



The New York State Center for School Safety
Providing support to schools, families, and communities

Functional Annexes and Tabletop Exercise Workshop

NYSED School Safety Summit
June 1, 2023



We are glad you're here!

[Kathy Oboyski-Butler](#)

[Tina Tierney](#)



Session Agenda

- What are Functional Annexes and Tabletop Exercises?
- Which Functional Annexes are required for my Building Level Emergency Plan?
- Practice Annex: **S**helter in Place
- Four Corners Exercises
 1. **H**old in Place
 2. **E**vacuate
 3. **L**ock Down
 4. **L**ock Out
- Debrief



Session Outcomes

- ❖ Learn how to develop **S.H.E.L.L.** Functional Annexes to support emergency preparedness and response in your school.
 - How does our Building Level Emergency Response Team *develop* functional annexes
 - How can our Team *test* their effectiveness?
- ❖ Leave with free, reproducible, customizable resources.



New York State Required Teams and Plans

**District-Wide
Safety Team**



**District-Wide
School Safety *Plan***

**Building-Level
Emergency Response Team**



**Designate
Emergency
Response *Team***

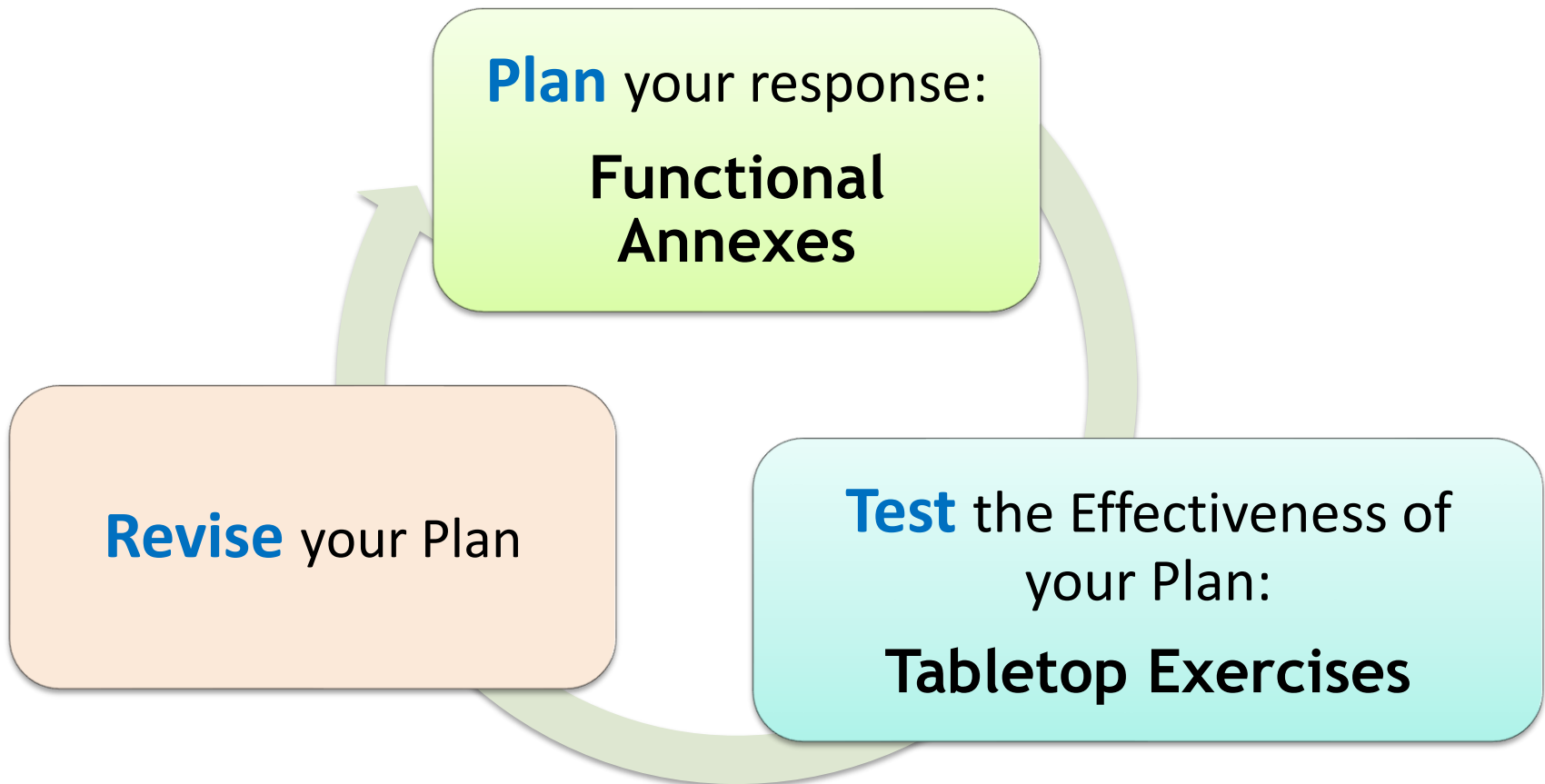


**Designate
Post-Incident
Response *Team***

**Building-Level
Emergency Response *Plan***



How can our team develop an effective Plan?

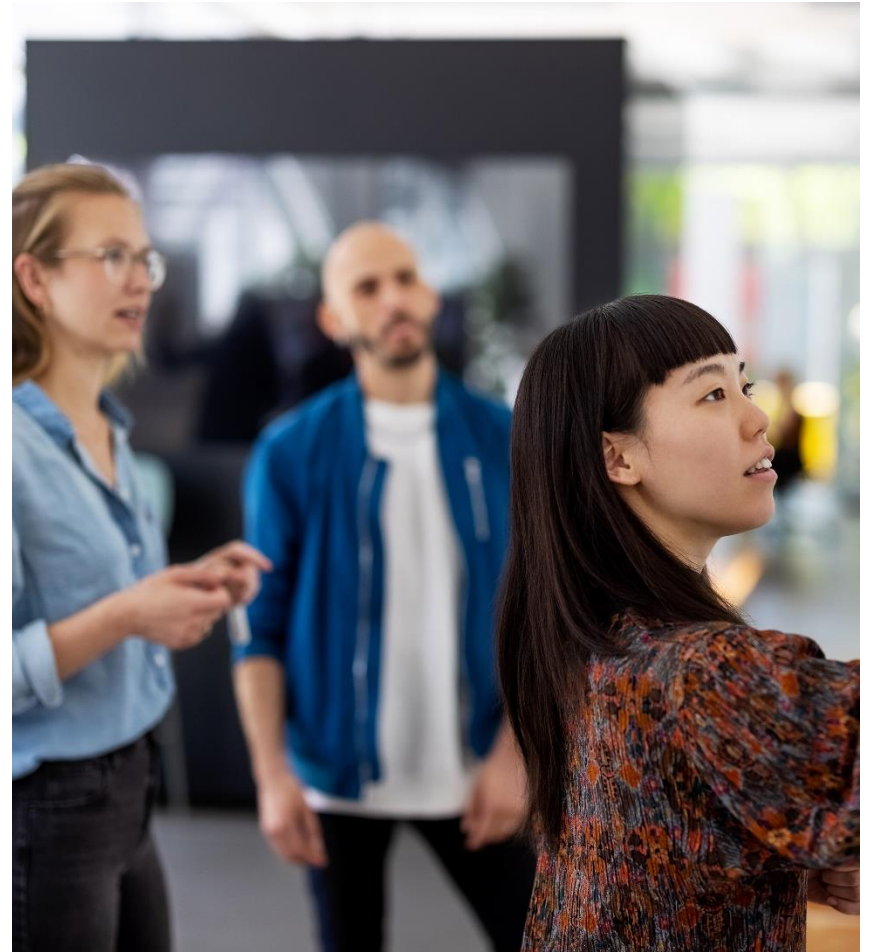




What are Functional Annexes?

- ❖ Written documents
- ❖ Focus on **specific actions**
- ❖ Developed by your Building Level Emergency Response Team
- ❖ Confidential

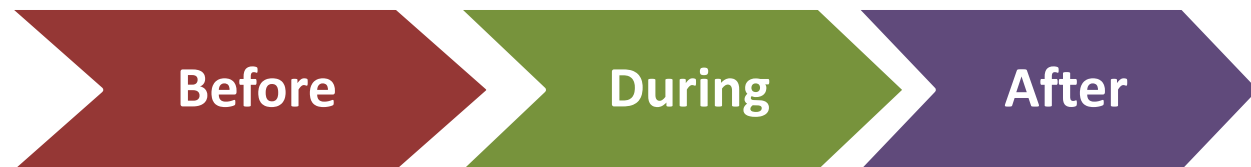
Functional Annexes must be included in your *Building-Level Emergency Response Plan*.





Purpose of Functional Annexes

- Provide **specific** information and direction
- Focus on **what** the function is and **who** is responsible for carrying it out
- Emphasize **responsibilities, tasks, and actions**
- Explain **how** the school manages each function **before, during, and after** an incident





Functional Annexes

Annexes are required by [Education Law § 2801-a](#) and [CR 155.17](#)

Annexes must be entered in the NYSED [Application Business Portal](#)

Translated versions available:
www.nyscfss.org/safety-plans

NY STATE EMERGENCY RESPONSE **S.H.E.L.L.**

SCHOOL NAME:

911 ADDRESS:



SHELTER-IN-PLACE

SHELTER STUDENTS AND STAFF INSIDE THE BUILDING BECAUSE IT IS SAFER INSIDE THE BUILDING THAN OUTSIDE.

ACTIONS:

- Listen for instructions about the situation and your actions.
- Students in hallways should return to assigned classroom, if possible.
- Classroom teachers, take attendance.
- All other staff assist students, as needed.
- Move away from windows, if situation warrants.
- If instructed, move out of classroom to designated safe area. Stay together at all times.
- Take Attendance.
- Listen for updates.



HOLD-IN-PLACE

RESTRICT MOVEMENT OF STUDENTS AND STAFF WITHIN THE BUILDING WHILE DEALING WITH SHORT TERM EMERGENCIES.

ACTIONS:

- Listen for instructions about the situation and your actions.
- Students in hallways should return to assigned classroom, if possible.
- Classroom teachers, take attendance.
- All other staff assist students, as needed.
- Listen for updates.



EVACUATE

EVACUATE STUDENTS AND STAFF FROM THE BUILDING.

ACTIONS:

- Listen for instructions about the situation and your actions.
- Lead students to designated assembly or announced assembly area. Use secondary route, if necessary.
- Bring attendance list and class roster.
- Close the classroom door after exiting.
- Take attendance when safe to do so.
- If evacuating off site, take attendance before moving from and upon arrival at off site location.
- Listen for updates.



LOCKOUT

STUDENTS AND STAFF REMAIN INSIDE LOCKED **SCHOOL BUILDINGS** DURING INCIDENTS THAT POSE AN IMMINENT CONCERN **OUTSIDE** OF THE SCHOOL.

ACTIONS:

- Listen for instructions regarding the situation and your actions.
- Lock all exterior doors and windows.
- Leave blinds/lights as they are.
- Take Attendance.
- After initial instructions, listen for updates.
- Classroom instruction continues as normal.
- All outdoor activities are terminated.
- Listen for updates.



LOCKDOWN

SECURE STUDENTS AND STAFF INSIDE LOCKED **CLASSROOMS** DURING INCIDENTS THAT POSE AN **IMMEDIATE THREAT OF VIOLENCE** IN OR AROUND THE SCHOOL.

ACTIONS:

- When you hear LOCKDOWN, LOCKDOWN announced, move quickly to execute the following actions.
- If safe, gather students from hallways and common areas near your classroom.
- Lock your door. Barricade if necessary.
- Move students to a safe area in the classroom out of sight of the door.
- Leave windows, blinds/lights as they are.
- Keep everyone quiet. Silence cell phones.
- Take attendance, if possible.
- Do not communicate through door or answer room phone.
- Do not respond to P.A. announcements or fire alarm.
- Stay hidden until physically released by law enforcement personnel.



Additional Functional Annexes

- Communications Annex
- Crime Scene Management Annex
- Public Health, Medical, and Mental Health Annex
- Accounting for All Persons
- Reunification
- Security
- Cybersecurity
- Continuity of Operations
- Recovery

Resources are available!



Functional Annexes: Consecutive and Concurrent



Determine Goals and Objectives



Goals are broad, general statements that indicate the desired outcome in response to a threat or hazard.



The planning team will develop **at least three goals** indicating desired outcome for:

(1) ***Before***

(2) ***During***

(3) ***After*** the threat or hazard



Objectives are specific, ***measurable actions*** that are necessary to achieve the goals.

Courses of Action

Key Questions

WHAT is the action?

WHO is responsible?

WHEN does it take place?

What happens **BEFORE** and **AFTER**?

What **RESOURCES** are needed?

HOW will this affect specific populations?

SHELTER-IN-PLACE

<i>Purpose</i>	Used to shelter students and staff inside the building.
<i>Description</i>	A Shelter-In-Place Annex describes courses of action when students and staff are required to remain indoors, perhaps for an extended period of time, because it is safer inside the building than outside.
<i>Examples when the response is used</i>	Weather event Response to mechanical issue When dismissal isn't practical Other
<i>Additional information</i>	A Shelter-In-Place can last several hours. Depending on the threat or hazard, students and staff may be required to move within the building. Considerations: determine rooms that can be sealed (such as in the event of a chemical or biological hazard), rooms without windows, or a weather shelter (to be used during an event such as a tornado).

Before

GOAL

Example Goal **BEFORE** the response (*broad, general statement*):

- Have the capacity to Shelter-In-Place immediately.

OBJECTIVE(S)

Example Objectives (*measurable actions*):

- Determine Incident Command System (ICS).
- Determine how response is initiated.
- Determine how instructions will be communicated.
- Determine how the response will be lifted (ended).

COURSES OF ACTION

Key questions to determine Courses of Action (*to accomplish objectives*):

- **WHAT** is the action?
- **WHO** is responsible?
- **WHEN** does it take place?
- What happens **BEFORE** and **AFTER**?
- What **RESOURCES** are needed?
- **HOW** will this affect specific populations?

Before

Who is Responsible	Action	Due Date	Follow Up Required
	<ul style="list-style-type: none"> • Determine Incident Command System (ICS). <p>SCHOOL INCIDENT COMMANDER (and alternate)</p> <ul style="list-style-type: none"> • Directs incident for school, staff, students • Establishes immediate priorities for staff & students • Works directly with the Emergency Incident Commander (1st Responders) <p>SCHOOL PUBLIC INFORMATION OFFICER (and alternate)</p> <ul style="list-style-type: none"> • Liaison between school and public (including media) • Works to coordinate information to be released <p>SCHOOL LIAISON OFFICER (and alternate)</p> <ul style="list-style-type: none"> • Acts as point of contact for school administrators • Coordinates assisting cooperating agencies <p>SCHOOL SAFETY OFFICER (and alternate)</p> <ul style="list-style-type: none"> • Identifies and mitigates hazardous situations for school staff and students • Monitors safety conditions and develops measures for assuring safety 		

Before

Who is Responsible	Action	Due Date	Follow Up Required
	<ul style="list-style-type: none">• Determine how response is initiated.		
	<ul style="list-style-type: none">• Determine how instructions will be communicated.		
	<ul style="list-style-type: none">• Determine how the response will be lifted (ended).		

During

GOAL

Example Goal **DURING** the response (*broad, general statement*):

- Protect students and staff.

OBJECTIVE(S)

Example Objectives (*measurable actions*):

- Instructions during the response.
- Restroom use.
- How we will support specific populations.

COURSES OF ACTION

Key questions to determine Courses of Action (*to accomplish objectives*):

- **WHAT** is the action?
- **WHO** is responsible?
- **WHEN** does it take place?
- What happens **BEFORE** and **AFTER**?
- What **RESOURCES** are needed?
- **HOW** will this affect specific populations?

During

Who is Responsible	Action
	<ul style="list-style-type: none"> ● Instructions during the response. <ul style="list-style-type: none"> ○ If instructed, move out of classroom to designated safe area. Stay together at all times. ○ How to move students when the primary route is unusable. ○ How to locate and move students who are not with a teacher or staff member.
	<ul style="list-style-type: none"> ● Restroom use.
	<p>HOW will this affect specific populations?</p> <ul style="list-style-type: none"> ● difficulty with hearing or seeing warnings or alarms ● challenges with mobility (e.g., wheelchair) ● consider medication, medical equipment, and supplies,

After

GOAL

Example Goal **AFTER** the response (*broad, general statement*):

- Restore a safe and healthy learning environment.

OBJECTIVE(s)

Example Objectives (*measurable actions*):

- Clean up the physical environment.
- Tend to emotional needs.
- Restock supplies.
- Evaluate and refine plans.

COURSES OF ACTION

Key questions to determine Courses of Action (*to accomplish objectives*):

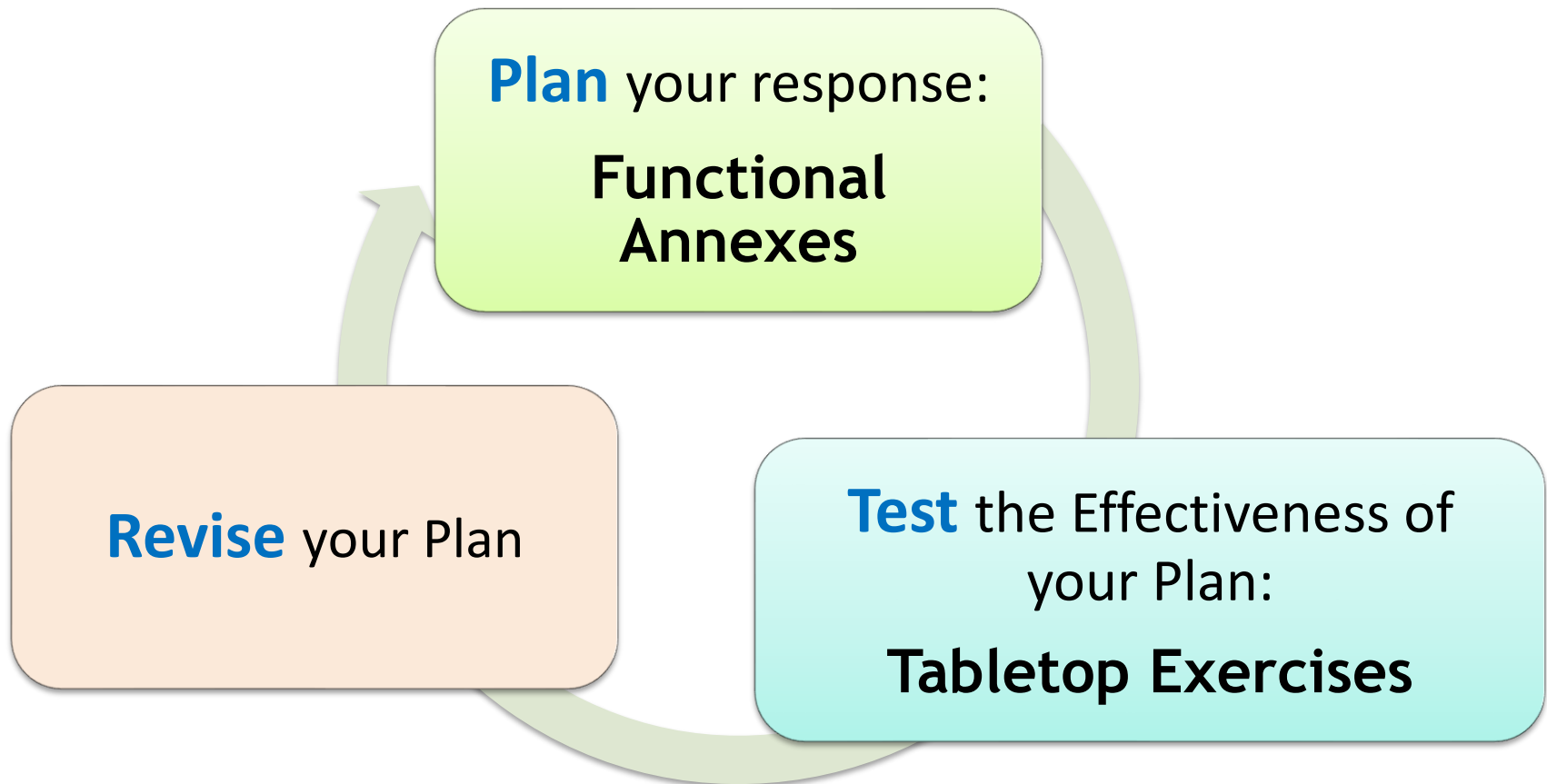
- **WHAT** is the action?
- **WHO** is responsible?
- **WHEN** does it take place?
- What happens **BEFORE** and **AFTER**?
- What **RESOURCES** are needed?
- **HOW** will this affect specific populations?

After

Who is Responsible	Action
	<ul style="list-style-type: none"><li data-bbox="542 518 1078 554">• Clean up the physical environment.
	<ul style="list-style-type: none"><li data-bbox="542 625 948 661">• Tend to emotional needs.
	<ul style="list-style-type: none"><li data-bbox="542 732 832 768">• Restock supplies.
	<ul style="list-style-type: none"><li data-bbox="542 839 948 875">• Evaluate and refine plans.



How can our team develop an effective Plan?





Tabletop Exercises

- Provide an opportunity for your team to review and discuss responses to a simulated incident.
- Identify the information, actions, and notifications that are needed to respond to an incident.
- Identify strengths and areas for improvement in your Emergency Response Plans.

Who, What, How

Who are key participants?

What are your actions?

How do we improve our response?



Tabletop Exercises

Assess the need

What part of your Emergency Response Plan are you testing?

Define the scope

Participants: Who are the key people?

Write a statement of purpose

What is the reason for the activity?

Define the objectives

What are your objectives for this activity?

Compose a narrative/scenario

What is the narrative for the simulated situation?

What story will set the stage and encourage participants to think about the problem?

Setting: It is 10:05 Wednesday morning, and school is in session. The temperature is 40 degrees Fahrenheit outside, the sky is overcast, and there is a light breeze from the west.



Incident: A tanker truck carrying hazardous materials crashes into another vehicle on the road a few blocks from the school. The truck is leaking a yellowish gas that is hovering close to the ground.

A motorist comes upon the crash and calls 9-1-1.

First responders are immediately dispatched to the incident.

The **media** has begun reporting on the tanker truck crash.

Family members call the school office to check on the status of their children.

This is the first the school has heard of the incident.

The school office notifies the building Principal necessitating an Emergency Response.



The principal assumes the role of **Incident Commander** (*as previously determined*) and calls police dispatch to get first-hand information. Dispatch verifies the crash, states that they are still gathering information, and they do not tell the school how to respond.

The Incident Commander assembles the building emergency response team and activates the ICS.

ICS: (*Assign the necessary and relevant roles and alternates for the roles, or use previously assigned roles as per your Emergency Response Plan*)

Due to the proximity of the crash, the school decides to take precautionary measures and implements a **Shelter-in-Place** to seal off the school from the possible contaminant.

The school principal uses the intercom system to instruct staff to immediately implement a shelter-in-place procedure and seal their rooms.



During

Additional considerations:

- How is the response initiated?
- Students are outside on a field with their teacher, who is seemingly unaware of the incident. From a distance, it looks like some students might be coughing.
- In the office, phones are ringing nonstop.
- Fire Department Hazmat coordinator advises they are working to identify the chemical spill, the school should follow its protocols, and segregate and monitor any potentially exposed students and staff.
- The road will be shut down for hours for cleanup altering bus routes.
- It is almost lunchtime.
- Consider student medical needs.
- Consider access and functional needs (i.e., difficulty hearing/seeing alarms, challenges with mobility, wayfinding, toileting and feeding needs, etc.)
- How is the response lifted (ended)?



During

Using Your Floor Plans and Area Maps:

- Does everyone involved know how routes to/from the school will be impacted?
- Communication with the teacher outside must occur. Is there is a safe route back into the school building? How should any student medical needs be addressed?
- Parents, visitors, and bus drivers arriving at the school will need direction.
- Which windows need to be sealed? Who will do this, and where are the supplies?
- Will any utilities need to be shut-off?

{Consider additional building specific problems that could occur}



During

<p>What was the plan?</p>	
<p>What happened and why?</p>	
<p>What were our strengths?</p>	
<p>What did we learn?</p>	
<p>How do we improve?</p>	<p><i>{Consider response improvements.}</i></p> <p>Also consider improvements to:</p> <ul style="list-style-type: none"> • Shelter-in-Place Annex • Building-Level Emergency Response Plan • Incident Command System • Floorplans and Area Maps





Four Corners Exercise

Annex Discussion Groups

1. Hold in Place
2. Evacuate
3. Lockout
4. Lockdown

Turn and Talk Exercise:
numbered rows turn to the row behind you



Four Corners Exercise

Spokesperson: Traveled the farthest

Notetaker: Wearing the brightest color

Timekeeper: Has the shortest first name



TASK 1

Functional Annex

- ❖ You are a Building Level Emergency Response Team in a hypothetical school.
- ❖ Work together as a team to consider the annex.

Discuss the Annex:

Purpose

Description

Examples

Additional information

7 minutes



TASK 1

Functional Annex: BEFORE



- ❖ Review the Goal and Objectives.
- ❖ Work together as a team to consider how to develop Courses of Action/best practices to **determine how the response is initiated**.

Questions for Consideration:

- Who will initiate the response, how will it be initiated, and what is your backup plan if the system fails?
- How will you communicate with students outside of the building?

5 minutes



TASK 1

Functional Annex: During

During

- ❖ Review the Goal and Objectives.
- ❖ Work together as a team to consider how to develop Courses of Action/best practices of **providing situational instructions**.

Questions for Consideration:

- Who will develop the situational instructions and how will they be communicated?
- Consider who makes the decisions, how the info is communicated out, and how do staff contact someone if they experience one of these situations?

5 minutes



TASK 1

Functional Annex: After



- ❖ Review the Goal and Objectives.
- ❖ Work together as a team to consider how to develop Courses of Action to meet the objective to **Tend to Emotional Needs**.

Questions for Consideration:

- Who will tend to the emotional needs of your students and staff?
- How will you determine who needs support?
- What will you do after 1 day, 1 week, 1 month, and 1 year?

5 minutes



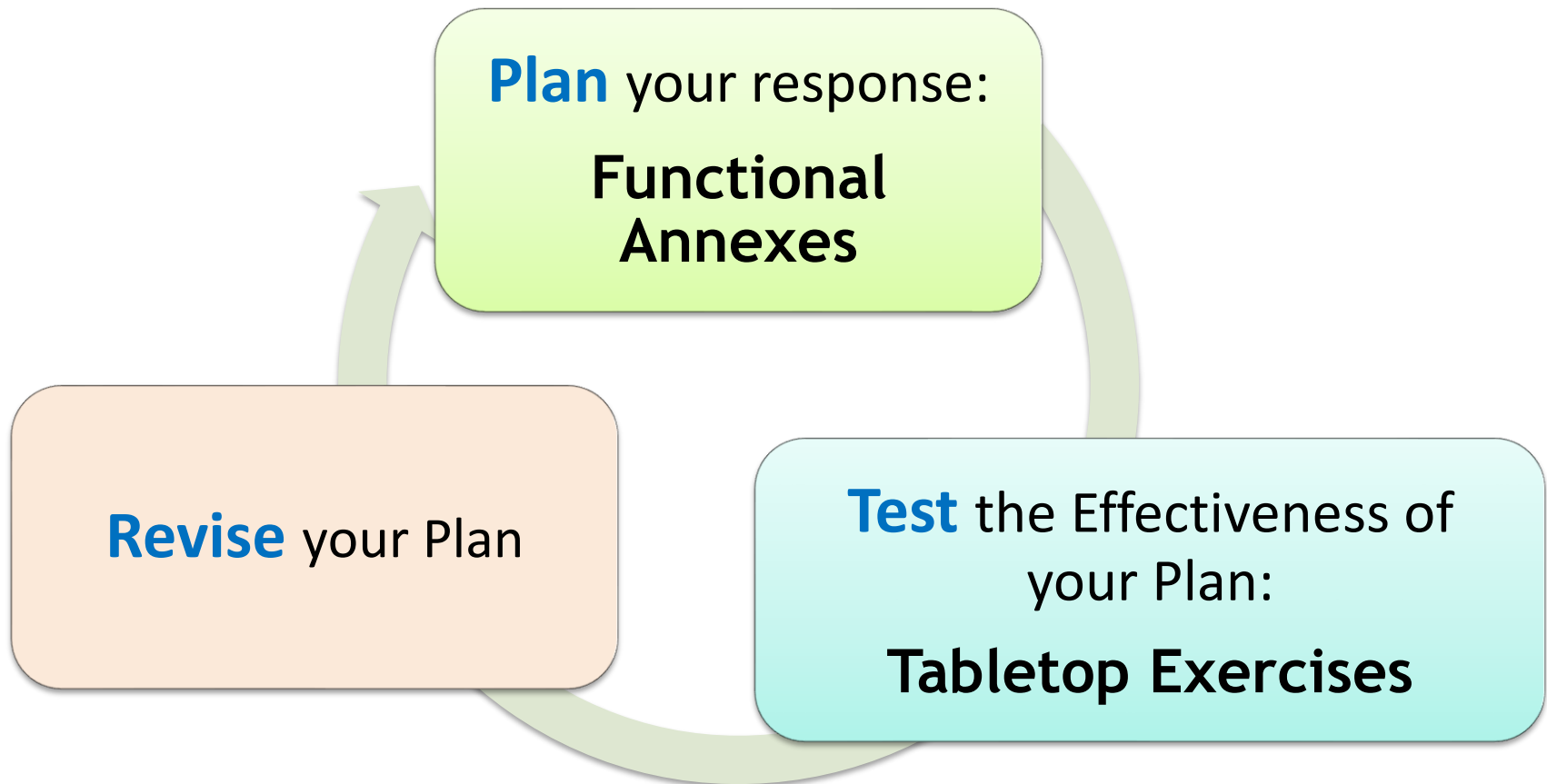
Spokesperson: share **one tangible takeaway** from your Annex group with the same Annex group

60 seconds per Annex group

Total time 5 minutes



How can our team develop an effective Plan?





TASK 2

Conducting a Tabletop Exercise: Who, What, How

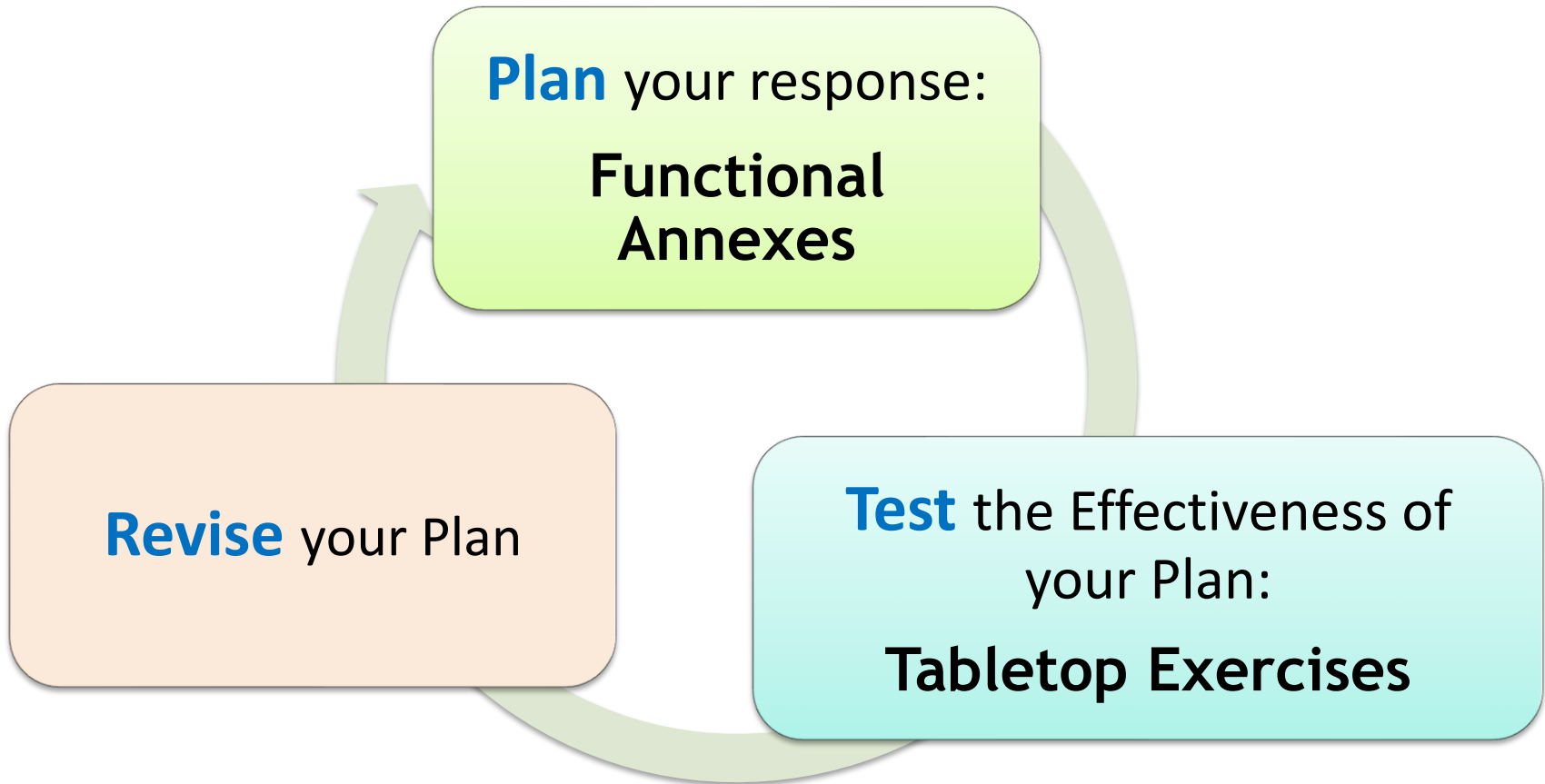
- ❖ When you conduct a tabletop exercise at your school, **who** are the key participants? **Why**?

- ❖ Read the scenario and consider:
 - **What** are your initial actions?
 - **What** steps can you take to improve your response?
 - **How** can you improve your Functional Annex?

10 minutes



How can our team develop an effective Plan?





- What was new information?
- What are you already doing?
- What is one next step for your district/school?





School Safety in New York

[Safety Plan Resources](#)

[Training Modules](#)

[Information from NYSED](#)

[For More Information](#)

The New York State Education Department is committed to promoting safe learning environments where students and teachers work collaboratively in pursuit of academic excellence and social and emotional growth.



Safety Plans



One of the requirements of Project SAVE is that school districts develop

Guide for Developing and Reviewing SHELL Functional Annexes

Prepared in collaboration by

New York State Education Department
New York State Police
New York State Center for School Safety

August 2022

Updates: S.H.E.L.L. Emergency Response Card updated December 2022



Plan Development Resource Packet

DEVELOPING DISTRICT-WIDE SCHOOL SAFETY PLANS AND BUILDING-LEVEL EMERGENCY RESPONSE PLANS

Plan Development Resource Packet for Districts and Schools

Resource 1: Developing Emergency Response Plans: Principles and Process

Resource 2: District-Wide School Safety Team

Resource 3: District-Wide School Safety Plan - *updated November 2022*

Resource 4: Building-Level Emergency Response Teams

Resource 5: Incident Command System (ICS) for Schools

Resource 6: Building-Level Emergency Response Plan: Your School Building

Resource 7a: Functional Annex Considerations - *updated November 2022*

Resource 7b: Annex Worksheet

Resource 8: Threat and Hazard Risk Index Matrix

Resource 9: Emergency Response Card - *updated November 2022*

Resource 10a: Post-Drill Review Form

Resource 10b: Designing a Tabletop

Resource 10c: S.H.E.L.L. Tabletop Exercises - *updated November 2022*

NOVEMBER 2022

Please note: these resources reflect the requirements of the New York State Education Department Commissioner's Regulations as of **November 2022**.

Please be sure to incorporate any regulation amendments and all new regulations into your District-Wide Safety Plans and Building-Level Emergency Response Plans.



Resource 7a:

Functional Annex Considerations

Functional Annex Considerations

CR 155.17(2) Building-level emergency response plan. A building-level emergency response plan shall be developed by the building-level emergency response team, shall be kept confidential, including but not limited to the floor plans, blueprints, schematics or other maps of the immediate surrounding area, and shall not be disclosed except to authorized department or school staff, and law enforcement officers, and shall include the following elements:

- (i) policies and procedures for the response to emergency situations, such as those requiring evacuation, sheltering, and lock-down, which shall include, at a minimum, the description of plans of action for evacuation, sheltering, lock-down, evacuation routes and shelter sites, and procedures for addressing medical needs, transportation and emergency notification to persons in parental relation to a student;
- (iv) establishment of internal and external communication systems in emergencies;
- (vi) coordination of the building-level emergency response plan with the statewide plan for disaster mental health services to assure that the school has access to Federal, State and local mental health resources in the event of a violent incident;
- (viii) policies and procedures for securing and restricting access to the crime scene in order to preserve evidence in cases of violent crimes on school property.

Safety Teams and Emergency Response teams develop Functional Annexes specific and detailed for the actions that need to happen.

- Provide specific information and direction
- Focus on **what** the function is and **who** is responsible for carrying it out
- Emphasize responsibilities, tasks, and operational actions that pertain to the function being covered
- Explain how the school manages each function **before, during, and after** an incident

In addition to the information from the Annex Worksheets (**Goals, Objectives, and Courses of Action**), the following are **considerations** for each Annex:

Functional Annex Considerations	
<input type="checkbox"/>	Shelter in Place*
<input type="checkbox"/>	Courses of action to shelter students and staff inside the building.
<input type="checkbox"/>	What supplies will be needed to seal the room and to provide for the needs of students and staff (e.g., water)
<input type="checkbox"/>	How a shelter-in-place can affect individuals with disabilities and others with access and functional needs such as students who require the regular administration of medication, durable medical equipment, and personal assistant services.
<input type="checkbox"/>	How to move students when the primary route is unusable.
<input type="checkbox"/>	How to locate and move students who are not with a teacher or staff member.
<input type="checkbox"/>	Procedures to turn off utilities and ventilation systems.
<input type="checkbox"/>	
<input type="checkbox"/>	Hold in Place
<input type="checkbox"/>	Courses of action when students and staff are required to remain in place for an expected short duration incident, such as a fight, medical emergency, or maintenance issue.
<input type="checkbox"/>	Courses of action to limit the movement of students and staff during a short-term incident.
<input type="checkbox"/>	How to locate and move students who are not with a teacher or staff member.
<input type="checkbox"/>	

Resource 7b:

Functional Annex Worksheet

Annex Worksheet: _____ Annex

Before			
GOAL			
OBJECTIVE(S)			
COURSES OF ACTION			
Who is Responsible	Action	Due Date	Follow Up Required
During			
GOAL			
OBJECTIVE(S)			
COURSES OF ACTION			
Who is Responsible	Action		
After			
GOAL			
OBJECTIVE(S)			
COURSES OF ACTION			
Who is Responsible	Action		

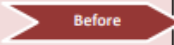
New York State Education Department and New York State Center for School Safety
Emergency Response Planning Toolkit: Resource 7b
January 2021

Resource 10b:

Designing a Tabletop Exercise

Designing a Tabletop Exercise

The purpose of a Tabletop Exercise is to provide an opportunity for your team to review and discuss their responses to a simulated incident and to identify the information, actions, and notifications that are needed. A Tabletop Exercise is intended to generate discussion of various issues regarding a hypothetical, simulated emergency. Tabletop Exercises can be used to enhance general awareness, validate plans and procedures, rehearse concepts, and/or assess the types of systems needed to guide the prevention of, mitigation of, protection from, response to, and recovery from a defined incident. Generally, Tabletop Exercises are aimed at facilitating conceptual understanding, identify strengths and areas for improvement, and/or achieving changes in perceptions.

Facilitator		
Date		
<i>Assess the need</i> What part of your Emergency Response Plan are you testing?		
<i>Define the scope</i> Participants: Who are the key people?		
<i>Write a statement of purpose</i> What is the reason for the activity?		
<i>Define the objectives</i> What are your objectives for this activity?		
<i>Compose a narrative/scenario</i> What is the narrative for the simulated situation? What story will set the stage and encourage participants to think about the problem?		
<i>Write major and detailed events</i> 	What is going on?	
	What has already occurred?	
	What is the weather?	
	Who is involved?	
	Who is affected?	
	Who has been called and/or responded? What have they already done?	



For more information

New York State Education Department

Office of Student Support Services

518-486-6090

safetyplans@nysed.gov

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New York State Center for School Safety

844-897-9567 or 800-330-1420 (ext. 205)

NYSCFSS.org

Please contact our team with questions or to request additional information



