



TOPOFF 4 Private Sector Player Handbook

October 2007



Homeland
Security

**U.S. Department of Homeland Security
National Exercise Program**

**TOPOFF 4 FULL-SCALE EXERCISE
Private Sector Player Handbook**

October 9, 2007

This document is **FOR OFFICIAL USE ONLY (FOUO)**. It contains information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with DHS policy relating to FOUO information and is not to be released to the public or other personnel who do not have a valid “need-to-know” without prior approval of an authorized DHS official.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007

TOPOFF 4 (T4) FSE

Private Sector Player Handbook

FINAL—October 9, 2007

Administrative Handling Instructions

- 1. WARNING:** This document is **FOR OFFICIAL USE ONLY (FOUO)**. It contains information that may be exempt from public release under the Freedom of Information Act (5 U.S.C. 552). It is to be controlled, stored, handled, transmitted, distributed, and disposed of in accordance with Department of Homeland Security (DHS) policy relating to FOUO information and is not to be released to the public or other personnel who do not have a valid “need-to-know” without prior approval of an authorized DHS official.
2. The official title of this document is the *TOPOFF 4 Full-Scale Exercise Private Sector Player Handbook*.
3. Reproduction of this document, in whole or part, without prior approval of the T4 FSE exercise director is prohibited.
4. The DHS National Exercise Division (NED) is responsible for the planning and conduct of the T4 FSE. Mr. Bill McNally is the NED director and can be reached via e-mail at william.mcnally@dhs.gov.
5. The information contained in this plan is intended for the exclusive use of T4 FSE planners; federal, state, and local officials responsible for homeland security; and designated international planning teams responsible for coordinating and integrating T4 FSE activities with Australia, Canada, and the United Kingdom.
6. The DHS NED point of contact (POC) for this T4 FSE Private Sector Player Handbook is Ms. Sandra Santa Cosgrove (sandra.santa@dhs.gov), (202) 786-9594.
7. If you have private sector queries for this T4 FSE Private Sector Player Handbook—

Contact: Ms. Nancy M. Pomerleau
Nancy.pomerleau@dhs.gov
U.S. Department of Homeland Security
(703) 235-5191 (office)
(202) 641-4193 (mobile)

**UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007**

Dear TOPOFF 4 Private Sector Exercise Participant,

Congratulations and thank you for your participation in the Top Officials 4 Full Scale Exercise. Your efforts are greatly appreciated and very important to our collective goal of securing the homeland. This document provides important information regarding private sector participation in the exercise, including sharing your lessons learned.

Please take time to thoroughly read all of the contents of this document. You are invited to print a copy for reference, but must protect it as exercise sensitive FOUO information.

Again, we thank you very much for participating in the T4 FSE. We look forward to your important contribution to a hugely successful training event for our key players and Top Officials.

**UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007**

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Private Sector Checklist

The following private sector participant checklist describes responsibilities before, during and after the exercise.

Before the exercise:

- ◇ Review the Private Sector Player Handbook with emphasis on exercise objectives
- ◇ Register for VNN via the secure website (<https://www.llis.gov>)--see section 27 of this handbook
- ◇ Familiarize yourself with your company/association/organization exercise planner
- ◇ Familiarize yourself with the T4 FSE exercise evaluation forms at the end of this document

During the exercise:

- ◇ Record your lessons learned
- ◇ Private sector planners coordinate with the Private Sector Cell in the Master Control Cell or Venue Control Cell
- ◇ Private sector planners manage their company/association/organization players
- ◇ **NOTE: For Looking Glass ONLY, contact Mr. Larry May, larry.may@dhs.gov --** see section 18.4 of this handbook

At the conclusion of the exercise:

- ◇ Complete the lessons learned forms (see attachments) and return to—

Contact: **Ms. Nancy M. Pomerleau**
 Private.sectorT4@dhs.gov
 Exercise Director
 Partnership Outreach Division
 National Protection and Programs Directorate
 U.S. Department of Homeland Security
 (703) 235-5191 (office)
 (202) 641-4193 (mobile)
 (703) 235-5889 (facsimile)
 Lessons Learned Forms Deadline: Monday, October 22, 2007!!!

On October 29, 2007, DHS will publish on a T4 FSE “Quick Look Report” reflecting a composite of lessons learned from all exercise participants.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Table of Contents

1. Purpose.....	1
2. Exercise Implementation and Rules	1
3. Selected Definitions.....	1
4. The TOPOFF Exercise Series.....	2
5. The T4 FSE Exercise Concept/Scope.....	3
6. T4 FSE Exercise Goals.....	3
7. T4 FSE Exercise Objectives	3
8. T4 FSE Exercise Themes.....	4
9. T4 FSE Expanded Initiatives.....	4
10. T4 FSE Exercise Scenario Preview.....	4
11. Scenario Confidentiality.....	5
12. Scenario Tools.....	5
13. Schedule of Play.....	5
14. Protecting Confidential and Proprietary Information	6
15. Private Sector T4 FSE Participants.....	6
16. Private Sector Working Group or Venue Leads.....	6
17. Private Sector Objectives (National Level).....	7
18. Determining Private Sector Level and Extent of Play.....	10
18.1 Full Scale Exercise	10
18.2 Functional Exercise	10
18.3 Table Top Exercise.....	11
18.4 “Looking Glass” or Closed Loop Exercise	11
19. “PCIS Simulation Cell”.....	11
20. Exercise Director and Senior Controller.....	14
20.1 Master Control Cell.....	14
20.2 Venue Control Cells.....	14
20.3 Private Sector Cell—Master Control Cell.....	14
20.4 Private Sector Cell--Venue Control Cells	15
20.5 Field Controllers	15
21. Private Sector Working Groups	16
22. Integrating the Private Sector into the Exercise	17
23. Estimated Hours/days of Private Sector Play.....	17
24. Start of Exercise Play	19
25. Free Play.....	19
26. Alignment.....	19
27. VNN Live and VNN.com Exercise News.....	20
27.1 Communication with VNN	20
27.2 Access to VNN.com through LLIS.gov	20
27.3 VNN Live	21
27.4 Contacting VNN	22
28. Communication Linkages between Public and Private Sector Players	22
29. Capturing Lessons Learned from the Exercise.....	23

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

TOPOFF 4 Full Scale Exercise **Private Sector Player Handbook**

1. Purpose

This document provides essential information for **registered private sector participants** to achieve their exercise objectives into the TOPOFF 4 Full Scale Exercise, including: concept, organizational linkages, exercise objectives, assumptions, extent of play, expected player actions, exercise execution, and information management flow for government and private sector play during the exercise.

2. Exercise Implementation and Rules

All exercise participants, including the private sector, must preface and close all electronic and telephone conversations with the phrase--“Exercise, Exercise, Exercise.” Exercise-related information is only shared with the planners and players. Playing organizations will be expected to participate and work within the exercise rules of play. Rules of play will be released ahead of the event. **Real-world emergency actions take priority over exercise actions.**

3. Selected Definitions

Players. Players are department and agency (D/A) personnel who actively respond to emergencies. During T4, they will carry out their normal roles and functions in response to scenario events.

Controllers. Controllers plan and manage exercise conduct, direct and monitor the pace and intensity of exercise play, and ensure safety and security. They monitor exercise events and provide information and instructions to players.

Evaluators. Evaluators record observations of player actions and manage data collection at each exercise venue. Evaluators are familiar with the roles and responsibilities of the players they observe, and the data they collect will support the post-exercise reconstruction and analysis. Evaluators include members of the exercise support team and personnel from participating departments and agencies.

Simulators. Simulators are control staff personnel who simulate player actions of all non-participating agencies and individuals.

Master Scenario Events List (MSEL). The MSEL is a detailed listing of scheduled events and anticipated player actions that will take place during the exercise.

National Master Scenario Events List (NxMSEL). NxMSEL is an automated system for MSEL management. During exercise execution, NxMSEL provides tools for tracking progress and for reviewing, modifying, and releasing injects to the training audience.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Virtual News Network (VNN). VNN is the mock news media for the T4 FSE. VNN Live is a satellite feed that will broadcast breaking news and interviews as the T4 FSE scenario unfolds. VNN.com is an online news source that will provide the media's perspective on events. Players will receive public media injects through VNN as would be expected during an actual terrorist event.

Extranet Secure Portal (ESP). Available online, ESP is a secure online collaboration tool that consists of an instant messenger, document library, and chat room. Controllers and evaluators will use the ESP chat room to coordinate real-time information on events and activities across exercise venues and sites.

Homeland Security Information System (HSIN). HSIN is a computer-based counterterrorism communications system connecting all 50 states, five territories, Washington, DC, and 50 major urban areas. HSIN allows all states and major urban areas to collect and disseminate information between federal, state, and local agencies involved in combating terrorism. Evaluators working in the Master Control Cell (MCC) or Venue Control Cells (VCCs) will have access to HSIN to monitor exercise play.

Common Operational Picture (COP). The COP is an application available through HSIN that allows critical decision makers to define and prioritize the information required for their operational activities and then to display that data in ways that facilitate their mission.

4. The TOPOFF Exercise Series

The Top Officials (TOPOFF) exercise is a congressionally mandated national counterterrorism exercise series comprised of a cycle of building block activities designed to strengthen the nation's capacities to prepare for, prevent, respond to, and recover from large-scale terrorist attacks. The T4 exercise series includes national seminars, a Full-Scale Exercise (FSE) that simulates multi-point terrorist attacks involving weapons of mass destruction (WMDs), and a Large-Scale Game (LSG) that focuses on medium- and long-term recovery and remediation issues resulting from the FSE.

TOPOFF provides an excellent opportunity to exercise, train, and educate top officials from Federal, State, Tribal, Territory and local governments; international agencies' and the private sector, including nongovernmental organizations.

TOPOFF supports the Homeland Security Council and the National Security Council Policy Coordinating Committee on counterterrorism and National Preparedness Exercise Subgroup's requirement for large-scale counterterrorism exercises. Public Law 106-553 authorizes the TOPOFF exercise series; concurrently, Senate Report 106-404 outlines its concept. The U.S. Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate, is responsible for designing and implementing TOPOFF.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

5. The T4 FSE Exercise Concept/Scope

The T4 FSE is a 10-day exercise involving the states of Arizona and Oregon, the Territory of Guam, various federal departments and agencies, the countries of Australia, Canada, Mexico and the United Kingdom and the private sector to achieve their training and exercise objectives.

During the T4 exercise, Guam and the State of Oregon (Portland) will play a full-scale exercise; Arizona will play a Command Post Exercise

The intelligence buildup will occur 60 days prior to the start of the exercise (STARTEX). Private sector players should assume five business days of activity following the first exercise “incident.” We expect private sector play will actively occur from October 16-18, 2007 during normal business hours.

6. T4 FSE Exercise Goals

- Assess the Nation’s capability to prevent, respond to, and recover from realistic and threat-based acts of terrorism during a national, biennial exercise series.
- Examine relationships among Federal, state, local and tribal jurisdictions and the private sector in response to a realistic and challenging series of integrated, geographically dispersed terrorist threats and acts.
- Use performance based objectives to evaluate the relationships among Federal, state, territorial, local, and tribal jurisdictions and the private sector.

7. T4 FSE Exercise Objectives

- Prevention—to test the handling and flow of operational and time-critical intelligence between agencies to prevent a terrorist incident.
- Intelligence/Investigation—to test the handling and flow of operational and time-critical intelligence between agencies prior to, and in response to, a linked terrorist incident.
- Incident Management—to test the full range of existing procedures for domestic incident management of a terrorist weapon of mass destruction (WMD) event and to improve top officials (Federal/State/local/private sector) capabilities to respond in partnership in accordance with the National Response Plan and the National Incident Management System.
- Public Information—to practice the strategic coordination of media relations and public information issues in the context of a terrorist WMD incident or incident of national significance.
- Evaluations—to identify lessons learned and promote best practices.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

8. T4 FSE Exercise Themes

- **Private Sector:** To engage the private sector in partnership with Federal/State/local responders in the full range of existing procedures for domestic incident management of a WMD terrorist event in accordance with the NRP and NIMS.
- **Mental Health:** To test and evaluate the handling of mental health issues that will/may arise during and after a terrorist event or incident of national significance.
- **Special Populations:** To test and evaluate the handling and treatment of special needs individuals during and after a terrorist event or incident of national significance.

9. T4 FSE Expanded Initiatives

- **Cyber**
 - Significant pre-FSE cyber event in each venue
 - Possible cyber integration into the T4 FSE
- **Intelligence**
 - Pre-FSE intelligence play
 - Preventable acts in each venue
- **Private Sector**
 - Expand on T3 FSE and T4 CPX experience
 - Greater participation and integration in a government response
- **Regional Development (TBD)**
 - Opportunity to exercise regional mutual aid among State and local D/As
 - Opportunity for nonstakeholders to play in the T4 FSE

10. T4 FSE Exercise Scenario Preview

The T4 FSE scenario currently involves a radiological dispersion device in the states of Arizona and Oregon and in the Territory of Guam. The Top Officials (TOPOFF) 4 (T4) Full-Scale Exercise (FSE) Scenario is derived from U.S. Department of Homeland Security (DHS) National Planning Scenario (NPS) 11, “Radiological Attack – Radiological Dispersal Devices.” The purpose of the T4 Scenario is to:

- Provide a credible adversary that emulates a current threat while maintaining enough flexibility to accommodate a broad range of participant objectives and allow for inherent exercise artificialities;
- Create a low risk environment in which senior officials at all levels of government can exercise their responsibilities under the National Response Plan (NRP);
- Set conditions to assess DHS Target Capabilities;
- Stimulate participant play and afford the opportunity to evaluate performance of critical preparedness tasks associated with DHS Prevent, Protect, Respond, and Recover missions;

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

- Provide context for the validation of operational plans and examination of emerging policy issues in a dynamic and time-critical exercise environment.

11. Scenario Confidentiality

The exercise poses politically sensitive issues and may portray detailed response plans and potential response shortcomings. Planners and participants must treat exercise-related information as sensitive and FOR OFFICIAL USE ONLY

12. Scenario Tools

Scenario tools are used to initiate and stimulate the exercise play and inject scenario events. These include a Master Scenario Events List (MSEL) that is a detailed listing of scheduled events or anticipated actions to take place during the exercise. Part of the MSEL may include scripted messages to be introduced into exercise play. A summary timeline is also available for use by Controllers and Evaluators.

13. Schedule of Play

Table 1 details the venue schedule of T4 exercise play. The start of the exercise (STARTEX) occurs at 0930 on Monday, October 15, 2007; the end of the exercise (ENDEX) is at 1800 on Saturday, October 20, 2007.

Table 1: FSE Exercise Play Schedule (Time in EDT)

Location	D-DAY	D+1	D+2	D+3	D+4	D+5
MCC	0930 – 2200 2130 – 1000	0930 – 2200 2130 – 1000	0930 – 2200 2130 – 1000	0930 – 2200 2130 – 1000	0930 – 2200 2130 – 1000	1000 – 1800
Arizona VCC		1030 – 2300 2230 – 1100	1030 – 2300 2230 – 1100	1030 – 2300 2230 – 1100	1030 – 1500	
Guam VCC	1600 – 2400	2400 – 0400 0400 – 1600 1600 – 2400	2400 – 0400 0400 – 1600 1600 – 2400	2400 – 0400 0400 – 1600 1600 – 2400	2400 – 0400 0400 – 1600 1600 – 2200	
Oregon VCC	0700 – 1900 1900 – 0700	0700 – 1900 1900 – 0700	0700 – 1900 1900 – 0700	0700 – 1900 1900 – 0700	0700 – 1900	

Some organizations will participate in only a portion of the schedule outlined in Table 1, while other organizations will participate in the entire schedule of play. The majority of the

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

local FSE exercise participation will end on Friday, October 19, 2007. Additionally, support will continue for discussion-based exercises dealing with recovery issues in the Oregon and Guam venues through approximately October 23, 2007.

14. Protecting Confidential and Proprietary Information

All company specific proprietary or confidential information requested, or provided by participating private sector organizations, is strictly voluntary—no governmental requirement is stated or implied. Local, state and federal entities are cognizant of sensitive private sector proprietary and confidential information.

To further protect proprietary or confidential information, private sector organizations may request select information be classified under the Critical Infrastructure Information (CII) Act in accordance with the Protected Critical Infrastructure Information (PCII) Program.

For further information about the PCII program, visit:

PCII Program Office

Phone: 202-360-3023

Email: pcii-info@dhs.gov

www.dhs.gov/pcii

http://www.dhs.gov/xinfo/share/programs/editorial_0404.shtm

15. Private Sector T4 FSE Participants

DHS invited all critical infrastructure (CI) and key resources (KR) sectors and several national associations or organizations and volunteer and donations management organizations impacted by the T4 FSE scenario.

16. Private Sector Working Group or Venue Leads

The exercise team contacts are shown below for private sector integration:

Mr. Nathan Rogers
TOPOFF Venue Director: Guam
National Preparedness Directorate
Federal Emergency Management Agency
(202) 786-9685, nathan.rogers@dhs.gov

Mr. Jeremy Greenberg
TOPOFF Venue Director: Oregon
National Preparedness Directorate
Federal Emergency Management Agency
(202) 786-9628, jeremy.greenberg@dhs.gov

UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Mr. Bill Schwinn
TOPOFF Venue Director: Arizona
National Preparedness Directorate
Federal Emergency Management Agency
(202) 786-9595, bill.schwinn@dhs.gov

Mr. John Aucott
TOPOFF National Private Sector Working Group Lead
National Preparedness Directorate
Federal Emergency Management Agency
(202) 786-9689, john.aucott@dhs.gov

17. Private Sector Objectives (National Level)
Written by private sector planners-- mapped to T4 Exercise Objectives

SYSTEMIC OBJECTIVES

1. Exercise procedures and protocols required for timely information flow between the Intelligence Community (IC) and relevant CI/KR owners and operators during the prevention, response, and recovery phases of a crisis/emergency including:
 - Tactical intelligence warnings and alerts from the IC to affected CI/KR decision makers;
 - Tactical information from CI/KR participants to affected state, territory, and national fusion centers (including HITRAC); and
 - Use of the IT-ISAC and other sector ISAC's as a two-way dissemination node for national-level intelligence and other tactical information

Map to Intelligence/Investigation

Map to Lessons Learned

2. Test emergency/crisis communications capabilities (e.g. GETS, WPS, CWIN) recognizing and acknowledging the inevitable adverse impact on traditional communications capabilities in the event of an incident of national significance. This will be particularly significant for first responders, health care providers, incident command post, JFO, and others during the various phases of the response, recovery, and reconstitution efforts. Given historical lessons learned, it may be valuable to utilize time intervals in the development of the injects (1st four hours following detonation; 1st 12 hours; 1st 24 hours; etc)

Map to Incident Management

Map to Lessons Learned

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

3. Test alternative information sharing capabilities recognizing and acknowledging the inevitable adverse impact (loss of access, degradation of service, etc) to traditional access during an incident of national significance. This again will be particularly relevant to first responders, command post leadership, JFO, law enforcement, health care providers, and others during the various phases of the response, recovery, and reconstitution efforts.

Map to Prevention

Map to Lessons Learned

4. Test Emergency Notification System (ENS).

Map to Incident Management

Map to Lessons Learned

5. Test the provisions of the NRP, NIMS, and respective ESF plans as it relates to actual declaration of an incident of national significance and determination of clarity and predictability regarding the triggering of the Stafford Act, Defense Production Act, et al, and what that actually means in terms of the availability of resources in the event of a crisis/emergency.

Map to Incident Management

Map to Lessons Learned

6. Test the issues of onsite access and security (credentialing, authentication, etc) for CI/KR professionals that may be necessary to evaluate damage, effect repairs, or stand up interim provisions during a crisis/emergency. Given the nature of this scenario, this objective will have both venue and national-level implications.

Map to Incident Management

Map to Lessons Learned

GENERIC OBJECTIVES

1. Test the two-way emergency communications and information sharing procedures and protocols between the ISAC's and the NICC, US CERT, HITRAC.

Map to Incident Management

Map to Lessons Learned

2. Test the capabilities and procedures for communications and information sharing between the respective ISAC's, including at times when traditional communications means are interrupted or erratic.

Map to Incident Management

Map to Lessons Learned

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

SECTOR-SPECIFIC OBJECTIVES

Water Sector

1. Exercise Water ISAC capability to rapidly and accurately provide threat warning and incident response information.

Map to Incident Management

Map to Intelligence/Investigation

Map to Lessons Learned

2. Exercise Water ISAC capability to rapidly coordinate and prepare defensive/protective recommendations to member organizations once likely attack scenario is identified.

Map to Public Information

Map to Lessons Learned

3. Establish and test two-way communications between Water ISAC and the government-established POC and other government agencies for threat and incident information.

Map to Incident Management

Map to Lessons Learned

4. Exercise coordination of response and recovery efforts among the impacted CI/KR owners and operators regarding response and recovery efforts associated with contaminated water supply.

Map to Incident Management

Map to Lessons Learned

Food & Agriculture Sector

1. Test the impact of port closures in the immediate detonation areas and nationally following the incident on food and agriculture sector

Map to Incident Management

Map to Intelligence/Investigation

Map to Lessons Learned

2. Exercise the impact on Foreign Trade (import and export) related to immediate impact areas (food products, ingredients, production and storage facilities in the affected area)

Map to Incident Management

Map to Lessons Learned

3. Exercise industry-government procedures and protocols regarding potentially contaminated food and agriculture supply chain (food products (including grain shipments); food container; shipping conveyance), as well as crops; livestock; or milk

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

production areas affected. River contamination from the incident could also adversely impact fish and shellfish.

Map to Incident Management

Map to Lessons Learned

4. Exercise procedures and protocols regarding identification and remediation efforts for food being transported through the affected area at time of incident. Open bed fresh produce carriers may be impacted by plume area.

Map to Incident Management

Map to Lessons Learned

Health Sector

1. Exercise emergency communications capabilities network with companies, biotech companies, suppliers, American Red Cross, American Hospital Association, and government agencies regarding needs and challenges in provision of pharmaceutical supplies where needed during response and recovery phases of crisis/emergency

Map to Incident Management

Map to Public Information

Map to Lessons Learned

2. Exercise supply chain challenges related to providers of care and citizens displaced from their homes and access to their medications during an event where mass evacuation or shelter-in-place is required.

Map to Incident Management

Map to Lessons Learned

18. Determining Private Sector Level and Extent of Play

Private sector exercise participants determined their level of “play” based on their exercise objectives and the following four exercise methods to achieve their objectives:

18.1 Full Scale Exercise

Actual Emergency Response Center activation and implementation of Emergency Response Plan activities. Organizations that play at this level are typically at or near the site of the “affected area” and provide response teams to participate in emergency response activities (such as fire prevention, evacuation, etc).

18.2 Functional Exercise

Activation of Emergency Operations Center/Plan at organization site without implementing emergency response actions. In this case organizations activate their central response center and begin contacting various members (players) of the Exercise Team to test the

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

effectiveness of existing plans and means for sending and receiving information, both internally and externally with the FSL governments involved in the incident.

18.3 Table Top Exercise

Notional participation by an organization’s emergency response experts through two-way information exchange by phone, email and Internet. This consists of convening in one location to discuss how an organization would respond based on the information they were receiving. Rather than implementing their plans, they discuss what they would do and did they have the communications tools in place to effectively carry out their plans while mitigating risk and minimizing the impact to the employees and the business (both short and long term).

18.4 “Looking Glass” or Closed Loop Exercise

Companies or associations who need to share exercise-related information to test their respective emergency response and business continuity plans will have a “looking glass” into the exercise. Information is exchanged within and among each of the private sector organizations and associations who may represent multiple players within a specific critical infrastructure or unique sector. This exercise type is used when variations from the master scenario are being utilized in a fashion that will not disrupt the exercise.

If you need assistance ONLY for T4 FSE Looking Glass Level of Play--

Contact: **Mr. Larry May**
 larry.may@dhs.gov
 Partnerships & Outreach Division
 National Infrastructure Protection Plan Program Management Office
 U.S. Department of Homeland Security
 (703) 235-5333 (office)
 (202) 316-7284 (mobile)

19. “PCIS Simulation Cell”

The Partnership for Critical Infrastructure Security (PCIS) is the Cross-sector Coordinating Council, as referenced in the “Sector Partnership Model” in the *National Infrastructure Protection Plan*, established to address cross-sector issues and interdependencies among the 17 Sector Coordinating Councils for the Critical Infrastructure/Key Resource (CI/KR) owners and operators.

During the exercise, the PCIS will involve private-sector subject-matter experts (SMEs) from each of the 17 CI/KR sectors. PCIS members will either participate *virtually* from their normal office location or *physically* at the MCC location in a room separate from the MCC. In

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

the latter case, up to 15 PCIS members might participate. In both cases, the PCIS Simulation Cell members will communicate with the Private Sector Cell by email or telephone.

Purpose: Simulate potential or likely critical infrastructure/key resource CI/KR decisions that could be made at international, national, and regional levels, outside the three venues played in TOPOFF 4. Feed the results of this information as potential injects, through conversation with the Private Sector Cell in the Master Control Cell. PCIS would summarize their lessons learned in a composite form, for inclusion in the T4 After Action Report and related analyses.

Concept: If the scenarios planned for TOPOFF 4 were to occur in the real world, events occurring at each of the three venues played during the exercise would have consequences beyond the venue areas of operations. Decisions made in other regions and at national and international levels would also dramatically affect the venue regions. CI/KR expertise is so specialized that it would be impossible for government control cell participants to accurately portray these extra-venue decisions and actions in the exercise. Therefore, a standing “PCIS Simulation Cell” of CI/KR subject-matter experts will augment the Private Sector control cell in the MCC to provide extra-venue context and realism by informing of consequences and decisions in the form of recommended “injects” designed to influence exercise play that will affect the three venues. The Simulation Cell will not supplant or override the decisions made by Top Officials being exercised in the venues, but will provide essential information to the Master Control Cell and for subsequent analysis, to educate Top Officials on the full context of the circumstances with which they must deal, from a private sector perspective.

Example one: After the third detonation, the representative “DHS Secretary” raises the Threat Level to Red. All modes of transportation become severely restricted, ports are closed, at least temporarily, and national and regional law enforcement agencies are placed on high alert, looking for evidence of additional attacks. The Simulation Cell will recommend MESLs to explain the realistic consequences of the impact of those national-level actions on supplies available to the venues, as well as context of closed borders and ports to decision makers in the venues. In addition, the Simulation Cell will recommend “false positive” reports as MSELs that could be generated by law enforcement, industry, and citizens eager to help.

Example two: Plumes will affect major potable water and food sources, as well as major transportation nodes. The PCIS Simulation Cell will provide estimates of contamination and its consequences, both within and outside the venue regions, and will provide simulated extra-venue decisions that will affect resources available to the venues and

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

translate these into recommended MSELs for consideration by the Private Sector Cell and as part of the PCIS lessons learned summary.

Composition: At least 1-2 participants from each CI/KR sector played in the exercise should be available 24/7 during the entire timeframe of the FSE. This availability should be via a standing phone bridge that participants will call upon notification by page, call, or immediate e-mail alert. The phone bridge should always include Private Sector control cell participation, and would be used for both single-sector decisions and multi-sector decisions based on cross-sector consequences and cascading effects discussed. The cell should be composed primarily of members of those sectors most affected by exercise events: transportation, health care, emergency services, communications, IT, water, nuclear, and food and agriculture.

Logistics: Decisions and effects developed by the PCIS Simulation Cell will be passed to overall exercise controllers, who will decide whether and how to inject them into the venues. These injects can be accomplished by:

- VNN reports from “Washington DC” or other locations outside the venues;
- VNN reports from the venues highlighting effects of shortages or border/port closures;
- E-mails or phone calls to Top Officials and their staffs;
- Direct controller inputs (restricting communications, providing “false positive” “intelligence”, etc.)

Commitment: PCIS members willing to participate should commit to being available for the entire FSE, and to participate in T4 after-action activities.

In addition to the PCIS Simulation Cell, PCIS should support TOPOFF 4 with the following activities:

- Participate in scenario development prior to the exercise, to assure inclusion of CI/KR effects
- Act as the organizing mechanism for PCIS member participation in the pre-exercise (San Diego) tabletop
- Manage a PS-only after action review. and critique of T4 after action, and publish findings.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

20. Exercise Director and Senior Controller

These persons have responsibility for managing the exercise to achieve exercise objectives. The Exercise Director and Senior Controller will manage a group of supporting Controllers at the incident site. Controllers at the venues will be responsible for monitoring play at specific incident locations and injecting designated events to specified players and player organizations. Play will result from a detailed site setup based on the exercise scenario. Controllers will act as moderators to explain or clarify the physical surroundings during play. To ensure positive exercise control, Controllers will be positioned at each venue location. A comprehensive exercise orientation will be provided to Controllers in the form of the Controller and Evaluator Orientation Meeting.

20.1 Master Control Cell

The T4 Exercise Director leads the Master Control Cell (MCC), to manage and control the exercise, working with corresponding controllers in each of the three venues. The MCC will be located in the Washington, DC area. The scope of play and number of participating agencies will require close cooperation throughout the exercise planning process. An essential element for the successful conduct of this exercise will be the integration of all exercise Controllers into a cohesive team.

20.2 Venue Control Cells

Master and Venue Control Cells (MCCs/VCCs) ensure private sector exercise play proceeds as planned and supports stated objectives. All private sector play must be registered and capable of contact by the MCC and venue VCCs

20.3 Private Sector Cell—Master Control Cell

A Private Sector Cell will exist in the Master Control Cell comprising government and T4 FSE private sector planners to address issues and queries from private sector planners at the national and venue levels to assure robust play for achievement of private sector and overall T4 exercise objectives. The Private Sector Cell will consist of five representatives from: Office of Infrastructure Protection, Partnership Outreach Division, and Partnership for Critical Infrastructure Security. The Private Sector Cell/MCC lead is:

Ms. Nancy M. Pomerleau
Exercise Director
Partnership Outreach Division
National Programs and Protection Directorate
U.S. Department of Homeland Security
Nancy.pomerleau@dhs.gov
(703) 235-5191 (office)
(202) 641-4193 (mobile)

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

The days/hours of operation for the Private Sector Cell/MCC will consist of:

- Normal exercise hours for MCC (15-19 Oct 2007)
- Two shifts—24/7 (12 hours each, 15-18 Oct 2007)
- Day shift—5 people
- Night shift—2 people

The Private Sector Cell recommends injects to the Master Controller for approval or disapproval. The persons in the Private Sector Cell will also communicate with the corresponding Venue “Private Sector Cell” representatives and private sector planners. The private sector planners, such as those populating the PCIS Simulation Cell, will act as subject matter experts and read, listen, observe and discuss with the Private Sector Cell, the unfolding exercise events. Also, they will serve as the “controller” to the T4 pre-approved exercise players within their company to enable the company to achieve its internal exercise objectives. These private sector planners may offer injects to the Private Sector Cell for consideration. The final decision on any injects is made by the Master Controller, generally the T4 Exercise Director.

20.4 Private Sector Cell--Venue Control Cells

A corresponding Private Sector Cell will exist in each of the three Venue Control Cells. The venues selected participants to populate the cells, including one private sector representative/venue. There may be a private sector representative in the venue Emergency Operations Center (EOC) either as a matter of standard operating procedures or as an “observer,” if no such procedures exist and the venues allow for such a private sector role. The purpose of involving the private sector as an observer is to give both the public and private sector a mutual awareness and understanding of the value of private sector integration to an EOC.

20.5 Field Controllers

Field controllers will monitor and manage private sector integration play within the following format:

- Each private sector organization playing in a CPX or FSE mode must provide a designated onsite planner who is knowledgeable of the scenario and will function as a field controller/evaluator to monitor play. This person must also be able to conduct two-way communications with the relevant MCC or VCC. In rare exceptions, the planner and player could be the same person. Such exceptions will be determined on a case-by-case basis.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

- Each private sector organization playing in the TTX mode must be capable of contact with a field controller who is aware of the playing organization's overall integration operations and capable of two-way communications with the relevant MCC or VCC.
- Field controllers can be mobilized from national and venue private sector planning group members and may also function as exercise evaluators.
- Field controllers will participate for the duration of the time played by the organizations they are monitoring. Organizations should plan accordingly to ensure coverage with a maximum play for private sector organizations limited to 12 hours per day from 1000-2200 hours.

21. Private Sector Working Groups

The U.S. Department of Homeland (DHS), National Preparedness Directorate, Federal Emergency Management Agency Security's integrated private sector participation in the T4 FSE, through Private Sector Working Groups (PSWG) at a national level and in each of the venues. Private sector planners included private sector companies, associations or organizations, at both the national level and in the three exercise venues. The role of these working groups was to help develop the T4 exercise to assure private sector objectives are defined and achieved and to assure active engagement of the private sector by serving as an intermediary between the private sector participants and the T4 exercise staff. Also, the working groups enabled government/private sector integration, as well as provided a working venue for identifying and addressing the impact of cascading and cross-sector effects of the scenario.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

22. Integrating the Private Sector into the Exercise

Participating private sector entities through the Private Sector Working Group have discussed their “Expected Player Actions” (EPAs) for the scenario, as these actions might occur for a similar incident, according to their internal plans, policies or procedures. The members of the national PSWG then used these EPAs as a means of crafting “injects” for the Master Scenario Event List (MSEL).¹ The integration and synchronization of MSELs from all participants forms the chronological basis of events to drive exercise play.

23. Estimated Hours/days of Private Sector Play

The Private Sector Cell at the Master Control Cell will operate 24/7, Monday-Friday, 15-19 October 2007 to address any private sector queries from planners, depending on their individual play. The venues will determine their hours of exercise play. The T4 FSE Exercise Director will declare ENDEX (end of exercise).

¹ SOURCE: Homeland Security Exercise Evaluation Program

The Master Scenario Events List (MSEL) is a chronological timeline of expected actions and scripted events (i.e., injects) to be inserted into operations-based exercise play by controllers in order to generate or prompt player activity. It ensures necessary events happen so that all exercise objectives are met.

The Simulation Cell (SimCell) is an exercise area where controllers generate and deliver injects, 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 portray representatives of non-participating organizations, agencies, and individuals who would likely participate during an actual incident.

The Master Control Cell (MCC) The MCC is the primary location from where the overall exercise will be managed and controlled, and the MCC will coordinate and manage the control cells located at each exercise venue. As the MCC is responsible for the overall management of the exercise, it will consist of those persons and necessary exercise-related equipment and materials to control all aspects of the exercise, and it will maintain constant communications with Controllers and Evaluators located at each exercise venue.

Exercise Planning Team (Planners) The exercise planning team is responsible for the successful execution of all aspects of an exercise, including exercise planning, conduct, and evaluation. The planning team determines exercise objectives; tailors the scenario to the entity’s needs; and develops documents used in exercise simulation, control, and evaluation.

Exercise Player The exercise player is someone who has an active role in responding to an incident by either discussing (in a discussion-based exercise) or performing (in an operations-based exercise) their regular roles and responsibilities.

Exercise Observers The 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 group of exercise controllers should be assigned to manage these groups. In a *discussion-based* exercise, observers may support the development of player responses to the situation during the discussion by delivering messages or citing references.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Participating private sector entities may tailor their hours of exercise engagement to suit their exercise objectives. At the national level, based on existing planning documents, estimated hours of private sector activity might include the following:

- Monday, 15 Oct, 1300-2000, EDT
- Tuesday, 16 Oct, 0800-2000, EDT
- Wednesday, 17 Oct, 0800-1700, EDT
- Thursday, 18 Oct, 0800-1700, EDT
- Friday, 19 Oct, 0800-1500, EDT

Below is a synchronized matrix summary showing all T4 FSE hours as EDT:

- National (Monday-Friday, 15-19 Oct, 24/7)
 - Hotwash, 24 Oct, DC area
- Guam (Monday-Friday, 15-19 Oct, 24/7)—event, Monday, 15 Oct, 1800 EDT
 - Response (24/7), Tuesday-Sunday, 16-21 Oct
 - Joint Field Office, Tuesday-Friday, 16-19 Oct
 - Recovery TTX, Monday-Tuesday, 22-23 Oct, Guam
 - Hotwash, Wednesday, 24 Oct, Guam
- Oregon (Monday-Friday, 15-19 Oct, 24/7)—event, Tuesday, 16 Oct, 1200 EDT
 - Intelligence Prevention, Monday, 15 Oct
 - Response (24/7), Tuesday-Friday, 16-19 Oct
 - Joint Field Office, Wednesday-Friday, 17-19 Oct
 - Recovery TTX, Monday-Tuesday, 22-23 Oct, Portland, Oregon
 - Hotwash, Wednesday, 24 Oct, Portland, Oregon
- Arizona (Monday-Friday, 15-19 Oct, 24/7)—event, Tuesday, 16 Oct, 1400 EDT
 - Response (24/7), Tuesday-Thursday, 16-18 Oct
 - Joint Field Office, Tuesday-Friday, 16-19 Oct
 - Recovery TTX, Monday-Tuesday, 22-23 Oct, Mesa, Arizona
 - Hotwash, Wednesday, 24 Oct, Mesa, Arizona
- International (TBD)

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

24. Start of Exercise Play

External stimulation for private sector networks and organizations to begin exercise play may occur through a number of channels, including a VNN breaking news bulletin, a Homeland Security advisory issued through a law enforcement or health network, or internal channels within an organization.

For unique situations requiring external stimulation beyond those shown above, a MSEL inject may be used. In these cases, a stimulant phone call or email injected into the scenario might be used to ensure that applicable organizations and players are notified and mobilized. All injects must be approved by the Master Controller.

25. Free Play

Private sector response to the scenario will not be scripted, resulting in a fluid exercise with a significant amount of “free play.” Free play provides a meaningful learning environment for performance improvement. Organizations are expected to respond in accordance with established

procedures, plans, and policies. To this end, EPAs will be captured before exercise execution for

organizations playing at the CPX and FSE levels and compared to actual response actions to identify strengths and opportunities for improvement.

26. Alignment

To align local, federal and state response mechanisms, exercise participants will in part, adhere to the National Incident Management System (NIMS), National Response Plan (NRP), and local and state emergency response protocols. Within the NRP, there are several annexes, two of which in particular have a particular bearing on the private sector:

- Private sector support annex
- Volunteer and donations management support annex

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

27. VNN Live and VNN.com Exercise News

Players will have access to mock T4 exercise news services known as VNN Live and VNN.com. These news sources will provide information on a continuous basis about the exercise events and the government and economy's responses. Two-way information exchange is allowed with other relevant participating private sector players and with identified individuals in U.S. Government agencies and, possibly, State and local agencies—all identified prior to any closed loop play. Information exchange will be primarily by e-mail or Internet, with some by phone. Prior to the exercise, a player handbook with all points of contact will be provided.

- **Starting October 1, VNN.com can be accessed 24 hours a day through the secured network at the Lessons Learned Information Sharing (LLIS) website (<https://www.llis.gov>).**
- News articles will be posted at least once a day at 12:00 p.m. ET from October 1-15.
- From October 16-19, news articles will be posted a minimum of three times a day at 8:00 a.m., 12:00 p.m., and 4:00 p.m. ET.
- Photos from T4 participants will be posted three times a day at 10:30 a.m., 2:30 p.m., and 5:30 p.m. ET.
- VNN.com will host multiple pages consisting of articles, press releases, fact sheets, media advisories, videos, and photos. All fact sheets and press releases sent to VNN.com will be posted ASAP with the time and date received marked on the document. VNN.com representatives will not edit documents in the “Inside the Response,” “The Facts,” and “VNN International” webpages.

27.1 Communication with VNN

All phone conversations with VNN Live or VNN.com representatives must start with the phrase “Exercise, Exercise, Exercise, This is an Exercise.” All written exercise materials, including press releases, media advisories, fact sheets, and e-mail communication, must prominently contain the words “*** THIS IS AN EXERCISE *** FOR OFFICIAL USE ONLY ***” on the top and the bottom of the document to ensure that no one mistakes exercise materials as reporting on a real-world event. If these words are not included, VNN.com cannot post the press release, media advisory, or fact sheet.

27.2 Access to VNN.com through LLIS.gov

To access VNN.com during the T4 FSE, players and planners **MUST register** at the LLIS.gov website (<https://www.llis.dhs.gov/signup/index.cfm>).

If you are already a registered member of LLIS.gov, you will automatically be able to access VNN.com.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

To register for *LLIS.gov*, please complete the following steps:

1. Click on the following link or cut and paste this URL into your Web browser:
<https://www.llis.dhs.gov/signup/index.cfm>
2. **Complete all required registration fields (fields with red text).**
 - In the Primary Discipline Drop-down Menu, **please select “Private Sector”**
 - For Employment Verification Contact, **please enter “Paul Feeney, Paul.Feeney@dhs.gov”**
 - For Employment Verification Phone Number, **please enter “202-282-9659”**
 - In the next block, where you are requested to enter an explanation of eligibility, **please enter the following text: “T4 FSE Participant”**
3. After completing all required fields, **click the "Submit" button.**

Please note that an *LLIS.gov* account will be required for each individual participant. Accounts cannot be created for an organization as a whole, nor can they be shared between participants.

Shortly after you submit your initial registration information, you will receive an email asking you to verify your email address, which you can do by clicking the link that is embedded in the email.

You MUST perform this step in order to complete your registration!!!

After you have verified your email address, a *Lessons Learned Information Sharing* administrator will approve your registration within two business days. You will then receive an email indicating that your account has been approved.

You will not be able to log into *LLIS.gov* until you have received this approval email!!!

If you encounter any problems, please contact the *LLIS.gov* Helpdesk at 866-476-4827 or by email at Help@llis.dhs.gov.

27.3 VNN Live

VNN Live will be sent via KU and C-Band satellite signals. Facilities that downlink the VNN Live satellite signal are responsible for contacting their facility representatives to confirm access to the equipment and technical support services necessary for viewing the VNN Live broadcast in October 2007. To downlink VNN Live a facility must participate in one of the VNN Live satellite tests prior to the FSE dates. The same satellite coordinates will be used during the tests and the FSE. A list of requirements for VNN Live satellite

UNCLASSIFIED – FOR OFFICIAL USE ONLY
T4 FSE Private Sector Player Handbook
FINAL—October 9, 2007

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

access, the satellite coordinates, and a schedule of test dates and live programming during the exercise is included separately.

27.4 Contacting VNN

Before the T4 FSE, e-mail correspondence and general questions about VNN should be sent to vnn@saic.com. Comments or concerns about VNN during the T4 FSE can be sent to vnnfeedback@saic.com.

Specific questions can be directed to a VNN representative listed below:

Suzanne Griffin
VNN Live Executive Producer
Office: 703-682-290
Cell: 910-315-9913
suzanne.p.griffin@saic.com

Kevin McCarthy
VNN Live Technical Specialist
Cell: 202-309-0859
kevinpatrickmccarthy@comcast.net

28. Communication Linkages between Public and Private Sector Players

The following government departments and agencies (D/As) and private sector associations and organizations are shown as potential private sector communication linkages during the exercise:

Federal

- DHS Private Sector Office (PSO)
- DHS Partnership Outreach Division (POD), including Infrastructure Coordination and Analysis Office Sector Specialists, Protected Critical Infrastructure Information Office, Critical Information Warning Network (CWIN), the Homeland Security Information Network (HSIN), and National Infrastructure Protection Plan Program Office, and the Office of Infrastructure Protection (National Infrastructure Coordinating Center (NICC)).
- DHS Federal Emergency Management Agency (FEMA)
- DHS Citizens Corps
- Joint Field Office (JFO)
- Sector-specific agencies for playing infrastructure such as: U.S. Department of Treasury, U.S. Department of Energy, and U.S. Department of Transportation

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

State and Local

- Possibly a State or Territory EOC (Arizona, Oregon or Guam)
- Possibly a local EOC (TBD) –

Private Sector Companies, Associations, and Networks

- Players across the Nation will include:
 - Sector Coordinating Councils (SCCs) for energy, information technology, telecommunications, finance, and others to be identified
 - Government Coordinating Councils (GCCs) that align with the SCCs
 - Information Sharing and Analysis Centers (ISACs) that align with the SCCs
 - Partnership for Critical Infrastructure (leadership of the 17 CI/KR SCCs)
 - Some members of the playing sectors
 - Various associations with broad membership and some of their members
 - Some NGOs from non-business sector
 - Some organizations that played in T3

For CI/KR at the local and state levels, private sector entities will participate through players at the following interface points, including:

- Joint Field Office
- State Emergency Operations Center
- Local Emergency Operations Center
- Regional and local level associations and networks such as local chapters of Volunteer and Donation organizations and the citizen Corps

29. Capturing Lessons Learned from the Exercise

Attachments 1-3 contain the three T4 FSE lessons learned forms for planners or players.

As part of the analysis of T4 lessons learned for the T4 After Action Report, DHS will include a chapter on private sector lessons learned. These lessons learned will be aggregated and analyzed, without attribution. The TOPOFF exercises are conducted in a no-fault, learning environment. All exercise participants may separately record lessons learned for their internal learning purposes to show achievement to their organizational exercise objectives.

Evaluation and feedback are critical to the T4 learning process. Participating private sector organizations may conduct their own in-house evaluations. The T4 evaluation team will not evaluate performance of individual private sector participants, but will explore the overall integration of private sector response into the FSL response process. The T4 After Action Report will not include those individual, organizational lessons learned.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

The TOPOFF 4 evaluation methodology is based on the Homeland Security Exercise and Evaluation Program (HSEEP) doctrine and designed to support the national goals for T4. HSEEP provides common evaluation standards and is supported by tools to assist organizations in conducting their own evaluations.

The overall T4 evaluation focuses on high-level (e.g., top official, interagency) coordination, support plans, policies, and procedures. The evaluation does not focus on individuals or organizations, but rather on how departments and agencies interact to share information and coordinate activities. Organizations are encouraged to conduct their own internal evaluations based on their specific missions, objectives, tasks, and procedures.

The evaluation of T4 will identify both strengths and areas for improvement, and is designed to support the improvement planning process that will follow the exercise. In the improvement planning process, recommendations from the evaluation After-Action Report (AAR) are used to develop a formal plan that lays out concrete steps for implementing corrective action and assigns responsibility for each step.

Table 1 shows the target capabilities that will be the focus of the evaluation.

Table 2: Target Capabilities

Component	Capability	Applicable Locations
Prevention	Information Gathering and Recognition	Law Enforcement nodes, Intel sharing nodes
	Intelligence Analysis and Production	Law Enforcement nodes, Intel sharing nodes
	Intelligence/Information Sharing and Dissemination	EOCs, Law Enforcement nodes, Intel sharing nodes
	Law Enforcement Investigation and Operations	Law Enforcement nodes
FSE	Intelligence/Information Sharing and Dissemination	EOCs, Law Enforcement nodes, Intel sharing nodes
	On Site Incident Management	Venue ICP/UCPs
	Emergency Operations Center Management	EOCs
	Emergency Public Information and Warning	JICs
	Economic and Community Recovery	EOCs

The T4 evaluation consists of the following three-step process:

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

1. **Observation and data collection.** Evaluators make observations and collect data at their assigned venues. Evaluators are responsible for recording their observations in an Evaluator Log, collecting supporting data, and providing an initial analysis of the capabilities using Exercise Evaluation Guides (EEGs).
2. **Reconstruction.** The evaluation team will use the data collected by the evaluators to build a fact-based, de-conflicted account of what happened during the exercise and why. This ensures that issues and recommendations are supported by the data.
3. **Analysis.** The evaluation team will use the reconstruction to determine what happened during the exercise and why, identify issues that arose during the exercise and their root causes, and document these findings in the After-Action Report (AAR). This analysis will support the development of actionable recommendations.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Attachment 1

Top Officials 4 (TOPOFF 4) Full Scale Exercise (FSE)
Exercise Feedback Form

In order to improve the content and delivery of future exercises in the TOPOFF series, your feedback is requested in the following areas. Using a scale of 1 to 5 (5 meaning “Strongly Agree”), please check the number you feel best expresses your opinion, or leave blank if you feel the element is not applicable. Additional comments or suggestions are solicited below this matrix and on the next page. This form is available on the VNN administrative page for download and should be emailed to t4data@cna.org. **Please include the phrase “Feedback Form” in the subject line of the email.**

Assessment Factor		Strongly Disagree			Strongly Agree	
a.	The exercise was well structured and organized.	1	2	3	4	5
b.	The exercise scenario was plausible and realistic.	1	2	3	4	5
c.	The controllers were knowledgeable about the area of play and kept the exercise on target.	1	2	3	4	5
d.	The exercise documentation provided to assist in preparing for and participating in the exercise was useful.	1	2	3	4	5
e.	Participation in the exercise was appropriate for someone in my position.	1	2	3	4	5
f.	The participants included the right people in terms of level and mix of disciplines.	1	2	3	4	5
g.	This exercise allowed my agency/jurisdiction to practice and improve priority capabilities.	1	2	3	4	5
h.	After this exercise, I believe my agency/jurisdiction is better prepared to deal successfully with the scenario that was exercised.	1	2	3	4	5

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Attachment 2
T4 FSE Lessons Learned Form

Lessons learned may be emailed to t4data@cna.org. Below is the recommended format and instructions for writing lessons learned. **Please include the phrase “Lessons Learned” in the subject line of the email.**

Observation Date (if applicable) **and Venue/Location:**

Issue:

Enter title description of observed issue.

Categorize the issue as:

1. An urgent issue that affects the agency’s ability to accomplish its stated mission
2. An additional general emergency response issue or concern
3. A lesson learned during the planning and execution of the T4 full-scale exercise.

Observation:

Enter a short factual description of the issue or problem and the results of dealing with it. Include amplifying information that answers the *who, what, where, when, why*, and *how* questions about the observation.

Lessons Learned:

The lessons learned describe the positive action taken or the temporary solution applied to the problem; they suggest a new way of doing something or a way of doing something despite the problem (e.g., new tactic used, new procedure, or new equipment setting).

Recommendation:

Describe how to repeat your success or permanently correct the problem (and who should correct it). The lessons learned could require implementing new policies and procedures, procuring new equipment, changing force structure, revising coordination relationships, improving training, etc.

Comments:

Submitting agencies may enter comments as necessary.

Submitting Agency:

Agency submitting the lesson learned.

TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

Attachment 3
TOPOFF 4 FSE Participant Feedback Form

This information is critical to helping the Evaluation Team understand what happened and why in the exercise. Without this input, the player’s perspective is lost. Your completion of this form after the exercise is greatly appreciated. This form is available on the VNN administrative page for download and should be emailed to t4data@cna.org.
Please include the phrase “Feedback Form” in the subject line of the email.

Required:

Exercise location: _____
Station/position or role: _____

Optional:

Name: _____
Dates/Shifts: _____
Office phone: _____
Office email: _____

1. Based on the exercise, list the top 3 weaknesses and/or areas that need improvement.

2. Identify the corrective actions that should be taken to address the issues identified above.

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

3. List the top three strengths or things that went well.

4. During the exercise, what was the single biggest obstacle to an effective response to the T4 FSE scenario?

5. Which tasks or activities did you have difficulty executing? Why?

6. How did you resolve these difficulties?

7. During the exercise, did you have adequate situational awareness? Why or why not?

8. What were your best sources for information?

UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007

9. What information was not available that would have been of the greatest help?

Additional comments:

**UNCLASSIFIED – FOR OFFICIAL USE ONLY
FOR EXERCISE/TRAINING USE ONLY
TOPOFF 4 (T4) FSE
Private Sector Player Handbook
FINAL—October 9, 2007**

**Top Officials 4 (TOPOFF 4) Full Scale Exercise (FSE)
Exercise Feedback Form**

(page 2)

1. Did the FSE player mix meet your expectations? If not, please explain.

2. What did you like best about the FSE overall?

3. What did you like least about the FSE overall?

4. In your opinion, how could the FSE be improved?

5. Please provide any recommendations on how this exercise or future exercises could be improved or enhanced.