



Office of State Human Resources

ROY COOPER
Governor

BARBARA GIBSON
Director, State Human Resources

+

OSHR Model Workplace Active Assailant Program

NUMBER: CWS-1

TOTAL PAGES: 34 (including attachments)

SUBJECT: ACTIVE ASSAILANT WORKPLACE PROGRAM FOR AGENCY AND UNIVERSITY WORKSITES

EFFECTIVE DATE: March 15, 2023

REVISION DATE: February 1, 2024

SCOPE:

The purpose of this model program is to establish general guidelines for agency and university worksite safety programs to reduce the risk of active assailant exposure and establish an emergency response plan for employees, visitors, contractors, vendors, and volunteers entering State owned and leased property.

PROGRAM STATEMENT:

Per the OSHA general duty clause, it is the responsibility of employers to protect employees from anticipated worksite hazards. This model program establishes minimum standards for active assailant safety programs based upon OSHA rules, regulations, and guidance, US Department of Homeland Security (DHS) Guidance, Executive Orders, US Department of Health and Human Services (DHHS) Guidance, and other regulatory measures to protect the health and safety of all persons present at worksites. Changing circumstances may require agencies to be flexible and alter their original plans to ensure public health and safety. Individual worksites within an agency or university may adopt additional or customized requirements. **PROGRAM SUBJECT TO CHANGE BASED UPON REVISED GUIDANCE FROM GOVERNMENT ENTITIES.**

DEFINITIONS:

Agency: State department, division, subdivision, commission, board, or institution.

Active Assailant: An individual actively engaged in attempting to physically harm persons in a confined area via the use of any weapon.

Emergency Action Plan (EmAP): A customized, detailed plan for Agency response to various emergency situations that may arise due to natural or man-made causes.

ROLES AND RESPONSIBILITIES:

Agency Head/Designee

Establish processes and procedures necessary to support active assailant safety measures enumerated in this program as specified in an agency specific EmAP.

Require all employees complete active assailant safety training when hired and at least once every three years or more frequently as specified in an agency's EmAP.

Agency Safety Leader

Provide expertise and support to establish processes and procedures necessary to establish active assailant safety programs at individual worksites per an agency's EmAP.

Program Requirements

Each agency/university should establish customized active assailant safety programs for employees, visitors, contractors, vendors, and volunteers present in agency owned or leased facilities.

Employee refusal to comply with an agency's active assailant safety program or related training requirements may be subject to disciplinary measures.

1. Create an Emergency Action Plan (EmAP) that addresses active assailant response. (See Attachment A, [Active Shooter Emergency Action Plan Guide | CISA](#) published by US Cybersecurity & Infrastructure Security Agency)

A. Establish an EmAP Planning Team

Individual agencies should identify a diverse group totaling no more than 10 employees including management, supervisors, and frontline employees that represent multiple perspectives and all agency operations to create an individual worksite's EmAP that includes active assailant response.

B. Include Active Assailant Prevention Plan within agency EmAP

Individual agencies should train employees to recognize behaviors that are signs of potential workplace violence. (See Attachment B, [US Department of Homeland Security Pathway to Violence Warning Signs and What You Can Do](#))

Categories of workplace violence include:

- a. Violent acts committed by persons with no connection with the worksite who enter with the intent to commit a crime.
- b. Violent acts directed against worksite employees by customers, clients, patients, students, offenders, or others for whom an entity provides services.
- c. Violent acts directed against coworkers, supervisors, or managers by a current or former employee.
- d. Violent acts committed in the workplace by someone who does not work there but has a personal relationship with an employee such as a spouse, domestic partner, or other familial relationship.

Individual agencies should identify and train necessary staff to evaluate potential active assailant threats.

Individual agencies should implement a threat reporting system tailored to their needs considering available information reporting sources e.g., onsite emergency number, technology solutions, security staff, facility/campus police, or 911.

C. Conduct a Risk Assessment (See Attachment C, NCDPS State Capitol Police Site Risk Assessment Checklist)

Individual agencies should consider all threats, vulnerabilities, and associated consequences during their risk assessment. Conducting a risk assessment will ensure organizations understand their situation, prioritize their actions, identify and compare options, and effectively allocate their resources.

D. Establish “Goals” and “Objectives” for Active Assailant Response Plan

“Goals” are defined as broad statements of what personnel, equipment and resources are supposed to achieve.

“Objectives” are defined as items that lead to achieving goals and determine the actions that participants in the process must accomplish.

“Goals” and “objectives” are key to determining operational priorities and resources required to achieve a needed capability.

Consider the following when creating “objectives”.

- Site access control.
 - Update employee rosters;
 - Lockdown procedures; and
 - Shelter in place procedures.
- Prompt emergency notification.
 - Employees;
 - Visitors;
 - Non-English speakers; and
 - Disabled.
- Prompt and safe evacuation.
 - Routes; and
 - Meeting points.
- Accountability.
 - Reporting procedures.
- Communications.
 - First responders;
 - Incident commander;
 - Survivors;
 - Family; and
 - Media.

2. **Draft Active Assailant Response Plan**

The EmAP Planning Team should develop a well-formatted and easily readable plan that includes all essential information and instructions to protect an individual worksite against an active assailant.

Consider the following when drafting:

- Keep the language simple.
- Include short, concise sentences in active voice (such as, “shelter in place” or “exit immediately”).
- Summarize vital information with checklists and visual aids such as pictures, maps, and flowcharts.
- Avoid using jargon and minimize the use of acronyms.
- Provide enough detail to convey an easily understood, actionable plan.
- Format the plan so that readers can quickly find instructions for handling specific situations including various response options.
- Provide mission guidance and avoid discussing policy.
- Ensure accessibility by developing alternate formats: e.g., print, electronic, video.

3. **Content to include in Active Assailant Response Plan**

An EmAP should address the following topics:

- Preferred method for reporting active assailant situations, fires, and other types of emergencies.
- Worksite evacuation policy and procedure.
- Emergency escape procedures and route assignments (i.e., floor plans, safe areas).
- Contact information for and responsibilities of individuals to be contacted per the EmAP.
- List of local area hospitals (i.e., name, telephone number, and distance from location).
- Details of agency emergency notification system to alert various parties of an emergency including:
 - Individuals at remote locations within premises;
 - Local law enforcement; and
 - Local area hospitals.

- Employee training regarding **RUN, HIDE, FIGHT strategy** as follows:

A. **RUN**

- If an accessible, safe escape path is available, attempt to evacuate the premises.
- Have an escape route and plan in mind.
- Evacuate premises regardless of whether others agree to follow.
- Leave belongings behind.
- Help others escape, if possible.
- Prevent individuals from entering any area where the active assailant may be.
- Keep hands visible.
- Follow law enforcement instructions.
- Do not attempt to move wounded people.
- Call 911 after reaching a safe location.

B. **HIDE**

If evacuation is not possible, find a hiding place where the active assailant is least likely to find someone. The hiding place should:

- Be out of the active assailant’s view;
- Provide protection if shots are fired in your direction (i.e., an office with a closed and locked door); and
- Not trap or restrict options for movement.

To prevent an active assailant from entering a hiding place:

- Lock the door; and
- Blockade the door with heavy object(s).

If the active assailant is nearby:

- Lock the door;
- Silence cell phone and/or pager;
- Turn off any source of noise (i.e., radios, televisions);
- Hide behind large objects (i.e., cabinets, desks); and
- Remain quiet.

C. FIGHT

As a last resort, and only when in imminent danger, attempt to disrupt and/or incapacitate the active assailant by:

- Acting as aggressively as possible against assailant;
- Throw items and improvise weapons; and
- Yelling.

- Employee training with advance notice to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods when a live drill or training is scheduled to occur regarding what to expect when law enforcement responds to an emergency:
 - Will proceed directly to the area where the threat is located;
 - Will usually arrive in teams of four (4) persons;
 - May wear regular patrol uniforms or external bulletproof vests, Kevlar helmets, or other tactical equipment;
 - May be armed with rifles, shotguns, handguns;
 - May use pepper spray or tear gas to control the situation;
 - May shout commands;
 - May push individuals to the ground for their safety; and
 - Will initially attempt to stop the active assailant and/or threat; not rescue or care for the injured.
- Employee training with advance notice to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods when a live drill or training is scheduled to occur regarding how employees should behave when law enforcement arrives:
 - Remain calm and follow all instructions;
 - Put down any items in hands (i.e., bags, jackets, cell phones);
 - Immediately raise hands and spread fingers;
 - Keep hands visible at all times;
 - Avoid making quick movements toward officers or holding on to them for safety;
 - Avoid pointing, screaming and/or yelling; and
 - Do not stop to ask officers for help or direction when evacuating, just proceed in the direction from which officers are entering the premises.
- Employee training with advance notice to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods when a live drill or training is scheduled to occur regarding information to provide law enforcement or 911 operator:
 - Location of active assailant;
 - Number of assailants;
 - Physical description of assailant(s);
 - Number and type of weapons held by assailant(s); and
 - Number of potential victims at location.

4. Active Assailant Response Plan Dissemination and Approval

Ensure all necessary staff have provided feedback and confirm agency-wide support for Active Assailant Response Plan before forwarding to senior leadership for final approval. Once approved, ensure the information is disseminated widely to all employees using various communication channels.

5. Individual Employee Training

Agencies should train their employees to ensure they have the knowledge, skills, and abilities to abide by and perform actions outlined in the Active Assailant Response Plan. New and existing employee training may be accomplished via new employee orientation, in-person or virtual meetings, or recorded training videos for on-demand or assigned viewing. Training may include questions requiring correct response for successful completion. All employee training should include advance notice to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods when a live drill or training is scheduled to occur.

6. Agency Worksite Training Mock Exercises

Conducting regular mock active assailant training exercises helps agencies discover resource gaps, develop individual performance, improve coordination with local, state, and federal partners, and identify opportunities for improvement. Advance notice should be provided to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods whenever a live, in-person, mock exercise is scheduled to occur,

Tabletop Exercise

A tabletop exercise is a discussion-based exercise in response to a scenario that is intended to generate a dialogue of various issues to facilitate a conceptual understanding identify strengths and areas for improvement and/or achieve changes in perceptions about plans, policies, or procedures.

Purpose

- Generate discussion of various issues regarding an exercise scenario; and
- Facilitate conceptual understanding, identify strengths and areas for improvement, and/or achieve changes in perceptions.

Structure

- Scenario is presented to describe an event at a simulated time;
- Players apply their knowledge and skills to a list of problems presented by the facilitator;
- Players discuss problems as a group' resolution may be reached and documented for later analysis;
- Players participate in plenary or breakout session(s); and
- Facilitator(s) lead group discussion and presentation.

Participant Goals

- Enhance general awareness;
- Enhance roles and responsibility understanding;
- Validate plans and procedures; and
- Discuss concepts and/or assess types of systems in a defined incident.

Conduct Characteristics

- Requires experienced facilitator;
- In-depth discussion;
- Problem-solving environment; and
- All participants should be encouraged to contribute to the discussion and be reminded that they are making decisions in a no-fault environment.

Outcomes

- Recommended revisions to current plans, policies, and procedures; and
- Completion of an After-Action Report/Improvement Plan (AAR/IP).

Drill

An operations-based exercise often employed to validate a single operation or function. Advance notice should be provided to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods whenever a live drill is scheduled to occur.

Purpose

- Coordinated, supervised activity to validate a specific function or capability in a single agency/organization, often employed to validate a single operation or function; and
- Provide training on new equipment, validate procedures, or practice and maintain current skills.

Structure

- Can be standalone or used as a series of drills; and
- Clearly defined plans, procedures, and protocols need to be in place.

Participant Goals

- Evaluate new procedures, policies, and/or equipment;
- Practice and maintain skills; and
- Prepare for future exercises.

Conduct Characteristics

- Immediate feedback;
- Realistic environment;
- Narrow focus;
- Performance in isolation; and
- Results are measured against established standards.

Outcomes

- Determine if plans can be executed as designed;
- Assess whether more training is required;
- Reinforce best practices; and
- Completion of an After-Action Report (AAR)/Improvement Plan (IP).

Functional Exercise (FE)

An operations-based exercise is designed to test and evaluate capabilities and functions while in a realistic, real-time environment; however, movement of resources is usually simulated. Advance notice should be provided to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods whenever a functional exercise is scheduled to occur.

Purpose

- Validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of activities;
- Exercise plans, policies, procedures, and staffs involved in management, direction command, and control functions; and
- Apply established plans, policies, and procedures under crisis conditions.

Structure

- Events are projected through a realistic exercise scenario with event updates that drive activity typically at the management level;
- Controllers typically use a Master Scenario Events List (MSEL) to ensure participant activity remains within predefined boundaries; and
- Evaluators observe behaviors and compare them against established plans, policies, procedures, and standard practices (if applicable).

Participant Goals

- Validate and evaluate capabilities; and
- Focused on plans, policies, and procedures.

Conduct Characteristics

- Conducted in a realistic environment;
- Usually simulated deployment of resources and personnel;
- Use of Simulation Cell (SimCell) and MSEL;
- Simulators can inject scenario elements; and
- Include controller and evaluators.

Outcomes

- Management evaluation of Emergency Operations Center (EOCs), command post, headquarters, and staffs;
- Performance analysis;
- Cooperative relationships strengthened; and
- Completion of an After-Action Report /Improvement Plan (AAR/IP).

Full-Scale Exercise (FSE)

An operations-based exercise that is typically the most complex and resource-intensive of the exercise types and often involves multiple agencies, jurisdictions/organizations, and real-time movement of resources. Advance notice should be provided to all involved persons via phone, text, email, loudspeaker/intercom, or other communication methods whenever a full-scale exercise is scheduled to occur.

Purpose

- Often includes many players operating under cooperative systems such as the Incident Command System (ICS) Unified Command; and
- Focus on implementing and analyzing plans, policies, and procedures that may have been developed in discussion-based exercises and honed during previous, smaller exercises.

Structure

- Events are projected through an exercise scenario with event updates that drive activity at the operational level;
- Involves multiple agencies, organizations, and jurisdictions;
- Use of MSEL drives player actions; and
- SimCell controllers inject scenario elements.
- The level of support needed may be greater than that needed for other types of exercises; and
- Conducted in a realistic environment to mirror a real incident by presenting complex problems.

Participant Goals

- Demonstrate roles and responsibilities as addressed in plans and procedures; and
- Coordinate between multiple agencies, organizations and jurisdictions.

Conduct Characteristics

- Rapid problem solving; critical thinking;
- Mobilization of personnel and resources;
- Exercise site is usually large with many activities occurring simultaneously.
- Site logistics require close monitoring;
- Safety issues, particularly regarding the use of props and special effects, must be monitored; and
- Demonstrate roles and responsibilities as addressed in plans and procedures.

Outcomes

- Validate plans, policies, and procedures;
- Evaluate resource requirements; and.
- Completion of an After-Action Report /Improvement Plan (AAR/IP).

7. After Action Report/Improvement Report (AAR/IP) (See Attachment D, [USDHS FEMA After-Action Report/Improvement plan \(AAR-IP\) Template](#))

The purpose of an AAR/IP is to provide a brief analysis of the results of the active assailant response mock exercise and an opportunity to evaluate and address agency operations related to active assailant response processes.

The AAR/IP will help document weaknesses in plans and procedures, identify areas of strength in response capabilities, and document plans of correction for areas that need improvement.

8. Resources

Additional workplace violence resources are available on the National Safety Council website at the following locations.

[wp-violence-tipsheet-combo.pdf \(nsc.org\)](#)

[poster-active-shooter-combo.pdf \(nsc.org\)](#)

[poster-wp-violence-combo.pdf \(nsc.org\)](#)

[workplace-violence-fact-sheet.pdf \(nsc.org\)](#)

Emergency Action Plan: Active Shooter

Organization: _____

Address: _____

City, State, Zip code: _____

Phone number: _____

Website: _____

Applicability and Scope

The objective of this emergency action plan template is to help organizations prepare their personnel for active shooter scenarios. This template documents basic information recommended for an effective emergency action plan. Organizations are encouraged to consider their unique circumstances and/or structure to ensure a more comprehensive plan. It applies to permanent employees, temporary employees, contractors, and visitors associated with this organization.

This plan should be updated when information listed below requires modification. The crisis manager will review this plan for accuracy on a reoccurring basis. Time frame: _____

Key Individuals / Teams

The organization’s primary/alternate crisis manager responsible for this plan.

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

The following people will participate in developing the active shooter emergency action plan. Together, they will form the *Active Shooter Planning Team*.

Position/Office	Name	Phone Number	E-mail

The following personnel are responsible for conducting threat evaluations and intervening to reduce workplace violence. Together, they form the *Threat Management Team*.

Position/Office	Name	Phone Number	E-mail

The following are external partners that will participate in active shooter planning.

Organization	Name	Phone Number	E-mail

It is critical that only authorized personnel are granted access to the organization’s facilities. This requires human resources, physical security and information security teams to collaborate. The following personnel are responsible for ensuring access rosters are regularly updated.

Position/Office	Name	Phone Number	E-mail

Lockdown Procedures

The following are responsible for initiating lockdown procedures (primary & alternate).

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

Lockdown procedures are initiated in the following manner:

Notification

The following are responsible for ensuring the organization has an effective process to announce the presence of an active shooter (primary & alternate).

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

The following methods are used to announce the presence of an active shooter.

Message displayed in all notifications:

Contacting 9-1-1 immediately is critical to ensuring first responders arrive quickly. The notification team should be trained to accurately describe the incident to 9-1-1 call centers. The following information will be provided to 9-1-1.

Employees will be notified in the following manner:

Visitors will be notified in the following manner:

Employees and visitors that are seeing impaired will be notified in the following manner:

Employees and visitors that are hearing impaired will be notified in the following manner:

Employees that are non-English speakers will be notified in the following manner:

Evacuation / Assembly / Accountability

The ability to quickly and safely evacuate is critical to surviving an active shooter scenario. Personnel must be familiar with the evacuation plan and practice using the nearest exit without exposing themselves to danger.

They should also be familiar with the location of staging areas.

The following are responsible for ensuring the organization has an evacuation plan (primary & alternate).

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

The following areas will be checked regularly and updated if required.

- Building/site maps with designated evacuation routes are located at key locations. Exits are clearly marked.
- Evacuation plans include the ability to assist people with functional needs. Designated rally points are located a safe distance away.
- Primary and alternate rally points are identified.
- Employee rosters and contact information are updated regularly.

Conducting timely and accurate accountability is critical during and following an event. This information will prove vital when coordinating with first responders and communicating with concerned family. The following are responsible for conducting accountability (primary / alternate).

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

Listed below are the procedures for conducting accountability. It includes a process to account for employees conducting business away from the facility and those on leave. It also accounts for personnel visiting the organization.

--

First Responder Coordination

Communicating information to first responders in a timely manner is vital to quickly eliminating the active shooter threat. The following are responsible for providing information to first responders (primary / alternate).

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

Pre-coordination with local law enforcement ensures the organization understands and is prepared to provide requested information. The local law enforcement contact information is provided below.

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

Local law enforcement requires the following information when responding to an active shooter event.

--

A first responder “Go-Bag” is a ready resource that assists law enforcement with navigating a facility. The “Go-Bag” is located at:

--

The “Go-Bag” contains the following items. It will be inventoried regularly and updated as required.

Communications Management

Providing consistent and accurate information to authorities, employees, family and the media can reduce the impact of an active shooter scenario on an organization and its people. The following are responsible for communicating the organization's message internally and externally.

	Position/Office	Name	Phone Number	E-mail
P				
A				
A				
A				
A				

The following are key considerations the communication team must address.

Recovery

Recovery from an active shooter scenario will likely be a whole community effort. It may include hospitals, grief counselors, lawyers, employee assistance, and other assistance as required. The following will be activated as needed.

Organization	Name	Phone Number	E-mail

Business Continuity

Does your organization have a business continuity plan that allows for continuity of operations? This plan includes actions taken if a neighboring organization experiences an active shooter event. It also considers major suppliers and critical components in the supply chain.

The organization has a business continuity plan. _____ Yes _____ No

Training

Providing the necessary training for all employees is important to this plan's success. Training should include "Run, Hide, Fight" to prepare individuals. Individuals listed in the plan should also be trained to carry out their responsibilities. The organization should also involve neighboring organizations, business affiliates, and first responders in their training.

The following are responsible for ensuring all stakeholder are trained (primary & alternate).

	Position/Office	Name	Phone Number	Email
P				
A				
A				
A				
A				

A list of required training is provided below.

Training	Location (portal, www, in-house, etc.)

This plan was last reviewed. _____

This plan is approved. _____

Attachment B – US Department of Homeland Security Pathway to Violence Warning Signs and What You Can Do



Homeland
Security

Pathway to Violence Warning Signs and What You Can Do

Be Alert to Signs of Trouble



Potential warning signs include:

- Increasingly erratic, unsafe, or aggressive behaviors.
- Hostile feelings of injustice or perceived wrongdoing.
- Drug and alcohol abuse.
- Marginalization or distancing from friends and colleagues.
- Changes in performance at work.
- Sudden and dramatic changes in home life or in personality.
- Financial difficulties.
- Pending civil or criminal litigation.
- Observable grievances with threats and plans of retribution.

Appropriate Intervention



Help ensure the safety of you and your colleagues by:

- Being aware of drastic changes in attitude toward others.
- Taking note of any escalations in behavior.
- Providing any information that may help facilitate intervention and mitigate potential risks.

Reach Out for Help



Concerned? Witnessed disturbing behavior?

Contact your supervisor or your human resources department to alert them of potential dangers and enable them to mitigate any emerging risks.

You are the first line of defense. Report suspicious activity.

In an emergency, always call 9-1-1 or contact local law enforcement.

Attachment C – NC Department of Public Safety State Capitol Police Site Risk Assessment Checklist

SECURITY ASSESSMENT

FACILITY INFORMATION	
FACILITY NAME	
STREET ADDRESS	
CONTACT PERSON/PHONE	
PERSON REQUESTING ASSESSMENT	
REASON FOR ASSESSMENT	
HOW WAS ASSESSMENT COMPLETED?	
FACILITY OPERATING HOURS	
NUMBER OF STAFF	
NUMBER OF VOLUNTEERS	
NUMBER OF VISITORS PER DAY	
ARE THERE CHEMICALS STORED AT THE FACILITY?	

CURRENT SECURITY ASSESSMENT	
CONDUCTED BY	
AGENCY	
DATE	

FACILITY DESCRIPTION

DOES FACILITY HAVE AN EMERGENCY PLAN?

LAW ENFORCEMENT RESPONDER	
AGENCY	
CAPABILITIES	
ONSITE VISITS	

EMS RESPONDER	
AGENCY	
CAPABILITIES	
ONSITE VISITS	

FIRE RESPONDER	
AGENCY	
CAPABILITIES	

ONSITE VISITS	
---------------	--

NATURAL HAZARDS

PREVIOUS SECURITY ASSESSMENTS	
CONDUCTED BY	
DATE	
RECOMENDATIONS	
SECURITY MEASURES IN PLACE AT FACILITY	
WHAT SECURITY MEASURES AT FACILITY WOULD BE BENEFICIAL?	
TO DATE, WHAT IS THE BEST SECURITY INVESTMENT MADE AT FACILITY?	
ADDITIONAL COMMENTS	

SECURITY MANAGEMENT	
DOES FACILITY HAVE ONSITE SECURITY/PERSONNEL?	
DOES FACILITY HAVE ONSITE ELECTRONIC SECURITY SYSTEM?	
DOES FACILITY HAVE OFFSITE SECURITY MONITORING?	
DOES FACILITY HAVE WRITTEN SECURITY PLAN?	
ARE FACILITY EMPLOYEES INFORMED OF PLAN?	
HOW ARE EMPLOYEES INFORMED OF FACILITY SECURITY PLAN?	
DOES THE FACILITY CONDUCT EXERCISES WITH SECURITY PLAN?	
HOW OFTEN IS FACILITY SECURITY PLAN REVIEWED?	
HAVE FACILITY SECURITY THREATS/VULNERABILITIES BEEN REVIEWED?	
DOES FACILITY HAVE UP TO DATE POINT OF CONTACT ROSTER?	
DOES FACILITY HAVE ACCESS CONTROL PROCEDURES?	
DOES FACILITY HAVE SECURITY AWARENESS TRAINING?	
DOES FACILITY HAVE PROCEDURES FOR SUSPICIOUS PAKAGES?	

DOES FACILITY HAVE PROCEDURES FOR SUSPICIOUS PERSONS?	
DOES FACILITY HAVE LIASION WITH RESPONDING LAW ENFORCEMENT AGENCIES?	
DOES FACILITY HAVE A CONTINUITY PLAN?	

DOES THE FACILITY HAVE AN EMERGENCY ACTION PLAN (EmAP) THAT ADDRESSES THE FOLLOWING TOPICS?	
ACTIVE SHOOTER	
WORKPLACE VIOLENCE	
TERROIST	
LOCKDOWN PROCEDURES	
MEDICAL EMERGENCIES	
BOMB THREATS	
EVACUATION ROUTES	
EMERGENCY COORDINATOR	
PRACTICING THE PLAN	
EmAP PLAN REVIEW	
COMMENTS	

SECURITY PROFILE	
DOES STAFF INCLUDE SECURITY OFFICERS?	
DOES SECURITY INCLUDE STATIC POSTS?	
DOES SECURITY INCLUDE ROVING PATROL(S)?	
IS SECURITY UNIFORMED OR PLAIN CLOTHES?	
DOES SECURITY STAFF HAVE EQUIPMENT?	
DOES SECURITY STAFF RECEIVE TRAINING?	
DOES COMPLETE LIST OF SECURITY DUTIES EXIST?	
DOES FACILITY HAVE A DEDICATED SECURITY CONTROL CENTER?	

PERIMETER SECURITY

ENTRY CONTROL

VEHICLE CONTROL/STANDOFF	
CAN ANY VEHICLE BE PLACED WITHIN 400 FEET OF THE FACILITY LEGALLY/ILLEGALLY?	
DOES FACILITY HAVE EMPLOYEE PARKING?	
DOES FACILITY HAVE VISITOR PARKING?	
ARE VEHICLES PARKED AT FACILITY MONITORED?	
DOES FACILITY HAVE PROCEDURE/POLICY TO REMOVE LEGAL/ILLEGAL VEHICLES OR VEHICLES PARKED FOR AN EXTENDED TIME PERIOD?	
WHAT IS MINIMUM STANDOFF DISTANCE AT FACILITY?	

BARRIERS	
DOES FACILITY HAVE STANDOFF BARRIERS?	
DOES THE FACILITY HAVE AVENUES OF HIGH-SPEED APPROACH?	
DOES FACILITY USE BARRIERS TO MITIGATE HIGH SPEED APPROACH?	
COMMENTS	

BUILDING CHARACTER	
WHAT IS FACILITY'S OUTSIDE BUILDING MATERIAL?	
HOW MANY ENTRANCE DOORS AT FACILITY?	
HOW ARE FACILITY ENTRANCE DOORS SECURED?	
HOW MANY GROUND FLOOR WINDOWS IN FACILITY?	
HOW ARE GROUND FLOOR WINDOWS IN FACILITY PROTECTED?	
COMMENTS	

AIR HANDLING SYSTEM	
WHERE IS IT LOCATED WITHIN FACILITY?	
CAN IT BE SHUT OFF?	
COMMENTS	

ELECTRONIC SURVEILLANCE	
DOES FACILITY UTILIZE EXTERIOR ALARMS?	
DOES FACILITY UTILIZE INTERIOR ALARMS?	
ARE FACILITY EXTERIOR/INTERIOR ALARMS TESTED REGULARLY?	
WHO IS NOTIFIED IN EVENT OF FACILITY ELECTRICAL FAILURE/BACKUP?	
DOES FACILITY UTILIZE CLOSED CIRCUIT TV (CCTV)?	
HOW OLD IS FACILITY'S CCTV TECHNOLOGY?	
WHO MONITORS FACILITY'S CCTV?	
DOES FACILITY'S CCTV RECORD?	
HOW LONG ARE FACILITY'S CCTV RECORDINGS STORED?	
IS FACILITY'S CCTV SYSTEM MAINTAINED PER SUGGESTED STANDARDS?	
WHEN WAS FACILITY'S CCTV MOST RECENTLY UPDATED?	
IS FACILITY'S CCTV TESTED REGULARLY?	

ILLUMINATION	
DOES FACILITY HAVE ENTRANCE LIGHTING?	
DOES FACILITY HAVE PARKING LOT LIGHTING?	
HOW DOES FACILITY EXTERIOR LIGHTING OPERATE, DUSK/DAWN/ETC.?	

DOES FACILITY LIGHTING APPEARS UNIFORM?	
DOES FACILITY LIGHTING APPEAR WELL MAINTAINED?	
ARE THERE ANY FACILITY LIGHTING OBSTRUCTIONS?	
DOES FACILITY HAVE EMERGENCY LIGHTING OR LIGHTING FOR SPECIAL SITUATIONS?	
DOES FACILITY HAVE BACKUP LIGHTING SYSTEM?	
COMMENTS	

ELECTRICAL	
WHO IS FACILITY'S ELECTRICAL SUPPLIER?	
IS FACILITY'S PRIMARY ELECTRICAL SOURCE EXTERNAL?	
HOW MANY ELECTRICAL SERVICE CONNECTIONS SERVICE FACILITY?	
WHERE DO ELECTRICAL SERVICE CONNECTIONS ENTER FACILITY?	
ARE THERE PROTECTIVE MEASURES OUTSIDE FACILITY FOR ELECTRICAL BOXES?	
ARE THERE PROTECTIVE MEASURES INSIDE FACILITY FOR ELECTRICAL BOXES?	
DOES THE FACILITY HAVE A BACKUP POWER SOURCE?	
WHAT POWERS FACILITY'S BACKUP ELECTRICITY SOURCE?	
DOES FACILITY PARTICIPATE WITH PROVIDER FOR PRIORITY RESTORATION?	
HOW LONG BEFORE FACILITY WOULD BE IMPACTED WITH TOTAL LOSS OF POWER?	
ARE THER PROCEDURES/POLICIES FOR TOTAL SHUT DOWN OF FACILITY UNTIL POWER IS RESTORED?	
ONCE POWER IS RESTORED HOW LONG DOES IT TAKE FOR FACILITY TO RETURN TO NORMAL OPERATIONS?	

WATER	
WHO IS FACILITY'S WATER PROVIDER?	
HOW MANY WATER SERVICE CONNECTIONS ARE AVAILABLE FOR FACILITY?	

WHERE DO WATER LINES ENTER FACILITY?	
ARE FACILITY'S WATER CONTROLS PROTECTED?	
DOES FACILITY HAVE AN INTERNAL SOURCE OF WATER?	
HAS FACILITY EVER EXPERIENCED A COMPLETE WATER OUTAGE?	
DOES FACILITY PARTICIPATE WITH PROVIDER FOR PRIORITY RESTORATION?	
HOW LONG BEFORE FACILITY WOULD BE IMPACTED WITH TOTAL LOSS OF WATER?	
ARE THER PROCEDURES/POLICIES FOR FACILITY SHUT DOWN UNTIL WATER IS RESTORED?	
ONCE WATER IS RESTORED, HOW MUCH TIME IS NEEDED FOR FACILITY TO RETURN TO NORMAL OPERATIONS?	

ADDITIONAL COMMENTS

RESPECTFULLY SUBMITTED BY

[Exercise Name]

After-Action Report/Improvement Plan

[Date]

The After-Action Report/Improvement Plan (AAR/IP) aligns exercise objectives with preparedness doctrine and related frameworks and guidance. Exercise information required for preparedness reporting and trend analysis is included; users are encouraged to add additional sections as needed to support their own organizational needs.

Exercise Overview

Exercise Name	[Insert the formal name of exercise, which should match the name in the document header]
Exercise Dates	[Indicate the start and end dates of the exercise]
Scope	This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters].
Focus Area(s)	[Prevention, Protection, Mitigation, Response, and/or Recovery]
Capabilities	[List the capabilities being exercised]
Objectives	[List exercise objectives]
Threat or Hazard	[List the threat or hazard (e.g. natural/hurricane, technological/radiological release)]
Scenario	[Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)]
Sponsor	[Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable]
Participating Organizations	[Insert a brief summary of the total number of participants and participation level (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies). Consider including the full list of participating agencies in Appendix B. Delete Appendix B if not required.]
Point of Contact	[Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)]

Analysis of Capabilities

Aligning exercise objectives and capabilities provides a consistent taxonomy for evaluation that transcends individual exercises to support preparedness reporting and trend analysis. Table 1 includes the exercise objectives, aligned capabilities, and performance ratings for each capability as observed during the exercise and determined by the evaluation team.

Objective	Capability	Performed without Challenges (P)	Performed with Some Challenges (S)	Performed with Major Challenges (M)	Unable to be Performed (U)
[Objective 1]	[Capability]				
[Objective 2]	[Capability]				
[Objective 3]	[Capability]				
[Objective 4]	[Capability]				

Table 1. Summary of Core Capability Performance

Ratings Definitions:

Performed without Challenges (P): The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws.

Performed with Some Challenges (S): The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified.

Performed with Major Challenges (M): The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws.

Unable to be Performed (U): The targets and critical tasks associated with the capability were not performed in a manner that achieved the objective(s). The following sections provide an overview of the performance related to each exercise objective and associated capability, highlighting strengths and areas for improvement.

[Objective 1]

The strengths and areas for improvement for each capability aligned to this objective are described in this section.

[Capability 1]

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

[Capability 2]

Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Appendix A: IMPROVEMENT PLAN

Capability	Issue/Area for Improvement	Corrective Action	Capability Element	Primary Responsible Organization	Organization POC	Start Date	Completion Date
Capability 1: [Capability Name]	1. [Area for Improvement]	[Corrective Action 1]					
Capability 1: [Capability Name]	1. [Area for Improvement]	[Corrective Action 2]					
Capability 1: [Capability Name]	2. [Area for Improvement]	[Corrective Action 1]					
Capability 1: [Capability Name]	2. [Area for Improvement]	[Corrective Action 2]					
Capability 2: [Capability Name]	1. [Area for Improvement]	[Corrective Action 1]					
Capability 2: [Capability Name]	1. [Area for Improvement]	[Corrective Action 2]					
Capability 2: [Capability Name]	2. [Area for Improvement]	[Corrective Action 1]					

Capability	Issue/Area for Improvement	Corrective Action	Capability Element	Primary Responsible Organization	Organization POC	Start Date	Completion Date
Capability 2: [Capability Name]	2. [Area for Improvement]	[Corrective Action 2]					

This IP is developed specifically for [Organization or Jurisdiction] as a result of [Exercise Name] conducted on [date of exercise].

Appendix B: Exercise Participants

Participating Organizations
Federal
[Federal Participant]
[Federal Participant]
[Federal Participant]
State
[State Participant]
[State Participant]
[State Participant]
[Jurisdiction A]
[Jurisdiction A Participant]
[Jurisdiction A Participant]
[Jurisdiction A Participant]
[Jurisdiction B]
[Jurisdiction B Participant]
[Jurisdiction B Participant]
[Jurisdiction B Participant]