# Functional Annexes
# and
# Tabletop Exercise Workshop

## September 23, 2024

# Welcome and thank you for joining us!

**New York State Center for School Safety**

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**NYS ED.gov**

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# Session Agenda

- ❑ What are Functional Annexes?

- ❑ Which Functional Annexes are required for my Building Level Emergency Plan?

- ❑ Practice Annex: Shelter-in-Place

- ❑ Breakout Room Discussion: Lockdown

- ❑ Tabletop Exercises: Who, What, How

# Session Objectives

❖ Learn how to develop Functional Annexes to support emergency preparedness and response in your school:

- How does our Building-Level Emergency Response Planning Team *develop* functional annexes?

- How can our team *test* their effectiveness through Tabletop Exercises?

❖ Learn from one another and share best practices.

❖ Leave with great FREE resources.

# New York State Required Teams and Plans

District-Wide School Safety Team

Building-Level Emergency Response Planning Team

Designate **Emergency Response** *Team*

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

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

Building-Level Emergency Response *Plan*

Who are the essential members of your Building-Level Emergency Response Planning Team?

Emergency Response Team?

Post-Incident Response Team?

**Building-Level Emergency Response Planning Team**

Designate **Emergency Response** *Team*

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

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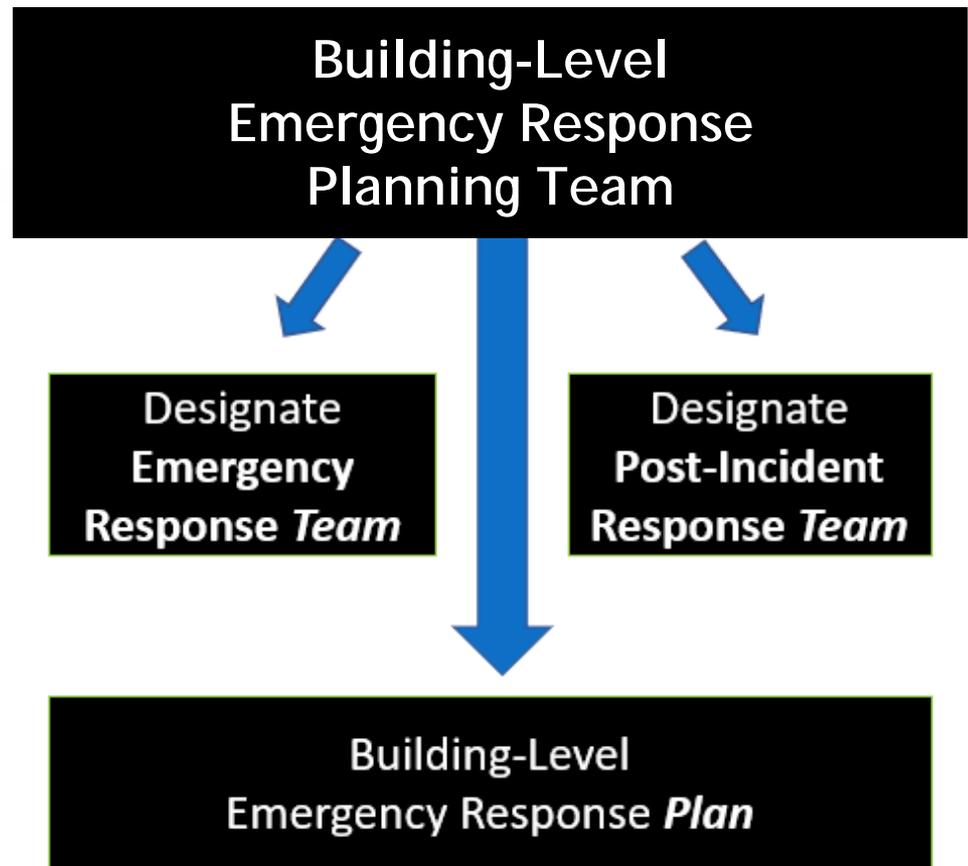
# Building-Level Emergency Response Plan

**Part 1: Basic Plan** – *Includes information about your building and your teams.*

*The Incident Command System (ICS), campus profile floor plans, road maps, and maps of the surrounding area*

**Part 2: Functional Annexes** – *How you will <u>function</u> during an emergency*

*Situations <u>all schools</u> should prepare for*

**Part 3: Threat or Hazard Annexes** – *Threats or hazards that may occur in a particular building, specific to a school's geography, climate, proximity to potential hazards*

*Situations <u>your school</u> should prepare for*

**CONFIDENTIAL**

# How can our team develop an effective plan?

**Plan** Your Response:

Functional Annexes

**Test** the Effectiveness of Your Plan:

Tabletop Exercises

**Revise** Your Plan
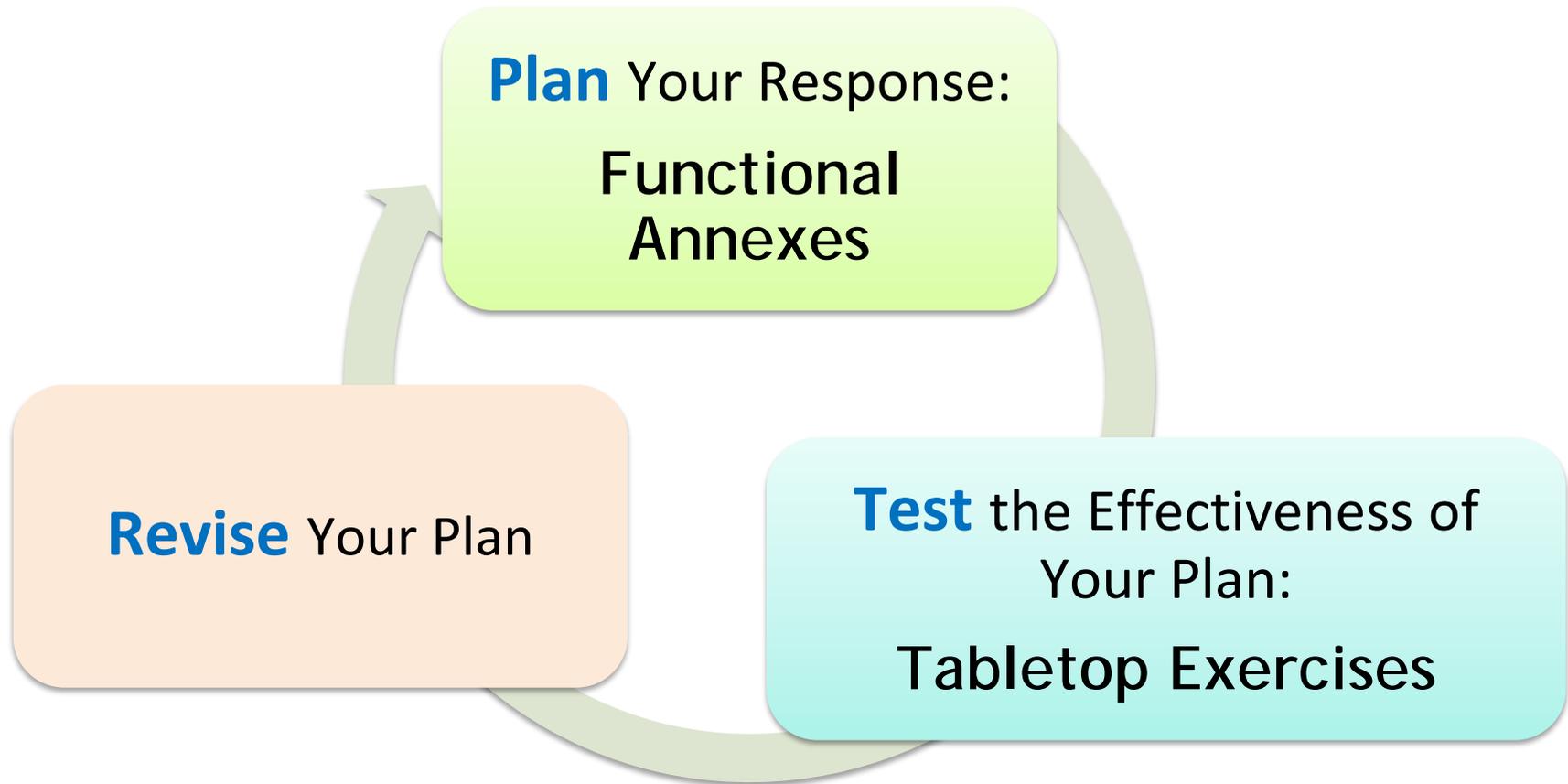
# What are Functional Annexes?



- ❖ Written documents

- ❖ Focus on **specific actions**

- ❖ Developed by your Building-Level Emergency Response Planning Team

- ❖ Confidential

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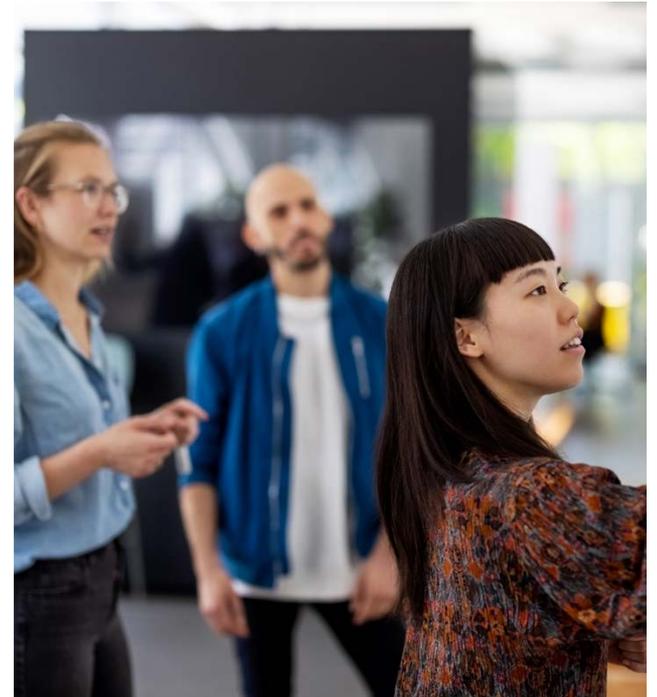
# Purpose of Functional Annexes

- Provide **specific** information and directions

- 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

**Before** → **During** → **After**

# Functional Annexes

Annexes are required by Education Law § 2801-a and CR 155.17

Annexes must be entered in the NYSED Application Business Portal

# Required Functional Annexes

- ❑ **Shelter-in-Place**
- ❑ **Hold-in-Place**
- ❑ **Evacuate**
- ❑ **Lockout/Secure Lockout**
- ❑ **Lockdown**
- ❑ **Communications Annex**
- ❑ **Crime Scene Management Annex**
- ❑ **Public Health, Medical, and Mental Health Annex**
- ❑ **Accounting for All Persons**
- ❑ **Reunification**
- ❑ **Security**

***Resources are available!***

# Additional Functional Annexes

Suggested, but not required

❑   Cybersecurity

**_Resources are available!_**

# 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, 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.

*Will be revised for 2025-26 school year*
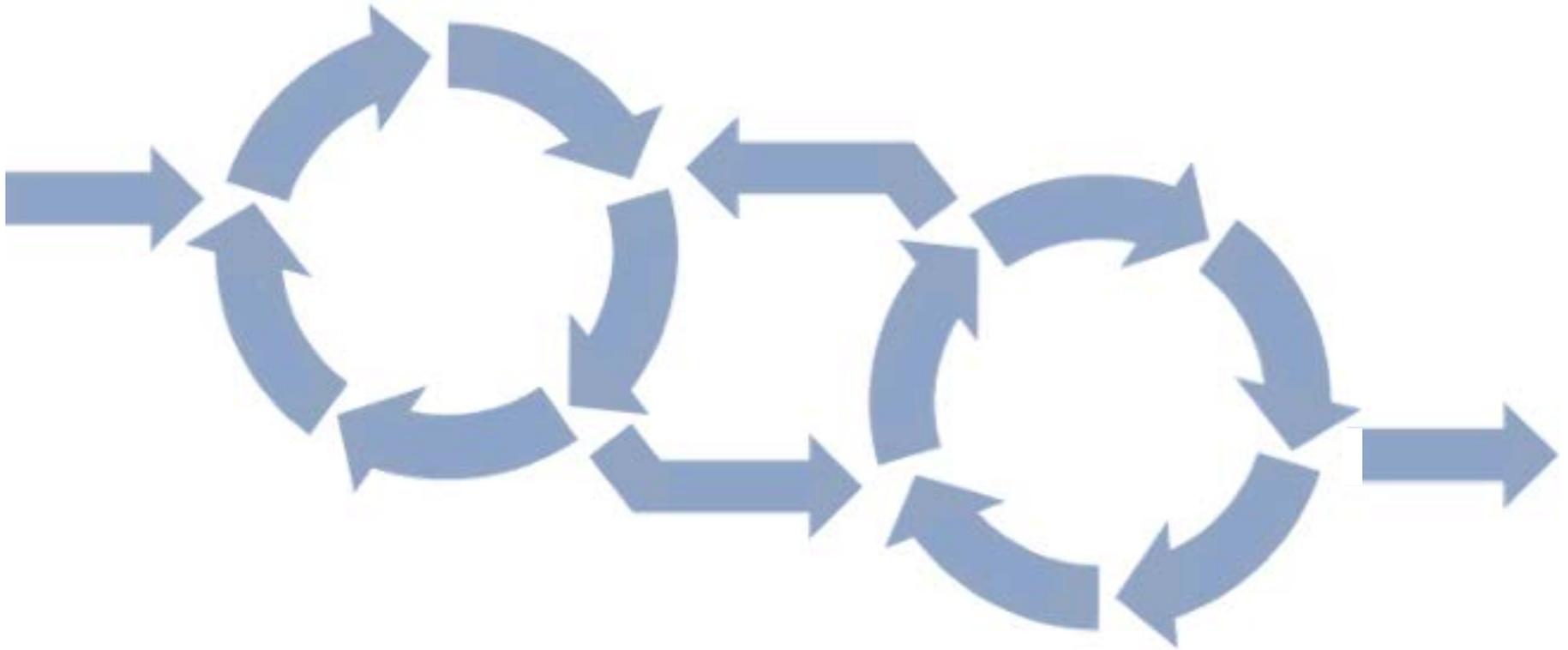
## Annex Worksheet: Shelter-in-Place Annex

### 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 |
|---|---|
| | |
| | |
| | |

**Functional Annex**
*Key Components*

# 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? |

# Developing an Annex: **Shelter-in-Place**

# SHELTER-IN-PLACE

| | |
|---|---|
| *Purpose* | Used to shelter students and staff **inside** the building. |
| *Description* | 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**. |
| *Examples when the response is used* | Weather event<br>Response to mechanical issue<br>When dismissal isn't practical<br>Other |
| *Additional information* | A Shelter-in-Place can last several hours.<br>Depending on the threat or hazard, students and staff may be required to move within the building.<br>Considerations: Determine rooms that can be sealed in the event of a chemical or biological hazard), rooms without windows, or a weather shelter (during an event such as a tornado). |

Share an example of when your school enacted a Shelter-in-Place

## Before

| GOAL | Example Goal **BEFORE** the response *(broad, general statement)*: <br>• Have the capacity to Shelter-In-Place immediately. |
|---|---|
| OBJECTIVE(S) | Example Objectives *(measurable actions)*: <br>• Determine Incident Command System (ICS). <br>• Determine how response is initiated. <br>• Determine how instructions will be communicated. <br>• 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?

| Who is Responsible | Action | Due Date | Follow Up Required |
|---|---|---|---|
| | • Determine Incident Command System (ICS).<br><br>**SCHOOL INCIDENT COMMANDER (and alternate)**<br>• Directs incident for school, staff, students<br>• Establishes immediate priorities for staff & students<br>• Works directly with the Emergency Incident Commander (1st Responders)<br><br>**SCHOOL PUBLIC INFORMATION OFFICER (and alternate)**<br>• Liaison between school and public (including media)<br>• Works to coordinate information to be released<br><br>**SCHOOL LIAISON OFFICER (and alternate)**<br>• Acts as point of contact for school administrators<br>• Coordinates assisting cooperating agencies<br><br>**SCHOOL SAFETY OFFICER (and alternate)**<br>• Identifies and mitigates hazardous situations for school staff and students<br>• Monitors safety conditions and develops measures for assuring safety | | |

| Who is Responsible | Action | Due Date | Follow Up Required |
|---|---|---|---|
| | • Determine Incident Command System (ICS).<br><br>**SCHOOL INCIDENT COMMANDER (and alternate)**<br>• Directs incident for school, staff, students<br>• Establishes immediate priorities for staff & students<br>• Works directly with the Emergency Incident Commander (1st Responders)<br><br>**SCHOOL PUBLIC INFORMATION OFFICER (and alternate)**<br>• Liaison between school and public (including media)<br>• Works to coordinate information to be released<br><br>**SCHOOL LIAISON OFFICER (and alternate)**<br>• Acts as point of contact for school administrators<br>• Coordinates assisting cooperating agencies<br><br>**SCHOOL SAFETY OFFICER (and alternate)**<br>• Identifies and mitigates hazardous situations for school staff and students<br>• Monitors safety conditions and develops measures for assuring safety | | How does your Public Information Officer communicate with families? |

## Before

| Who is Responsible | Action | Due Date | Follow Up Required |
|---|---|---|---|
| | • Determine how response is initiated. | | |
| | • Determine how instructions will be communicated. | | |
| | • Determine how the response will be lifted (ended). | | |

## During

| | |
|---|---|
| **GOAL** | Example Goal **DURING** the response *(broad, general statement)*: <br> • Protect students and staff. |
| **OBJECTIVE(S)** | Example Objectives *(measurable actions)*: <br> • Determine instructions during the response. <br> • Determine how students/staff will access to restrooms during the response. <br> • Determine how to 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?

| Who is Responsible | Action |
|---|---|
| | • Instructions during the response.<br>    ○ If instructed, move out of classroom to designated safe area. Stay together at all times.<br>    ○ Determine how to move students when the primary route is unusable.<br>    ○ Follow protocols to locate students who are not with a teacher/staff member. |
| | • How will students and staff have access to restrooms during the response? |
| | **HOW** will this affect specific populations?<br>    • Those with difficulty hearing or seeing warnings/alarms<br>    • Those with mobility needs (e.g., wheelchairs)<br>    • Those who require medication, or other equipment or supplies |

## After

| | |
|---|---|
| **GOAL** | Example Goal **AFTER** the response *(broad, general statement)*:<br>• Restore a safe and healthy learning environment. |
| **OBJECTIVE(S)** | Example Objectives *(measurable actions)*:<br>• Clean up the physical environment.<br>• Tend to emotional needs.<br>• Restock supplies.<br>• 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 |
|---|---|
| | • Clean up the physical environment. |
| | • Tend to emotional needs. |
| | • Restock supplies. |
| | • Evaluate and refine plans. |

# How can our team develop an effective plan?

**Plan** Your response:

Functional Annexes

**Test** the Effectiveness of Your Plan:

Tabletop Exercises

**Revise** Your Plan
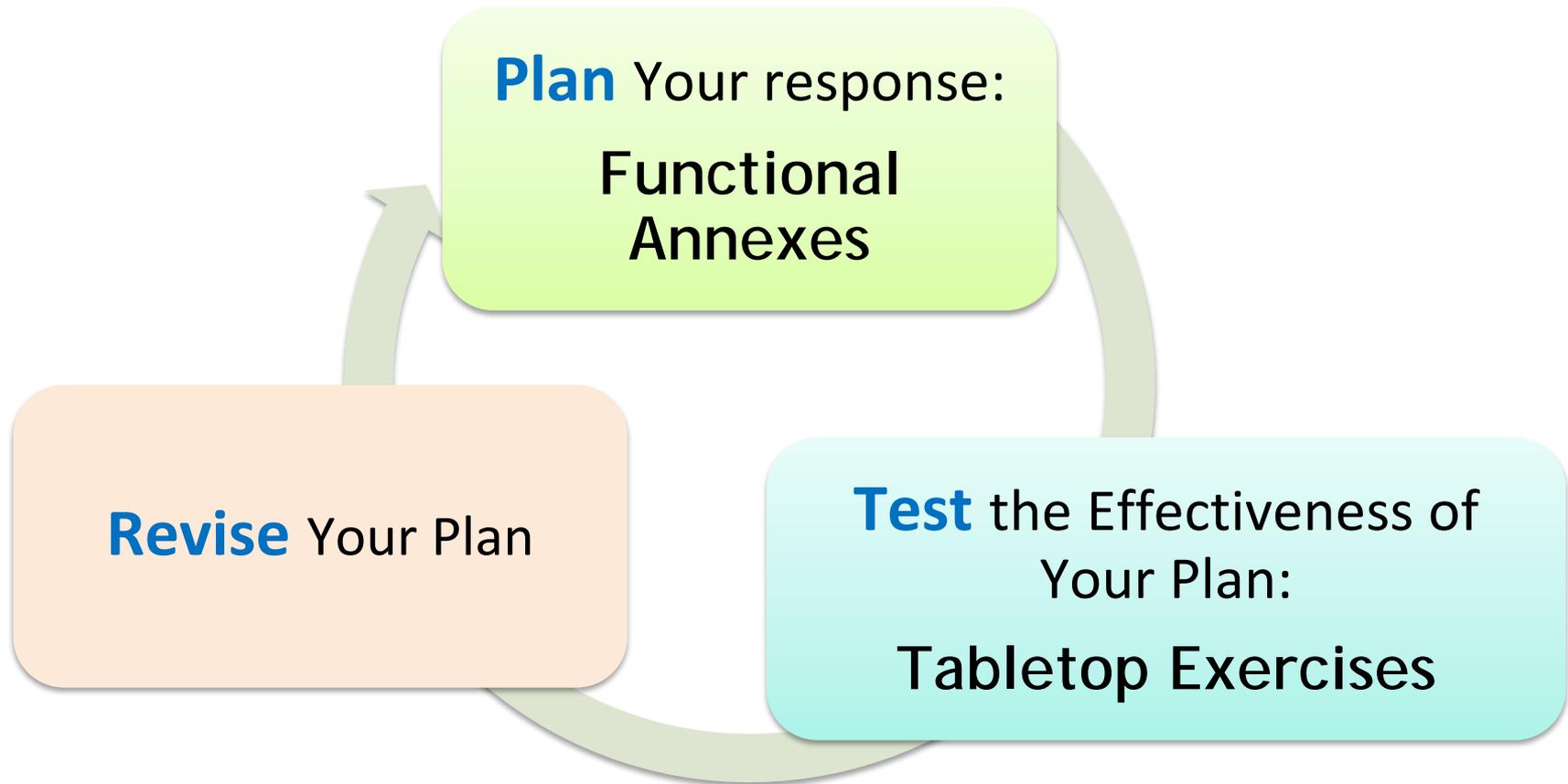
# Developing an Annex: **LOCKDOWN**

# 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, 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.

# LOCKDOWN Annex

| LOCKDOWN | |
| --- | --- |
| Purpose | Used to secure school buildings and grounds during incidents in or around the school that pose **a severe and/or immediate threat of violence or incidents that have the potential to escalate.** |

# LOCKDOWN Annex

| LOCKDOWN | |
|---|---|
| Purpose | Used to secure school buildings and grounds during incidents in or around the school that pose **a severe and/or immediate threat of violence or incidents that have the potential to escalate.** |
| Description | A Lockdown Annex is used to quickly ensure all students, school staff, and visitors are **secured in rooms away from immediate danger.**<br><br>Lockdown is an initial physical response to provide a time barrier during an event. |

# LOCKDOWN Annex

## LOCKDOWN

| | |
|---|---|
| Purpose | Used to secure school buildings and grounds during incidents in or around the school that pose **a severe and/or immediate threat of violence or incidents that have the potential to escalate.** |
| Description | A Lockdown Annex is used to quickly ensure all students, school staff, and visitors are **secured in rooms away from immediate danger.** Lockdown is an initial physical response to provide a time barrier during an event. |
| Examples when the response is used | Active shooter/intruder event. Fight involving a weapon. Custodial issues involving unlawful access to a child for abduction or violence. Aggressive, threatening behavior by a visitor. Aggressive acts. |

# Breakout Room Activity: LOCKDOWN Annex

**Your voice is important**.
*Your ideas are assets.*

**Make space, take space**
*Share the mic generously.*

**Staying focused** on the prompts helps us cover more ground.

We may not always agree.

*Please unmute and turn on your camera*
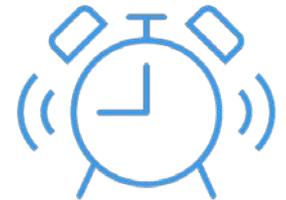
**Introductions** *(name, district, role)*

**Share an example:**

If your school has experienced a lockdown, what prompted the lockdown?

What are some considerations for a lockdown that might be important for your school?

*8 minutes*

What stood out to you during your breakout session?

*Use the "reactions" feature to raise your hand, and when called on, please unmute to briefly share with your colleagues!*

# LOCKDOWN Annex

## Annex Worksheet: Lockdown Annex

| Before | |
|---|---|
| **GOAL** | Example Goal **BEFORE** the response *(broad, general statement)*:<br>• Have the capacity to Lockdown immediately. |
| **OBJECTIVE(S)** | Example Objectives *(measurable actions)*:<br>• Determine Incident Command System (ICS).<br>• Determine how the Lockdown is initiated.<br>• Develop communication protocols for the Lockdown.<br>• Determine and practice actions that will occur during the Lockdown.<br>• Plan for how the Lockdown is lifted (ended). |

# LOCKDOWN Annex

| During | |
|---|---|
| **GOAL** | Example Goal **DURING** the response *(broad, general statement)*:<br>• Protect students and staff. |
| **OBJECTIVE(S)** | Example Objectives *(measurable actions)*:<br>• Initiate the response.<br>• Provide the instructions.<br>• When you hear LOCKDOWN, LOCKDOWN, LOCKDOWN announced, you should move quickly to execute certain actions.<br>• Students/staff participating in any outdoor activity should seek a safe location away from the building.<br>• Call 911 to report your situation, location, and number of students.<br>• Stay hidden until physically released by law enforcement personnel. |

# LOCKDOWN Annex

| After | |
|---|---|
| **GOAL** | Example Goal **AFTER** the response *(broad, general statement)*:<br>• Restore a safe and healthy learning environment. |
| **OBJECTIVE(S)** | Example Objectives *(measurable actions)*:<br>• Clean up the physical environment.<br>• Tend to emotional needs.<br>• Restock supplies, if applicable.<br>• Evaluate and refine plans. |

❖ Share how your team Tends to Emotional Needs.

❖ Work together as a team to consider best practices 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?

- **How** will you let people know there is support available?

- **What** will you do to support emotional needs of students and staff after 1 day, 1 week, 1 month, and 1 year?

6 minutes

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What stood out to you during your breakout session?

*Use the "reactions" feature to raise your hand, and when called on, please unmute to briefly share with your colleagues!*

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# How can our team develop an effective plan?

**Plan** Your response:

Functional Annexes

**Test** the Effectiveness of Your Plan:

Tabletop Exercises

**Revise** Your Plan
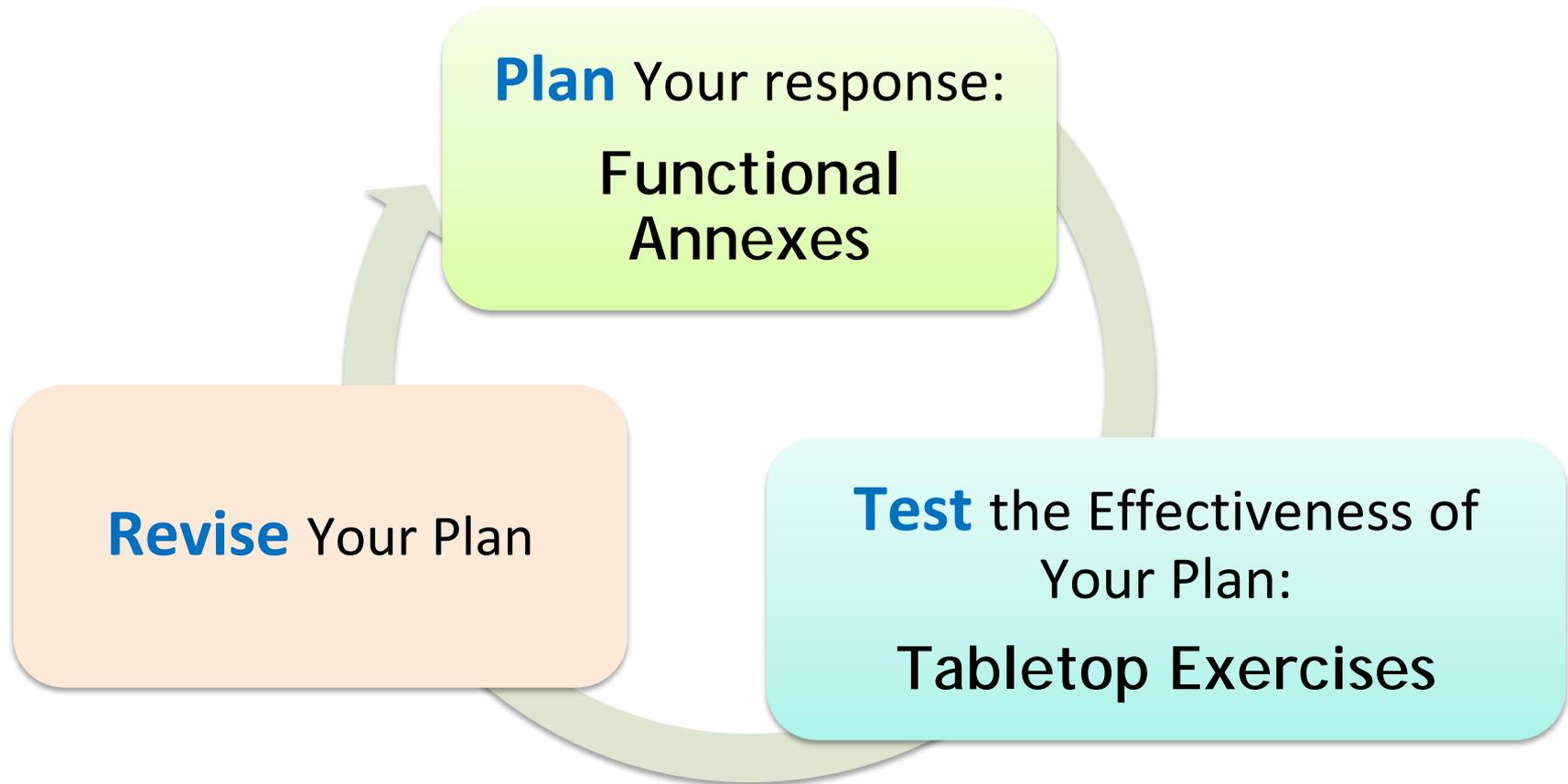
Time for a short break!

*5 minutes*

# Tabletop Exercises

- Provide an opportunity for your team to review and discuss responses to a hypothetical incident.

- Identify the information, actions, staff/personnel 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* <br> **What part of your Emergency Response Plan are you testing?** |
| *Define the scope* <br> **Participants: Who are the key people?** |
| *Write a statement of purpose* <br> **What is the reason for the activity?** |
| *Define the objectives* <br> **What are your objectives for this activity?** |
| *Compose a narrative/scenario* <br> **What is the narrative for the simulated situation?** <br> What story will set the stage and encourage participants to think about the problem? |

# Example Tabletop Exercise LOCKDOWN

*Define the objectives*

**What are your objectives for this activity?**

**Example Tabletop Exercise: Lockdown**

# Objectives:

- Is the response initiated in an effective manner?

- How are we communicating during the incident?

- Does our plan account for all students?
    Consider access and functional needs:
    i.e., difficulty hearing/seeing alarms, challenges with mobility, wayfinding, toileting and feeding needs, etc.

- How will we tend to emotional needs after the incident?

During  After

# Example Tabletop Exercise LOCKDOWN

*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 1:45 Wednesday afternoon, and school is in session.

The temperature is 60 degrees Fahrenheit outside.

**Before**

Why is choosing a **day and time** important during a tabletop exercise?
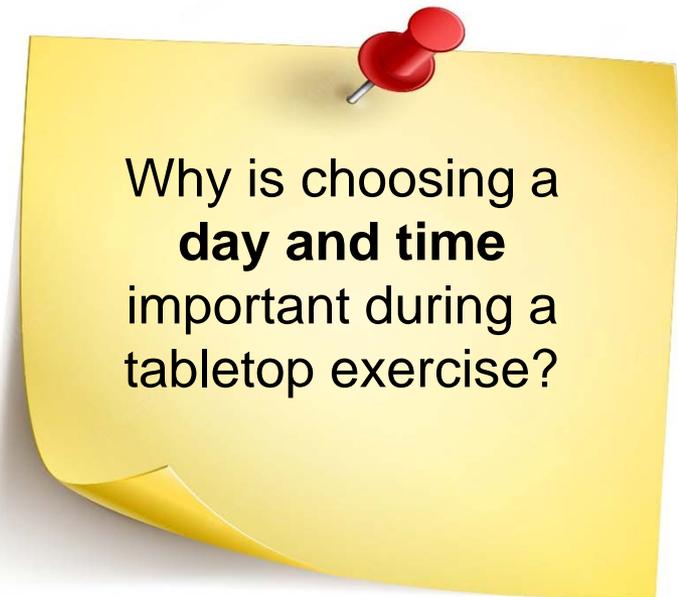
**Incident:**

A non-custodial parent arrives at the school.

The parent has texted their children and told them to meet in the student parking lot.

One child comes outside of the building and sees security staff and parent interacting.

Security staff approach the parent, and the parent responds aggressively and indicates they have a weapon, they did not come alone, and someone may have entered the building.

**During**

## Additional considerations for the scenario:

- Students are coming back into the school from an outside physical education class held near the student parking lot.
- It is almost time for dismissal.
  - Buses are arriving for dismissal.
  - Parents are arriving for pick-up.
  - Many students drive or walk to school and their dismissal process is to exit the student parking lot before the buses.
  - Visitors use the student parking lot.
- There are after-school activities and athletic events scheduled.
- One student in the physical education class needs medical attention.
- A student begins recording and live streaming the incident.

**During**

## Action:

The principal assumes the role of **Incident Commander** *(as previously determined).*

The Incident Commander initiates a **LOCKDOWN** and **calls 911**.

The Incident Commander assembles the building Emergency Response Team and **activates the ICS**.

**During**

❖ When you conduct a tabletop exercise at your school, **who** are the key participants? **Who** might be missing?

❖ **What** details and key information should be included in your scenario?

❖ **How** does conducting the tabletop help **improve** your LOCKDOWN Annex?

6 minutes

What stood out to you during your breakout session?

*Use the "reactions" feature to raise your hand, and when called on, please unmute to briefly share with your colleagues!*

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**New York State Center for School Safety**

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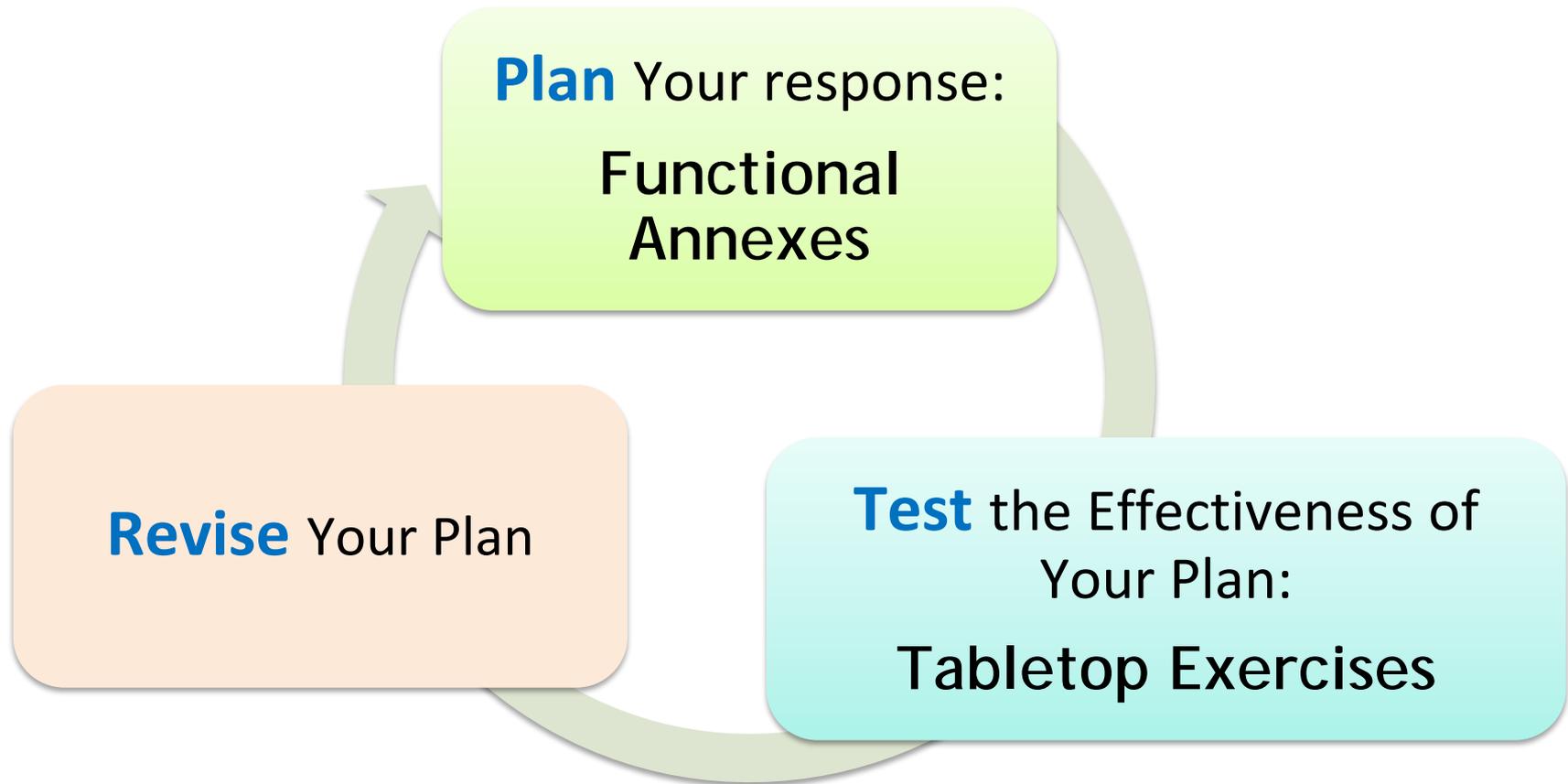
# Using a Tabletop to Improve Floor Plans:

- Are building entrances and exits clearly labeled?

- Are the locations of water, gas and electrical shutoffs clearly noted?

- Does the floor plan clearly note the roof access point(s)?

**During**

# Using a Tabletop to Improve Area Maps:

- Are all parking lots labeled on your maps (visitor/staff/student lots)?

- Are your maps labeled with arrows for traffic flow (ingress, egress)?

- Are your maps labeled for alternate pick-up areas during an emergency?

https://www.p12.nysed.gov/sss/documents/FloorPlanstipsheet.pdf

**During**

# Revise your Plan: LOCKDOWN Annex

| After-action review | | |
|---|---|---|
| | **What was the plan?** | |
| **After** | **What happened and why?** | |
| | **What were our strengths?** | |
| | **What did we learn?** | |
| | **How do we improve?** | Consider response improvements.<br><br>Also consider improvements to:<br>• Lockdown Annex<br>• Building-Level Emergency Response Plan<br>• Incident Command System<br>• Communication Annex<br>• Floorplans and Area Maps |

**After**

What are you already doing?

What was new information?

What is one next step for your school?

# Emergency Response Protocols
## Functional Annexes and Tabletop Exercises

# Questions

# www.nyscfss.org





https://www.nysed.gov/student-support-services/safe-schools-against-violence-education-act-save

# Thank you for your thoughtful participation!

We would appreciate your feedback on this session!

https://measurement.welcomesyourfeedback.com/fa716923

# For more information

New York State Education Department
Office of Student Support Services
518-486-6090

[safetyplans@nysed.gov](mailto:safetyplans@nysed.gov)


New York State Center for School Safety
844-897-9567
NYSCFSS.org

[nyscenterforschoolsafety@measinc.com](mailto:nyscenterforschoolsafety@measinc.com)