a good starting point for jurisdictions that are developing or making major changes to their plans and procedures. They offer the following attributes:

- Low-stress environment employing a number of instruction techniques such as lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, and decision support tools
- Informal discussions led by a seminar leader
- Lack of time constraints caused by real-time portrayal of events
- Effective with both small and large groups

Workshops

Workshops represent the second tier of exercises in the HSEEP building block approach. Although similar to seminars, workshops differ in two important aspects: participant interaction is increased, and the focus is on achieving or building a product (such as a plan or a policy). Workshops provide an ideal forum for—

- Collecting or sharing information
- Obtaining new or different perspectives
- Testing new ideas, processes, or procedures
- Training groups in coordinated activities
- Problem-solving of complex issues
- Obtaining consensus
- Team building

In conjunction with exercise development, workshops are most useful in achieving specific aspects of exercise design such as—



- Determining program or exercise objectives
- Developing exercise scenario and key events listings
- Determining evaluation elements and standards of performance

A workshop may be used to produce new standard/emergency operating procedures (SOP/EOP), mutual aid agreements, Multi-year Exercise Plans, and Improvement Plans (IP). To be effective, workshops must be highly focused on a specific issue and the desired outcome or goal must be clearly defined.

Potential relevant topics and goals are numerous, but all workshops share the following common attributes:

- Low-stress environment
- No-fault forum
- Information conveyed employing different instructional techniques
- Facilitated, working breakout sessions
- Plenary discussions led by a workshop leader
- Goals oriented toward an identifiable product
- Lack of time constraint from real-time portrayal of events
- Effective with both small and large groups

Tabletop Exercises

TTXs involve senior staff, elected or appointed officials, or other key personnel in an informal setting, discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation. It can be used to assess plans, policies, and procedures or to assess types of systems needed to guide the prevention of, response to, and recovery from a defined event. TTXs are typically aimed at facilitating understanding of concepts, identifying strengths and shortfalls, and/or achieving a change in attitude. Participants 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. In contrast to the scale and cost of operations-based exercises and games, TTXs can be a cost-effective tool when used in conjunction with more complex exercises. The effectiveness of a TTX is derived from the energetic involvement of participants and their assessment of recommended revisions to current policies, procedures, and plans.

TTX methods are divided into two categories: basic and advanced. In a basic TTX, the scene set by the scenario materials remains constant. It describes an event or emergency incident and brings discussion participants up to the simulated present time. Players apply their knowledge and skills to a list of problems presented the leader/moderator, problems are discussed as a group, and resolution is generally agreed on and summarized by the leader. In an advanced TTX, play focuses on delivery of pre-scripted messages to players that alter the original scenario. The exercise controller (moderator) usually introduces



problems one at a time in the form of a written message, simulated telephone call, videotape, or other means. Participants discuss the issues raised by the problem, using appropriate plans and procedures. TTX attributes may include—

- Practicing group problem solving
- Familiarizing senior officials with a situation
- Conducting a specific case study
- Examining personnel contingencies
- Testing group message interpretation
- Participating in information sharing
- Assessing interagency coordination

Achieving limited or specific objectives



Appendix C: Discussion-Based Exercise Planning Timelines

Activity	Task	Required Documentation	Volume IV Reference Materials	Relationship to Key Events & Exercise Play in Workdays/Weeks (Approximate)
Read-Ahead	Read-Ahead Packet Sent to Exercise Planning Team	Read-Ahead Packet	Planning Materials/Discussion-based Exercises	2–3 weeks before IPC (14-15 weeks before exercise)
Initial Planning Conference (IPC)	Finalize IPC Materials	IPC Presentation Agenda Sign-in Sheets Master Task List	Planning Materials/Discussion-based Exercises/Foundation/Planning Conference Materials/Initial Planning Conference	3 days before IPC (12 weeks & 3 days before exercise)
	Conduct IPC	2–4 hrs.		3 months before exercise
	Provide IPC Minutes and Master Responsibility Task List to Exercise Planning Team	IPC Minutes Master Responsibility Task List	Planning Materials/Discussion-based Exercises/Foundation/Planning Conference Materials/Initial Planning Conference	7–9 days after IPC (11 weeks before exercise)
Final Planning Conference (FPC)	Develop Draft Sitman	Draft Sitman	Planning Materials/Discussion-based Exercises/Design and Development/Documentation/Situation Manual	2 weeks before FPC (8 weeks before exercise)



Activity	Task	Required Documentation	Volume IV Reference Materials	Relationship to Key Events & Exercise Play in Workdays/Weeks (Approximate)
	Finalize FPC Materials	FPC Presentation Agenda Master Responsibility Task List Draft Sitman	Planning Materials/Discussion-based Exercises/Foundation/Planning Conference Materials/Final Planning Conference	1 week before FPC (7 weeks before exercise)
	Conduct FPC	4–6 hrs.		6 weeks before exercise
	FPC minutes sent to planning team	FPC Minutes	Planning Materials/Discussion-based Exercises/Foundation/Planning Conference Materials/Final Planning Conference	7–9 days after FPC (5 weeks before exercise)
Exercise Conduct	Finalize Sitman for DHS/ODP Review (Posted to Secure Portal)	Sitman		10 days before exercise
	Set-up Facility/Review Presentation			1 day before exercise



Activity	Task	Required Documentation	Volume IV Reference Materials	Relationship to Key Events & Exercise Play in Workdays/Weeks (Approximate)
	Conduct Exercise	Multimedia Presentation Sitman Participant Feedback Forms	Planning Materials/Discussion-based Exercises/Design and Development/Documentation/Presentation Planning Materials/Discussion-based Exercises/Conduct/Participant Feedback Form	Exercise
	Conduct Hot Wash/Debrief		Planning Materials/Discussion-based Exercises/Conduct/Hot Wash/Debrief	Exercise
AAR/Improvement Plan	Draft AAR/IP to DHS/ODP		Planning Materials/Discussion-based Exercises/Evaluation/After Action Report	3 weeks after exercise
	Draft AAR/IP forwarded to Exercise Planning Team			4 weeks after exercise
After Action Conference	Conduct After Action Conference	Presentation Improvement Plan	Planning Materials/Discussion-based Exercises/Evaluation	5 weeks after exercise
Final AAR/IP	Finalize AAR/IP and distribute to Exercise Planning Team	AAR Transmittal Letter	Planning Materials/Discussion-based Exercises/Evaluation	2 months after exercise

Appendix C: Discussion Based Exercise Timeline



Activity	Task	Required Documentation	Volume IV Reference Materials	Relationship to Key Events & Exercise Play in Workdays/Weeks (Approximate)
	Upload Final AAR/IP to DHS/ODP Secure Portal library under folder entitled 'Direct Support AARs'			2 months after exercise
Finalize all exercise materials	Copy all final exercise materials onto a CD-ROM and mail to State/local POC and DHS/ODP Exercise Manager	CD-ROM		2 months after exercise



APPENDIX D: Budget Detail Worksheet

All sub-grantees will be required to certify that federal grant funds will not replace (supplant) local funds that have been appropriated for the same purpose.

Grant funds can be applied for to cover the following (all items must be allowable under the FY06 grant guidance):

- Pay for food and/or refreshments (Average for a tabletop \$800)
- Pay for location (Average for a tabletop \$500)
- Pay for direct personnel costs of the exercise evaluators, facilitators/controllers or other staff that are needed to hold the exercise (Average for a tabletop \$700)

A. Personnel – List each position by title and name of employee, if available. Show the hourly rate. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
		TOTAL _____



B. Fringe Benefits – Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the time devoted to the project.

Name/Position	Computation	Cost
TOTAL		_____

C. Travel – Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day workshop at \$X mileage, \$X lodging, \$X subsistence). Identify the location of travel, if known. State mileage reimbursement is currently \$0.36 per mile.

Purpose of Travel	Location	Item	Computation	Cost
TOTAL				_____



D. Equipment – List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. Expendable items should be included either in the “Supplies” category or in the “Other” category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method used.

Item	Computation	Cost
		TOTAL _____

E. Supplies – List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$5,000, such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
		TOTAL _____



F. Construction – As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Check with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
		TOTAL _____



G. Consultants/Contracts

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees of \$150 a day require additional justification.

Name of Consultant	Service Provided	Computation	Cost
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Sub-total _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees. (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
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Sub-total _____

Contracts: Provide a description of the product or service to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for the sole source contracts in excess of \$25,000.

Item	Cost
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TOTAL _____



H. Other Costs – List items (e.g., rent, reproduction, telephone, janitorial or security services and investigative or confidential funds) by major type and the basis of the computation.

Description	Computation	Cost
		TOTAL _____

I. Indirect Costs – Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant’s cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant’s accounting system permits, costs may be allocated to direct cost categories.

Description	Computation	Cost
		TOTAL _____



Budget Summary – When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested.

Budget Category	Requested Amount
A. Personnel	\$ _____
B. Fringe Benefits	\$ _____
C. Travel	\$ _____
D. Equipment	\$ _____
E. Supplies	\$ _____
F. Construction	\$ _____
G. Consultant/Contracts	\$ _____
H. Other	\$ _____
TOTAL PROJECT COSTS	\$ _____