



# Occupant Emergency Programs:

An Interagency Security Committee Guide

March 2013



Interagency  
Security  
Committee

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## Message from the Assistant Secretary

The protection of Federal employees and private citizens who work within and visit U.S. government-owned or leased facilities is one of our top national priorities. The mission of the Interagency Security Committee (ISC), comprised of 51 Federal departments and agencies, is to develop security standards, best practices, and guidelines for non-military Federal facilities in the United States of America to enhance that protection.

As Chair of the ISC, I am pleased to present the *Occupant Emergency Programs: An Interagency Security Committee Guide*. This guide provides important information to assist department and agency security planners as they develop and review Occupant Emergency Programs for the safety and security of employees and visitors at non-military Federal facilities. To further support security specialists in this effort, this guide outlines the components of an effective Occupant Emergency Program, including those items that comprise an emergency plan.

Consistent with Executive Order 12977 of 1995, this guide is intended to assist security planners for all buildings and facilities in the United States occupied by Federal employees for non-military activities. These include existing owned, to be purchased or leased facilities, stand-alone facilities, Federal campuses, and, where appropriate, individual facilities on Federal campuses and special-use facilities.

This guide represents exemplary collaboration within the ISC working group and across the entire ISC. The ISC primary members approved the document with full concurrence on December 21, 2012, and will review and update this guide as needed.

A handwritten signature in blue ink, appearing to read 'Caitlin Durkovich'. The signature is fluid and cursive.

Caitlin Durkovich  
Assistant Secretary  
Infrastructure Protection

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# 1 Background

The Federal Property and Administrative Services Act of 1949<sup>1</sup> vests the Administrator of General Services Administration (GSA) with the responsibility for protecting public buildings, property and grounds under his/her charge and control. Executive Order (E.O.) 12656 assigns emergency preparedness responsibilities to GSA. GSA initially carried out these responsibilities through the Federal Property Management Regulation (FPMR). GSA has since streamlined and clarified the FPMRs, then transferred the contents to the Federal Management Regulation (FMR), established on July 21, 1999, as Chapter 102 of Title 41 of the Code of Federal Regulations (CFR).

The CFR describe the requirements for an Occupant Emergency Program<sup>2</sup> and includes the definition of the Designated Official (DO).<sup>3</sup> These regulations “apply to Federal agencies, including the GSA’s Public Buildings Service, operating under, or subject to, the authorities of the Administrator of General Services.”<sup>4</sup> In addition to the CFRs, Federal agencies must also comply with Occupational Safety and Health Administration (OSHA) regulations,<sup>5</sup> local fire codes (leased facilities only), and the Rehabilitation Act of 1973.<sup>6</sup>

Through the development and progression of Federal agency and department Occupant Emergency Programs,<sup>7</sup> the broad language of current regulations resulted in inconsistent application and a wide range of occupant emergency plans. Combined with confusion over authority in facilities with multiple Federal tenants, this variation created concerns regarding the implementation of occupant emergency plans.

Recognizing this issue, a number of Federal coordination efforts were undertaken to resolve the inconsistencies. Further, those involved in these efforts recognized a single approach to developing and applying Occupant Emergency Programs would be beneficial. The Interagency Security Committee (ISC), in response to concerns raised by its membership for consistency, established a working group to develop standardized procedures that agencies housed in non-military Federal facilities could reference to formulate and implement an operable and effective Occupant Emergency Program.

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<sup>1</sup> 40 United States Code (U.S.C.) 486(c), as amended (2000)

<sup>2</sup> 41 CFR 102-74.230 through 102-74.260

<sup>3</sup> 41 FMR 102-71.20

<sup>4</sup> 41 CFR 102-74.5

<sup>5</sup> 29 CFR 1910

<sup>6</sup> 29 U.S.C. 794d (1973), as amended by the Vocational Rehabilitation Act (1973) and the Workforce Investment Act (1998).

<sup>7</sup> See the glossary for definitions of key terms.



## 2 Applicability and Scope

This document is issued pursuant to the authority granted to the ISC in E.O. 12977.<sup>8</sup> The E.O. directs the ISC to “take such actions as may be necessary to enhance the quality and effectiveness of security and protection of Federal facilities.”<sup>9</sup> The purpose of this document is to provide guidance for agencies housed in non-military Federal facilities in formulating and ultimately implementing an operable and effective Occupant Emergency Program.

*Occupant Emergency Programs: An Interagency Security Committee Guide* identifies and defines the basic guidelines and procedures used in establishing and implementing an Occupant Emergency Program. For the purposes of this document, an “occupant” is defined as any person permanently or regularly assigned to the government facility and displaying the required identification badge or pass for access. The Facility Security Committee (FSC),<sup>10</sup> a committee responsible for addressing facility specific security issues and approving the implementation of security measures and practices, establishes the thresholds for determining who qualifies for “occupant” status. This document is generically applicable to all buildings and facilities in the United States occupied by Federal employees for non-military activities, including buildings and facilities owned or leased, leased rooms or suites within privately owned multi-use buildings, stand-alone facilities, Federal campuses, and, where appropriate, individual facilities on Federal campuses and special-use facilities.

Federal departments and agencies are housed in different types of facilities (i.e., single-tenant or multi-tenant) or within a “campus” type environment. This document is intended to provide the initial guidance to be used by all agencies and facilities. When formulating their Occupant Emergency Program, departments and agencies may make the necessary adjustments to the basic guidelines and procedures presented to meet specific requirements or needs. Regardless of the Occupant Emergency Program developed by an agency, it should have mechanisms in place to validate the plan’s effectiveness, manage its maintenance, and ensure §508<sup>11</sup> compliance.

An occupant emergency plan is a critical component of an effective Occupant Emergency Program. The guidelines for an occupant emergency plan contained in this document are based on recognized best practices and meet the requirements of the emergency action plan required under 29 CFR 1910.38(a). For the purposes of this document, the terms “occupant emergency plan” and “emergency action plan” are interchangeable.

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<sup>8</sup> E.O. 12977, “Interagency Security Committee,” October 19, 1995, as amended by E.O. 13286, March 5, 2003.

<sup>9</sup> E.O. 12977, § 5(a)(3).

<sup>10</sup> For further information on FSCs see *Facility Security Committees, an Interagency Security Committee Standard*, 2<sup>nd</sup> edition, 2012.

<sup>11</sup> The Rehabilitation Act 29 U.S.C. 794d (1973).



### **3 Document Control**

Although this document is not designated For Official Use Only (FOUO), consideration should be given to the sensitivity of customized occupant emergency plans developed by individual agencies and departments (i.e., floor plans, specific facility information, etc.) and whether those items should be designated as FOUO.

### **4 Application of This Document**

This document is intended to provide a baseline Occupant Emergency Program and plan for non-military Federal facilities. The examples in the document are not intended to be restrictive in nature, but are provided to assist agencies and departments, and their components, in developing Occupant Emergency Programs and plans that best suit their needs. Depending on local or agency/department rules or regulations, individual Federal departments and agencies may find additional and/or more exhaustive guidance appropriate for their facilities. Further, it must be noted the baseline Occupant Emergency Program and plans outlined in this document are not intended to be all inclusive and are subject to ISC review and update. This document is intended to be used in conjunction with all other ISC standards and applicable Federal, State, local, and tribal laws.

## 5 Occupant Emergency Program

The Occupant Emergency Program establishes basic procedures for safeguarding lives and property in and around the facility during emergencies. The essential parts of the program are listed below:

### 5.1 Authority

GSA, Chair and sponsor of the working group, established the requirement for an Occupant Emergency Program for Federal facilities in 41 CFR 102-74.

### 5.2 Review

The program should be reviewed internally, annually at the very least, unless specific occurrences require more frequent reviews (e.g. change of the DO, tenants change, etc.).

### 5.3 Roles and Responsibilities Charter

#### 5.3.1 Designated Official

The following responsibilities are mandated by 41 CFR102-74:

- Develop, implement, and maintain an occupant emergency plan;
- Establish, staff, and train an Occupant Emergency Organization (OEO);
- Activate the OEO (may be delegated to the Designated Alternate Official);
- Initiate action to evacuate or relocate occupants in accordance with the plan by sounding the fire alarm or by other appropriate means; and
- Initiate appropriate action according to the plan when there is advance notice of an emergency.

Proposed clarification for execution of responsibilities:

1. Assume the duties of the Occupant Emergency Coordinator or appoint another to assume the functional responsibilities if required;
2. Ensure the appointed Occupant Emergency Coordinator is trained;
3. Review and sign the facility occupant emergency plan since the DO has overall responsibility;
4. Approve the activation of the occupant emergency plan in part or in whole either directly or through the use of written “standing orders”;
5. Represent the government’s interests to public safety/response agencies in conjunction with GSA and other key stakeholders;
6. Chair the FSC or designate a senior staff representative with decision making authority;
7. Implement direction provided by agency senior decision makers;
8. Coordinate with local emergency responders during the incident;
9. Coordinate with the security provider on facility security related matters;

10. Report relevant information to agency senior decisionmakers; and
11. Determine when occupants may re-enter Federal facilities.

### **5.3.2 Occupant Emergency Coordinator**

1. Can assume the duties as the Incident Commander during emergency incidents per the National Incident Management System (NIMS);
2. Coordinate occupant emergency plan procedures with other tenants of the facility, GSA (if applicable), the security provider, onsite contractor representatives, adjacent facilities, local fire and emergency medical services, local emergency planning committee, and local law enforcement agencies;
3. Oversee the day-to-day occupant emergency plan activities including OEO recruitment planning, testing, training, and exercises;
4. Solicit the assistance of the landlord or future landlord in the establishment and implementation of plans in leased space;
5. Ensure a process for evacuation and accountability is in place for all occupants;
6. Provide a summary explanation to senior management for possible distribution to occupants upon re-entry to the facility following an emergency;
7. Ensure the DO and alternate are trained and equipped;
8. Ensure the contact information and roster of OEO personnel is kept updated and made available to employees and occupant agencies;
9. Conduct after-action reviews and meetings to identify and coordinate any corrective measures to the plan; and
10. Ensure managers/supervisors understand their responsibilities for the safety of any visitors in the work area if the occupant emergency plan is activated.

### **5.3.3 Federal Managers and Supervisors**

1. Ensure those occupants identified as requiring assistance during an evacuation or shelter-in-place (SIP) have a customized plan that includes the assistance required, the name of the person(s) volunteering to assist, accountability protocol, type of equipment required (if any), and the evacuation route from the assigned work space;
2. Ensure those occupants under their supervision with self-identified assistance needs can be accounted for during an incident;
3. Identify any volunteer(s) willing to assist person(s) with disabilities or needing assistance;
4. Ensure that, during an emergency, all occupants in the office/suite check-in at the designated assembly area/rally point, remain there, and comply with any instructions given by the occupant emergency plan team or emergency responders;
5. Inform personnel they can re-enter the facility after the “all clear” is given;
6. Communicate management’s decisions if the facility is not able to be reoccupied at that time;
7. Ensure the safety of all occupants, employees, and visitors under their supervision;

8. Ensure new and current employees under their supervision are aware of the office specific OEO, occupant emergency plans, and actions expected during any emergency;
9. Assign an adequate number of supervisors and/or employees under their supervision to the OEO to ensure continuity of the positions during business hours and periods of emergency;
10. Participate in testing, training, and exercises, as appropriate, specific to occupant emergency plans; and
11. Notify the Occupant Emergency Coordinator and/or Floor Team Leader of any changes to the office OEO roster.

### **5.3.4 Contractors**

While on-site at a Federal facility, contractor personnel are considered occupants and, as such, are subject to all applicable safety and emergency requirements including those found in the occupant emergency plan. The use of contractors for the execution of Occupant Emergency Programs or plans will vary between departments/agencies. Due to limited personnel and/or agency/department circumstance, it is recognized there might be circumstances that would require the use of contractors in the OEO. It is up to each individual agency or department to check their contracts, legal counsel, and/or current standard operating procedures to ensure contractors are utilized appropriately.

The following addresses the roles and responsibilities of Contracting Officers, Contracting Officer Technical Representatives, and contractor personnel in the Occupant Emergency Program.

#### **5.3.4.1 Contracting Officers and Contracting Officer Technical Representatives**

1. Ensure contractor personnel are informed of how to respond to emergency notifications, including drills and exercises;
2. Ensure their requirements for such a response are included in the appropriate contract language;<sup>12</sup> and
3. Take appropriate action to address contractor shortcomings in the event contractor personnel fail to follow established emergency procedures based on the occupant emergency plan.

#### **5.3.4.2 Contractor Personnel**

1. Follow the safety instructions related to the job site including those directions concerning evacuation and SIP based on the occupant emergency plan;
2. Respond to emergency notifications and direction from OEO personnel; and
3. Treat all emergency notifications as real, requiring compliance, unless told otherwise.

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<sup>12</sup> See 29 CFR 1910.38 (f)

### 5.3.5 Single-tenant vs. multi-tenant facilities

In a single tenant facility, the senior official of the agency (or designee) is the Designated Official (DO), the highest ranking official of the primary tenant agency of a Federal facility or, alternatively, a designee selected by mutual agreement of tenant agency officials. The DO will establish, implement, and maintain the occupant emergency plan for the facility. In a multi-tenant facility, an FSC should be in place. There should be a representative from each agency housed in the facility on the FSC. The occupant emergency plan for the facility should be written with input from each agency and signed by each tenant agency representative in receipt of the plan. The overall responsibility for ensuring the occupant emergency plan is completed is the DO who may/may not also be the FSC Chairperson. In some instances, where the facility has established an FSC, that Chairperson may also be the DO if he/she is the senior representative of the primary tenant. For Federal tenants housed with emergency response components, follow the procedures addressed in the facility-specific occupant emergency plan.

## 5.4 Occupant Emergency Organization

An Occupant Emergency Organization (OEO) is a group of employees within the agency designated to undertake certain responsibilities and perform certain tasks outlined in the Occupant Emergency Program. OEO members serve as a reference for facility emergency protocols. The overall OEO structure is designed to be flexible and scalable, so that it can be tailored to the needs of the individual facility. Members of the OEO should be:

- Identified by position, allowing for continuity; and
- Provided with visual identifiers such as colored hats and/or armbands.

Staffing and training of the OEO is the responsibility of the Occupant Emergency Coordinator. Department or agency leadership should demonstrate their commitment to facility emergency preparedness and promote an atmosphere of cooperation by authorizing staff to participate in the planning and training sessions for participants of the OEO.

Managers with employees assigned to the OEO should notify the Occupant Emergency Coordinator when any member is transferred, retires, or can no longer perform their duties as an OEO member for various reasons. Managers must assign a replacement and provide his/her name and other pertinent information to the occupant emergency coordinator.

All Federal agencies are required by Homeland Security Presidential Directive-5 to use and follow the National Incident Management System (NIMS) when preparing emergency prevention, preparedness, response, recovery, and mitigation activities. NIMS is a system providing a consistent nationwide approach for Federal, State, local, and tribal governments; the private sector; and non-governmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents regardless of cause, size, or complexity.<sup>13</sup>

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<sup>13</sup> Further information on NIMS and the Incident Command Structure can be found in Appendix A.

## 5.5 Notifications/Communications

The ability to communicate with facility occupants during an incident allows responders to manage the incident. Numerous requirements regarding Federal communications capabilities exist. The following sections highlight key areas of consideration when developing individual department/agency communication strategies.

### 5.5.1 Emergency Alerts

Emergency alerts are the initial warning to facility occupants that an incident is occurring. Fire alarms are the most common and predictable and are the ones to which employees are most familiar with their required response. Alerts should incorporate a means for notifying hearing-impaired individuals. Modern facilities are equipped with strobe lights, but a paging, texting, or “buddy system” should also be considered to ensure the hearing-impaired are fully incorporated into an agency’s emergency alert.

Alerts could initiate a SIP that may require the use of multiple means for communicating the incident. A public address system would not be effective for hearing-impaired individuals, so plans must incorporate options such as a “buddy system,” text message, or computer pop-up message.

### 5.5.2 Notification

Facility occupant notifications should incorporate notifying on-site and off-site occupants with both immediate and on-going communications. An emergency incident could disrupt an agency’s capability to use the internet or electricity for other means of communication. It is recommended an agency’s communication strategy incorporate redundant means of notification such as:

- Text messages;
- Computer pop-ups;
- Public address systems;
- E-mails;
- Radios;
- Cell phones;
- Megaphones;
- Call trees;
- Recorded message on general phone number;
- Internet Website posting; and
- Local radio and television announcements.

### 5.5.3 Accountability

Having a process to account for all employees is critical for agencies to reconstitute during or after an emergency. There are a number of challenges in obtaining accountability such as

confusion at outside assembly areas/rally points, telework, and compressed work schedules. Agencies may want to consider including these steps in their communication strategy:

- Designate assembly areas/rally points where employees should gather after evacuating;
- Take a head count after the evacuation. Identify the names and last known locations of anyone unaccounted for and pass them to the official in charge;
- Ensure areas of refuge and stairwells have been checked for individuals who are permanently or temporarily mobility-challenged;
- Establish a method of accounting for non-employees such as visitors or contractors; and
- Evaluate technological methods that can provide accountability of personnel who are on leave, teleworking, or off-site.

Presently, no specific regulation addresses disciplinary action(s) for agency employees who do not follow occupant emergency plan procedures for reporting to the designated rally point/assembly area for accountability. Accountability methods vary greatly from agency to agency and, as such, should be addressed by the individual agency.

## 5.6 Testing, Training, and Exercising

The overall objective of an occupant emergency plan's testing, training and exercise (TT&E) program<sup>14</sup> is to develop, implement, and institutionalize a comprehensive, all-hazard program to improve the ability of agencies to effectively manage and execute their occupant emergency plan. The TT&E program should include policy, guidance and standards, training courses and materials, exercises of varying types and scope designed to improve the overall organizational response capability to emergency situations, as well as evaluation and remedial action programs. Specific objectives of a TT&E program may consist of:

Validate occupant emergency plans, policies, and procedures:

- Ensure all OEO staff is familiar with notification and evacuation procedures;
- Ensure OEO personnel are sufficiently trained to carry out agency operations and functions and work in an emergency environment;
- Exercise procedures by evacuating personnel to rally points/assembly areas, or areas of refuge during an emergency;
- Exercise SIP procedures;
- Test and validate communications equipment to ensure both internal and external operability; and
- Ensure agency personnel understand procedures associated with "all-clear" and re-entry into facilities.

An effective program is built on the successful integration of the items discussed below:

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<sup>14</sup>For more information on TT&E see Appendix B or the Federal Emergency Management Agency's Homeland Security Exercise and Evaluation Program at [https://hseep.dhs.gov/pages/1001\\_HSEEP7.aspx](https://hseep.dhs.gov/pages/1001_HSEEP7.aspx).



- Tests;
- Training; and
- Exercises:
  - Tabletop;
  - Drills;
  - Functional; and
  - Full-Scale.

The evaluation of an exercise should identify systemic weaknesses and suggest corrective actions to enhance agency preparedness. Following an exercise, a comprehensive debriefing and after-action report should be completed. All data collected for the TT&E program should be incorporated into a corrective action plan that provides input for annual occupant emergency plan revisions. Regardless of the plan developed by an agency, it should have mechanisms in place to validate the plan's effectiveness, manage its maintenance, and be §508 compliant.<sup>15</sup>

## 5.7 Corrective Actions and Maintenance

The Occupant Emergency Program and plan is subject to review and update on a recurring basis. Corrective actions include regular plan updates, program revision, plan rewrite, and training. Corrective Actions and maintenance also may be necessary following an exercise or incident, a change in occupant status, or other facility or occupant related activities reveal or create deficiencies in the program.

## 5.8 Special Populations

### 5.8.1 Child Care Centers

During an emergency, the primary responsibility of the child care center director or administrator is ensuring the safety of children in their care. A Federally sponsored child care center must have an occupant emergency plan. If the center is located within a Federal facility, the center's plan will be incorporated into the facility's occupant emergency plan.

The occupant emergency plan should be developed with input from required personnel (i.e., director and/or administrator, regular staff, volunteers, etc.) as applicable. A schedule for conducting routine drills of the plan should also be developed. Once the occupant emergency plan is completed, it should be reviewed periodically, updated as required, and briefed to all staff personnel. Center directors/administrators should also consider how the plan will be communicated to the families of the children.

Copies of the plan should be provided to the property management and FSC (if applicable). During an emergency, GSA child care centers should follow local guidance, warnings, or

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<sup>15</sup> See Appendix B for additional information on TT&E.

directives issued by the Federal Protective Service or other local governmental or police organization.

Additional reference information on child care centers can be found in the ISC's Child Care Centers Level of Protection Template that specifies the customized level of protection to be incorporated as the basis for security planning and is an annex to the *Physical Security Criteria for Federal Facilities*<sup>16</sup>.

## 5.8.2 Individuals Requiring Additional Assistance

There are many situations that may necessitate the provision of additional assistance in the event of an emergency, especially for individuals with either temporary or permanent mobility impairments, individuals with medical concerns, or those who may be hearing or vision impaired. The needs of these individuals must be considered and adequately addressed in all aspects of occupant emergency plan development, implementation and practical application.

Any actions taken during activation of the plan must be as effective for individuals with disabilities as those actions provided for the other occupants of the facility. Applicable laws and regulations include but are not limited to:

- The Americans with Disabilities Act of 1990;<sup>17</sup>
- The Rehabilitation Act of 1973;
- E.O. 12196 "Occupational Health and Safety for Federal Employees" 1980; and
- E.O. 13347 "Individuals with Disabilities in Emergency Preparedness" 2004.

### 5.8.2.1 Occupant Emergency Planning

When developing or making changes to an occupant emergency plan, it is imperative the needs of individuals with disabilities be addressed throughout the process. The following are some considerations and actions to ensure the needs of these individuals are met:

- Consult with individuals with disabilities in all phases of plan development;
- Develop a plan for communications to addresses communication needs before, during, and after an emergency, that includes notification protocols and procedures for those that are hearing or vision impaired;
- Emergency response team members should be aware of the needs of individuals with disabilities and be prepared to provide additional assistance if required; and
- Encourage individuals with disabilities to create a personal emergency preparedness plan and identify office colleagues willing to provide assistance in the event of an emergency.

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<sup>16</sup> Interagency Security Committee, Physical Security Criteria for Federal Facilities, an Interagency Security Committee Standard, Washington D.C.: U.S. Department of Homeland Security, 2010. To request access to this document, individuals may submit their request in writing to ISCAccess@dhs.gov.

<sup>17</sup> 41 U.S.C. § 12101 et. seq. (1990), as amended.

Any ongoing medical concerns or necessary medication should be a component of this individual plan;

- Provide an opportunity for individuals with disabilities to practice evacuation and SIP prior to formal drills;
- Conduct hot washes or after-action reviews following any occupant emergency plan activation or drill to assess the efficacy of the plan or identify any areas of needed improvement. Make certain to include observations, comments, or concerns from individuals with disabilities themselves and from their colleagues and co-workers;
- Include individuals with disabilities in your annual review of the plan to determine any needed changes or additional concerns that may have arisen over the past year; and
- Develop a procedure for self-identification that encourages disclosure and maintains privacy, yet allows for pre-planning and resource allocation prior to an emergency. See the list below for self-identification/disclosure considerations and evacuation devices.

#### **5.8.2.2 Self-identification and Disclosure Considerations:**

- Nature of need;
- Primary location;
- Nature of assistance required;
- Safe refuge:
  - Safety of refuge location;
  - Communications;
  - Occupant emergency organization members in areas of refuge;
  - Location of refuge;
  - Number of people in refuge; and
  - Needs of refuge occupants.

#### **5.8.2.3 Evacuation Device Considerations:**

- Types and number of devices;
- Location of devices;
- Training in device use;
- Procedures for device use; and
- Abandonment of personal devices/chairs.

### **5.8.3 Visiting Public**

Sponsors of visitors on site, including vendors and conference attendees, are responsible for briefing them on evacuation procedures, SIP procedures, and locations of assembly areas/rally points. Information concerning the occupant emergency plan, whether in written or oral form, can be provided when the visitor is receiving a map, a badge, and/or a ticket.

For public locations such as libraries, museums, and cafeterias, evacuation and SIP instructions must be displayed in such a manner that they are readily available for visitors to review and

follow in the event of an emergency. Additionally, visitor relations personnel such as receptionists, docents, and security guards serve as part of the OEO, providing on-the-spot direction to visitors.

#### **5.8.4 Patients**

Healthcare facilities with patients should review and, as appropriate, follow the emergency management standards of the Joint Commission for the Accreditation of Healthcare Organizations or critical access facilities. Facility staff serves as part of the OEO. Special emphasis is placed on evacuation, refuge, and SIP locations for non-ambulatory patients.

#### **5.8.5 Prisoners**

Emphasis is on prisoner/detainee welfare with due consideration to staff safety and security. Develop detailed evacuation and SIP plans that identify facility staff as members of the OEO. Be sure to provide procedures and training for guards/security personnel to ensure evacuation or SIP can occur without compromising safety or security. Also make sure to identify surge support for the security force (consider memoranda of agreement with local law enforcement agencies). The plan should identify assembly areas/rally points and SIP locations that facilitate continued control and accountability of the prisoner/detainee population while ensuring health, welfare, and safety.

### **5.9 Hazard Assessment (Facility-Specific Information)**

A natural hazard is an actual or potential meteorological, environmental, or geological phenomenon or combination of phenomena that may cause harm or difficulty. Examples of natural hazards include but are not limited to thunderstorms, earthquakes, tornados, tsunamis, floods, and fires.

Natural hazards often can be predicted since they tend to occur repeatedly in the same geographical locations due to weather patterns or physical characteristics of an area. These hazards should be considered when formulating the Occupant Emergency Program.

A hazard is associated with a condition or activity that, if left uncontrolled, can result in an injury or illness. 41 CFR, 102-80.10 states Federal agencies must provide for a safe and healthful work environment for Federal employees and the visiting public. OSHA regulations require Federal agencies to conduct a hazard assessment in facilities where Federal employees are housed. OSHA also requires the assessment, once conducted, be certified in writing.<sup>18</sup>

Hazard assessments are conducted to evaluate the work environment or to determine if a hazard exists. On-site hazards may be physical, environmental, or health related. If a hazard is discovered, the assessment will help determine the best steps/measures to protect an employee.

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<sup>18</sup> CFR 1910.132(d) (1)-(2)

Hazard assessments will be specific to the facility and should be used as one of several sources of facility data in the preparation of an occupant emergency plan.

The initial point of contact for information on hazard assessments should be the designated safety/health and fire representatives for the tenant agency/agencies housed in the facility. In some cases, the property management office for the respective facility may also be contacted.

Another source document to consider when formulating the occupant emergency plan is the Facility Risk Assessment. The risk assessment identifies various threats and/or vulnerabilities based on specific security criteria. The security criteria address both internal and external facets of the facility.

## 6 Occupant Emergency Plan

An occupant emergency plan is a document describing the actions occupants should take to ensure their safety in an emergency situation. These plans are intended to minimize the risk to personnel, property, and other assets within the facility if an incident occurs inside or immediately surrounding the facility by providing facility-specific response procedures for occupants to follow. The plan outlined below is a baseline of minimum elements that should be considered. Ultimately, it is up to the individual agency, department, or FSC to determine appropriate elements in the plan (and program) based on facility-specific needs. Components of the plan are listed below.

### 6.1 Signature Page

Since occupant emergency plans are subject to change and review, consideration should be given to providing a signature page at the beginning of each plan requiring the appropriate official to sign the Occupant Emergency Program or plan; thus, ensuring programmatic approval and an accurate record of revision dates. A best practice is to have the occupant emergency plan signed by the landlord in addition to the DO. Reviewing and signing of the plan should also occur when there is a transition of the DO or other appropriate official.

### 6.2 Overview of Roles and Responsibilities

The occupant emergency plan is one component of the Occupant Emergency Program and establishes a set of procedures to address specific emergency conditions. The DO has overall responsibility for the facility's occupant emergency plan. At a minimum, the plan should be reviewed by the DO, the building/property manager, a representative of each tenant agency, and the physical security specialist or law enforcement security officer (i.e. Federal Protective Service Inspector). Verification of responsibility awareness is necessary for those responsible for managing and performing tasks during an emergency.

An effective occupant emergency plan will address emergency management, facility-specific information, emergency notification/contact information, emergency actions, recovery, and restoration.

### 6.3 Determination of Emergency

The activation of the occupant emergency plan requires the rapid recognition and determination that an emergency exists. Factors that may be considered or contribute to a decision to activate an occupant emergency plan may include:

- Situations posing an immediate threat to life or property, including fire, smoke conditions, medical emergencies, sudden natural disasters, presence of explosive or dangerous devices, active shooter scenarios, or hazardous materials releases (internally);

- Situations with a probability of escalating and may pose a risk of injury or significant property damage, such as incidents of workplace violence, civil unrest, local criminal activity, hazardous materials releases, and severe weather emergencies;
- Conditions or situations where essential services to the facility are lost or interrupted, including power, lights, water, or fire protection systems;
- Facility-related issues or conditions posing a hazard to the occupants including broken pipes or sewage system back-ups;
- Verbal, written, electronic, or telephonic threats (bomb, violence, hazardous materials release etc.); and
- Other situations where, in the interest of the safety and protection of the facility and its occupants, either an evacuation or SIP action is warranted. This may include industry or area-specific warnings and/or information transmitted via the National Terrorism Advisory System.

## 6.4 Evacuation Procedures

Evacuations may be required for many of the situations listed above and may be limited to a single area or expanded to an entire facility and/or campus. Occupant emergency plans must address the process by which occupants are alerted to the required evacuation and the expectations of how employees will evacuate their area, floor, and facility. Plans must address routes of escape and, where appropriate, the use of “areas of refuge,” elevators, and any evacuation assistance equipment. Occupants are to follow all applicable fire codes. All plans should address the needs, processes, and equipment needs for all occupants who may require assistance due to a medical condition, injury, or existing disability during an emergency evacuation.

The following items should be considered when determining evacuation procedures and processes:

- Evacuation triggers;
- Special populations (persons needing assistance);
- Communications with OEO members and evacuees;
- Evacuation assembly areas/rally points (primary and secondary);
- Evacuation routes; and
- Use and location of “assist rooms” or “areas of refuge.”

## 6.5 Shelter-in-Place

In certain emergency situations, evacuating the facility may place an occupant’s safety and health in danger. Shelter-in-place (SIP) is a protective action individuals can take to remain inside a facility and protected from exposure to threats from outdoors. SIP is an important component of an occupant emergency plan because it gives individuals a safe alternative to



evacuation. SIP is a voluntary action for occupants, unless mandated by public safety officials. The DO may decide to implement SIP in several different types of emergency situations.<sup>19</sup>

## 6.6 Lockdown Procedures

For the purposes of occupant emergency plan development, a lockdown is a protective action implemented when management becomes aware that an individual or individuals have gained entrance into the building with the intent to commit a violent act. Individuals may enter a Federal building intending to commit a violent act may be either current or former employees. These individuals could have knowledge of the security procedures, layout, and operating procedures of the building.

Upon declaration of a lockdown, building occupants should get out of all open areas such as hallways and stairwells. They should make offices look unoccupied by locking the door and turning out the lights. Occupants should follow directions received from emergency personnel or over public address systems.

In the development of an occupant emergency plan, the reasons for initiating lockdown and SIP procedures are markedly different. As a general rule of thumb, a lockdown is implemented due to actions occurring inside the building, such as when personnel cannot safely evacuate during an active shooter incident, while a SIP is initiated because of actions taking place outside of the building, such as severe weather or an accidental chemical release. However, it is conceivable that a transition from a SIP to a lockdown could occur based on the scenario outside the building: i.e. a SIP is declared due to civil unrest (e.g. peaceful demonstration) that subsequently turns into an imminent threat (i.e. destructive riot) causing a lockdown to be declared.

## 6.7 Communication Procedures

Communication is a critical component of any properly functioning occupant emergency plan. In order for the plan to be successful, timely and accurate information must be transmitted and received by all members of the OEO and occupants of the facility. Communication equipment that provides alerts and notifications should be tested regularly to ensure operability and reliability. Having redundant means of communication is also vitally important to any successful occupant emergency plan.

It is imperative that operational communications be established and maintained in support of all emergency response activities. Demonstrated in recent incidents, reliance upon telephone and cell-based communications can be inadequate and unreliable. One recommendation is the use of portable hand-held radios by select members of the OEO to assure situational awareness for the facility's Incident Commander. This also ensures all occupants are responding appropriately to the incident, provides additional rapid response capabilities when required, and assists with

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<sup>19</sup> See Appendix C for additional details on SIP guidance.

personnel accountability. If a facility utilizes safe refuge for special needs populations, then two-way communications are essential to the individuals' well-being and safety while in refuge.

In the failure of all other means of communication, "runners" should be used. Runners are people used to convey messages in person when all other means have failed. In some emergency situations, runners may be the only available means of communication.

### **6.7.1 Occupant Emergency Plan Activation**

The occupant emergency plan should be activated when an emergency situation exists. All facility occupants should understand how to report an actual or possible emergency to ensure the appropriate notifications are made quickly. Activation can happen in several different ways; however, the most common methods include:

- Fire alarm or public address;
- Emergency call to 911 or security;
- Security receiving a report of an emergency situation;
- Media announcement; and
- Apparent emergency (e.g. earthquake).

### **6.7.2 Alert**

An alert will notify facility occupants and confirm an emergency situation exists. Examples of alerts include but are not limited to the audible sounds of a facility fire alarm, the flashing strobe lights of a fire alarm, and/or an oral announcement from a member of the OEO. Individual agencies and department organizations may develop other methods to alert occupants of an emergency based on facility-specific needs.

### **6.7.3 Notification**

Emergency notifications will tell occupants what to do and how to react in an emergency situation. Once occupants are alerted an emergency situation exists, they must be notified of what to do. Some emergencies may require employees to evacuate, while others may require them to SIP. Notification can happen through several different means including e-mails, text messages, phone calls, or through a public address system.

Not only do occupants need to be notified when an emergency situation exists, but they also need to be notified when it has ended. Making certain that members of the OEO are informed throughout the entire occupant emergency plan activation process will help ensure an orderly response.

## **6.8 Special Needs and Medical Considerations**

In developing the occupant emergency plan, individuals with disabilities or other special needs considerations should be encouraged to develop an individualized emergency plan that includes

mobility requirements, physical comfort requirements, specialized nutritional needs, personal hygiene, and service animal care. If the individual uses personal assistance services or a personal care attendant, then the individualized plan should address the participation of the personal care attendant and any needs he/she may have.

The medical needs of the occupants should also be addressed. Those requiring essential medications or who have ongoing medical concerns should be encouraged to create an individualized plan to address their needs in case of an emergency. This plan should include essential contact information, a list of medications, a list of known allergies, information on their medical condition, and a list of medical care providers.

Individuals who are dependent on medications should be encouraged to prepare for an emergency and to maintain a three-day supply of medications in the event of an extended emergency. If the medical condition requires wound care, dressings, or bandages, the individual should maintain a supply of these provisions. If an evacuation occurs, they should be encouraged to carry essential medication or supplies with them in case they are not allowed to re-enter the building in a timely manner. Essential phone numbers such as those for doctor(s) or specific health care providers and a list of medications and known allergies should also be carried by that person at all times so emergency personnel have access to the information. Supervisors are ultimately responsible to ensure that members of their staff or visitors with a disability are properly taken care of during all emergency incidents.

## 6.9 Points of Contact

Contact information for the following should be considered for inclusion in an occupant emergency plan when applicable to the facility/campus covered by the plan:

- Local police, fire and emergency medical service (i.e. 911 services);
- Non-emergency and teletypewriter /telecommunication devices for the deaf/ listings for police and fire;
- Federal Protective Service;
- DO/alternate;
- Occupant Emergency Coordinator/Incident Commander;
- Floor Team Leaders/alternates;
- Assist rooms/areas of refuge;
- Internal law enforcement dispatch center;
- Guard force dispatch center;
- Facility managers/engineers including an after-hours/emergency number;
- Facility lobby/reception phone numbers;
- Assembly area/rally point contact if inside a facility;
- Health unit;
- GSA representative; and

- Any other contacts unique to the department or agency plan.

Contact information should include name, position, office phone, cell phone, and e-mail address where applicable.

## 6.10 Templates

Suggested templates include:

- Federal Protective Service, *Secure Facilities, Safe Occupants – Occupant Emergency Plans Supplement 3*, Washington D.C.: U.S. Department of Homeland Security, 2010.
- Public Buildings Service, *Occupant Emergency Program Guide*, Washington D.C.: General Services Administration, 2002.

## 7 References

Federal Emergency Management Agency, *Federal Preparedness Circular 66*, Washington DC: U.S. Department of Homeland Security, 2001.

Federal Protective Service, *Secure Facilities, Safe Occupants – Occupant Emergency Plans Development, Implementation, and Maintenance*, Washington D.C.: U.S. Department of Homeland Security, 2010.

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# Acronyms, Abbreviations, and Initializations

CFR	Code of Federal Regulations
DO	Designated Official
E.O.	Executive Order
FMR	Federal Management Regulation
FOUO	For Official Use Only
FPMR	Federal Property Management Regulations
FSC	Facility Security Committee
GSA	General Services Administration
ISC	Interagency Security Committee
NIMS	National Incident Management System
OEO	Occupant Emergency Organization
OSHA	Occupational Safety and Health Administration
SIP	Shelter-In-Place
TT&E	Testing, Training, and Exercising
U.S.C.	United States Code

## Glossary

Term	Definition
Building	An enclosed structure (above or below grade).
Campus	Two or more Federal facilities located on one site and typically sharing some aspects of the environment, such as parking, courtyards, private vehicle access roads, or gates and entrances to connected buildings. A campus may also be referred to as a “Federal center” or “complex.”
Designated Official	The highest ranking official of the primary tenant agency of a Federal facility or, alternatively, a designee selected by mutual agreement of tenant agency officials.
Emergency Action Plans	A written document used to facilitate and organize both employer and employee actions during a workplace emergency.
Facility	Space built or established to serve a particular purpose. The facility is inclusive of a building or suite and associated support infrastructure (e.g., parking or utilities) and land.
Facility Security Committee	A committee responsible for addressing facility specific security issues and approving the implementation of security measures and practices. The FSC consists of representatives of all Federal tenants in the facility, the security organization, and the owning or leasing department or agency. In the case of new construction, major modernization, alternation, or lease actions, the FSC will also include the construction or lease procurement project team and the planned tenant(s). The FSC was formerly known as the Building Security Committee.
Federal Departments and Agencies	Those executive departments enumerated in 5 U.S.C. 101 and the U.S. Department of Homeland Security, independent establishments as defined by 5 U.S.C. 104(1), Government corporations as defined by 5 U.S.C. 103(1), and the U.S. Postal Service.
Federal Tenant	Leased and owned facilities in the United States (inclusive of its territories) occupied by executive branch Federal employees for non-military activities.
Government-owned	A facility owned by the United States and under the custody and control of a Federal department or agency.
Hot wash	A hot wash occurs immediately following an incident/exercise and allows the participants the opportunity to provide immediate feedback. The objective of the hot wash is to review events or key decisions that took place during the incident/exercise and to provide an opportunity for participants to describe any immediate lessons learned and to identify barriers/gaps in mounting an effective response.

Incident Commander	The individual responsible for all incident activities, including the development of strategies and tactics and the ordering and the release of resources. The Incident Commander has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site. The Incident Commander may change for each incident.
Multi-tenant facility	A facility that includes tenants from multiple Federal departments and agencies but no non-Federal tenants.
National Incident Management System	A system that provides a consistent nationwide approach for Federal, state, local, and tribal governments; the private sector; and nongovernmental organizations to work effectively and efficiently together to prepare for, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.
Non-federal Tenant	For the purposes of entry control, employees of non-Federal tenants who occupy other space in a mixed multi-tenant facility. The FSC (and lease agreement) would establish entry control requirements applicable to non-Federal tenants passing through a Federal entry control point (in accordance with established policies).
Occupant	Any person who is permanently or regularly assigned to the government facility and displays the required identification badge or pass for access. The FSC establishes the thresholds for determining who qualifies for “occupant” status.
Occupant Emergency Organization	A group of employees within the agency designated to undertake certain responsibilities and perform certain tasks outlined in the Occupant Emergency Program.
Occupant Emergency Plan	A written set of procedures to protect life and property in a facility under specific emergency conditions.
Occupant Emergency Program	An emergency response program that establishes procedures for safeguarding lives and property during emergencies in a particular facility.
Primary Tenant	The Federal tenant identified by Bureau Code in OMB Circular No. A-11, Appendix C, which occupies the largest amount of rentable space in a Federal facility.

Risk	<p>A measure of potential harm from an undesirable incident that encompasses threat, vulnerability, and consequence.</p> <p>Additional definition: potential for an unwanted outcome resulting from an incident, event, or occurrence, as determined by its likelihood and the associated consequences.</p> <p>Example: The team calculated the risk of a terrorist attack after analyzing intelligence reports, vulnerability assessments, and consequence models.</p> <p>Extended Definition: potential for an adverse outcome assessed as a function of threats, vulnerabilities, and consequences associated with an incident, event, or occurrence.</p> <p>Annotation:</p> <p>1) Risk is defined as the potential for an unwanted outcome. This potential is often measured and used to compare different future situations.</p> <p>2) Risk may manifest at the strategic, operational, and tactical levels.</p>
Risk Assessment	<p>The process of evaluating credible threats, identifying vulnerabilities, and assessing consequences.</p> <p>Additional definition: product or process which collects information and assigns values to risks for the purpose of informing priorities, developing or comparing courses of action, and informing decision making.</p> <p>Example: The analysts produced a risk assessment outlining risks to the aviation industry.</p> <p>Extended Definition: appraisal of the risks facing an entity, asset, system, network, geographic area or other grouping.</p> <p>Annotation: A risk assessment can be the resulting product created through analysis of the component parts of risk.</p>
Security Organization	<p>The government agency or an internal agency component responsible for physical security for the specific facility.</p>
Single-tenant Facility	<p>A facility that only includes one Federal tenant or multiple components of the same Federal department or agency that fall under one “umbrella” for security purposes.</p>
Special-use Facility	<p>An entire facility or space within a facility itself that contains environments, equipment, or data normally not housed in typical office, storage, or public access facilities. Examples of special-use facilities include, but are not limited to, high-security laboratories, hospitals, aircraft and spacecraft hangars, or unique storage facilities designed specifically for such things as chemicals and explosives.</p>

## Appendix A: Incident Command Structure

Incident Command Structure is a set of personnel, policies, procedures, facilities, and equipment integrated into a common organizational structure designed to improve emergency response operations of all types and complexities.

The structure is comprised of five major functional areas: **Command, Operations, Planning, Logistics, Finance** and **Administration**. A sixth functional area, **Intelligence**, may be established, if required.

The Incident Command Structure should:

- Be limited in size;
- Have positions with clearly defined roles and responsibilities; and
- Use the existing hierarchy of occupant departments and/or agencies.

The Incident Command directs all emergency operations from the facility's incident command post. Key positions should be based on size, type, and characteristics of the facility; type of incident; and any other specific requirements identified by the DO.

Each of the remaining functional areas also has specific duties and responsibilities when emergency plans are implemented. Refer to the applicable appendix for further information and guidance.

The Federal Emergency Management Agency's website may serve as a reference for NIMS, and the Federal Protective Service's website may serve to provide examples of OEP guides.

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# Appendix B: Testing, Training and Exercising

## B.1 Testing

A test is an evaluation tool that uses quantifiable metrics to validate the operability of the plan. It is the technique of demonstrating the correct operation of all equipment, procedures, processes, and systems supporting the occupant emergency plan infrastructure. Testing is used as the verification and validation technique to confirm procedures and processes have the desired level of effectiveness as designed in the occupant emergency plan.

## B.2 Training

Training should be regularly scheduled to assure the readiness of all agency OEO participants and facility occupants. Training plans are developed and implemented to prepare individuals and groups to accomplish certain tasks, using selected equipment, under specific scenarios. This training may encompass a deliberate blend of hands-on activities, seminars, orientations, workshops, online or interactive programs, briefings and lectures.

## B.3 Exercising

An exercise is a simulation of an emergency designed to validate the viability of one or more aspects of an occupant emergency plan. An exercise should be a realistic rehearsal or simulation of an emergency wherein individuals and organizations demonstrate competency regarding the tasks expected of them in a real emergency. Exercises should provide emergency simulations that promote preparedness, improve the response systems, and determine the effectiveness of the command, control, and communication functions and incident-scene activities. Exercises help to identify gaps and inconsistencies within the plan and procedures, as well as cases where personnel need additional training or when training needs to be changed. There are several types of exercises, but, for the purpose of this publication, exercises widely used in TT&E programs by single or multiple organizations include the following:

### B.3.1 Tabletop

Tabletop exercises are discussions-based exercises where personnel meet in a classroom setting or in breakout groups to discuss their roles during an emergency and their responses. A facilitator presents a scenario and asks the exercise participants questions related to the scenario, thus initiating a discussion among the participants of roles, responsibilities, coordination, and decision-making.

### B.3.2 Drills

Drills are a coordinated, supervised activity normally used to exercise a single, specific operation, or function in a single agency, such as a fire drill. Drills can also be used to provide



training with new equipment, develop new policies or procedures, or practice and maintain current skills.

### **B.3.3 Functional**

Functional exercises are fully simulated, interactive exercises. This exercise can be used to validate the capability of an agency to respond to a simulated emergency and test one or more functions of the Occupant Emergency Program. In addition, it focuses on the policies, procedures, roles, and responsibilities of single or multiple tenant facilities before, during, and after any emergency incident. They are designed to exercise the roles and responsibilities of specific team members. Functional exercises vary in complexity and scope from validating specific aspects of a plan to full-scale exercises that address all plan elements.

### **B.3.4 Full-Scale**

Full-scale exercises use the same components as a functional exercise while adding the actual facility response and evacuation elements. This exercise simulates actual emergency conditions.

## Appendix C: Shelter-In-Place Guidance

In certain emergency situations, evacuating the facility may place occupant safety and health in danger. Shelter-in-place (SIP) is a protective action individuals can take to remain inside a facility and protected from outdoor exposure. Shelter-in-place is an important component of an occupant emergency plan because it gives individuals a safe alternative to evacuation. SIP is a voluntary action for civilians, unless mandated by law enforcement or public health officials.

The designated official may decide to implement SIP in several different types of emergency situations including but not limited to:

- Civil unrest;
- Bomb threat (external);
- Chemical, biological, nuclear, explosive release;
- Severe weather; and
- Earthquake.

The following steps should be taken before a SIP incident:

- Notify occupants of SIP locations;
- Ensure OEO is aware of SIP locations;
- Maintain and stock SIP locations with appropriate emergency supplies;
- Identify the level of protection the SIP location will provide;
- Establish a communications plan to ensure information is transmitted and received;
- Training should occur on proper SIP protocols; and
- All employees should be made aware of SIP procedures.

The following steps should be taken during a SIP incident:

- Identify visitors and guide them to the SIP location;
- Employees should be aware that some SIP incidents may require different actions;
- Secure the SIP location if protection is needed from an outside contaminant;
- Stay calm and assist those with special needs;
- If a toxic substance is released outside, then turn off heating, ventilation, and air condition systems, and seal the SIP location with plastic and duct tape; close windows and vents if possible;
- Do not use elevators;
- Once sealed, reentry into a SIP location is prohibited; and
- Wait for the “all-clear” before leaving the SIP location.

Be aware that dangerous conditions may still linger after the SIP incident has ended.