



To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation and Team Spirit.

1. **PURPOSE:** This directive provides TSA policy and procedures for the Exercise and Evaluation Program, including participation in the National Exercise Program (NEP), the Homeland Security Exercise and Evaluation Program (HSEEP), and the DHS Corrective Action Program (CAP).
2. **SCOPE:** This directive applies to all TSA organizational elements (OEs).
3. **AUTHORITIES:**
 - A. Aviation and Transportation Security Act
 - B. Corrective Action Program (CAP) System Process Flow Manual
 - C. DHS HSEEP Implementation Plan
 - D. Homeland Security Exercise and Evaluation Program (HSEEP)
 - E. Homeland Security Presidential Directive-5
 - F. Homeland Security Presidential Directive-8
 - G. National Exercise Program Implementation Plan
 - H. National Incident Management System (NIMS)
 - I. National Preparedness Goal (NPG)
 - J. National Response Framework (NRF)
 - K. Target Capability List Version 2.0 (TCL)
 - L. TSA MD 3300.2, *Emergency Preparedness*
 - M. Universal Task List Version 2.1 FINAL (UTL)
4. **DEFINITIONS:**
 - A. After Action Report/Improvement Plan (AAR/IP): An agency-issued document providing program assessments, analyses, evaluation, feedback and recommendations pertaining to agency participation in such activities as exercises and training events.
 - B. Corrective Action Program (CAP) System: A web-based application that allows Federal, state, and local emergency response and Homeland Security officials to track, prioritize, and analyze corrective actions following exercises, training events, real-world events, and policy

discussions. The CAP System provides the basis for systematically identifying, analyzing, and monitoring the implementation of corrective action improvement plans.

- C. Exercises: The practice and testing of established procedures and decision-making in response to a realistic simulated scenario. There are two types of exercises, and their selection depends on the exercise participants and objectives:
 - (1) Discussion-based exercises include seminars, workshops, tabletop exercises, and games.
 - (2) Operations-based exercises include drills, functional exercises (also referred to as command post exercises), and full-scale exercises.
- D. Exercise and Evaluation Branch (EEB): A branch within the Office of Law Enforcement/Federal Air Marshal Service (OLE/FAMS), Office of Flight Operations, Emergency Preparedness Division (EPD), that is responsible for coordinating TSA participation in the design, planning, conduct, and evaluation of NEP Tier I through Tier III exercises.
- E. Five Year Exercise Schedule: A five-year calendar of national-level homeland security exercise and evaluation activities developed jointly by DHS, the Department of Defense, and other Federal departments and agencies.
- F. Homeland Security Exercise and Evaluation Program (HSEEP): HSEEP is DHS' primary program for scheduling, coordinating, and executing homeland security exercise and evaluation activities. HSEEP resources include the Policy and Guidance Volumes, I through V, which provide a comprehensive methodology and uniform terminology.
- G. Master Scenario Events List (MSEL): A list or table that chronologically displays and synthesizes key exercise events, the expected response to these events, and the associated mission essential tasks.
- H. National-Level Exercise (NLE): The annual operations-based exercises, either a Functional Exercise or a Full-Scale Exercise, for which participation by heads of departments and agencies is required under the NEP.
- I. National Special Security Event (NSSE): Federally designated events requiring special security because of their high visibility and potential attractiveness to threat elements.
- J. National Exercise Program (NEP): Enables Federal, state, and local department and agencies to align exercise programs with U.S. Government-wide priorities. NEP is under the leadership of the Secretary of Homeland Security and is categorized into four tiers reflective of priorities for interagency participation and outlines procedures for departments and agencies to follow should they want to nominate an exercise to a national level status.
- K. Organizational Element (OE): An office within TSA that is headed by a Senior Management Official (SMO) who has been designated by the Assistant Secretary of TSA, or designee, with the authority to approve actions for that office (i.e., Associate Administrator, Assistant Administrators, and their equivalents).

- L. Principal Level Exercise (PLE): A quarterly Cabinet-level exercise designed to validate policies or procedures, develop concepts or focus issues, and rehearse for specific events.
- M. Senior Officials Exercise (SOE): A series of activities typically involving other agencies, usually at the Assistant Secretary or Assistant Administrator level, which are designed to validate policies or procedures, develop concepts or focus issues, and rehearse for specific events.
- N. Simulation/Response Cell: A DHS-level activity organized to simulate decisions, communications, and actions of DHS and other Federal agencies during Federal, state and local exercises that do not receive full-scale Federal interagency participation.
- O. Top Officials Exercise (TOPOFF): A congressionally mandated, national-level, Federal Emergency Management Agency-managed, biennial exercise series designed to assess the Nation's capability to prevent, respond to, and recover from acts of terrorism, based in part on an examination of relationships among Federal, state, and local jurisdictions in response to a challenging series of integrated, geographically dispersed terrorist threats and acts.

5. RESPONSIBILITIES:

- A. The EEB is responsible for:
 - (1) Coordinating TSA participation in the designing, planning, conducting, and evaluating of NEP Tier I through Tier III exercises;
 - (2) Serving as the TSA representative at planning conferences and after action/lessons learned conferences for NEP events;
 - (3) Coordinating with TSA OEs to develop TSA NEP objectives that support TSA target capabilities;
 - (4) Assembling, collating, and presenting TSA input at MSEL development conferences for NEP Tier I through III exercises;
 - (5) Coordinating and providing control, evaluation, and simulation personnel for NEP exercises and other exercises as required;
 - (6) Assembling, collating, and presenting TSA AAR/IP inputs for use at NEP After-Action Review Conferences;
 - (7) Representing TSA on the HSEEP Steering Committee, the HSEEP Policy and Implementation Subcommittee, the HSEEP Working Group and the National Exercise Scheduling Working Group;
 - (8) Coordinating the AAR/IP process and administers CAP System when supporting both NEP and TSA internal exercises; and

- (9) Coordinating an annual TSA exercise-planning workshop and developing a TSA multi-year exercise plan.

- B. TSA OEs are responsible for providing appropriate subject matter expert representation and support to the planning, execution, and after action review/improvement planning process for exercises as required.

- C. Federal Security Directors (FSDs) and their staffs may be responsible for initiating an exercise or participating in DHS or other agency-sponsored exercises at the Federal, state and local level by:
 - (1) Notifying the Office of Security Operations (OSO), Field Operations, which in turn will notify EEB, of planned participation in DHS or other-agency sponsored exercises;
 - (2) Coordinating the level of participation including requests for support from TSA Headquarters, OSO and EEB; and
 - (3) Providing copies of AAR/IPs to EEB via OSO.

- D. OLE/FAMS Field Office and Headquarters Special Agents in Charge (SACs) and their staffs may be responsible for initiating an exercise or participating in DHS or other agency-sponsored exercises at the Federal, state and local level by:
 - (1) Notifying the EEB of planned participation in DHS or other-agency sponsored exercises;
 - (2) Coordinating the level of participation including requests for support from TSA Headquarters, with the EEB;
 - (3) Providing copies of AAR/IPs to the EEB; and
 - (4) Participating in the EEB telephonic and web-based tabletop exercises.

- E. The TSA Liaison to the North American Aerospace Defense Command-United States Northern Command (NORAD-NORTHCOM or N-NC) is responsible for:
 - (1) Providing liaison service and informing the EEB of NORAD-NORTHCOM exercise plans and objectives; and
 - (2) Developing and inputting appropriate scenario elements and MSEL injects in N-NC exercises to support TSA participation.

6. POLICY:

- A. A TSA OE shall conduct exercises in support of mission requirements, local training, or to assist Federal, state and local governments and stakeholders. Participation on all levels and types of exercises directly contributes to the accomplishment of TSA's strategic goals.

- B. All TSA OEs shall fully support the NEP, in which TSA is a key player, and shall take every opportunity consistent with operational requirements, to exercise with Federal, state and local governments and private sector stakeholders in their respective geographical areas and modes.
- C. TSA OEs shall inform OLE/FAMS, EEB of planned exercise activity to ensure visibility across TSA and coordinate any required support, as well as to assess whether TSA can leverage the activity for agency-wide benefit.

7. PROCEDURES:

- A. All TSA OEs shall communicate and/or coordinate with the EEB their planned participation in, or execution of, exercises, via their chain of command and concurrent use of the EEB email box, EEB.OLE.TSA@dhs.gov.
- B. TSA OEs shall refer and coordinate requests or questions from external agencies concerning TSA participation in NEP activities with the EEB.
- C. The TSA Assistant Secretary/Deputy Assistant Secretary shall assign corrective action items from final AAR/IP to appropriate TSA OEs for resolution.
- D. The EEB enters tracks and reports on corrective action items using the DHS CAP Program.

8. EFFECTIVE DATE AND IMPLEMENTATION: This policy is effective immediately upon signature.

APPROVAL

Signed

6/3/2008

Dana A. Brown, Assistant Administrator for Law Enforcement/
Director of the Federal Air Marshal Service

Date

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