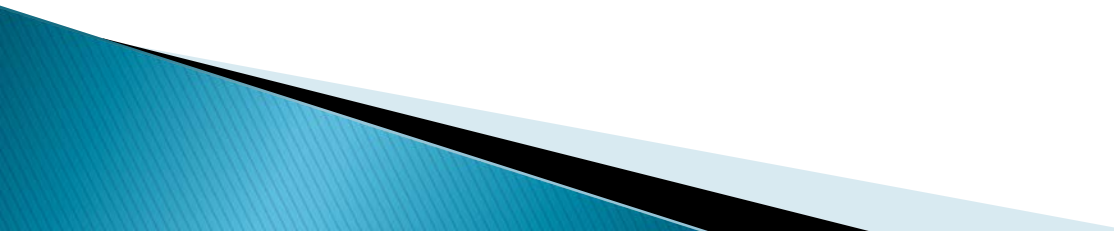


Homeland Security Exercise Evaluation Program

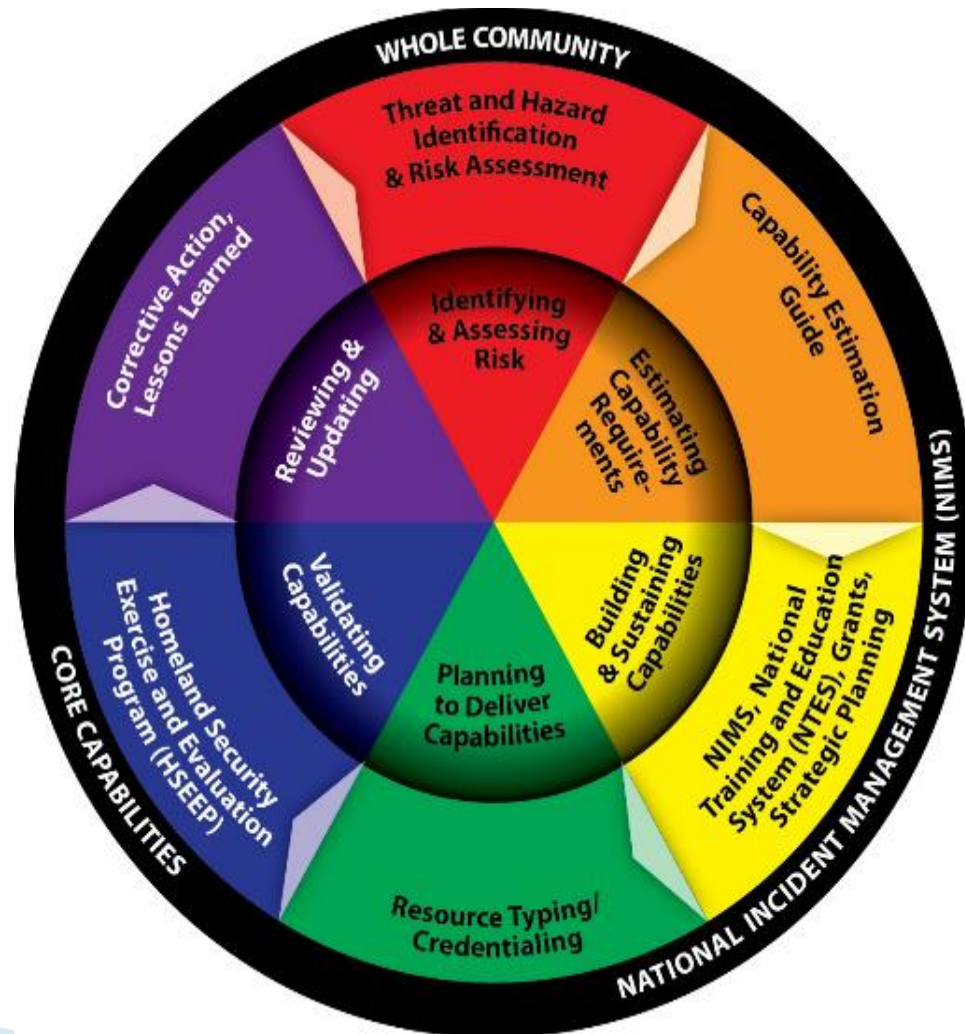
2016 ND Healthcare
Emergency Preparedness
Pre-conference Training

HSEEP Purpose

The Homeland Security Exercise and Evaluation Program (HSEEP) provides a set of **guiding principles** for exercise programs, as well as a **common approach** to exercise program management, design and development, conduct, evaluation, and improvement planning.

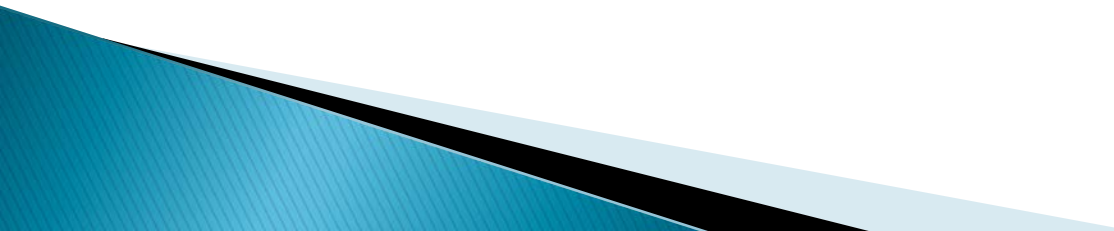


National Preparedness System



What Is HSEEP?

A consistent approach to capabilities-based exercise program management that uses a common methodology to measure progress toward building, sustaining, and delivering core capabilities.



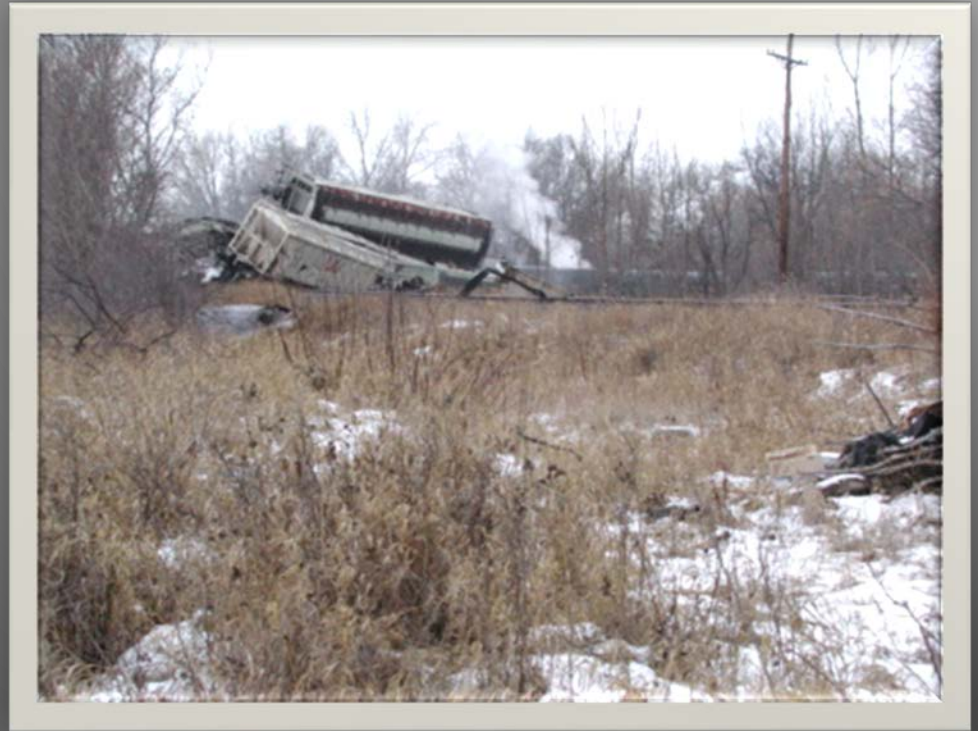
Why Exercise?

- ▶ Minot Flood 2011
- ▶ Fargo Flood 2009
- ▶ Grand Forks Flood 1997



Why Exercise?

- ▶ Anhydrous Ammonia Spill 2002



Why Exercise?

- ▶ Cavalier Courthouse Shooting 2005



Why Exercise?

- ▶ Northwood Tornado 2007



Why Exercise?

- ▶ Bucyrus Fire 2012



Why Exercise?


- ▶ Casselton Train Derailment 2013



Why Exercise?

- ▶ Test and validate
 - Plans
 - Capabilities
- ▶ Identify
 - Resource requirements
 - Capability gaps
 - Areas for improvement

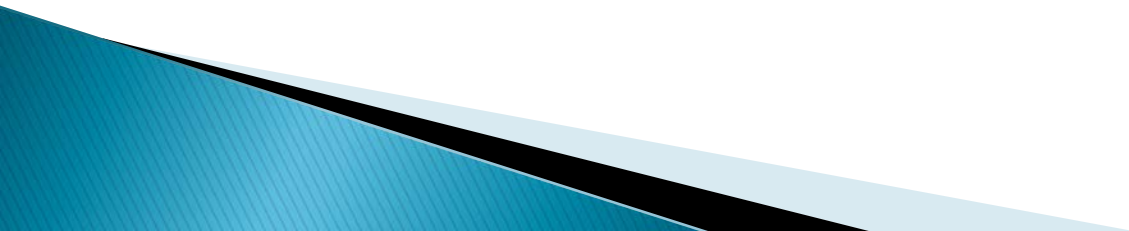
HSEEP Fundamental Principles

- ▶ Guided by Elected and Appointed Officials
 - ▶ Capability-Based, Objective Driven
 - ▶ Utilizes Progressive Planning Approach
 - ▶ Whole Community Integration
 - ▶ Informed by Risk
 - ▶ Common Methodology
- 

Common Methodology



Types of Exercises



Discussion-Based Exercises

- ▶ Seminars
- ▶ Workshops
- ▶ Tabletop (TTX)
- ▶ Games



Seminar

- ▶ Provides an overview or introduction of plans, policies, procedures,
- ▶ Familiarizes participants with authorities and strategies
- ▶ May be used to resolve questions of coordination and assignment of responsibility
- ▶ May be used to develop or change plans & procedures



Workshop

- ▶ Similar to a seminar, but increased participant interaction
- ▶ Purpose is to achieve a goal or build a product
- ▶ Focuses on a specific issue with a desired outcome



Table Top Exercise

- ▶ Facilitated discussion of a hypothetical emergency situation
- ▶ Conducted in a no-fault, stress free environment
- ▶ Designed to elicit constructive discussion
- ▶ Participants identify strengths and areas for improvement based on existing plans



Games

- ▶ A simulation
- ▶ Goal is to explore decision-making processes
- ▶ Decisions have consequences and affect subsequent game play



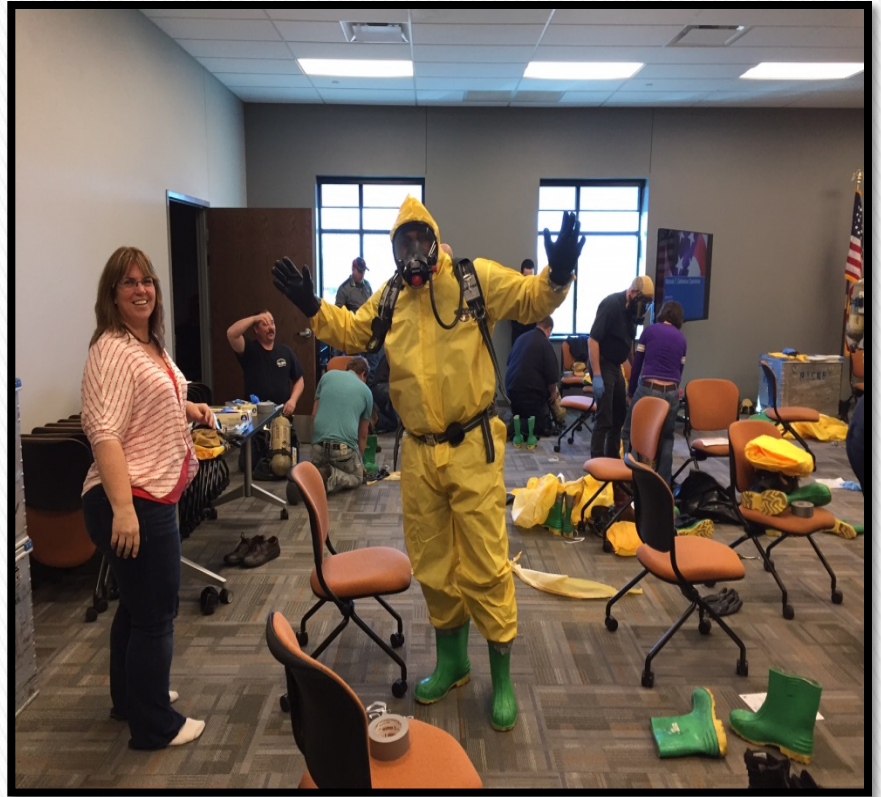
Operations–Based Exercises

- ▶ Drills
- ▶ Functional Exercises
- ▶ Full–Scale Exercises



Drill

- ▶ Coordinated, supervised activity to test a specific operation or function
- ▶ Commonly used to provide training on new equipment, validate procedures, or practice and maintain skills



Functional Exercise

- ▶ Interactive
- ▶ Tests the capability to respond to a simulated event
- ▶ Tests multiple functions in a coordinated response
- ▶ Conducted in a real-time environment
- ▶ Movement of personnel and equipment is simulated

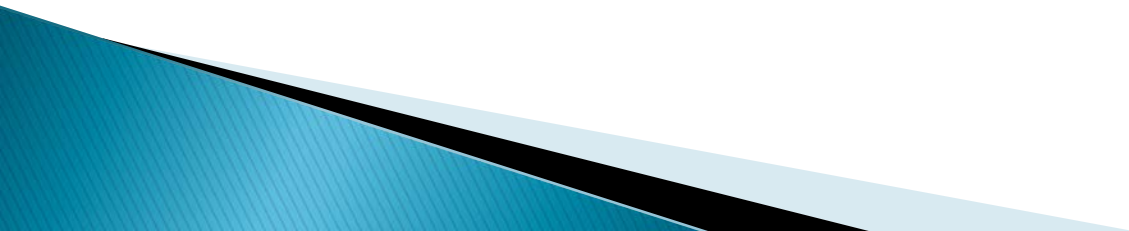


Full Scale Exercise

- ▶ Simulates real event as closely as possible
- ▶ Evaluates operational capabilities in high stress environment
- ▶ Tests and evaluates plans, policies, and procedures
- ▶ Requires mobilization of resources
- ▶ Generally should involve opening the jurisdiction's Emergency Operations Center



DESIGN AND DEVELOPMENT

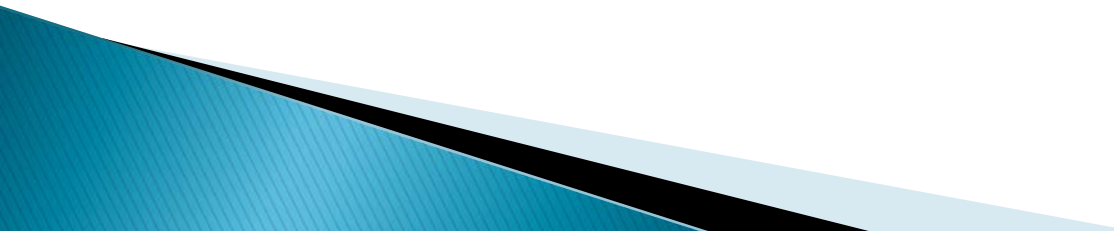


Set Foundation

- ▶ Guidance and intent of elected and appointed officials
- ▶ Multi-year training and exercise plan
- ▶ Prior events/exercises AAR and Improvement Plans
- ▶ THIRA or other threat and hazard assessments
- ▶ Organization/ jurisdiction plans and procedures
- ▶ Grant/licensure requirements
- ▶ Budget



PLANNING TEAM



Select Planning Team

- ▶ Include representatives of participating jurisdictions, organizations, and key departments
- ▶ Select a small core team and consult with others as needed



Select Planning Team

- ▶ Select members with varied backgrounds
- ▶ Provide administrative support and technical support



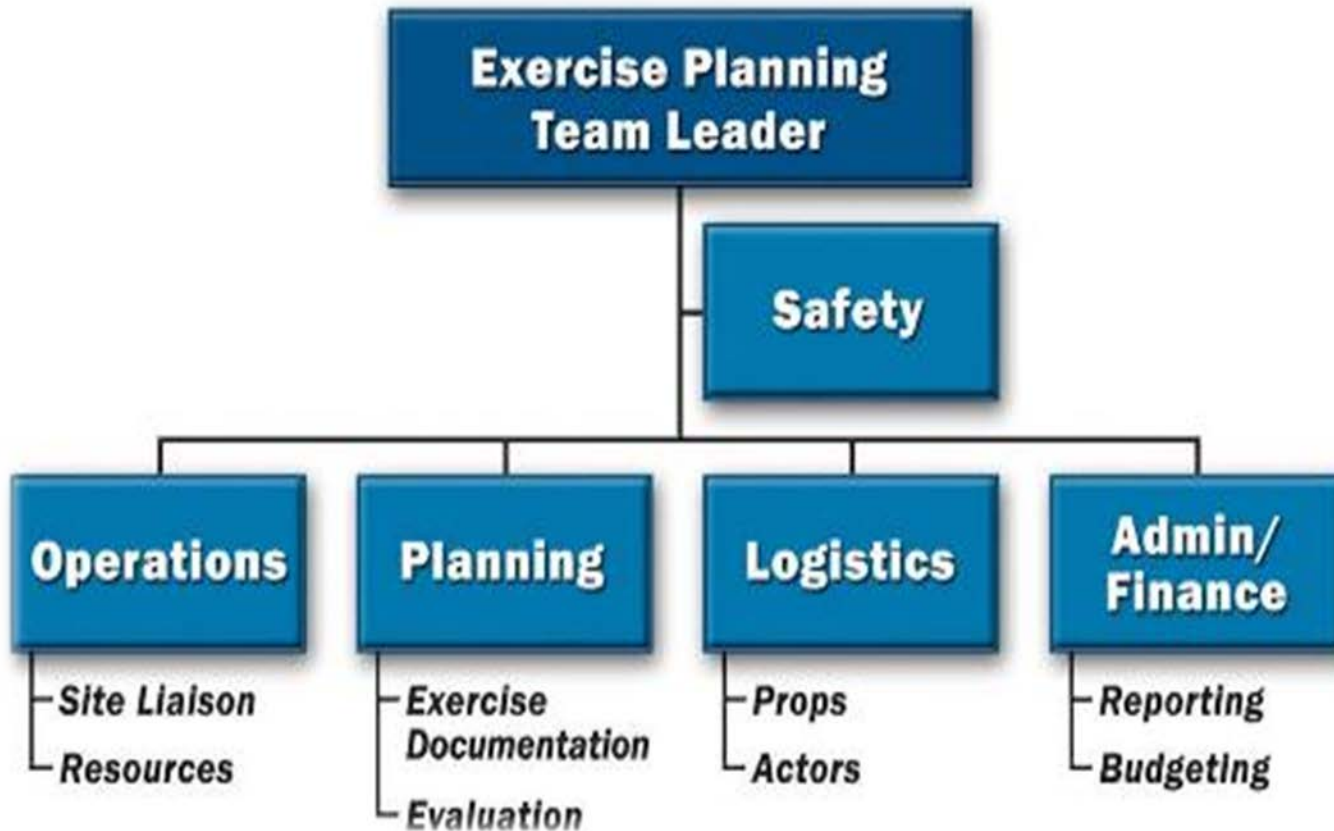
Responsibilities of Planning Team

- Exercise design, development, conduct, and evaluation
- Determine exercise objectives and core capabilities
- Develop a scenario to assess core capabilities
- Create supporting documentation for control, simulation and evaluation
- Develop exercise materials and plan logistics
- Planning meetings and training



Planning Team Positions

▶ Incident Command Structure



Team Leader

- ▶ Responsible for entire exercise development process
- ▶ Should be someone who
 - Can devote significant time
 - Familiar with emergency plan
 - Knows participating organizations
 - Is **NOT** a key operational member



Subject Matter Experts

- ▶ Add expertise to the Exercise Planning Team
- ▶ Provide functional knowledge for player-specific tasks evaluated through objectives
- ▶ Help make the scenario realistic and plausible
- ▶ Ensure appropriate evaluation of capabilities



Trusted Agent

- ▶ Individuals on Exercise Planning Team who may serve as Controllers or Evaluators during the exercise
- ▶ **DO NOT** reveal scenario details to players prior to exercise conduct.

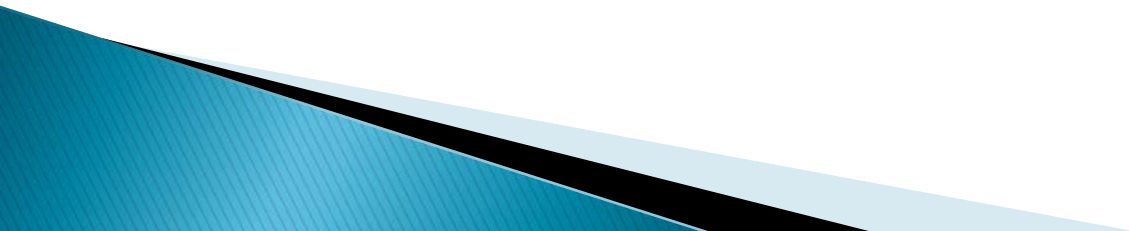


Successful Planning Teams

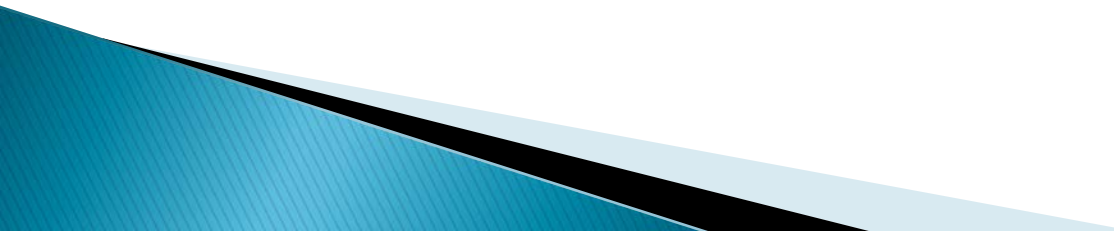
- ▶ Have clearly defined roles, responsibilities, and functional requirements
- ▶ Engage senior and appointed officials and whole community leadership in exercise planning
- ▶ Utilize project management principles
- ▶ Follows standardized process
- ▶ Can be organized using NIMS Incident Command System (ICS)



PLANNING MEETINGS



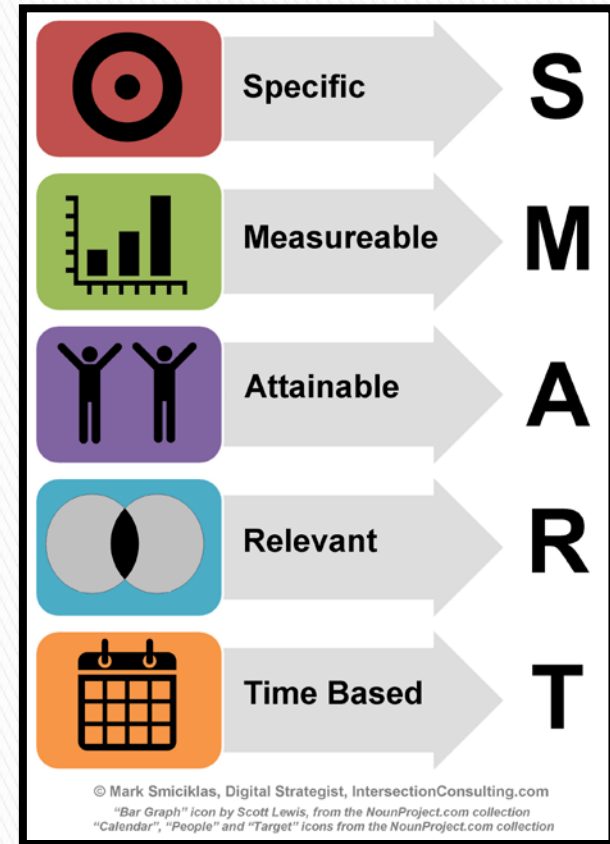
Planning Activities

- ▶ Meetings to discuss, review, or develop exercise content
 - ▶ Forum for coordination and collaboration among participating agencies and officials
 - ▶ Exercise planning teams should apply and adapt HSEEP doctrine to meet their specific needs.
- 

Concept and Objectives Meeting

FOCUS:

- Identify scope and objectives of the exercise



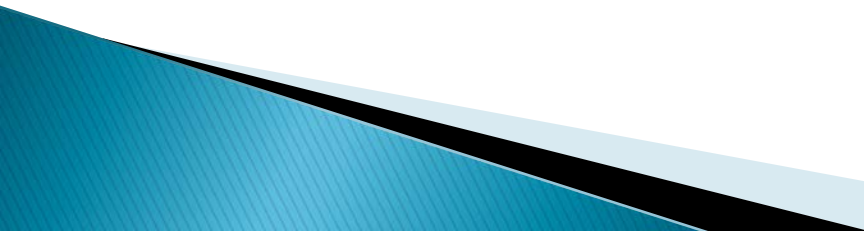
Concept and Objectives Meeting

OUTCOMES:

- Exercise concept
- Exercise scope, type, and mission area
- Exercise objectives and aligned core capabilities
- Exercise timeframe
- Extent of participation of each agency
- Identification of planning team members
- Planning timeline, milestones, meeting dates
- Next planning meeting date and location

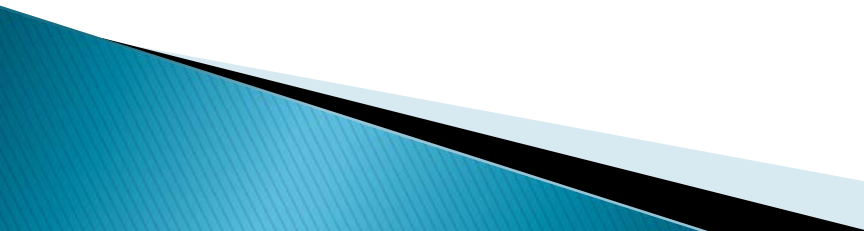
Initial Planning Meeting (IPM)

FOCUS

- Utilize elected and appointed official guidance
 - Exercise design requirements identified
 - Develop exercise documentation
 - Assigns roles and responsibilities
- 

Initial Planning Meeting (IPM)

OUTCOMES:

- ▶ Clearly defined exercise objectives and aligned core capabilities
 - ▶ Initial capability targets and critical tasks
 - ▶ Exercise scenario variables
 - ▶ List of participating exercise organizations and anticipated organizational extent of play
 - ▶ Identification of source documents
 - ▶ Refined exercise planning timeline with milestones and lists of tasks
- 

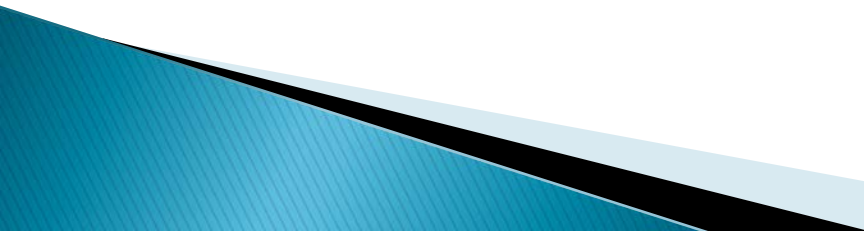
Planning Meeting Follow-up Activities

- Between meetings—Planning Team collaborates on assignments and prepares draft exercise documentation



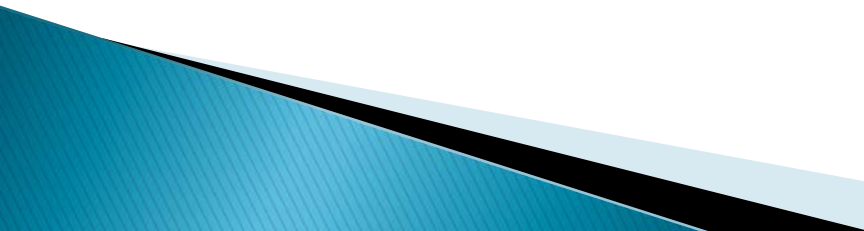
Midterm Planning Meeting (MPM)

FOCUS

- Re-engage Elected and Appointed Officials (prior to the meeting)
 - Exercise organization
 - Scenario and timeline development
 - Logistics, and administrative requirements
 - Review draft documentation
- 

Midterm Planning Meeting (MPM)

OUTCOMES:

- Reviewed or final exercise documentation
 - Well-developed scenario to include injects
Finalization of date, time, and location
 - Identified logistics planning requirements
 - Revised planning schedule, task assignments, meeting date, and location for next meeting
- 

Final Planning Meeting (FPM)


PRIMARY FOCUS:

- Re-engage elected and appointed officials—ensure exercise aligned with intent, address questions, and receive last-minute guidance
- Ensure all elements of exercise are ready for conduct

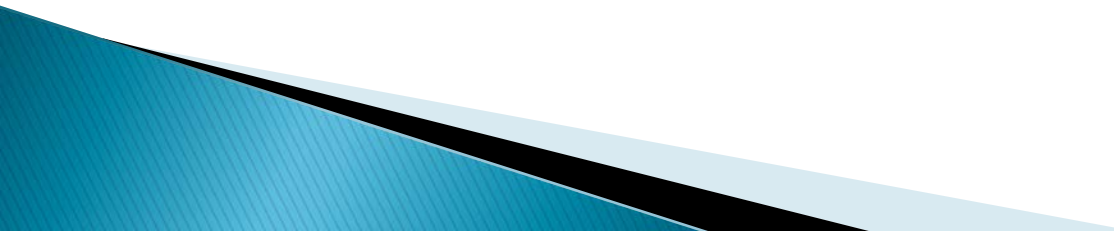


Final Planning Meeting (FPM)

OUTCOMES:

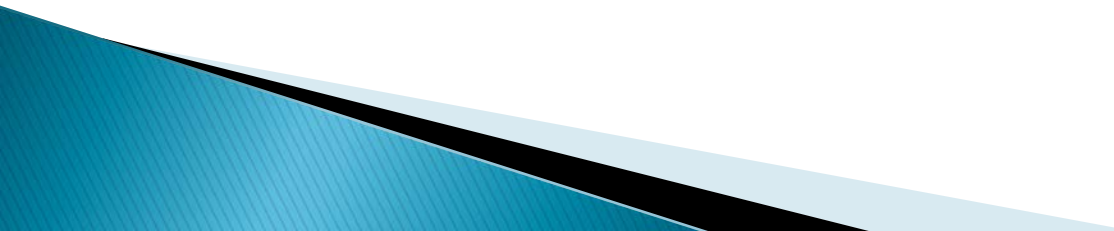
- Final approval of exercise documentation and presentation materials
 - Identified issues resolved
 - Attendees understand and approve exercise processes and procedures
 - Logistical elements and task assignments, including equipment, facilities, and schedule confirmed.
- 

EXERCISE COMPONENTS

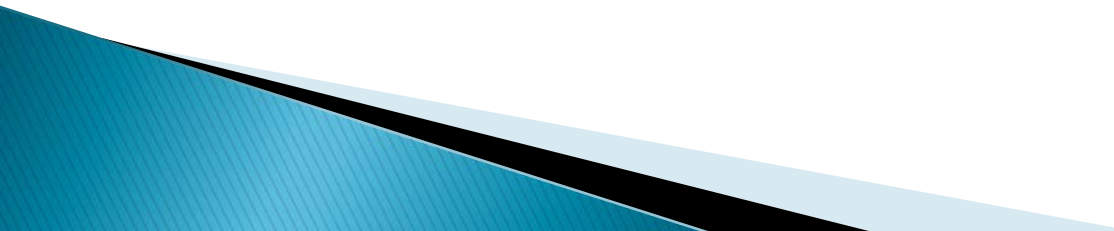


Scope

Key elements:

- ▶ Type
 - ▶ Objectives
 - ▶ Participation level
 - ▶ Duration
 - ▶ Location
 - ▶ Parameters
- 

Objectives

- ▶ Driven by Exercise Program priorities
 - ▶ Cornerstone of scenario design, development, exercise conduct, and evaluation
 - ▶ Follows SMART guidelines for development
- 

Objectives

- ▶ The cornerstone of exercise development
 - Provide a framework for development of the scenario
 - Drive the master scenario events list
 - Provide evaluation criteria

Objectives

- ▶ Objectives should be “SMART”
 - S—Specific
 - M—Measurable
 - A—Achievable
 - R—Relevant/Realistic
 - T—Time Bound and Task-oriented



Objectives

- ▶ A good objective should state *who* should do *what* under *what conditions* according to *what standards*.

*Within 15 minutes (standard)
after the evacuation order is given (condition)
members of the EOC (who)
will complete notification procedures to school
administrators (what action)*

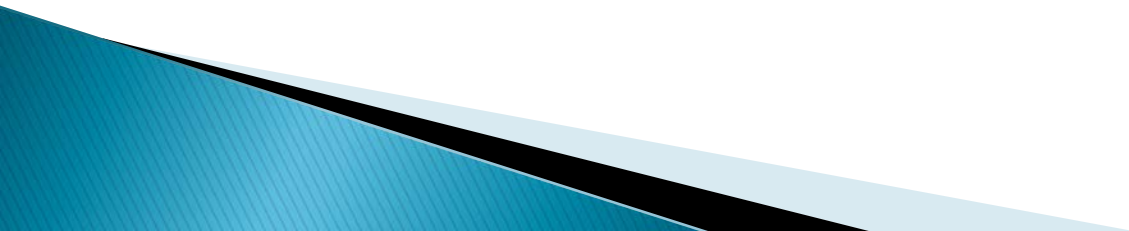
Objectives

- ▶ Use concrete action verbs
 - Demonstrate
 - Describe
 - Complete
- ▶ Avoid vague verbs
 - Know
 - Understand
 - Appreciate

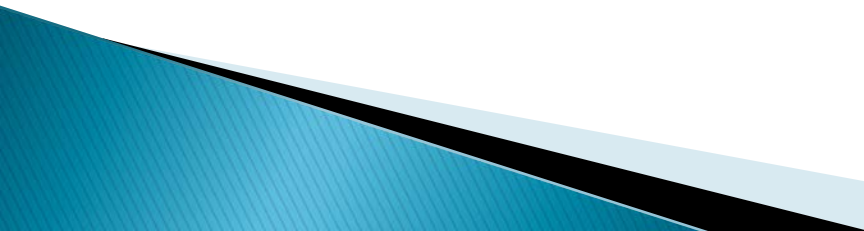
Objectives

- ▶ Identify what the evaluator will look for to indicate that an objective has been met.

ACTIVITY



Evaluation Requirements

- ▶ Developed early in Exercise Design process
 - ▶ Guide development of scenario and discussion and/or MSEL
 - ▶ Identifies the **capability targets** and **critical tasks** related to each core capability identified as an exercise program priority.
- 

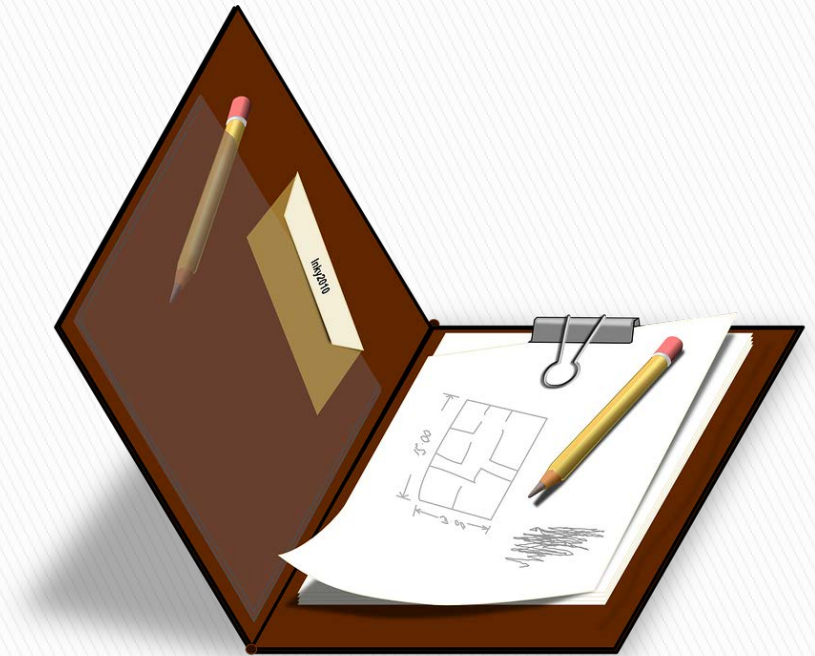
Scenario

- ▶ Storyline for response activity or discussion
- ▶ Three basic elements:
 - Context
 - Conditions
 - Technical details
- ▶ Based on:
 - Realistic threat
 - Challenging
- ▶ Mechanism for assessing objectives and core capabilities.

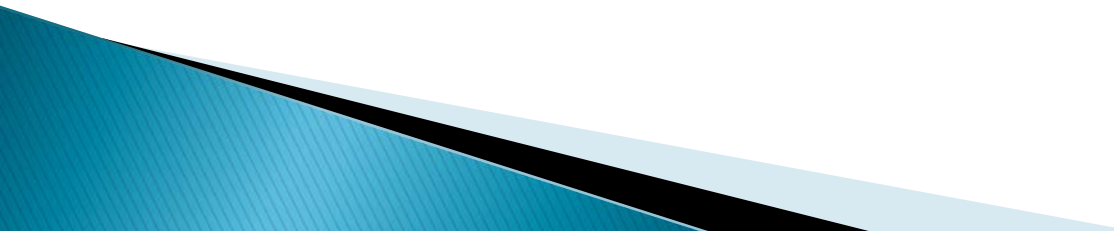


Exercise Documentation

- ▶ Ensure accurate account of exercise
- ▶ Control and distribution
- ▶ Additional considerations

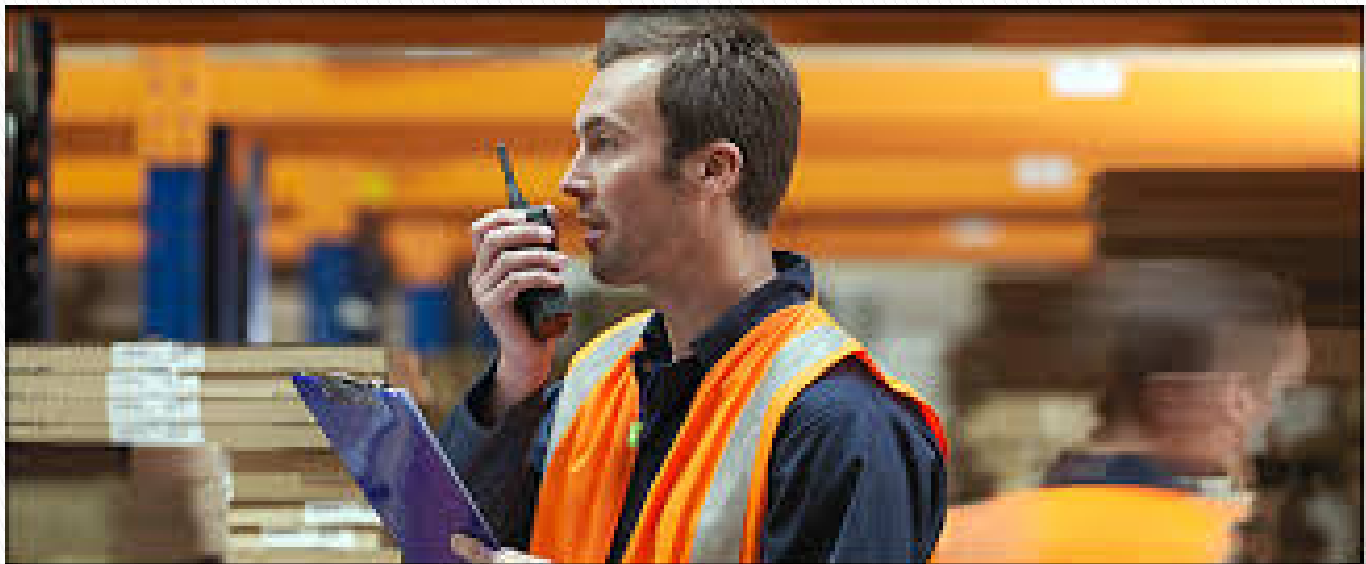


EXERCISE CONDUCT



Preparation

- ▶ Logistics
 - Set up space
 - Gather supplies/equipment
- ▶ Registration
- ▶ Briefings
- ▶ Communications Check



Exercise

- ▶ Communication and coordination
- ▶ Roles and responsibilities
- ▶ Safe and effective play
- ▶ Simulation
- ▶ Observation

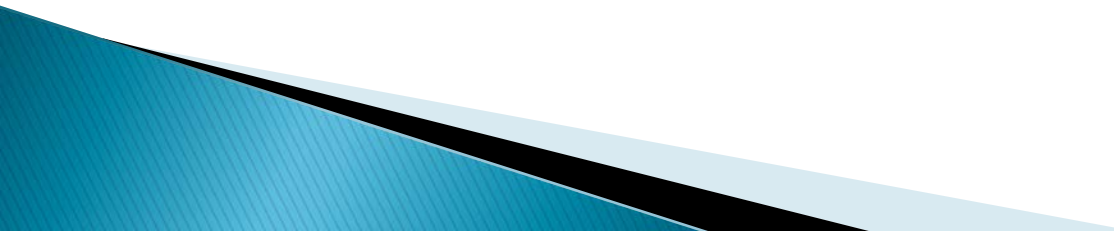


Wrap-Up

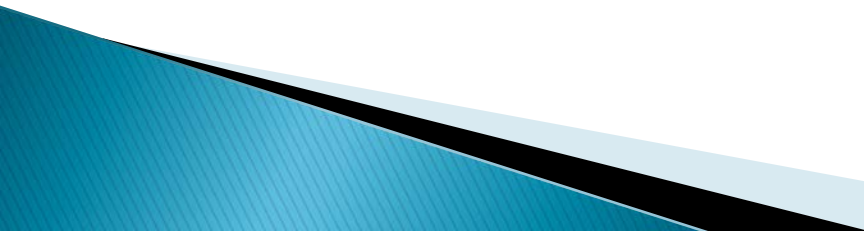
- ▶ Debriefings
- ▶ Player Hot Wash
- ▶ Controller/Evaluator Debriefing
- ▶ Data Collection



EVALUATION AND AFTER ACTION REPORT



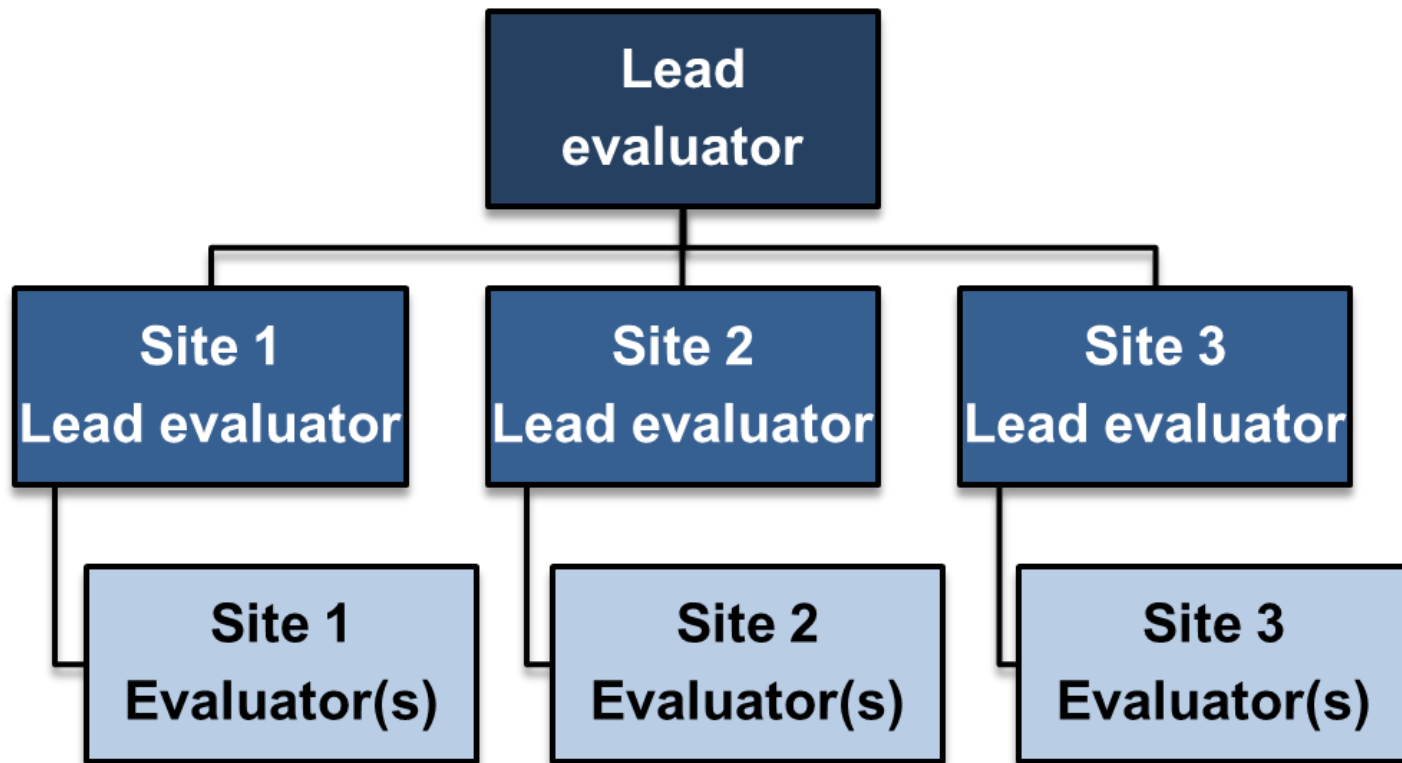
Exercise Evaluation

- ▶ Link between *exercise* and *improvement planning*
 - ▶ Assess *capabilities* needed to accomplish a mission, function, or objective
 - ▶ Assessment is based on the performance of *critical tasks* to capability target levels
- 

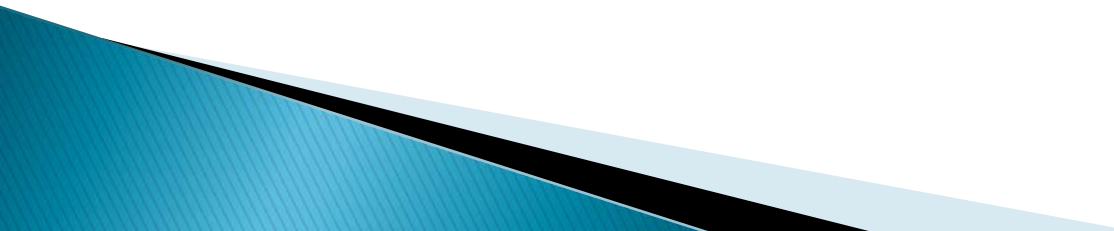
Exercise Evaluation

- ▶ Approach must be systematic
 - Methodical in procedure
 - Thorough
 - Organized.
- ▶ Integrated through design and development process

Exercise Evaluation Team



Evaluation Team

- ▶ Lead Evaluator Responsibilities:
 - Evaluation methodology
 - Selecting and training the evaluation team
 - Preparing the evaluation plan and packet
 - Preparing the evaluation report
 - Directs evaluation team during the exercise
- 

Evaluation Team

- ▶ **Evaluator Responsibilities**
 - Observe and record discussion of players
 - Participate in data analysis
 - Assist with drafting the AAR

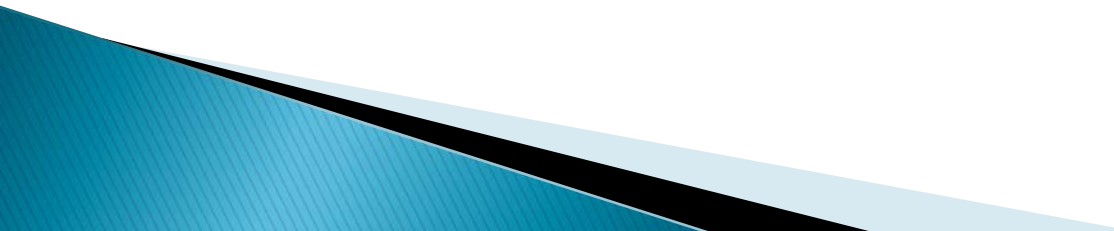


Evaluation Team Attributes

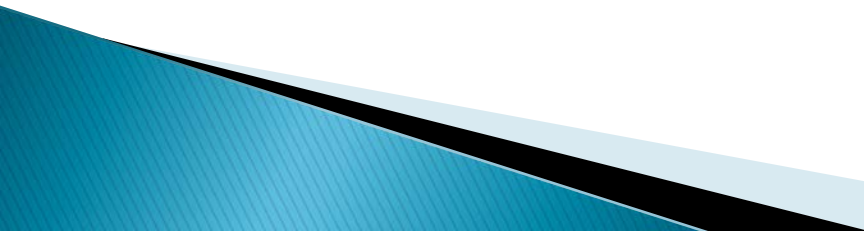
- ▶ People skills
- ▶ Objectivity
- ▶ Self-motivation
- ▶ Willingness to help
- ▶ Familiarity with the plan
- ▶ Honesty and integrity (reports facts truthfully, keeps information confidential)



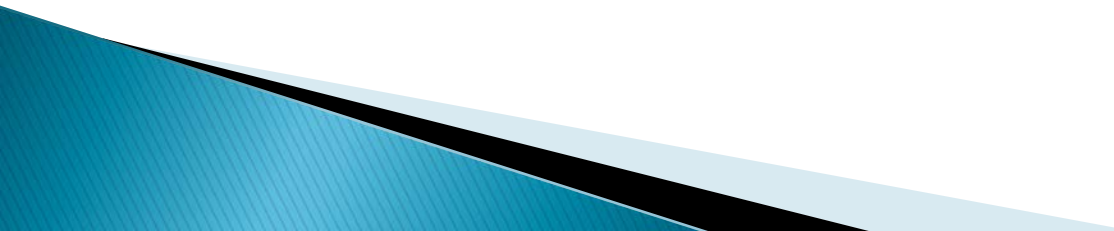
Evaluation Team Skills

- ▶ Appropriate technical expertise in evaluation
 - ▶ Communication skills, both verbal and written
 - ▶ Organizational ability
 - ▶ Ability to see the relationship between events and objectives
 - ▶ Ability to adjust to rapidly changing situations
- 

Recruit and Assign Evaluators

- ▶ Recruited from nonparticipating organizations
 - ▶ Identified early in planning process
 - ▶ Assigned based on knowledge of functional area(s) and plans, policies, procedures, and agreements
- 

Evaluation Team Training

- ▶ Exercise goals, objectives, and core capabilities
 - ▶ Scenario
 - ▶ Participants
 - ▶ Evaluator roles and responsibilities
- 

Evaluation Team Training

- ▶ Guidance on
 - Observing the exercise
 - What to record
 - Use of EEGs
 - Data analysis



Evaluation Team Training

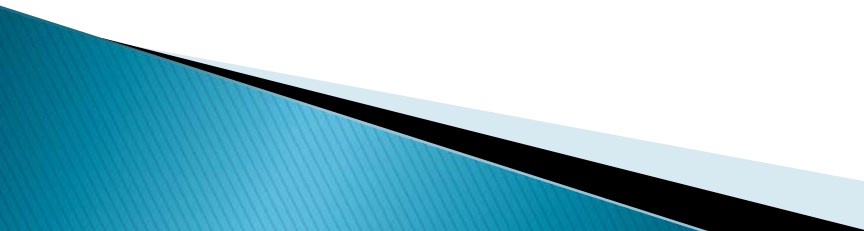
- ▶ Evaluation team packet
 - All exercise documents
 - Plan and policies
 - Schedule
 - EEGs
 - Assignments



Exercise Evaluation Guides (EEGs)

- ▶ Streamline and guide data collection
 - ▶ Enable thorough assessment
 - ▶ Support development of the AAR
- 

Exercise Evaluation Guides

- ▶ Provide a consistent process for assessing preparedness through exercises
 - ▶ Help organizations map exercise results to exercise objectives, core capabilities, capability targets, and critical tasks for further analysis and assessment
- 

Exercise Evaluation Guides

Document *who, what, where, when and how* tasks were completed.

EXERCISE EVALUATION GUIDE		
Exercise Name: [Insert exercise name]	Organization/Jurisdiction: [Insert organization or jurisdiction]	Venue: [Insert venue name]
Exercise Date: [Insert exercise date]		
Prevention		
Exercise Objective: [Insert exercise objective]		
Core Capability: Interdiction and Disruption Delay, divert, intercept, halt, apprehend, or secure threats and/or hazards.		
Organizational Capability Target 1: [Insert customized target based on plans and assessments]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Source(s): [Insert name of plan, policy, procedure, or reference]		
Organizational Capability Target 2: [Insert customized target]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Source(s): [Insert name of plan, policy, procedure, or reference]		
Organizational Capability Target 3: [Insert customized target]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
Source(s): [Insert name of plan, policy, procedure, or reference]		
Final Core Capability		
Evaluator Name _____ Evaluator E-mail _____ Phone _____		
P – Performed with S M – Performed with M U – Unable to be Performed		
<small>[PROTECTIVE MARKING, AS APPROPRIATE] Homeland Security Exercise and Evaluation Program (HSEEP)</small>		

Organizational Capability Target	Associated Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
[Insert Organizational Capability Target 1 from page 1]	• [Insert Organizational Capability Target 1 Critical Tasks from page 1]		
[Insert Organizational Capability Target 2 from page 1]	• [Insert Organizational Capability Target 2 Critical Tasks from page 1]		
[Insert Organizational Capability Target 3 from page 1]	• [Insert Organizational Capability Target 3 Critical Tasks from page 1]		

Ratings Definitions	
Performed without Challenges (P)	The targets and critical tasks associated with the core 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 core 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 core 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 core capability were not performed in a manner that achieved the objective(s).

Observation and Data Collection

- ▶ Can differ between discussion-based exercises and operations-based exercises



Observation and Data Collection

- ▶ Forms the analytic basis for determining if critical tasks were successfully demonstrated and capability targets were met



Observation

Conducted to examine:

- ▶ Utilization of plans, policies, and procedures related to capabilities
- ▶ Implementation of legal authorities
- ▶ Understanding and assignment of roles and responsibilities of participating organizations and players



Observation

Conducted to Examine:

- ▶ Decision-making processes used
- ▶ Activation and implementation of processes and procedures
- ▶ How and what information is shared among participating agencies / organizations and the public.



Data Collection

Supports AAR development by capturing:

- ▶ Decisions and recommendations
- ▶ Roles and responsibilities
- ▶ Coordination and cooperation
- ▶ Supplemental data/written records

Evaluators should not be a distraction or interfere with exercise play.

Data Sources

- ▶ Evaluator notes
- ▶ Checklists
- ▶ Problem logs
- ▶ Key event response form
- ▶ Electronic documentation
 - Phone logs
 - Web EOC entries




Observation

Observations come from a variety of sources, including:

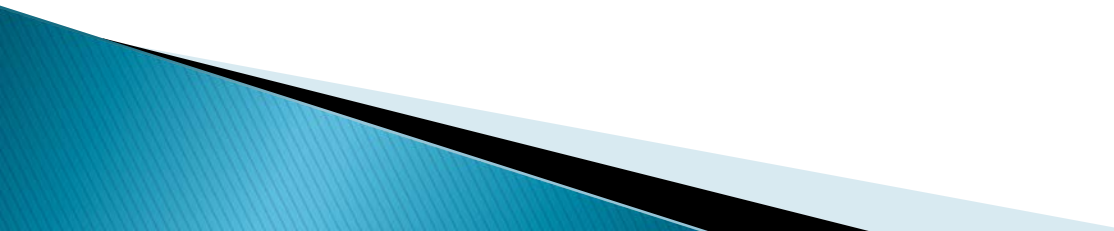
- ▶ Event logs
- ▶ Video or audio recordings
- ▶ Evaluator notes
- ▶ Photographs
- ▶ EEGs



Recording Observations

- ▶ *If* and *how* quantitative or qualitative targets were met
 - ▶ Actual *time required* for exercise players to complete the critical task(s)
 - ▶ *How* target was or was not met
 - ▶ *Decisions* made and information gathered to make decision
- 

Recording Observations

- ▶ *Requests* made and how requests were handled
 - ▶ *Resources* utilized
 - ▶ *Plans, policies, procedures, or legislative authorities used* or implemented
 - ▶ Any *other factors* contributed to the outcomes.
- 

Data Analysis Process

- ▶ Consolidation of data
- ▶ Examine and compare performance against targets
- ▶ Identify strengths and areas for improvement
- ▶ Conduct root-cause analysis
- ▶ Inform stakeholders of underlying causes within shortfalls.

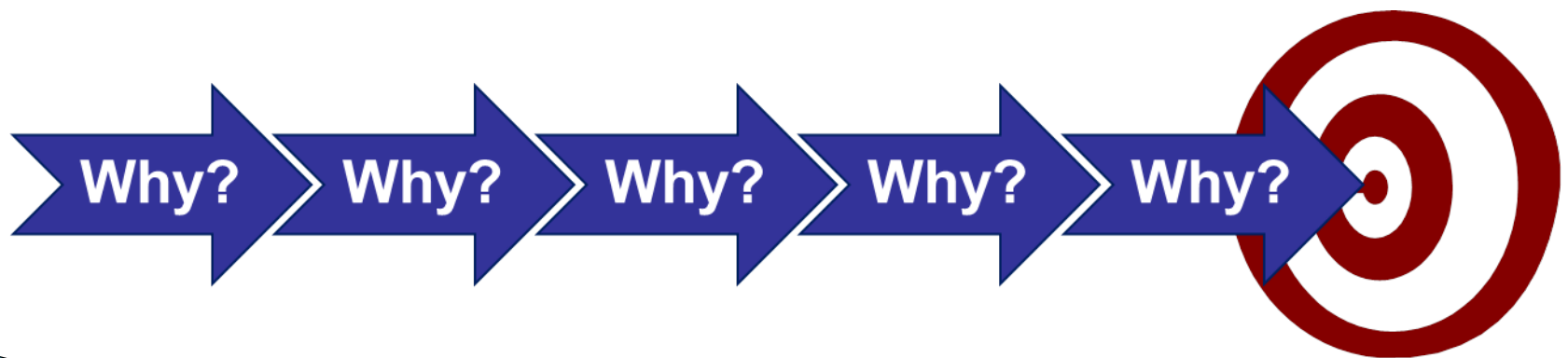


Root-Cause Analysis

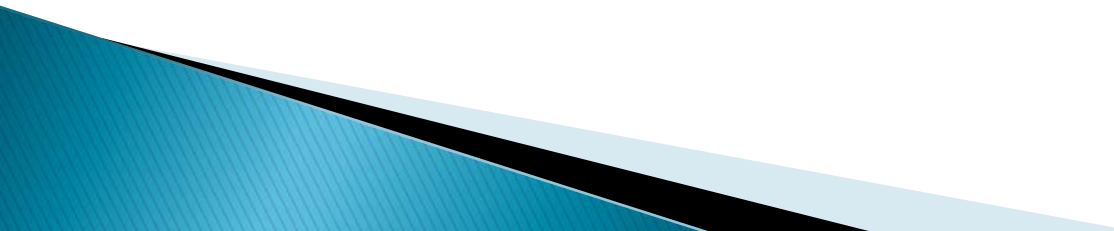
Were the capability targets met?

If not, WHY not?

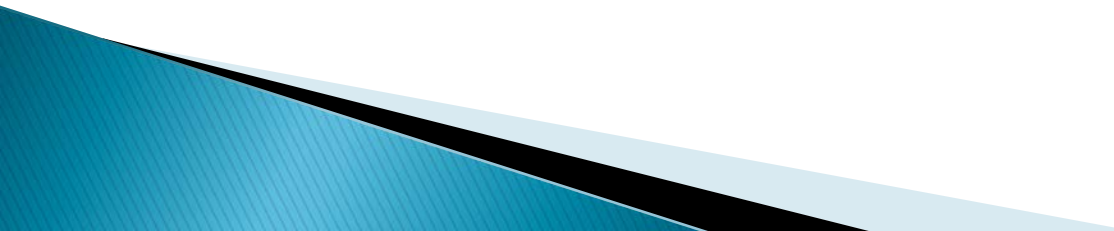
WHAT factors contributed?



What Is an AAR?

- ▶ Summary of key information related to evaluation
 - ▶ Overview of performance related to each exercise objective and associated core capabilities
 - ▶ Length, format, and development timeframe of the AAR depend on the exercise type and scope.
- 

Elements of an AAR

- ▶ Exercise Overview
 - ▶ Analysis of Core Capabilities
 - ▶ Appropriate Appendices (e.g., Improvement Plan, Participant List)
- 

Corrective Actions

Concrete, actionable steps to resolve shortfalls.

- ▶ Changes to plans and procedures, organizational structures, and/or management processes
- ▶ Additional training, equipment, or resources




After Action Meeting

- ▶ Forum to review the revised AAR and the Draft IP
- ▶ Final consensus on draft corrective actions
- ▶ Develop deadlines for implementation of corrective actions
- ▶ Identify specific corrective action owners and assignees.

Finalizing the AAR/IP

- ▶ Distributed to exercise planners, participants, and other preparedness stakeholders as appropriate
- ▶ Tracking corrective actions to completion
- ▶ Ensure a system is in place to validate previous corrective actions have been successfully implemented

IPs Support Continuous Improvement

- ▶ Important part of National Preparedness System
 - ▶ Consistent approach toward strengthening Whole Community preparedness
 - ▶ Builds capabilities as part of a larger continuous improvement process
 - ▶ Proven method of issue resolution and information sharing
 - ▶ Applicable to all operational phases
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Improvement Plan Tracking

HSEEP Rolling Summary of Exercise Outcomes									
Operation Name	Date of Exercise	Corrective Action	Primary Responsible Organization /Individual	POC	Start Date	Due Date	Comments and Description of How Action was Completed	Date Completed	Completion Status
Ready, Set, Go East	7/22/15	Place the SOP or a reminder placard where immediately visible to command trailer drivers and set-up staff.	NDDDES	Brandon Hoechst Curtis Kadrmas	10/1/15	1/1/16	SOP is placed right inside the main door.	10/1/15	Complete
Ready, Set, Go East	7/22/15	Develop a check list of supplies that should be in the trailer or need to be picked up from somewhere else.	NDDDES	Brandon Hoechst Curtis Kadrmas	10/1/15	1/1/16	List was developed prior to the exercise and is located in the SOP.	7/22/15	Complete
Ready, Set, Go East	7/22/15	Provide Radio Communications Training.	NDDDES	Brenda Vossler Larry Regorrah	10/1/15	1/1/16	Radio training by Joe Lies at 2/18/16 East IMAT meeting and 4/11/16 West IMAT meeting	2/18/16 and 4/11/16	Complete
Ready, Set, Go East	7/22/15	Provide WebEOC Training.	NDDDES	Brenda Vossler Larry Regorrah Geneva Anderson	10/1/15	1/1/16	Web EOC training and demonstration activity by Geneva Anderson at East IMAT meeting 2/18/16 and West IMAT meeting on 4/11/16	2/18/16 and 4/11/16	Complete

Why Exercise?

Contributes to the strengthening of preparedness across the **Whole Community**.

Over time, exercises should yield **observable improvements in preparedness** for future exercises and real-world events.

