

Homeland Security Exercise Evaluation Program (HSEEP)

INTRODUCTION & HSEEP FUNDAMENTALS



HSEEP Training Course Agenda

- Instructor Introduction
- Participant Introductions—please respond with:
 - Name preference
 - Agency/Organization/Affiliation
 - Previous exercise experience

Course Overview & Target Audiences

- The target audience for HSEEP training includes:
 - Exercise Planning Team Members
 - Controllers and Facilitators
 - Exercise Evaluators
 - State Administrative Agency (SAA) Exercise Program Managers
 - Senior Officials

Terminal Objective

- After completion of this course you should understand the role of HSEEP in National Preparedness, and how HSEEP exercise principles and methodology support efforts across the whole community to improve our national capacity to build, sustain, and deliver core capabilities.

Module 1: Introduction to HSEEP

- **Lesson 1: HSEEP Overview**
 - Purpose
 - Applicability and Scope
- **Lesson 2: HSEEP Fundamentals**
 - HSEEP Principles
 - Key program elements
 - HSEEP Methodology

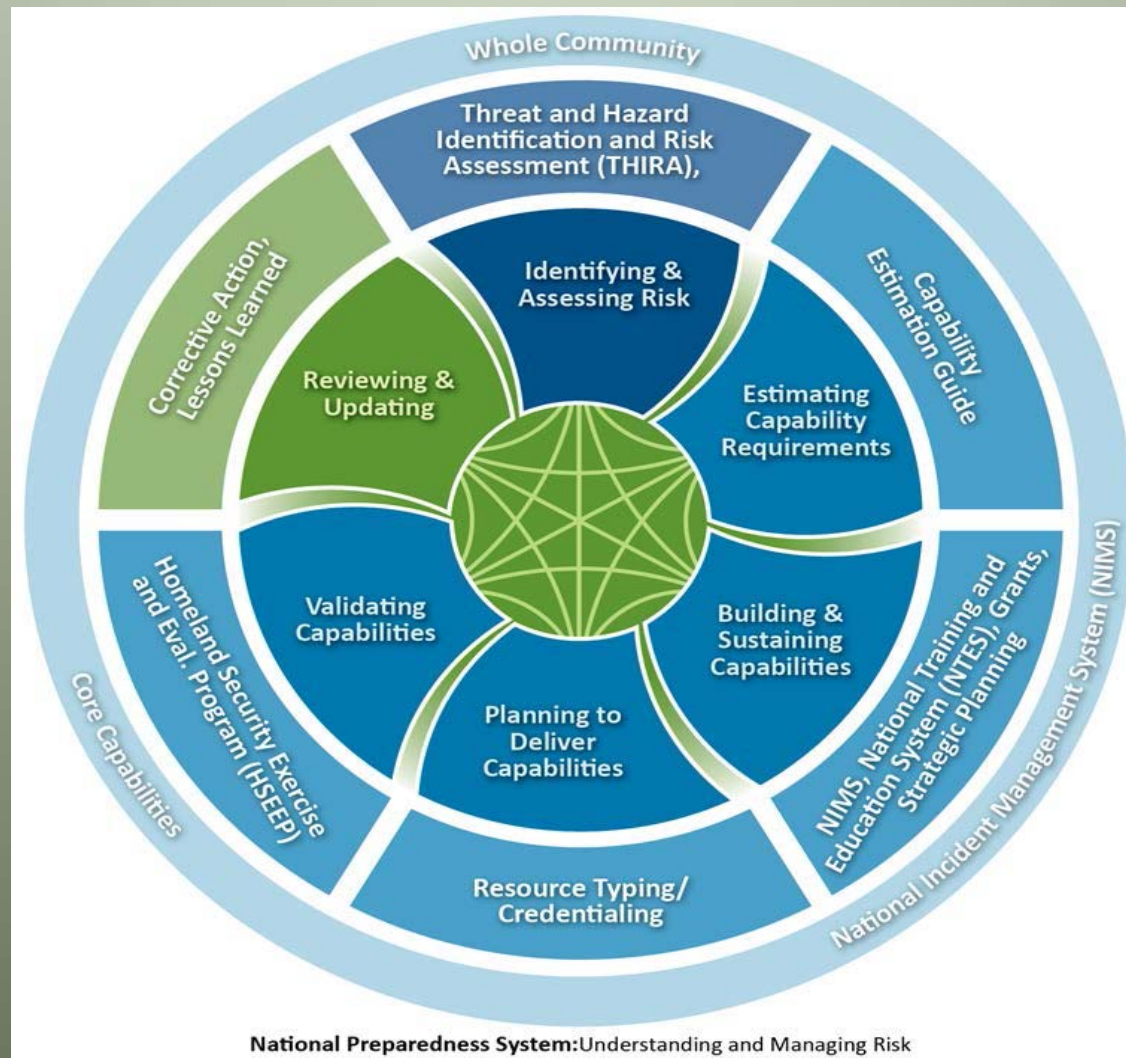
Lesson 1: HSEEP Overview

- **Enabling Objectives**
 - After completing this lesson, you should be able to:
 - Describe the purpose of HSEEP and how the program supports National Preparedness

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.

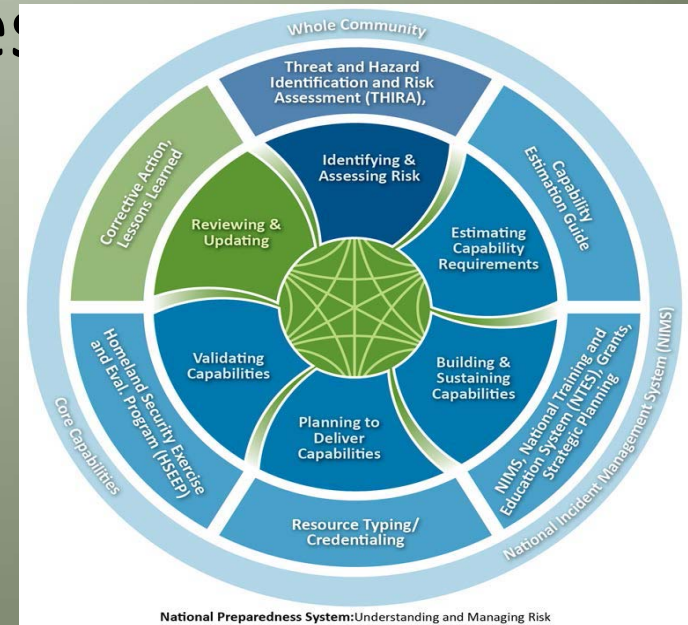
National Preparedness System



National Preparedness System: Understanding and Managing Risk

National Preparedness System

- Identify and Assess Risk and Severity
- Estimate Capability Requirements
- Build and Sustain Capabilities
- Plan to Deliver Capabilities
- Validate Capabilities
- Review and Update Risks, Tools and Resources



***Training and Exercises play a critical role
in all components***

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?

- **Test and validate**
 - Plans
 - Assess capabilities
- **Identify**
 - resource requirements
 - Assess capability gaps
 - Identify areas for improvement

HSEEP Guidance

- **HSEEP Fundamentals**
 - Program Management
 - Design and Development
 - Conduct
 - Evaluation
 - Improvement Planning



Homeland Security Exercise and Evaluation Program (HSEEP)

April 2013



Homeland
Security

HSEEP Volumes I - V



HSEEP Applicability and Scope

- Flexible, scalable, adaptable for use by
 - Stakeholders across whole community, and
 - Applicable to exercises for all mission areas
 - Prevention
 - Protection
 - **Mitigation**
 - Response
 - Recovery



Revision Background

- August 17, 2010, Secretary of Homeland Security directed revision of the National Exercise Program (NEP)
 - FEMA Deputy Director Administrator for Protection and National Preparedness (NPD) directed revision of HSEEP to accurately capture and reflect the Secretary's vision for an overall updated and revised exercise program
 - 2013 iteration of HSEEP doctrine supersedes the 2007 HSEEP Volumes.

More flexibility in implementing HSEEP

Lesson 2: HSEEP Fundamentals

- **Enabling Objectives**

- After completing this lesson, you should be able to:

- Describe the HSEEP methodology as set forth in the Exercise Planning Cycle
 - Identify how the HSEEP Principles integrate core principles of NPS

HSEEP Fundamental Principles

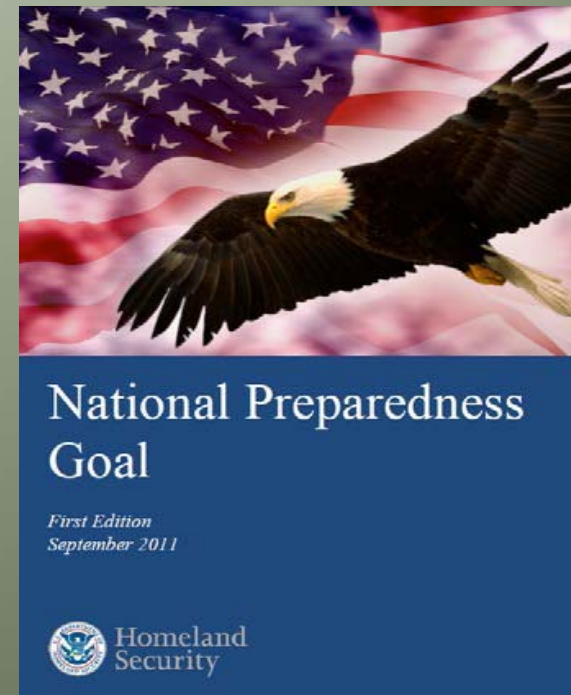
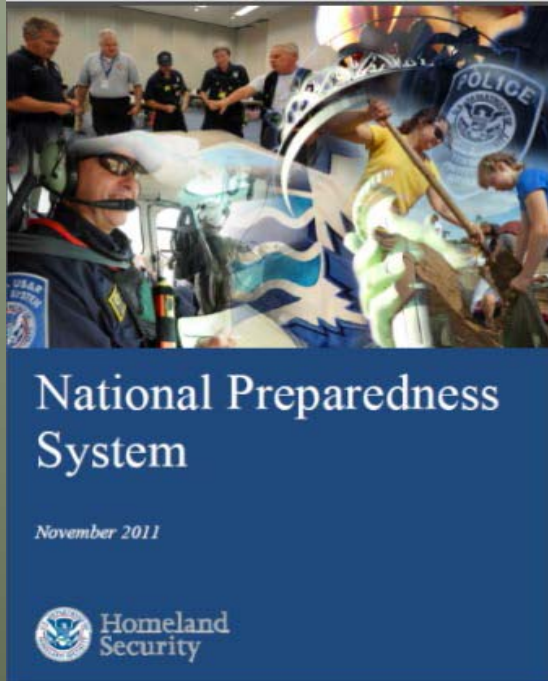
- **Guided by Elected and Appointed Officials**
 - Capability-based, Objective Driven
 - **Core Capabilities have replaced the Target Capabilities**
 - **Utilizes Progressive Planning Approach**
 - **Whole Community Integration**
 - Informed by Risk
 - Common Methodology

Common Methodology

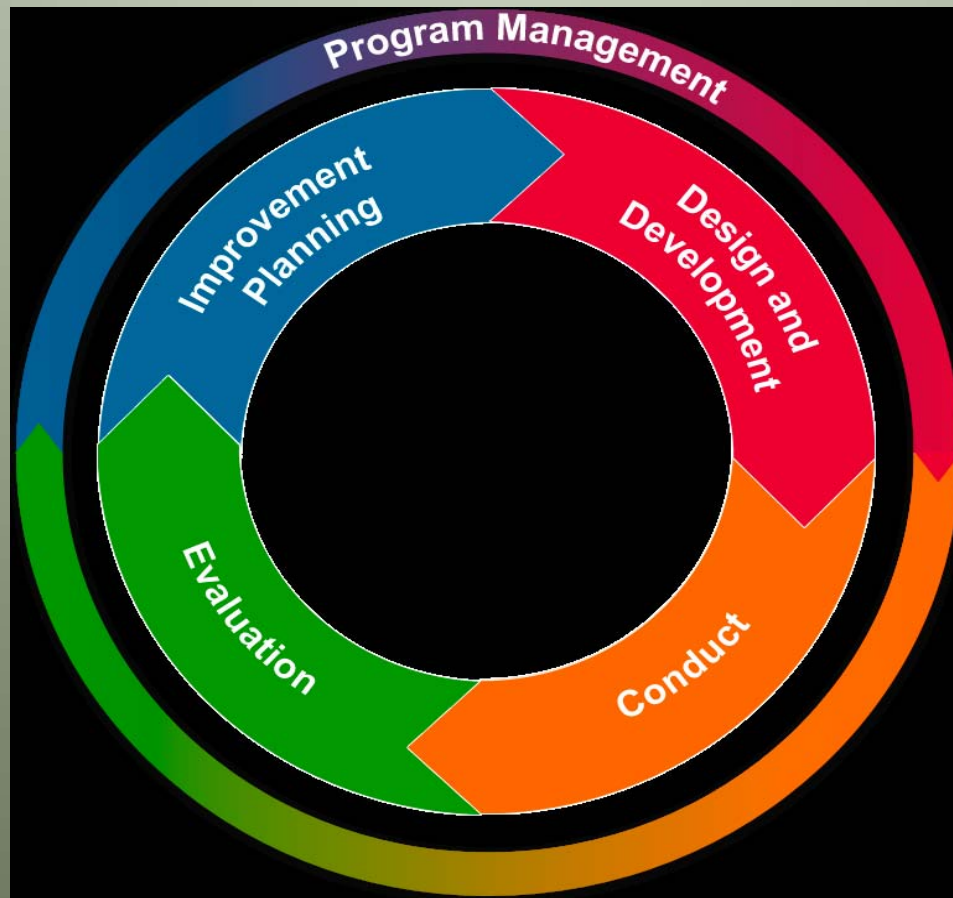


Presidential Policy Directive 8 (PPD-8)

- National Preparedness System (NPS)
- National Preparedness Goal (NPG)



Overview of Exercise Program Management



Exercise Foundation

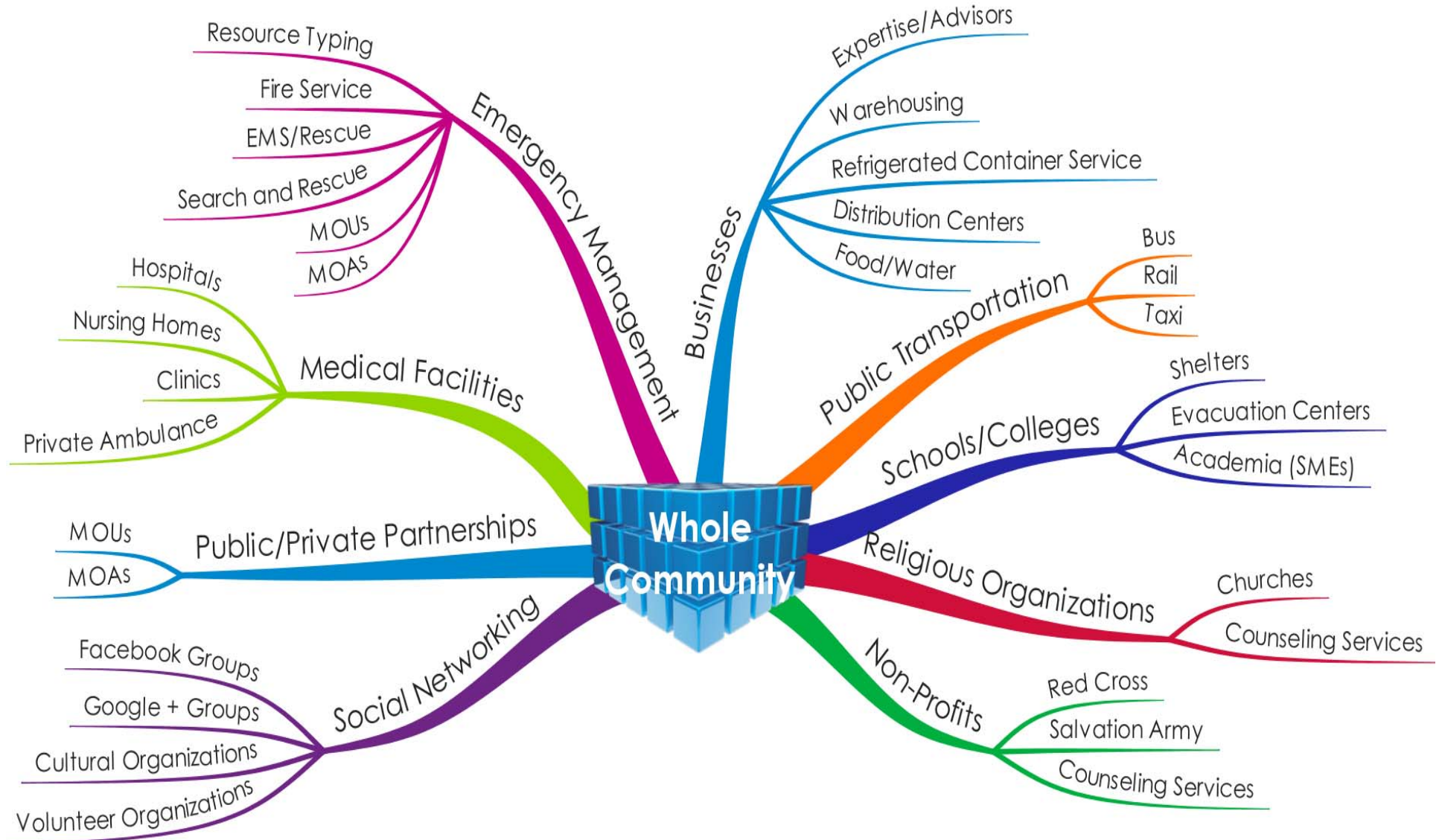
- Learn about your jurisdiction
 - Threats, Hazards, and Vulnerabilities
 - Policies, plans, and procedures
 - Grant or Cooperative Agreements
 - Training and Exercise Plans (TEP)
 - After-Action Reports/Improvement Plans
 - Identified needs – Training, equipment, personnel



Elected and Appointed Officials

- Engage early and often to identify exercise program priorities
 - Review previous risk assessments and reports
 - Provide:
 - Overarching guidance and direction
 - Planning and resource allocation
 - Type and scope
 - Roadmap to identify priorities
 - Specific intent for individual exercises

Who? – Participants



Discussion-Based Exercises

- **TYPES**

- **Seminars**

- Plan Orientation/Review Assets
- Capabilities

- **Workshops**

- Analyze Requirements
- Develop Product

- **Tabletop (TTX)**

- Rehearsal
- Assess Plans

- **Games**

- Compete/Collaborate
- Validate Plans
- Explore Consequences

- **FOCUS**

- **Jurisdiction:**

- » Plans
- » Policies
- » Procedures

- » **Inter-Jurisdictional**

- » Agreements
- » Understandings

- **PARTICIPANTS**

- Facilitator
- Moderator(s)
- Evaluators
- Stakeholders/Sr. Leaders/Players

Operations-Based Exercises

- **TYPES**

- **Drills**

- Single agency/organization
- Provide training/skills reinforcement
- Validate procedure

- **Functional Exercises**

- Validate/Evaluate Capability
- Command-and-Control and Coordination Function(s)

- **Full-Scale Exercises**

- Complex real-time response
- Multiagency cooperative – ICS
- Simulates reality – “as if” real
- Mobilize and deploy resources and personnel
- Prop and Actor involvement
- Requires close control and monitoring

- **FOCUS**

- **Validate Implementation Of Jurisdiction:**

- » Plans
- » Policies
- » Procedures

- **Inter-Jurisdictional**

- » Agreements
- » Understandings

- **PARTICIPANTS**

- Controllers/Simulators
- Evaluators
- Actors
- Players
- Observers/VIPs

Rolling Summary of Outcomes

- Developed periodically (minimally 2X/year)
- Analysis of exercise-specific trends used to:
 - Inform elected and appointed officials of program progress (ensure you are prepared with statistics, progress, impact on preparedness in State)
 - Provide data to support: Preparedness assessments
 - Reporting requirements (grant or funding related)
- Support modification of program goals and objectives; schedule as required based on lessons learned in previous exercises



EXERCISE DESIGN AND DEVELOPMENT

Terminal Objective

- After completing this module you should be prepared to describe HSEEP methodology for developing exercise objectives, conducting planning meetings, developing exercise documentation, and planning for exercise logistics, control and evaluation.

Lesson 1: Exercise Foundation

- **Enabling Objective**

- After completing this lesson you should be able to describe how to use guidance from Program Management Planning in the design and develop of individual exercises.

Key Design and Development Steps

- Reviewing elected/appointed officials' guidance, Training and Exercise Plan (TEP), and other factors;
- Selecting exercise planning team and developing exercise planning timeline and milestones;
- Developing exercise-specific objectives related to targeted core capabilities identified by elected and appointed officials;
- Identifying evaluation requirements, identifying EEGs by mission area;

Key Design and Development Steps

- Developing the EEGs and exercise scenario;
- Creating documentation;
- Coordinating logistics; and
- Planning for exercise communication, control and evaluation

Exercise Foundation Key Priority Factors

- Multiyear TEP;
- Jurisdiction's existing plans and procedures;
- THIRA or other risk, threat and hazard assessments;
- State or national preparedness reports

Exercise Foundation Key Priority Factors

- Past exercise or real-event AARs/IPs;
- Identified or perceived areas for improvement;
- Accreditation standards or requirements;
- Grant or cooperative agreement requirements

Link Core Capabilities

- Link each identified risk factors to the capabilities that mitigate the risk
- Prioritize capabilities
- Identify which stakeholders provide support toward mitigation of the risk

Lesson 2: Exercise Planning Teams

- **Enabling Objectives**

- After completing this lesson, you should be able to describe the:
 - Importance of ensuring representation of whole community on planning team
 - Characteristics of a successful Exercise Planning Team
 - Recommended management structure for exercise planning teams.
 - Role and function of the exercise planning team

Exercise Planning Team Representation

- Manageable size aligned with exercise type or scope/complexity
- Represent full range of whole community stakeholders and participating stakeholder organizations

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

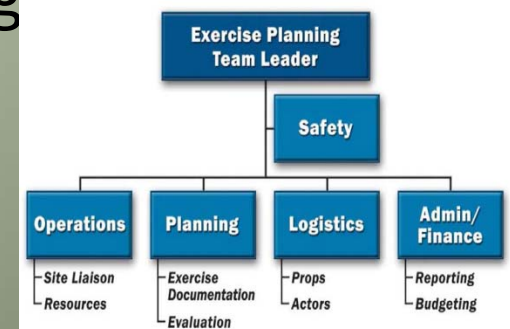
- Individuals on Exercise Planning Team who may serve as Controllers or Evaluators during the exercise
- **DO NOT** reveal scenario details prior to exercise conduct



Successful Planning Teams

- Have clearly define 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 Structure (ICS) or other structure that defines support roles of each team member



Role and Function of the Planning Team

- Conducts planning meetings used to:
 - Determine exercise objectives, evaluation plan, and control and simulation systems
 - Design, develop, conduct, and evaluate results of exercise
 - Develop scenario, EEGs and other exercise documentation
 - Plan logistics for exercise conduct
 - Identify, create and distribute pre-exercise materials



Lesson 3: Planning Activities

- **Following completion of this lesson you should be prepared to identify and describe:**
 - Exercise Planning activities and how they contribute to exercise development
 - Exercise development tasks associated with each planning activity

Planning Activities (“Meetings”)

- 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 THE SCOPE AND OBJECTIVES OF THE EXERCISE***
- **DISCUSSION POINTS**
 - Propose exercise objectives and their aligned core capabilities
 - Propose exercise location, date, and duration
 - Participants and anticipated extent of play for exercise participants
 - Exercise planning team
 - Exercise control and evaluation concepts
 - Exercise planning timeline and milestones

Concept and Objectives Meeting

- **TOOLS:**

- Agenda
- Background Briefing

- **OUTCOMES:**

- Exercise Concept
- Exercise timeframe
- Extent of participation
- Identification of planning team members
- Planning timeline, milestones, meeting dates

**Suggested
Practice**

For less complex exercises or entities with limited resources: conduct C&O Meeting in conjunction with the IPM.

Initial Planning Meeting (IPM)

- **FOCUS**

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

- **DISCUSSION POINTS**

- Exercise objectives and core capabilities;
- Evaluation requirements, including EEGs
- Relevant plans, policies, and procedures;
- Exercise scenario;
- Modeling and simulation planning;
- Extent of play (time, date and location)

Initial Planning Meeting (IPM)

- **TOOLS:**
 - Read-ahead Packet (Agenda, core capabilities, Hazard and Risk Assessments, etc.)
- **OUTCOMES:**
 - Clearly defined exercise objectives and aligned core capabilities
 - Initial capability targets and critical tasks
 - Exercise scenario variables
 - List of participating exercise organizations and extent of play;
 - Identification of source documents
 - Refined exercise planning timeline with milestones/lists of tasks

Providing read-ahead materials (agenda, background, purpose) results in more productive meetings

Planning Meeting Follow-up Activities

- **Distribute IPM meeting minutes**
 - Between meetings – Planning Team collaborates on assignments and prepares draft exercise documentation
 - Distribute draft documentation prior to next meeting
 - Repeat activities for each follow-on planning meeting
 - **Proflow = Procedural Flow – document with expected players actions and beginning of MSEL process**



Suggested Practice

Frequent productive coordination within the Exercise Planning Team in the time between planning meetings is critical to successful outcomes.

Midterm Planning Meeting (MPM)

- **PRIMARY FOCUS**

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

- **DISCUSSION POINTS**

- Refinement and/or finalization of exercise documentation
- Logistical requirements
- Master Scenario Events List (MSEL) if no additional MSEL Planning Meeting will be held

Midterm Planning Meeting (MPM)

- **TOOLS**

- Read-ahead Packet

- **OUTCOMES**

- Reviewed or final exercise documentation (as applicable)
- Well-developed scenario to include injects (if no MSEL held)
- Finalization of date, time, and location
- Identified logistics planning requirements
- Revised planning schedule, task assignments, meeting date and location for next meeting

Master Scenario Events List (MSEL) Meeting

- **PRIMARY FOCUS**

- Development of chronological list that supplements exercise scenario
- Event synopses, expected participant responses, objectives and core capability targets
- Specific scenario events (or injects) that prompt players to implement the plans, policies, procedures, and protocols that require testing during the exercise
- Methods used to provide injects

- **DISCUSSION POINTS**

- Tasks, conditions and standards required to meet exercise objectives
- Key events and critical tasks
- Event originator, target player, expected player actions and timeframe
- Contingency injects to prompt player action (if needed)

Master Scenario Events List (MSEL) Meeting

- **TOOLS**

- MSEL Template/System
- Applicable plans, policies and procedures

- **OUTCOMES**

- Key event injects and timeline for delivery
- Assignment of responsibility for constructing remaining events
- Timeline for completion

**Suggested
Practice**

Early identification of the Template or System used for development and conduct.

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

- **DISCUSSION POINTS**

- Final review of all exercise documentation
- Resolve any outstanding planning issues
- Review logistical activities (e.g., schedule, registration, attire, special needs)

Final Planning Meeting (FPM)

- **TOOLS**

- Read-ahead Packet

- **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

Lesson 4: Exercise Design

- **Enabling Objective**

- After completing this lesson, you should be able to describe the major components of exercise design including:

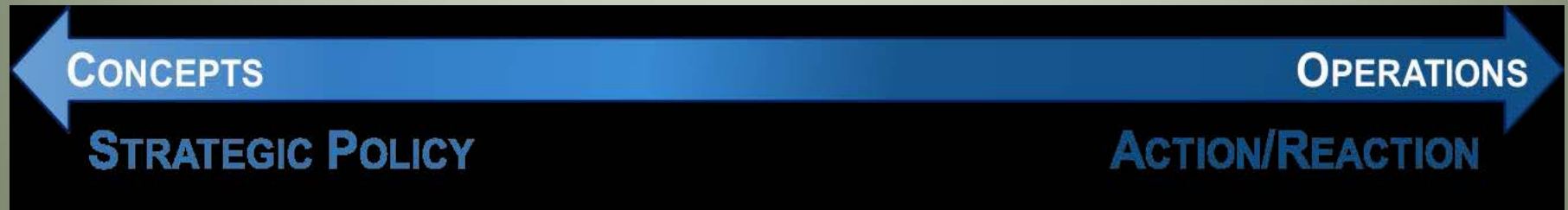
- Exercise scope
 - Exercise objectives
 - Evaluation requirements
 - Exercise scenario

Scope – What is this exercise all about?

- **Key elements**

- Type
- Participation level
 - Who is playing
 - At what level
 - How long
- Duration
- Location
- Parameters
- Injects –pieces of information from non-playing entities

Exercise Types



DISCUSSION-BASED

- Seminar
- Workshop
- Tabletop (TTX)
- Game

OPERATIONS-BASED

- Drill
- Functional Exercise (FE)
- Full-Scale Exercise (FSE)

Exercise Participation Level

- **Defined by**

- Organizations and levels of personnel required to address identified objectives
- Available resources and personnel of participating organizations
- Right-size and duration to meet objectives
- Compatible with venue location
- **Extent of Play Agreement (XPA)**
 - **Former HSEEP – required in REP exercises to document players**
 - **Renewed emphasis in revised HSEEP but not practical for LHDs and Healthcare (can be diverted to real events)**

Exercise Duration and Parameters

- Time to address objectives effectively
- Resource constraints and budget
- Determines what to include in scenario
- Define early to ensure manageable, realistic exercise

What Are Objectives?

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

Suggested Practice

Limit the number of objectives to those that can be reasonably addressed and evaluated during exercise conduct.

Characteristics of Good Objectives

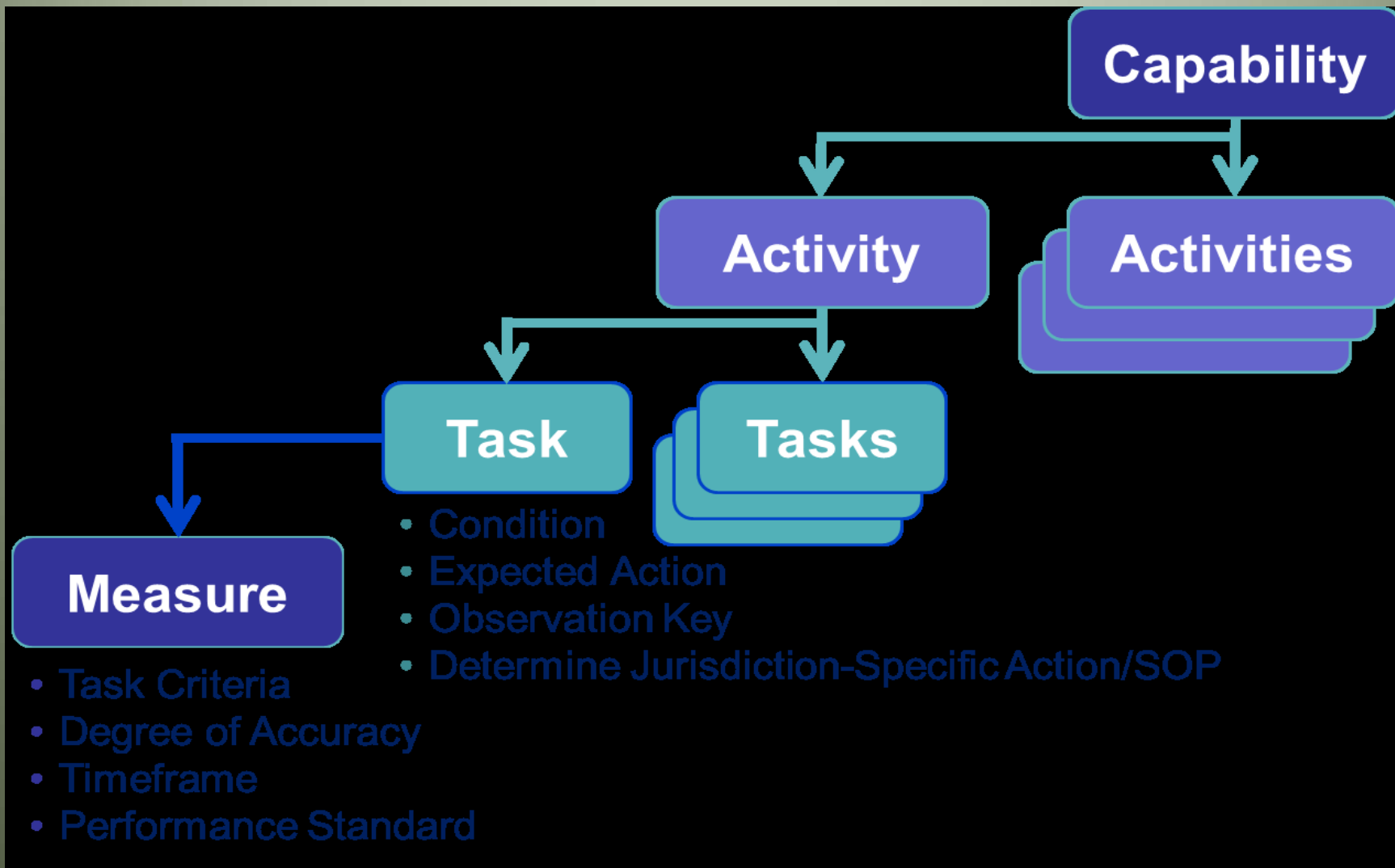
SMART Guidelines for Exercise Objectives

Specific	Objectives should address the five <i>Ws</i> - who, what, when, where, and why. The objective specifies what needs to be done with a timeline for completion.
Measurable	Objectives should include numeric or descriptive measures that define quantity, quality, cost, etc. Their focus should be on observable actions and outcomes.
Achievable	Objectives should be within the control, influence, and resources of exercise play and participant actions.
Relevant	Objectives should be instrumental to the mission of the organization and link to its goals or strategic intent.
Time-bound	A specified and reasonable timeframe should be incorporated into all objectives.

Creation of Performance Objectives

Element	Tip	Example
Action Statement	Select observable action verb to describe what task(s) responders must perform .	Incident Safety Officer (SO) conducts scene survey to identify hazard(s) and establish “Hot Zone” perimeter.
Condition by which the tasks must be performed	What is given/expected in executing the task? Skill, knowledge, tool(s), equipment, reference(s), chart(s)/scene survey, or SOPs on which action should be based.	Using knowledge of HazMat classification and OSHA’s Hazardous Waste Operations and Emergency Response (HAZWOPER) standard (29 Code of Federal Regulations [CFR] 1910.120)
Performance Statement	List what the player must be able to do/accomplish .	Determine hazard-specific health and safety risk to personnel in immediate range of incident.
Criteria Statement	The performance standard used to measure achievement of objective . Described as: <ul style="list-style-type: none"> • Degree of accuracy – How well? • Timeframe – When? • Speed/Distance – How much? 	Within 30 minutes of arrival on scene.

Aligning Objectives to Capabilities



Example of Capability Analysis

- **Environmental Response/Health and Safety**
- **Capability Outcome:**
 - Hazardous materials release is rapidly identified and mitigated; victims exposed to the hazard are rescued, decontaminated, and treated; the impact of the release is limited; and responders and at-risk populations are effectively protected.

Selection of Target Task

- Environmental Response/Health and Safety
- Task Analysis

- Coordinate rescue efforts with law enforcement to ensure safety of rescuers while law enforcement secures incident site.
- Establish a hot zone (inner perimeter) to identify high hazard area(s) where responders will operate.
- Monitor and control operating time of rescuers assigned to hot zone to minimize rescuer exposure.
- Identify assets required for decontamination activities.
- Establish decontamination sites.
- Conduct decontamination.
- Decontaminate affected facilities and equipment.
- Conduct screening of affected persons.

Objectives for Discussion-Based Exercises

- STRATEGIC PLANS, POLICY-ORIENTED ISSUES
- *Example:*

Validate Central City's existing response plan for (2) incident command (3) activation of essential HazMat personnel (1) during a chemical incident (4) to ensure alignment with NIMS and HazMat Response criteria.

1) Condition

2) Who

3) Action

4) Standard

Objectives for Operations-Based Exercises

- RESPONSE SYSTEMS/TACTICAL-LEVEL:
- *Example:*

During (1) a chemical incident , evaluate the ability of (2) Central City HazMat personnel , to (3) establish a Hot Zone and decontamination site (4) within 30-minutes of arrival on scene in accordance with existing SOPs.

1) Condition

2) Who

3) Action

4) Standard – jurisdiction-specific

Central City's Chemical FSE Objectives

- Central City's *incident command (who)* shall *provide essential HazMat personnel to incident site (action) within 1 hour following notification (standard)* of a *chemical incident (condition) in accordance with existing SOPs (standard)*.
- *First responders (who)* shall *identify hazard and establish incident perimeter and hot zone (action) within 30-minutes of arrival (standard)* on scene *using established SOPs and appropriate hazard guidelines (standard)* for the *identified chemical (condition)*.

Central City's Chemical FSE Objectives

- *Emergency response personnel (who)* shall **administer proper levels of decontamination (action)** to responders and victims **prior to transport (condition)** to hospitals **in accordance with established procedures (standard)**.
- *Hospital staff (who)* to evaluate HazMat victims upon arrival and **determine decontamination status (action)** of patients, **and administer decontamination (action)** as required **prior to admittance (condition)** to hospitals **in accordance with established procedures (standard)**.

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

The Exercise Scenario

- Storyline for response activity or discussion
- Three basic elements:
 - Context
 - Conditions
 - Technical details **(Ground truth)***
- Based on:
 - Realistic
 - Plausible Threat
 - Challenging
- Mechanism for assessing objectives and core capabilities.

*** Ground truth usually in prevention exercises**



Developing an Exercise Scenario

- A story of a simulated threat or hazard on which the exercise will focus.
- Based on organization's threat/hazard risk assessment
- Identifies Mission Area(s) targeted and provides Exercise (context)
 - May be supported by Modeling and Simulation Model
 - Representation of a system within a point in time
 - Simulation – method of implementing performance model(s) (actions) over time - how scenario revealed to players

Suggested Practice

The scenario should be credible enough for participants to suspend their inherent disbelief in hypothetical situations.

Lesson 5: Exercise Development – Documentation

- **Enabling Objectives**

- After completing this lesson, you should be able to identify exercise documentation requirements

Exercise Documentation

- Ensure accurate account of exercise
- Provides for control and distribution
- Additional considerations

Exercise Documentation by Exercise Type

Document Title	Exercise Type	Distribution Audience
Situation Manual (SitMan)	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Facilitator's Guide	Seminar (Optional), Workshop (Optional), TTX, Game	Facilitators
Multimedia Presentation	Seminar (Optional), Workshop (Optional), TTX, Game	All Participants
Exercise Plan (ExPlan)	Drill, FE, FSE	Players, Observers
Controller and Evaluator (C/E) Handbook	Drill, FE, FSE	Controllers, Evaluators
Master Scenario Events List (MSEL)	Drill, FE, FSE, Complex TTX (Optional), Game (Optional)	Controllers, Evaluators, Simulators
Extent of Play Agreement (XPA)	FE, FSE	Exercise Planning Team
Exercise Evaluation Guides (EEGs)	TTX, Game, Drill, FE, FSE	Evaluators
Participant Feedback Form	All Exercises	All Participants

Exercise Documentation (Discussion-based)

- Situation Manual (SitMan) Provided for discussion-based exercises
- Provides the textual background and supports the scenario narrative and serves as primary reference material for all participants
- Facilitator Guide Helps facilitators manage discussion-based exercises
- Outlines instructions and key issues for discussion
- Multimedia Presentation Illustrate scenario for participants
- Intended to help focus and drive realism

Exercise Documentation (Operations-based)

- **Exercise Plan (ExPlan)**
 - Given to players and observers
 - Provided for Operations-based Exercises to provide synopsis of planned exercise (scope, objectives and core capabilities)
 - Participant roles and responsibilities
 - Rules of Conduct, and Safety and Security Policies
 - Communication methods
 - Maps of exercise site

**Suggested
Practice**

A Player Handout can be provided as a quick reference guide.

Exercise Documentation (Operations-based)

- Controller and Evaluator Handbook Describes the roles and responsibilities of exercise controllers and evaluators and the procedures they should follow
- Contains detailed scenario information
- Logistics and communications plan
- May be a standalone or supplement ExPlan
- May be broken up into separate Controller and Evaluator versions

Suggested Practice

May provide as packet of information containing documentation specific to assigned exercise location.

Master Scenario Events List (MSEL)

- Chronological list of scripted events that drive exercise play and specific functional area activity
 - MSEL events
 - Contextual injects
 - Expected action events (milestones) – **ExPA = expected player actions**
 - Contingency injects
- MSEL types
 - **Short:** inject, delivery time, short description, identifies responsible controller, and recipient player
 - **Long:** detailed description, exact quotes and formats for inject, and includes description of expected action

Elements of an Inject

1. Designated scenario time
2. Objective to be demonstrated
3. Controller responsible for delivering inject
4. Intended player
5. Event description
6. Inject
7. Expected Action (Player Response)
8. Notes section

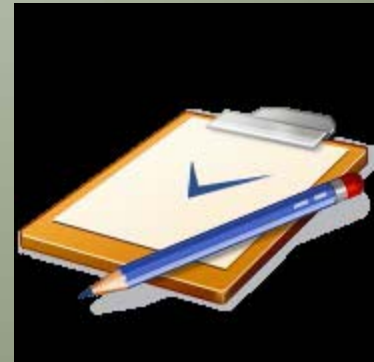
Event #	13	Event Time:	[Time] (Expected)	1	(Actual)
Via:	Phone	Objective(s):	EEG III-10	2	
Who Delivers?	SimCell	3	Recipient Player(s):	[City, Town, County] EOC	4
Event Description:					
CDC sending epidemiology team					
5					
Inject:					
6					
SimCell calls [City, Town, County] EOC with the following: "This is the [State Health]. The CDC said that they are sending an epidemiology team that will arrive at [Time] and will be available to help the region. Please make working and living arrangements for staff. Provide the information back to us when you have made the arrangements." (Note: Be sure to provide the call back number to the call recipient.)					
Expected Action(s):					Notes
7					8
Staff will make arrangements and be prepared to describe their plan for the team when it arrives.					
Expected Outcome:					Notes

Suggested Practice

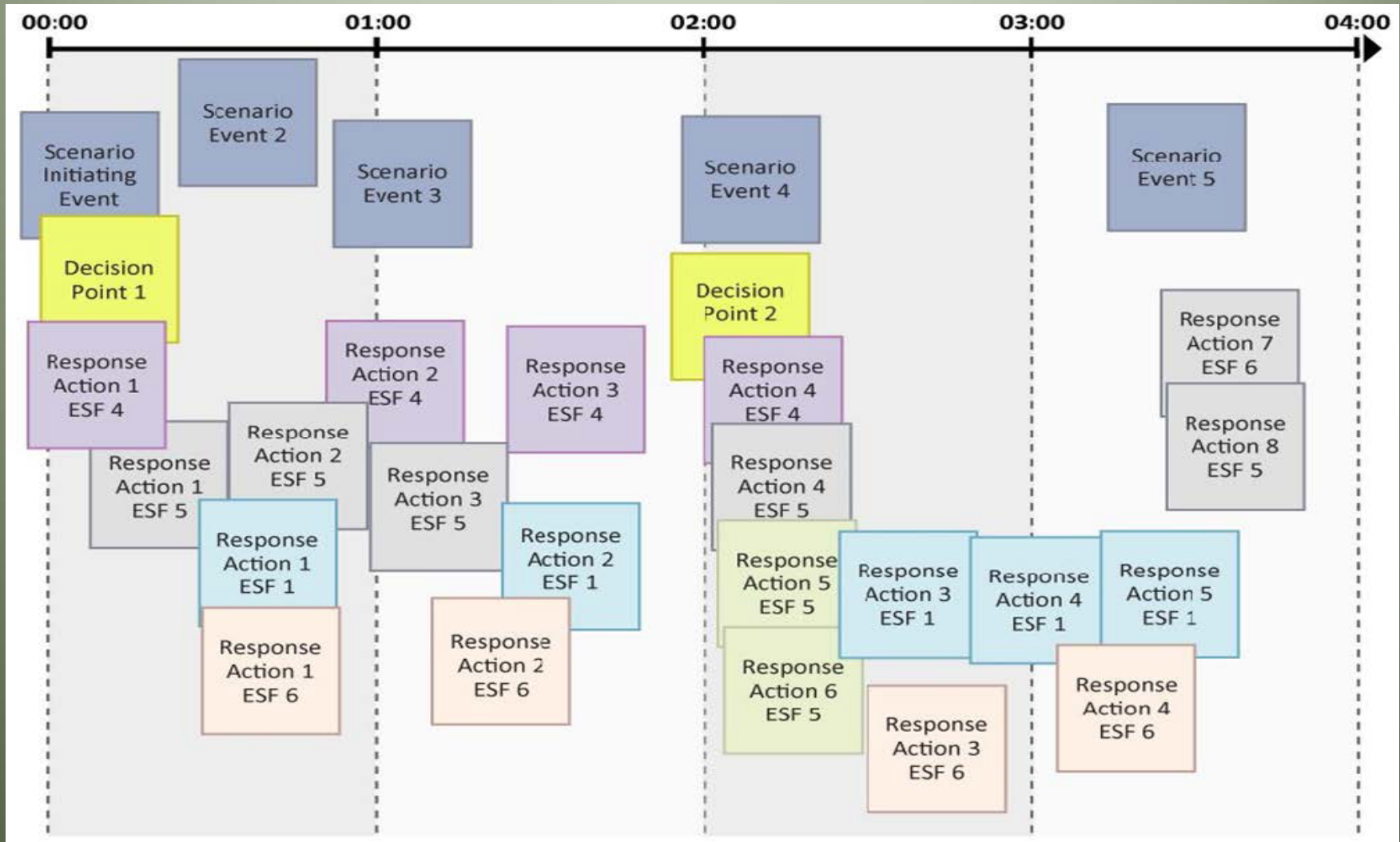
When delivering injects Simulators should use realistic emotional tone typical of real-world incidents.

How to Develop a MSEL

- Review capabilities
- Identify chronology of key actions
- Anticipate Player actions
- Identify information resources
- Compile all MSEL events into single list
- Refine selected MSEL events; create detailed long version



MSEL Timeline Development



Additional Exercise Documentation

- Extent of Play Agreements (XPAs)
- Exercise Evaluation Guides (EEGs)
- Participant Feedback Form
- Waiver Forms
- Weapons and Safety Policy

Media and Public Affairs Guidance

- Inform public of community preparedness activities
- Report on exercise and state of preparedness following exercise
- Press Releases Targeted to local media outlets (TV, Radio, Social Networks, Newspapers)
- Attendance/observation policy
- Public Announcement
 - Inform and help to avoid confusion on the part of the public

Media Policy

- Media participation/notification determined by sponsoring organization
- Public Information Officer Escort media and ensure non-interference
- Separate real-world media from exercise media artificialities
- Inform public: Press Releases
- Public Announcements

CAUTION

DO NOT release detailed scenario information prior to exercise and protect potentially sensitive information.

Lesson 6: Exercise Development – Logistics

- **Enabling Objectives**

- After completing this lesson, you should be able to:

- Recognize logistical considerations critical to successful exercise conduct
 - Identify facility considerations and venue specifics that influence development of scenarios for exercise conduct

Planning for Exercise Logistics

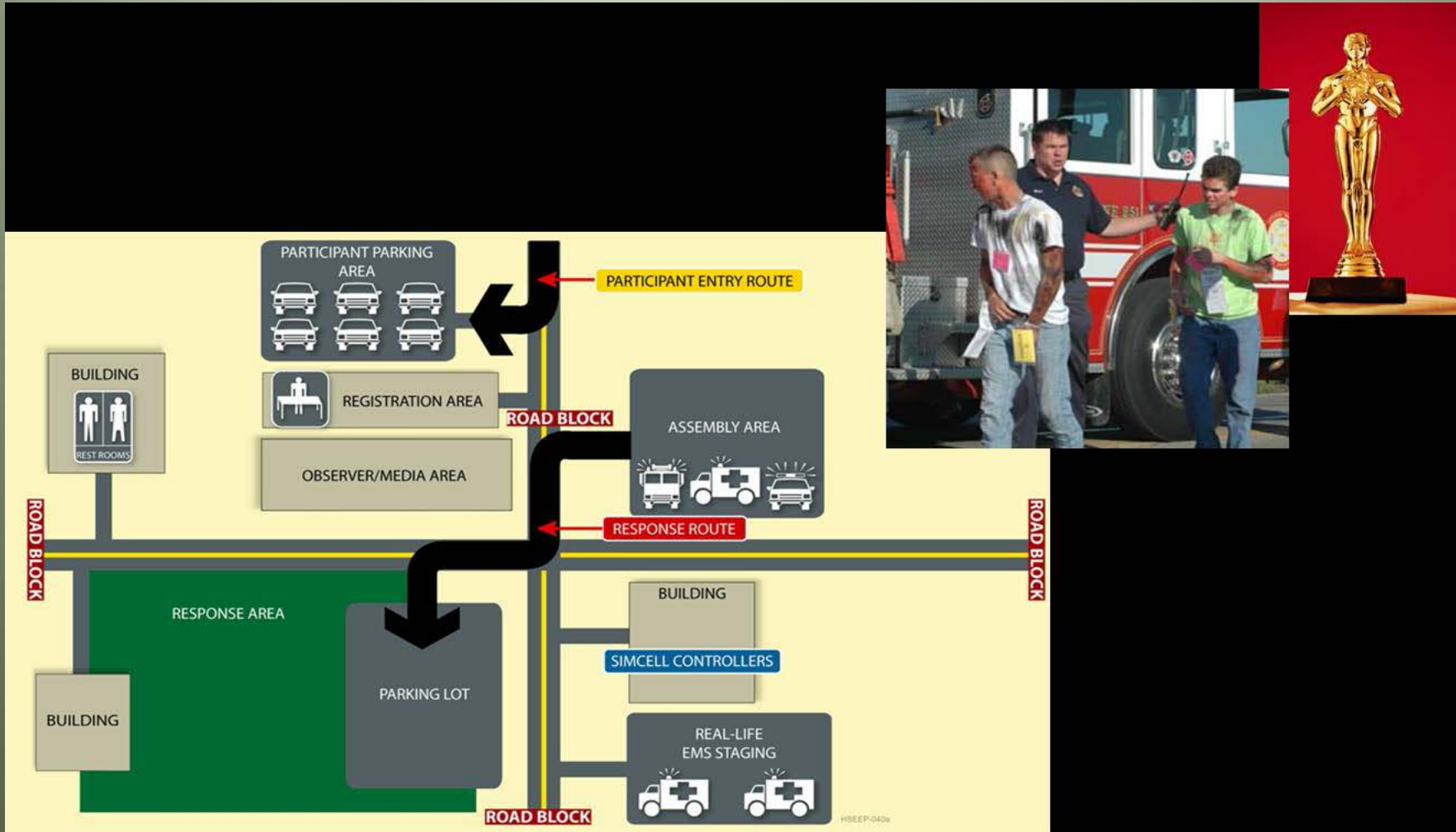
- Important but often overlooked and include consideration of:
 - Venues Facility/Room
 - A/V
 - Supplies, Food and Refreshments
 - Badges and IDs Registration



Suggested Practice

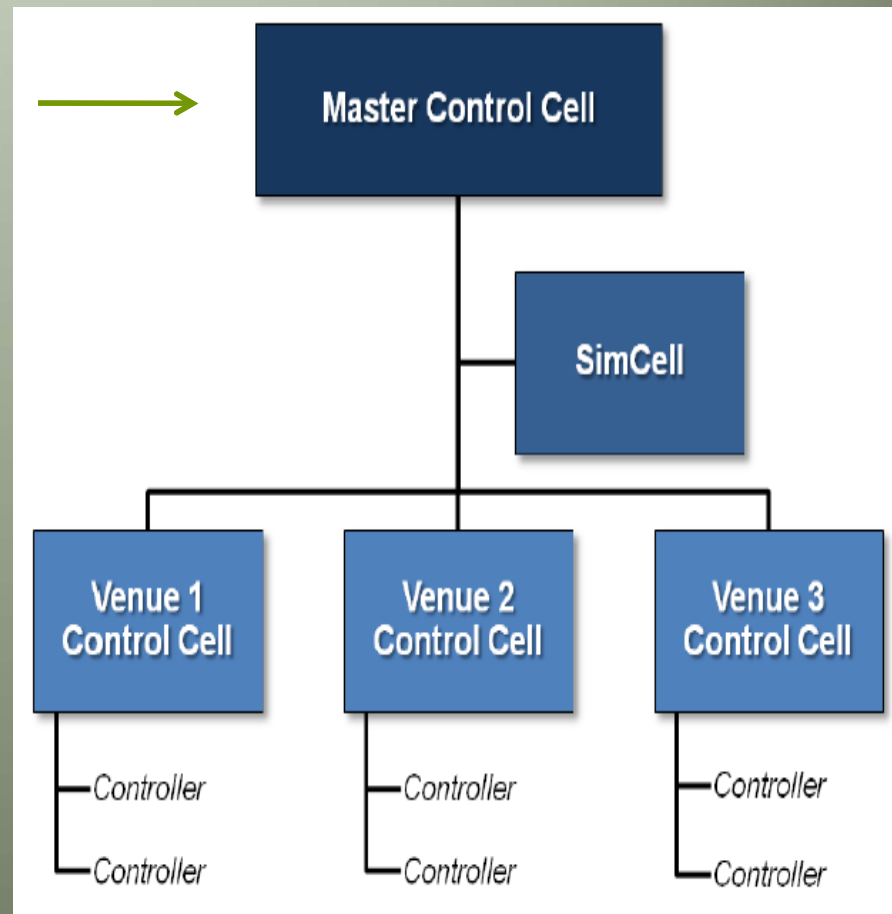
Check venue acoustics: Discussion groups create high noise levels. Ensure sufficient space so that everyone can hear and be heard.

Planning for Exercise Logistics



Planning for Exercise Control

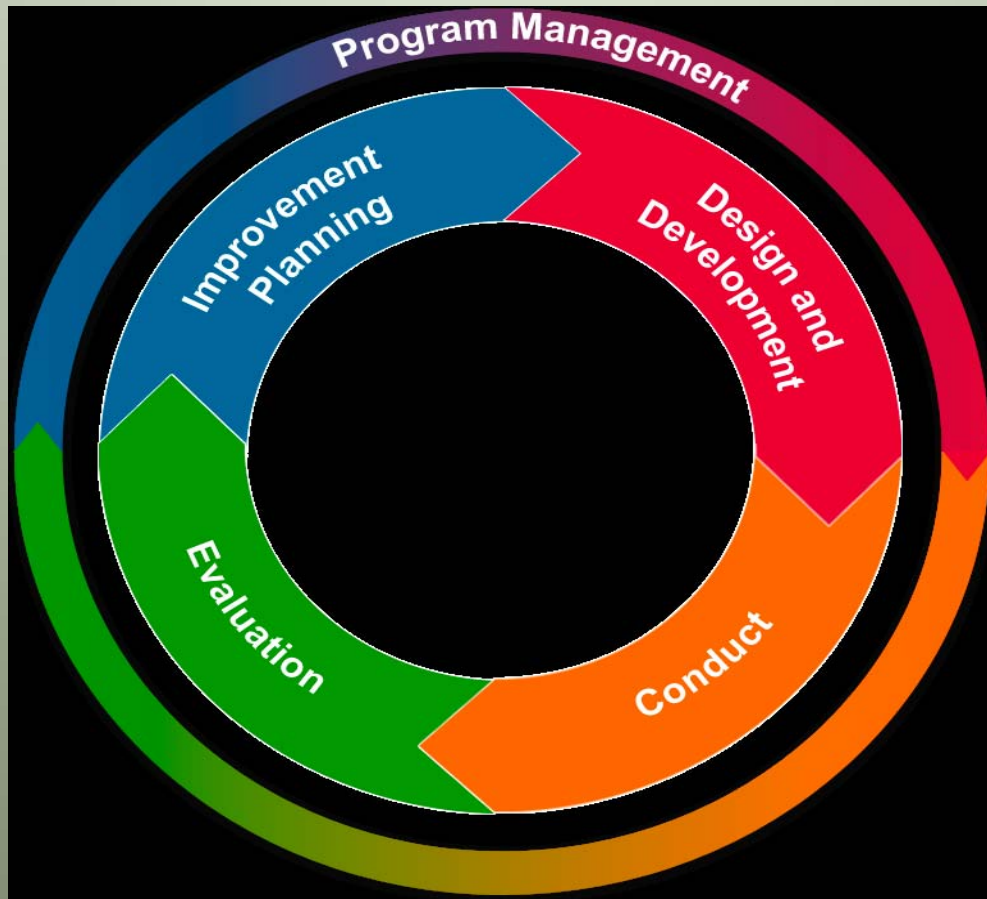
- Exercise Control maintains scope, pace and integrity of exercise
 - Identify staffing
 - Establish and coordinate control structure



Planning for Exercise Control

- Controller Training
- Communications Plan
- Safety and Security





EXERCISE CONDUCT

Terminal Objective

- After completing this module you should be able to describe the activities needed for exercise preparation, exercise play, and exercise wrap-up.

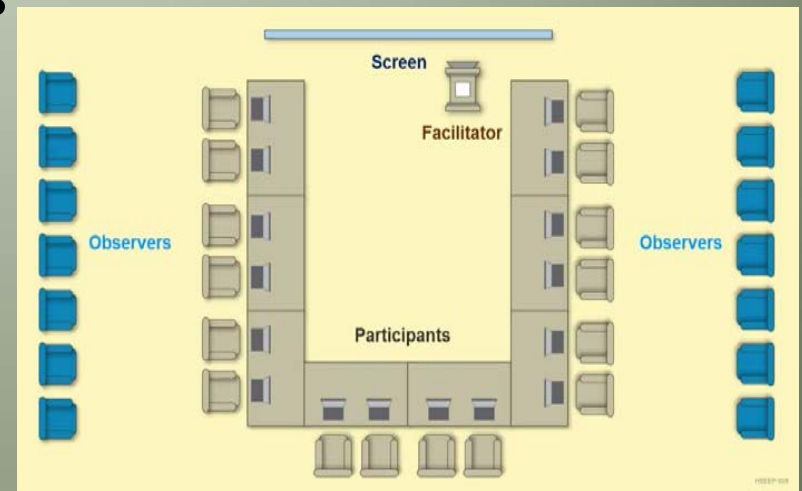


Lesson 1: Exercise Preparation

- **Enabling Objectives**
 - Describe activities related to exercise setup,
 - Describe the purpose of participant briefings
 - Identify participant roles and responsibilities during exercise conduct

Discussion-based Exercise Set-Up

- **Prior to Conduct**
 - Print exercise written materials
 - Arrange for presentation equipment and refreshments
- **Day of Conduct**
 - Put up signage
 - Set-up registration table(s)
 - Set up room and table configurations
 - Place name and table tents
 - Test presentation equipment



Operations-Based Exercise Set-Up

Prior to Conduct

- Print exercise written materials
- Issue Media and Public Service Announcements
- Arrange briefing rooms and set-up A/V equipment
- Elected/Appointed Officials, and Controller/Evaluator Briefings
- Walk-through exercise area and check for potential safety issues

Day of Conduct

- Place signage, set up props and mark off exercise area
- Set up registration area
- Actor, Player, Observer Briefings
- Conduct communications check



Exercise Orientation Briefings

- Elected/Appointed Officials Briefing
- Controller/Evaluator Briefing
- Actor Briefing
- Player Briefing
- Observer Briefing



Participants

- Exercise Director
- Evaluator(s)
- Lead Evaluator
- Facilitator(s)
- Controller(s)
- Senior Controller
- Safety Controllers
- Exercise Assembly Area
 - Controller
 - Simulators
 - Observers
 - Players
 - Actors

Lesson 2: Exercise Conduct

- **Enabling Objective**

- After completing this lesson you should be prepared to describe the activities related to the conduct of discussion-based and operations-based exercises.

Discussion-based Conduct

- Multimedia Presentation
- Facilitated Discussion
- Moderated Discussion
- Exercise Data Collection

Operations-based Conduct

- Realistic representation of capabilities to be examined
- Actual or simulated environment
- Functional performance
- Exercise data collection
- Contingency Process

Control

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



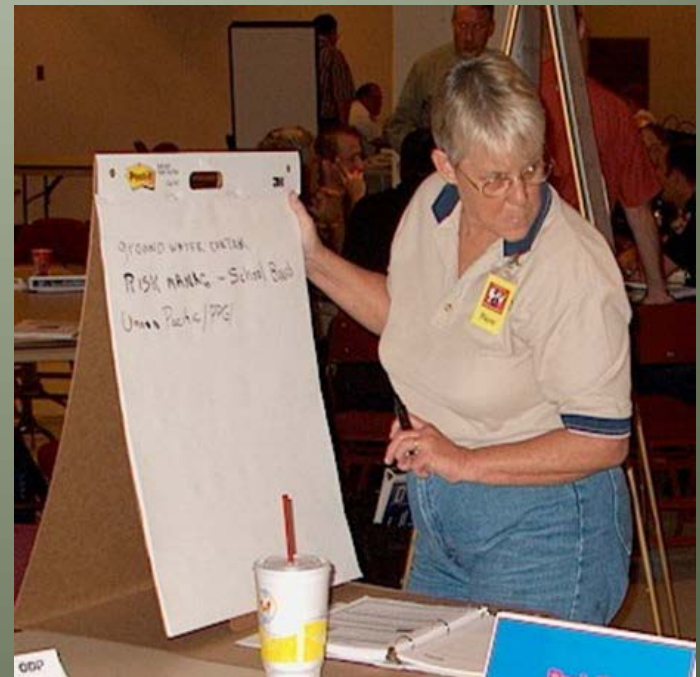
Lesson 3: Exercise Wrap-Up Activities

- **Enabling Objective**

- After completing this lesson you should be able to describe the wrap-up activities to ensure that all relevant data is collected to support effective evaluation and improvement planning

Wrap-Up Activities

- Debriefings (Evaluators, Planning Team)
- Player Hot Wash
- Controller/Evaluator Debriefing
- Data Collection





EXERCISE EVALUATION

Terminal Objective

- After completing this module you should be able to describe the process used for exercise evaluation planning, data collection, analysis, and development of an AAR.

Lesson 1: Evaluation Planning

- **Enabling Objectives**

- After completing this lesson you should be able to describe:

- The composition of an evaluation team
 - Purpose and development of an Exercise Evaluation Guides (EEGs)
 - The recruiting and assignment of evaluators
 - The documentation and tools used to conduct exercise evaluations

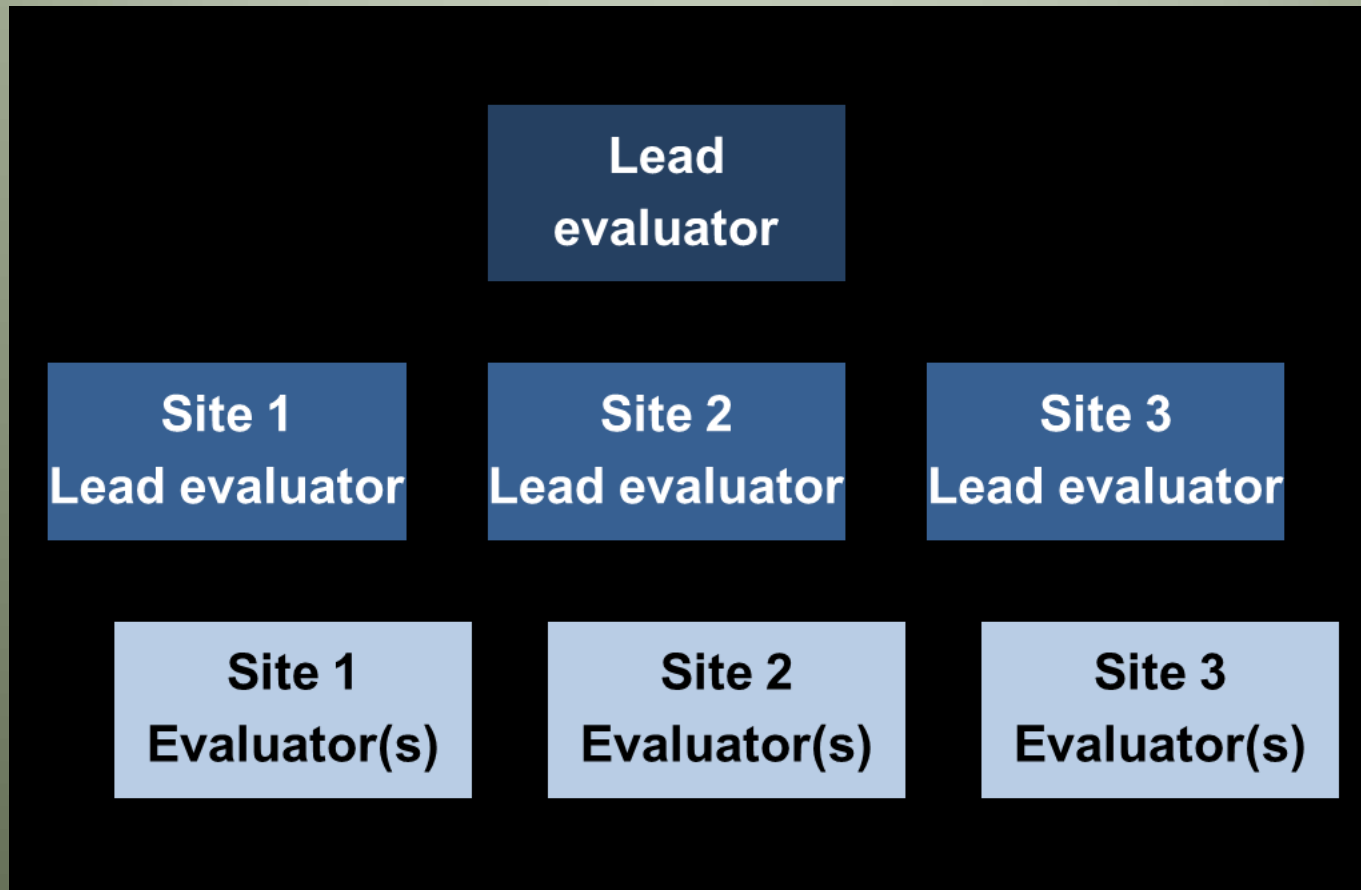
Evaluation Planning Phase

- Initial planning for evaluations includes:
 - Engaging senior elected and appointed officials to identify specific evaluation requirements
 - Identifying evaluation requirements early in planning and design phases
 - Ensuring consistency in evaluation method

Evaluation Team Responsibilities

- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train, and assign additional evaluators

Exercise Evaluation Team



Lead Evaluator

- Oversees evaluation process and planning
- Coordinates Evaluation Plan development using
 - Exercise-specific information
 - Plans, policies, and procedures
 - Determining Evaluator assignments
 - Developing instructions and Evaluation tools (e.g., EEGs)



Recruit, Assign and Train Evaluators

- Recruited from nonparticipating organizations
- Identified early in planning process
- Assigned based on knowledge of functional area(s) and plans, policies, procedures, and agreements
- Trained on use of Exercise Documentation tools, and
- What to look for and record during observation



Evaluation Documentation and Tools

- Evaluation Plan
- Exercise SitMan or Scenario
- C/E Handbook
- Evaluator Team Organization
- Assignments
- Locations
- Evaluation Instructions
- Instructions on use of tools, logs, forms
- Evaluation Tools
- Jurisdiction- or Organization-Specific SOPs
- EEGs
- MSEL

Exercise Evaluation Guides (EEGs)

- Streamline and guide data collection
- Enable thorough assessment
- Support development of the AAR
- 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 (EEG) Format

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		
Rev. April 2013 [PROTECTIVE MARKING, AS APPROPRIATE] EEG-Prev-1SD Homeland Security E		
Evaluator Name _____ Evaluator E-mail _____ Phone _____		
P – Performed with S – Performed with S M – Performed with M U – Unable to be Per		
[PROTECTIVE MARKING, AS APPROPRIATE] Homeland Security Exercise and Evaluation Program (HSEEP)		

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).

Evaluator Time Requirements

- Evaluators should be available for:
 - Pre-exercise briefing and/or site visit
 - Exercise conduct
 - Post-exercise Hot Wash
 - Controller and Evaluator Debriefing
 - After Action **Contribution**



Lesson 2: Exercise Observation & Data Collection

- **Enabling Objectives**
 - After completing this lesson, you should be able to describe:
 - The exercise observation data collection process
 - The use of EEGs to record observations

Observation and Data Collection

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

Exercise Observations

- Observations come from a variety of sources, including
 - Event logs
 - Video or audio recordings
 - Evaluator notes
 - Photographs
 - EEGs



Recording Observations

Time Player Action Issues

- **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
- **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

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]		
Final Core Capability Rating			

Evaluator Name _____
 Evaluator E-mail _____
 Phone _____

Ratings Key
P – Performed without Challenges
S – Performed with Some Challenges
M – Performed with Major Challenges
U – Unable to be Performed

[PROTECTIVE MARKING, AS APPROPRIATE]
 Homeland Security Exercise and Evaluation Program (HSEEP)

Lesson 3: Data Analysis

- **Enabling Objective**

- After completing this lesson, you should be able to

- Describe the process used to analyze data to determine root causes for capability shortfalls

- **No IP actions needed for strengths**

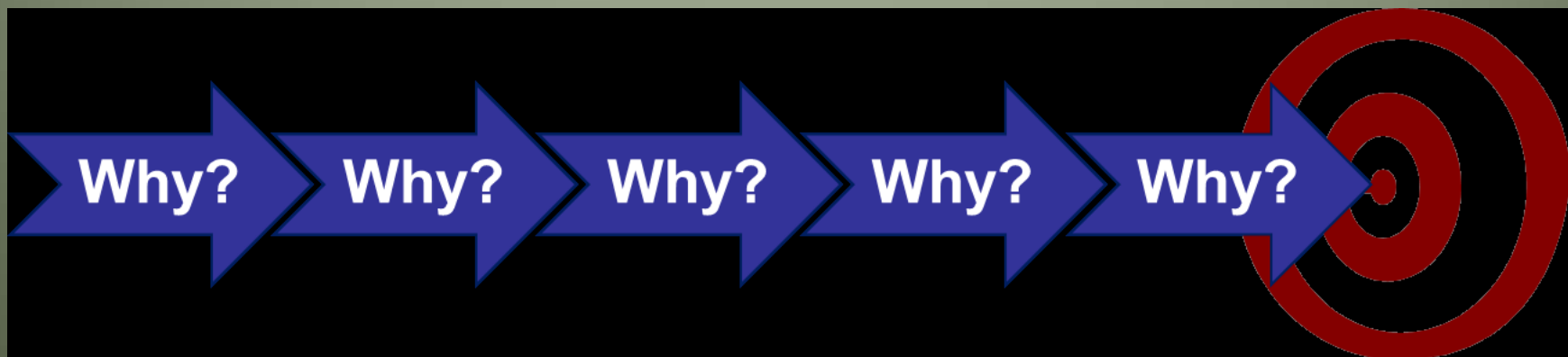
Data Analysis Process

- 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?



Lesson 4: After Action Report (AAR) Draft

- **After completing this lesson you should be prepared to discuss**
 - Purpose of the After Action Report (AAR)
 - Elements of an AAR
 - AAR review process

What Is an AAR?

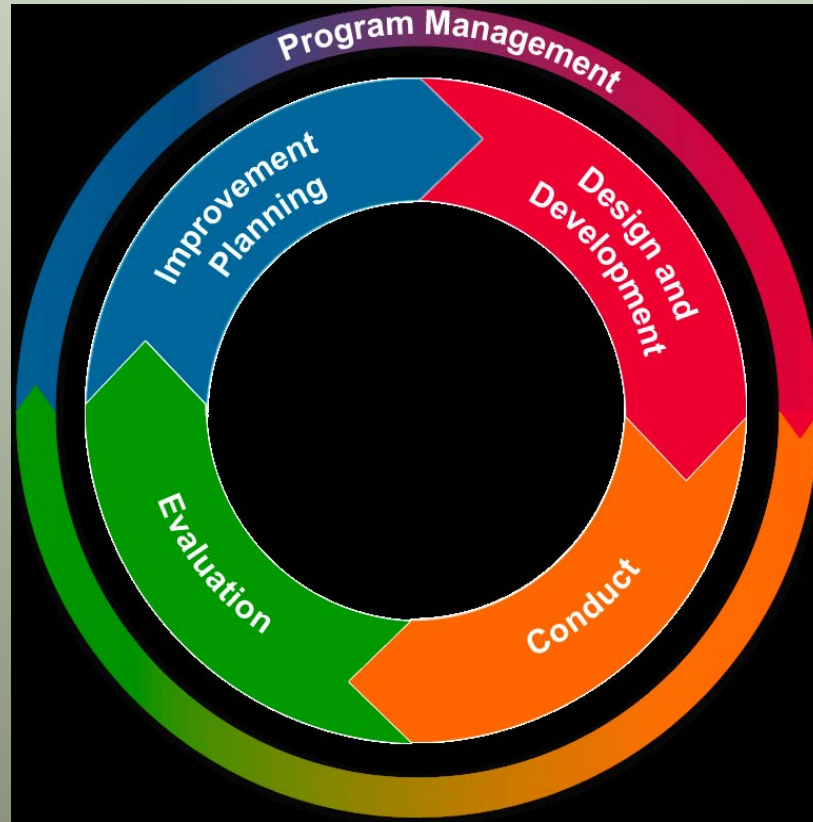
- Summarize key information related to evaluation
- Overview of performance related to each exercise objective and associated core capabilities
- Length, format, and development timeframe of the AAR depend on the exercise type and scope

Elements of an AAR

- Former HSEEP 2007
 - Administrative Handling Instructions
 - Table of Contents
 - Executive Summary
 - Exercise Overview
 - Exercise Design Summary
 - Analysis of Capabilities
 - Conclusion
 - Improvement Plan
 - Acronyms
- **HSEEP 2013 Revision**
 - **Exercise Overview**
 - **Analysis of Capabilities**
 - **Required Appendices**
 - **Improvement Plan**
 - **Participating Organizations**

AAR Review

- Exercise sponsor distributes AAR Draft to participating organizations and elected and appointed officials who
 - Review and determine areas for improvement
 - Determine organization with responsibility for corrective actions



IMPROVEMENT PLANNING

Terminal Objective

- After completing this module participants should be able to describe how the process and products of improvement planning help organizations improve plans for building and sustaining capabilities and maintaining readiness.



Identifying Corrective Actions

- **Enabling Objectives**

- After completing this lesson, you should be able to describe the processes used to identify, prioritize, and implement corrective actions, including:

- The After Action Meeting
 - After-Action Report/Improvement Plan (IP) finalization
 - Corrective Action tracking and implementation
 - Using improvement planning to support continuous improvement

Corrective Actions

- Concrete, actionable steps to resolve shortfalls.
- Corrective actions may include:
 - Changes to plans and procedures, organizational structures, and/or management processes
 - Additional training, equipment or resources

After review and confirmation of areas for improvement, a Draft Improvement Plan is developed

After Action Meeting (AAM)

- 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 – Corrective Action Tracking and Implementation

- 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

Using IPs to 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

Why Exercise?

- **Answer**

- Conducting exercises and documenting the strengths, areas for improvement, and associated corrective actions is
 - An important part of the National Preparedness System
 - Contributes to the strengthening of preparedness across the Whole Community and achievement of the National Preparedness Goal.
- Over time, exercises should yield **observable** improvements in preparedness for future exercises and real-world events

For templates for all
materials discussed:

<https://www.ilis.dhs.gov/HSEEP>



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