



Homeland Security Exercise Evaluation Program (HSEEP)

Pat Anders

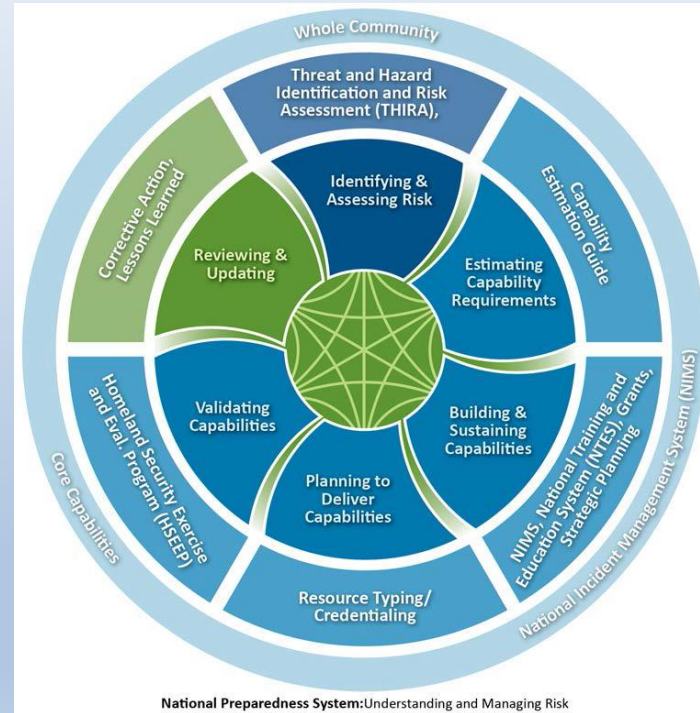
Manager, Health Emergency Preparedness Exercises
Office of Health Emergency Preparedness

Target Audience

The target audience for HSEEP training includes:

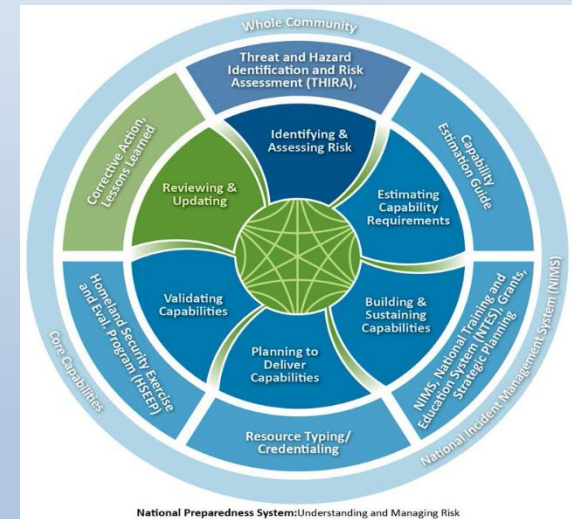
- Exercise Planning Team Members
- Controllers and Facilitators
- Exercise Evaluators
- State Administrative Agency (SAA) Exercise Program Managers
- Senior Officials

National Preparedness System



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*

Common Methodology



Why Exercise?

- **Test and validate**
 - Plans
 - Assess capabilities
- **Identify**
 - Resource requirements
 - Assess capability gaps
 - Areas for improvement

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

HSEEP Guidance

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



Replaced 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
 - 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.

So what does “flexibility” mean?

- We can develop, conduct and evaluate exercises however we like
 - NOPE
- We can toss HSEEP materials and make up our own
 - NOPE

“Flexibility”

- There is flexibility with the EEGs
- There is flexibility in the number of planning meetings needed
 - E.g., A Full Scale exercise is going to need many more planning meetings than a two hour TTX

“Flexibility”

- There is NO flexibility with the AAR/IP template
 - Must use the April 2013 version as is

Let's first look at how we got here in terms of capabilities

Target Capabilities and the Universal Task List

- Target Capability List (TCL)
 - 37 capabilities
 - Assigned under
 - “Common”
 - “Prevent”
 - “Protect”
 - “Response”
 - “Recovery”

Universal Task List (UTL)

- Defined the tasks needed to be performed by Federal, State, local and tribal jurisdictions and the private sector to prevent, protect against, respond to, and recover from events defined in the 15 National Planning Scenarios
- Approximately 1,600 unique tasks
- Flexibility to determine “who” should perform them, and “how”

Examples of Universal Tasks

- **Com.B 1** Develop resource management plans, protocols and procedures
- **Pre.B.1 3.1** Develop technologies for surveillance and detection for CBRNE
- **Pro.C.1 1.1.3.2** Plan and prepare for pandemic influenza, particularly for the stage when vaccine either is non-existent or in severely short supply
- **Res.B.1 16.1** Ensure coordination of assets assigned to perform worker safety and health risk assessment and risk management

TCL and UTLs morphed...

- Into the “Crosswalk of Target Capabilities to Core Capabilities” in 2011 - handout

And from that emerged.....

- PHP Core Capabilities in March 2011
- HPP Core Capabilities in January 2012

Public Health Preparedness Capabilities Released March, 2011

- Community Preparedness
- Community Recovery
- Emergency Operations Coordination
- Emergency Public Information and Warning
- Fatality Management
- Information Sharing
- Mass Care
- Medical Countermeasure Dispensing
- Medical Material Management and Distribution

Public Health Preparedness Capabilities Released March, 2011

- Medical Surge
- Non-pharmaceutical Interventions
- Public Health Laboratory Testing
- Public Health Surveillance and Epidemiological Investigation
- Responder Safety and Health
- Volunteer Management

Healthcare Preparedness Capabilities Released March, 2012

- Healthcare System Preparedness *
- Healthcare Recovery *
- Emergency Operations Coordination **
- Fatality Management **
- Information Sharing **
- Medical Surge **
- Responder Safety and Health **
- Volunteer Management **

* Analogous to Community Preparedness and Community Recovery

** Shared with Public Health Preparedness Capabilities

Overview of Exercise Program Management



Exercise Foundation

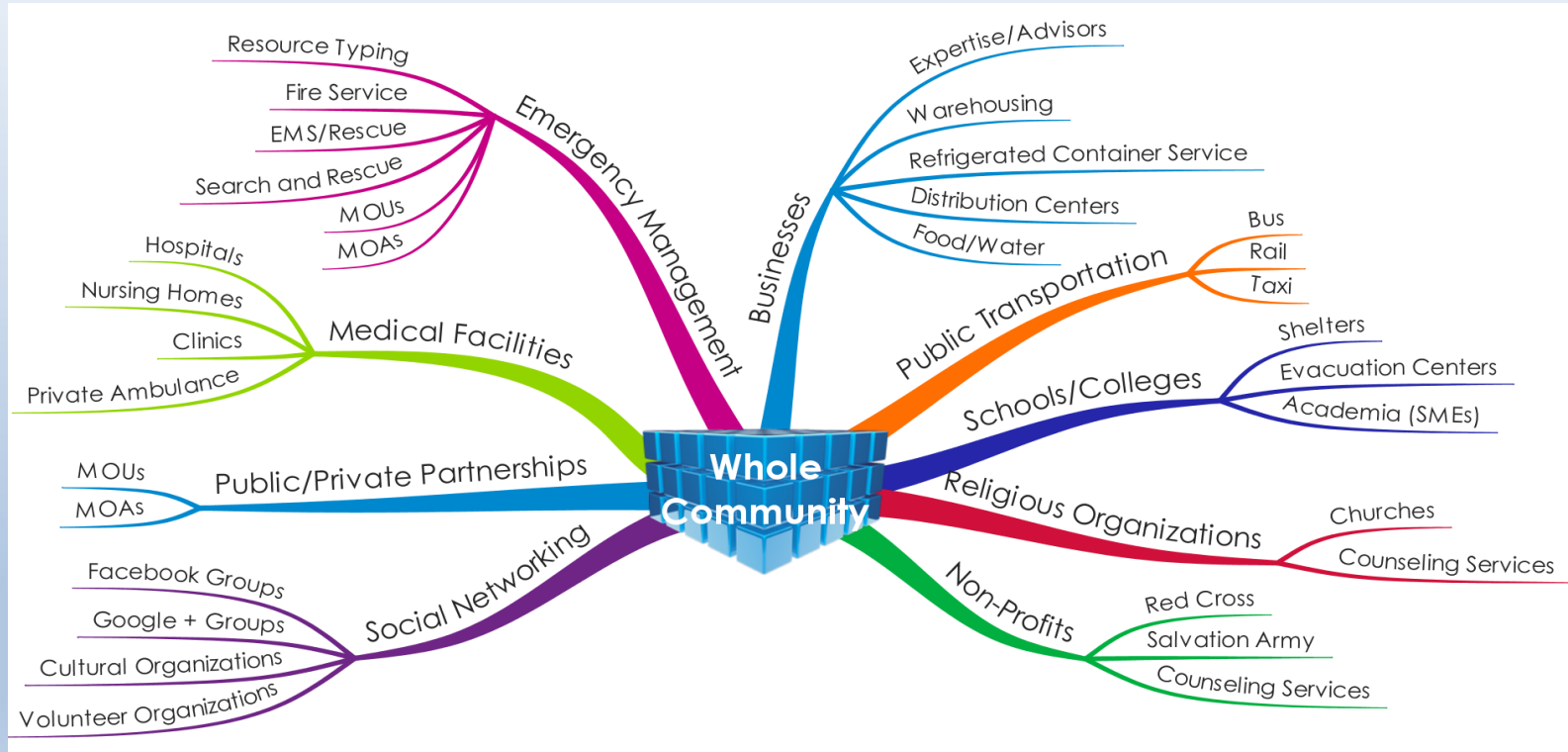
- Learn about your jurisdiction
 - Threats, Hazards, and Vulnerabilities
 - Policies, plans, and procedures
 - Grant or Cooperative Agreements
 - Training and Exercise Plans (TEP)
 - After-Action Reports/Improvement Plans
 - Identified needs – Training, equipment, personnel



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?



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

EXERCISE DESIGN AND DEVELOPMENT



Key Design and Development Steps

- Review elected/appointed officials' guidance, Training and Exercise Plan (TEP), and other factors;
- Select exercise planning team and develop exercise planning timeline and milestones;
- Develop exercise-specific objectives related to targeted core capabilities identified by elected and appointed officials;
- Identify evaluation requirements, identifying EEGs by mission area;
- Develop the EEGs and exercise scenario;
- Create documentation;
- Coordinate logistics; and
- Plan 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
- Past exercise or real-event AARs/IPs
- Identified or perceived areas for improvement
- Accreditation standards or requirements (JC, DNV)
- 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

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 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 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



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

- **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)

- **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

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**



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)

- **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**

- Develop 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

- **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)

- **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 EVALUATION



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

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 Exercise Evaluation Guides (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
- SitMan or EXPLAN
- C/E Handbook
- Evaluator Team Organization
- Assignments
- Locations
- Evaluation Instructions
- Instructions on use of tools, logs, forms
- Evaluation Tools
- Jurisdiction- or Organization-Specific SOPs, Plans, Policies
- 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]	
Exercise Date: [Insert exercise date]		Venue: [Insert venue name]	
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 _____		F – Performed with S – Performed with M – Performed with U – Unable to be Performed	
[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).

[PROTECTIVE MARKING, AS APPROPRIATE] Homeland Security Exercise and Evaluation Program (HSEEP)	
 NEW YORK STATE OF OPPORTUNITY.	
Department of Health	

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



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 (e.g., ICS 214)
 - 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

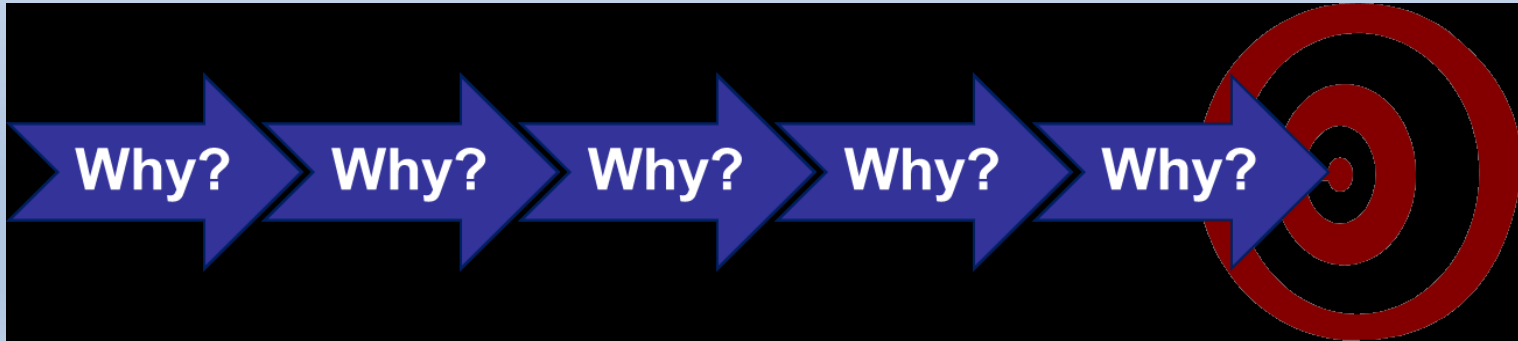
[PROTECTIVE MARKING, AS APPROPRIATE]
 Homeland Security Exercise and Evaluation Program (HSEEP)

Data Analysis Process

- Consolidation of data
- Examine and compare performance against targets
- Identify strengths and areas for improvement
- Conduct root-cause analysis

Root-Cause Analysis

- Were the capability targets met?
- If not, WHY not?
- WHAT factors contributed?



Components of the EEGs per FEMA

- **Core capabilities:** The distinct critical elements necessary to achieve a specific mission area (e.g., prevention). To assess both capacity and gaps, each core capability includes capability targets.
- **PHP: Capability Definition:** defines the capability as it applies to states, local, tribal, and territorial public health

Components of the EEGs per FEMA

- **Capability target(s):** The performance threshold(s) for each core capability; they state the exact *amount* of capability that exercise players aim to achieve. Capability targets are typically written as quantitative or qualitative statements.
- **PHP:** Performance Measures list the CDC-defined performance measures (if any) associated with a function.

Components of the EEGs

- **Critical tasks:** The distinct elements required to perform a core capability; they describe *how* the capability target will be met. Critical tasks generally include the activities, resources, and responsibilities required to fulfill capability targets. Capability targets and critical tasks are based on operational plans, policies, and procedures exercised.
- **PHP:** Describes the steps that need to occur to complete the functions.

Exercise Evaluation Guide

Exercise Name: [Insert exercise name]	Organization/Jurisdiction:	Venue:
Exercise Date: [Insert exercise date]	[Insert organization or jurisdiction]	[Insert venue name]
Response		
Exercise Objective: [Insert exercise objective]		
Core Capability: Public Health and Medical Services		
Provide lifesaving medical treatment via emergency medical services and related operations and avoid additional disease and injury by providing targeted public health and medical support and products to all people in need within the affected area.		
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]		
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 based on plans and assessments]		
Critical Task: [Insert task from frameworks, plans, or SOPs]		
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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]		

S000...given the flexibility FEMA noted for EEGs....

- Here is what we will do:
 - Exercise Name: [Insert exercise name]
 - Exercise Date: [Insert exercise date]
 - Organization/Jurisdiction:
 - [Insert organization or jurisdiction]
 - Venue:
 - [Insert venue name]

Objectives

- **Exercise Objective:** [Insert exercise objective]
- **Core Capability:** *Medical Surge* is the capability to rapidly expand the capacity of the existing healthcare system in order to provide triage and subsequent medical care. The goal is rapid and appropriate care for the injured or ill from the event and the maintenance of continuity of care for non-incident related illness or injury.

Critical Tasks

- Identify the critical tasks needed to accomplish the capability target and demonstrate the core capability.
- Tailored capability targets and critical tasks to reflect the exercise type.
 - Operations-based exercise: evaluators observe exercise players *performing* critical tasks.
 - Discussion-based exercise: evaluators observe exercise players *discussing or describing* how critical tasks are performed.

Toolkit for Critical Tasks

- PHP/HPP Core Capabilities
- Organizational plans, policies, or procedures being tested
- Target Capabilities List (TCL)
 - <http://www.fema.gov/pdf/government/training/tcl.pdf>
- Corrective actions from previous exercises or events
- <http://phasevtechnologies.com/studies/lamps/selectTask.php>



Determine objective and critical tasks that will accomplish it

- **Organizational Objective:** In response to a notification of a mass casualty event, activate the hospital's Surge Plans.
 - **Critical Task 1:** Activate the facility's HICS and HCC within 30 minutes.
 - **Critical Task 2:** Add an additional 20% above capacity in the following area(s) Critical care (such as ICU, CCU, PICU, NICU)
 - **Critical Task 3:** Decompress the current hospital census by 10%.
 - **Critical Task 4:** Receive, evaluate and treat surge casualties
- **Source(s):** Santa Margharita Hospital Medical Surge Plan

Sources

- List the source(s) of the capability targets and critical tasks. This will allow evaluators to reference plans or other documents as needed, as well as assist in the development of the AAR.
 - Policies, plans, procedures, SOGs, SOPs

Organizational Capability Target	Associated Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
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		Final Core Capability Rating	

Ratings Definitions

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<p>Performed with Major Challenges (M)</p>	<p>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.</p>
<p>Unable to be Performed (U)</p>	<p>The targets and critical tasks associated with the core capability were not performed in a manner that achieved the objective(s).</p>

After-Action Report/ Improvement Plan

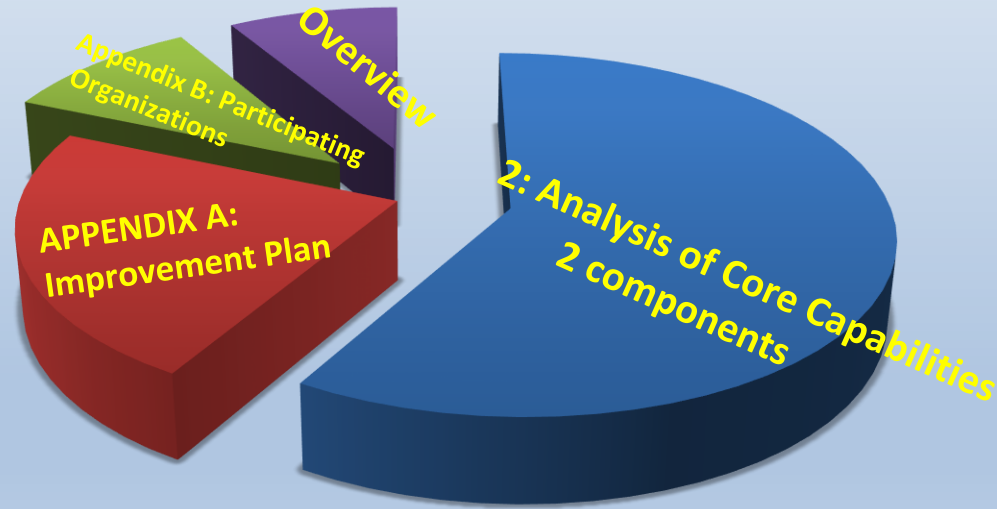
What Is an AAR?

- 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

- **HSEEP 2013 Revision**
 - Exercise Overview
 - Analysis of Capabilities
 - Required Appendices
 - Improvement Plan
 - Participating Organizations

Break the Rest of the After Action Report into pieces



Not required, but nice to include

- Executive Summary
 - Brief overview of exercise or event
 - Capabilities tested
 - 3-5 top strengths
 - 3-5 top areas for improvement
- Acronyms

Exercise Overview

- Exercise Name
- Dates
- Scope
- Mission Areas
- Core Capabilities
- Objectives
- Threat or Hazard
- Scenario
- Sponsor
- Participating Organizations
- Point of Contact

Analysis of Core Capabilities

- Objective
- Core Capability
- Performed without Challenges (P)
- Performed with Some Challenges (S)
- Performed with Major Challenges (M)
- Unable to Perform (U)

Analysis of Core Capabilities

- Objective
- Core Capability
- Strengths
- Areas for Improvement
- Reference
- Analysis
 - Remember **ROOT CAUSE!!!!**

Appendix A: Improvement Plan



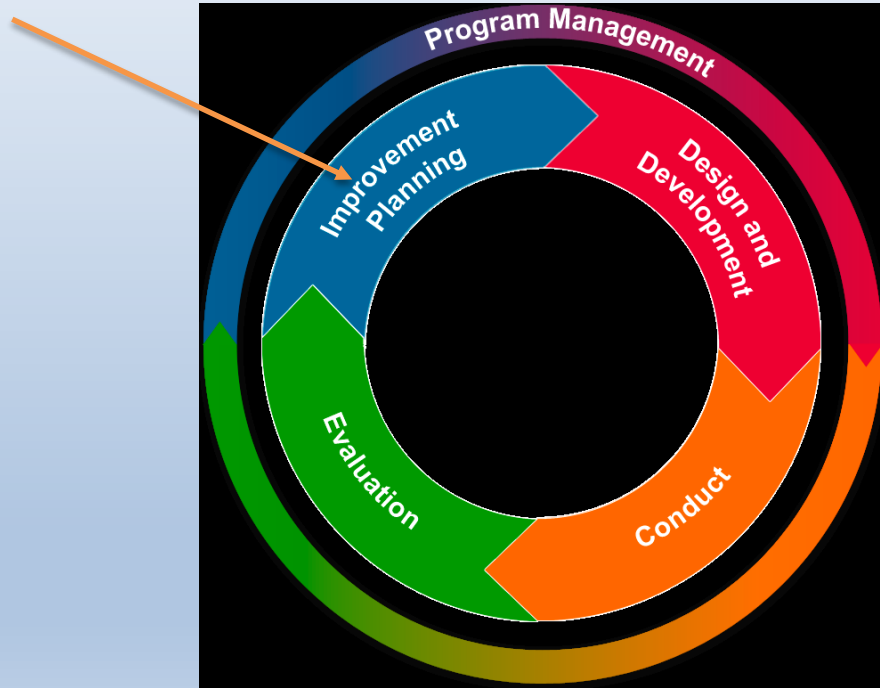
Go back to AAR and pull the info

Core Capability	Issue/Area for Improvement	Corrective Action	Capability Element	Primary Responsible Agency	Organization POC	Start Date	Completion Date

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



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

- Builds capabilities as part of a larger continuous improvement process
- Proven method of issue resolution and information sharing

Why Exercise?

- 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://hseep.preptoolkit.org/>



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