



# PANDEMIC ACCORD PHASE II Pandemic Influenza Recovery / Reconstitution Tabletop Exercise Situation Manual

Securities Industry & Financial Markets Association  
Federal Emergency Management Agency Region II Continuity Programs

26 Federal Plaza  
New York, NY 10278

December 1 – 3, 2014

## EXERCISE OVERVIEW

<b>Exercise Name</b>	PANDEMIC ACCORD – Pandemic Influenza Recovery / Reconstitution Tabletop Exercise
<b>Exercise Dates</b>	December 1, 2, & 3, 2014
<b>Scope</b>	This is a tabletop exercise scheduled for four hours on each of the above listed dates at 26 Federal Plaza, New York, NY. Exercise play is limited to facilitated discussion.
<b>Mission Area(s)</b>	Recovery
<b>Core Capabilities</b>	Economic Recovery
<b>Objectives</b>	Demonstrate business reconstitution approaches during post-wave recovery.
<b>Threat or Hazard</b>	Pandemic Influenza
<b>Scenario</b>	By February 2015, 48 states had reported cases of H3N2, mostly in working-age adults. That same month, over 61 million vaccine doses were ready. The CDC estimates that 41 million to 57 million people had H3N2 between August 2014 and February 2015. They estimate between 820,000 and 831,500 H3N2 related deaths. By mid-April of 2015, reports of flu activity begin to decline in parts of the country, which gives the medical community a chance to vaccinate more people. 80 million people were vaccinated against H3N2, which allowed for recovery efforts to begin.
<b>Sponsor</b>	Securities Industry & Financial Markets Association (SIFMA) FEMA Region II Continuity Programs
<b>Participating Organizations</b>	<ul style="list-style-type: none"> <li>See Appendix B for additional organizations</li> </ul>
<b>Point of Contact</b>	<p><b>Russell Fox, FEMA Region II, Continuity Programs</b> Phone: 212-680-8504 E-mail: <a href="mailto:russell.fox@fema.dhs.gov">russell.fox@fema.dhs.gov</a></p> <p><b>Gregory Gist, Citi, Office of Emergency Management</b> Phone: 212-559-5030 E-mail: <a href="mailto:gistg@citi.com">gistg@citi.com</a></p> <p><b>Karl Schimmeck, SIFMA, Financial Services Division</b> Phone: 212-313-1183 E-mail: <a href="mailto:kschimmeck@sifma.org">kschimmeck@sifma.org</a></p>

## PREFACE

The Pandemic Influenza Recovery / Reconstitution Tabletop Exercise (TTX) is sponsored by the Securities Industry Financial Markets Association (SIFMA) and the U.S. Department of Homeland Security (DHS) / Federal Emergency Management Agency (FEMA) Region II Continuity Programs Division. This Situation Manual (SitMan) was produced with input, advice, and assistance from the National Exercise Division (NED) Staff and Support Team, following guidance from the Homeland Security Exercise and Evaluation Program (HSEEP).

The Pandemic Influenza Recovery / Reconstitution TTX Situation Manual provides exercise participants with all the necessary tools for their roles in the exercise. It also serves as tangible evidence of a commitment to collaborate with stakeholders to identify and consider pandemic influenza challenges when planning to enhance infrastructure security and resilience.

This is an unclassified exercise. The control of information is primarily in regard to public sensitivity due to the nature of the exercise rather than actual exercise content. Some exercise material is intended for the exclusive use of exercise planners, facilitators, and evaluators, but players may view other materials deemed necessary for their performance. The SitMan may be viewed by all exercise participants.

All exercise participants should use appropriate guidelines to ensure the proper control of information within their areas of expertise and to protect this material in accordance with current jurisdictional directives. Public release of exercise materials to third parties is at the discretion of the exercise planning team.

## HANDLING INSTRUCTIONS

1. The title of this document is the *Pandemic Influenza Recovery / Reconstitution Tabletop Exercise (TTX) Situation Manual (SitMan)*.
2. The information gathered in this SitMan is for *Trusted Agents* and should be handled as sensitive information not to be disclosed. This document should be safeguarded, handled, transmitted, and stored appropriately. Reproduction of this document, in whole or in part, without prior approval from the exercise planning team, is prohibited.
3. At a minimum, the attached materials will be disseminated only on a need-to-know basis.
4. For more information, please consult the following points of contact (POCs):

Sponsoring Agency POCs:

**Gregory Gist**

**Citi, Office of Emergency Management**

Phone: 212-559-5030

E-mail: [gistg@citi.com](mailto:gistg@citi.com)

**Karl Schimmeck**

**SIFMA, Financial Services Division**

Phone: 212-313-1183

E-mail: [kschimmeck@sifma.org](mailto:kschimmeck@sifma.org)

**Russell Fox**

**FEMA Region II, Continuity Programs**

Phone: 212-680-8504

E-mail: [russell.fox@fema.dhs.gov](mailto:russell.fox@fema.dhs.gov)

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## GENERAL INFORMATION

### Background

A pandemic occurs when a virulent disease emerges and quickly spreads throughout the world. Pandemics pose serious health risks because infected individuals have not contracted the disease previously, and therefore, have little natural immunity to it.



Viruses have the ability to evolve. A genetic shift in an influenza virus could change it into a novel form that people could easily contract from one another, and an influenza pandemic could follow. Public health experts know that this is possible because it has happened in the past with other influenza viruses, including three times in the last century alone.

Millions of people worldwide died in the influenza pandemics of the 20th century. With the speed and frequency with which individuals travel throughout the world today, possibly spreading a virus to everyone with whom they come into contact, a modern pandemic has the potential to be far more destructive than the pandemics of the past.

### Purpose

The purpose of this TTX is to provide officials and key personnel an opportunity to consider the impacts of pandemic influenza events, and evaluate continuity policies, plans, and procedures related to pandemics. This exercise is designed to bring together local, state, federal, and private sector stakeholders to develop strategies, build decision support processes, and coordinate stakeholder planning efforts related to pandemic influenza and infrastructure resilience.

### Scope

This TTX will focus on the roles and responsibilities of local, state, federal, and private sector stakeholders in response and recovery from a pandemic influenza. Processes and decision making, stakeholder coordination, integration of capabilities, and long-term planning will be emphasized.

### Exercise Objectives

Exercise design objectives focus on improving the understanding of roles and responsibilities in preparation for a pandemic incident. This exercise will focus on the following design objectives:

#### **Pandemic Influenza Recovery / Reconstitution Exercise Objectives**

The following exercise objectives describe the expected outcomes for the exercise:

1. Demonstrate business reconstitution approaches during post-wave recovery.

## Core Capabilities

Core Capabilities are distinct critical elements necessary to achieve specific national preparedness mission areas that better enable our Nation to prepare for, respond to, and recover from all-hazard events. The capabilities below have been selected based on the purpose of the TTX, and provide the foundation for the development of the exercise objectives and scenario.

- Economic Recovery: **Mission Area** – Recovery

## Participant Roles and Responsibilities

The term *participant* encompasses many groups of people, not just those playing in the exercise. Groups of participants involved in the exercise, and their respective roles and responsibilities, are as follows:

- **Players.** Players are personnel who have an active role in discussing or performing their regular roles and responsibilities during the exercise. Players discuss or initiate actions in response to the simulated emergency.
- **Observers.** Observers do not directly participate in the exercise; however, they may support the development of player responses to the situation during the discussion by asking relevant questions or providing subject matter expertise.
- **Facilitators.** Facilitators provide situation updates and moderate discussions. They also provide additional information or resolve questions as required. Key Exercise Planning Team members may also assist with facilitation as subject matter experts (SMEs) during the exercise.
- **Evaluators.** Evaluators are assigned to observe and document certain objectives during the exercise. Their primary role is to document player discussions, including how and if those discussions conform to plans, policies, and procedures.



## Exercise Structure

This exercise will be a multimedia, facilitated exercise. Players will participate in the following two modules:

- Module 1: Post-Wave Assessment
- Module 2: Post-Wave Reconstitution

Each module will begin with a multimedia update that summarizes key events occurring within that time period. After the updates, participants will review the situation and engage in

discussions of appropriate response and recovery issues. For this exercise, each group of participants should include:

- Continuity of Operations (COOP) Personnel
- Agency or Organization Leadership / Management
- Healthcare Personnel
- Financial Services Personnel



After group discussions, participants will engage in a moderated plenary session, in which a spokesperson from each group will present a synopsis of the group's actions, based on the scenario.

## Exercise Guidelines

- This exercise will be held in an open, low-stress, no-fault environment. Varying viewpoints, even disagreements, are expected.
- Players will respond to the scenario using your knowledge of current plans and capabilities (i.e., only existing assets), and insights derived from training.
- Decisions are not precedent setting and may not reflect an organization's final position on a given issue. This exercise is an opportunity to discuss and present multiple options and possible solutions.
- Issue identification is not as valuable as suggestions and recommended actions that could improve response and recovery efforts. Problem-solving efforts should be the focus of discussions.

## Exercise Assumptions and Artificialities

In any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and/or account for logistical limitations. Exercise participants should accept that assumptions and artificialities are inherent in any exercise, and should not allow these considerations to negatively impact their participation. During this exercise, the following apply:

- The exercise is conducted in a no-fault learning environment wherein capabilities, plans, systems, and processes will be evaluated.
- The exercise scenario is plausible, and events occur as they are presented.
- All players receive information at the same time.



## Exercise Evaluation

### Discussion-Based Exercise

The evaluation methodology will employ a three-step process to document what occurred during each exercise (e.g., key actions or decisions that were discussed), why it happened, and what it potentially means from a continuity planning perspective.

- *Observation* involves the collection/recording of participant discussion.
- *Assessment* compares the decisions, processes, and actions discussed during the TTX against the relevant core capability exercise evaluation guides to identify gaps or conflicts.
- *Analysis* examines the issues identified in the assessment step to better understand why specific decisions were made and identifies the root causes of any reported gaps.

## MODULE 1: POST WAVE ASSESSMENT

**Discussion Time: Approximately 60 Minutes**

### BACKGROUND

Eight months ago, a novel influenza virus that was identified as the Malta Flu spread quickly around the globe. A Pandemic was declared in August of 2014. In November of that same year, passengers on a cruise ship making a two-week trip around the Gulf of Mexico before disembarking in New York City fell ill. The virus had an attack rate of 20 to 25 percent and a case fatality rate of approximately 2 percent. The first wave of the pandemic presented in NYC around late October and lasted for approximately nine weeks. Wave I was subsequently followed by a more severe wave in January 2015, which lasted approximately eleven weeks.

During both waves of the pandemic influenza, absenteeism rates were high across all sectors of employment. Consequently, not only did the financial services sector confront the challenges posed by absenteeism within its own organizations, it also faced disruptions in infrastructure, including telecommunications, utilities, postal and shipping services, supply chains, and health care. These disruptions lasted for months due to the protracted nature of this novel strain of influenza.

**April 29, 2015: 0900**

The U.S. Centers for Disease Control and Prevention (CDC) and both New York State and local health departments announce a decrease in new infections during Wave II of the Malta Flu Pandemic of 2014. While they have not declared an end to the pandemic, health officials are optimistic that the next wave, if there is one, will be less severe with fewer infections and fatalities.

### Key Issues

- The illness and / or death of workers and the family members of workers has had significant effects across the New York City area.
- As the pandemic lasted for seven months, physical damage to infrastructure exists due to deferred maintenance and repair.
- Absenteeism has decreased to 20%.



### Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 1. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

Module 1: POST WAVE ASSESSMENT			
#	Message	Points of Discussion	Function Tested
1.1	The Pandemic is nearing its end. Leadership wants an assessment of how to prepare for any additional waves and reconstitution.	<ul style="list-style-type: none"> <li>• What are your assessments of all physical, economic, and social impacts?</li> <li>• Describe the processes your organization would use to assess the impact of the pandemic on your business and your staff</li> <li>• How would your organization prioritize its post-wave assessment? What aspects of your organization would you look at first and why?</li> <li>• What may be some likely barriers to conducting the assessment or to re-establishing operations to normal or near-normal levels?</li> <li>• What is your agency or organization planning in order to restore full and normal operations?</li> <li>• What strategies might you use to coordinate with stakeholders, customers, and partners to inform your post-wave recovery?</li> </ul>	Reconstitution

Module 1: POST WAVE ASSESSMENT			
#	Message	Points of Discussion	Function Tested
1.2	Key personnel within your organization were disproportionately affected by the Pandemic as a result a number of newly promoted less experienced personnel are now assigned to these key positions within the organization	<ul style="list-style-type: none"> <li>• How is your agency or organization balancing recovery actions with essential preparedness for any future pandemics?</li> <li>• How is your agency or organization planning on finding suitable replacements for deceased or ill employees given potential shortages in skilled labor?</li> <li>• How is your agency or organization prepared to respond to employees that are now single parents or who have lost children?</li> </ul>	Human Resources
1.3	Absenteeism is decreasing as more and more people return to work. Your leadership notices that morale is low due to the effects of the Pandemic.	<ul style="list-style-type: none"> <li>• Does your agency or organization have any employee recovery support programs?</li> <li>• Is your agency or organization prepared for potential long term health effects of employees that survived the Pandemic?</li> </ul>	Human Resources
1.4	Rumors are circulating about an additional wave and other disruptive information.	<ul style="list-style-type: none"> <li>• What methods is your organization relying on to communicate with your customers, vendors, and other financial services organizations?</li> <li>• What methods is your organization relying on to communicate with your workforce?</li> </ul>	Continuity Communications

## MODULE 2: POST WAVE RECONSTITUTION

**Discussion Time: Approximately 60 Minutes**

**May 06, 2015: 0900**

The World Health Organization (WHO) announces the end of Malta Flu Pandemic. The WHO and the CDC report that most susceptible persons within the population have either contracted the infection or recovered, contracted the virus and succumbed, or have been vaccinated.



### Key Issues

- International recovery is potentially lagging behind the United States
- Enhanced risk communications is still necessary as recovery begins

### Questions

Based on the information provided, participate in the discussion concerning the issues raised in Module 2. Identify any critical issues, decisions, requirements, or questions that should be addressed at this time.

These questions are not meant to constitute a definitive list of concerns to be addressed, nor is there a requirement to address every question.

Module 2: POST WAVE RECONSTITUTION			
#	Message	Points of Discussion	Function Tested
2.1	The decision to return to normal operations has been made by your senior leadership.	<ul style="list-style-type: none"> <li>• What regulatory relief, if any, is your organization requesting? How is your agency or organization tracking the availability of government direct and indirect recovery support?</li> <li>• How would your agency or organization establish priorities for recovering or restoring business operations to “normal or near-normal” levels? What might be some potential differentiators between short-term and long-term recovery objectives for your agency or organization?</li> <li>• How is your organization providing relief to customers or constituents during reconstitution?</li> <li>• Is your agency or organization prepared for secondary events such as a cyber-attack during future waves or the reconstitution phase?</li> </ul>	Reconstitution

Module 2: POST WAVE RECONSTITUTION			
#	Message	Points of Discussion	Function Tested
2.2	Your leadership shares their concerns that the COOP / Pandemic plan did not operate as effectively as planned.	<ul style="list-style-type: none"> <li>• Does your agency have a formal process in place for conducting an after-action review to identify strengths and areas for improvement in your response?</li> <li>• Does your agency or organization have a process in place to integrate findings from your after-action review back into plans, policies, and procedures? How would this occur?</li> <li>• How does your agency or organization plan to provide continuous updates concerning business recovery?</li> <li>• How will your agency or organization deal with rumors and misinformation?</li> </ul>	All elements of Continuity
2.3	During the Pandemic, devolution procedures went better than expected. Your leadership is ready to take back responsibility for essential function	<ul style="list-style-type: none"> <li>• How will your agency or organization continuously monitor recovery?</li> <li>• How will your agency or organization interact with international business partners?</li> <li>• What potential strategies might be used to address the possibility that not all employees may be able to return to work at the time of reconstitution and that it may be necessary to hire temporary or permanent workers in order to complete the reconstitution process?</li> </ul>	Devolution of Functions

## APPENDIX A: EXERCISE SCHEDULE

Time	Activity
December 1, 2, & 3, 2014	
0830	Registration
0900	Welcome and Opening Remarks
0915	Mental Health Presentations
1030	Break
1045	Module 1: Briefing, Caucus Discussion, and Brief-Back
1200	Lunch Break
1315	Module 2: Briefing, Caucus Discussion, and Brief-Back
1430	Break
1445	Hot Wash
1600	Closing Comments



## APPENDIX B: EXERCISE PARTICIPANTS

Participating Organizations	
<b>Federal</b>	
<b>State</b>	
<b>[Jurisdiction A]</b>	
<b>[Jurisdiction B]</b>	

### APPENDIX C: ACRONYMS

Acronym	Term
CDC	Centers for Disease Control and Prevention
DHS	U.S. Department of Homeland Security
FEMA	Federal Emergency Management Agency
HHS	U.S. Department of Health and Human Services
HSEEP	Homeland Security Exercise and Evaluation Program
ILI	Influenza Like Illness
NIH	National Institutes of Health
Pan Flu	Pandemic Influenza
SIFMA	Securities Industry and Financial Markets Association
SitMan	Situation Manual
SME	Subject Matter Expert
TTX	Tabletop Exercise
WHO	World Health Organization