What this presentation will cover:

- Exercise Design Methodology
- Exercise Planning Meetings and Documentation
- After-Action Reporting
- Exercise Control/Facilitation
- Exercise Planning Roles and Responsibilities
Homeland Security Exercise and Evaluation Program (HSEEP) Methodology

- 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.
  - HSEEP is not a Website, it is an identified best practice for exercise design, development, and improvement planning
- Program designed by the U.S. Department of Homeland Security, currently administered under FEMA.
- Is a capabilities and performance-based all-hazards approach to exercise design, development, conduct, evaluation, and improvement planning.
- Provides the tools to plan, conduct and evaluate exercises to improve overall preparedness.
- Methodology is required for most programs receiving Federal grant funding because it works!
Exercise Types

• Discussions-Based
  • Familiarize participants with plans, policies, agreements and procedures, or used to develop new plans, policies, etc.

• Operations-Based
  • Validate plans, policies, agreements and procedures, clarify roles and responsibilities, identify resource gaps
Discussions-Based Exercises

• Seminar
• Workshop
• Tabletop Exercise (TTX)
• Game
Seminars

• Informal discussion led by a presenter

• Orients participants to new or updated plans, policies, procedures
Workshop

- Similar to a seminar, but used to build specific products, such as draft plans or policies
Tabletop Exercise (TTX)

• Key personnel discuss simulated scenarios in an informal setting

• Can be used to assess plans, policies, and procedures
Game

• A simulation of operations that often involve two or more teams in a competitive environment

• Uses rules, data, and procedures designed to depict actual or assumed “real-life” situations
Operations-Based Exercises

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

• A coordinated, supervised activity designed to test a single, specific operation or function within a single entity
Functional Exercise (FE)

• Examines or validates the coordination, command and control between various multi-agency coordination centers (e.g., EOCs)

• May involve injects and time pressures, but no actual “boots on the ground” response
Full-Scale Exercise (FSE)

- Multi-agency, multi-jurisdictional, multi-discipline exercise

- Involves both functional (e.g., EOC) and “boots on the ground” response (e.g., nurses setting up and running a mock vaccination clinic)
Important!!

_Do not immediately jump into a full-scale exercise or even a tabletop exercise unless your plan is mature and your participants have the appropriate level of training_
Building Block Approach

- Full-Scale Exercises
- Functional Exercises
- Drills
- Games
- Tabletops
- Workshops
- Seminars

Planning/Training

Capability

Discussion-Based
Operations-Based
Exercise Design Timeline

• Discussion Based: Begin planning at least 3-6 months prior to execution

• Operations Based: Begin planning 6 months to 1 year prior to execution

*Timeline is based on complexity of exercise
Planning Process Overview

*TIMELINE IS CRITICAL* and is based on complexity of exercise

- **Initial Planning Conference (IPC)**
- **E-175**
- **E-145**
- **E-90**
- **E-35**
- **E-Day**
- **E-1**
- **E+60**

**Concept and Objectives**

**Mid-Term Planning Conference (MPC)**

**Final Planning Conference (FPC)**

**Exercise**

**Hotwash**

**Debriefs**

**After Action Report and Improvement Plan**

*Based on 6 month planning timeline*
Concepts and Objectives (C&O) Meeting

- **Intent:**
  - Set the stage for planning road ahead
  - Begin to frame the scope of the exercise
  - Begin scenario development
- **Format:** Facilitated discussion
- **Outcome:**
  - Begin framing the Exercise Design Team (EDT)
  - Begin shaping the scope and character of the exercise
  - Establish the planning calendar
Initial Planning Conference/Meeting (IPM)

- Intent: Begins the development of the Situation Manual (SITMAN)/Exercise Plan (EXPLAN)
  - Confirm the EDT
  - Confirm scope and design of the exercise
    - Confirm exercise design objectives
    - Confirm scenario elements
    - Confirm exercise participants
    - Lay out design tasks
  - Discuss potential venues
- Format: Facilitated workshop based on EDT composition (2-3 hrs)
- Outcome: SITMAN/EXPLAN development underway
IPM Exercise Documentation

- **Situation Manual (SITMAN)**
  - Used for discussion based exercises (ex. Workshop, Tabletop).
  - Provides exercise scope, schedule, and objectives
  - Presents the scenario narrative
  - Should mirror multimedia briefing

- **Exercise Plan (EXPLAN)**
  - Used for operations-based exercises (ex. Drill, Functional, Full-Scale).
  - Provides exercise synopsis and is published and distributed prior to the start of the exercise.
  - Assigns tasks and responsibilities for successful exercise execution.
  - Should not contain detailed scenario information, such as the hazard to be employed
Concept and Objectives

Initial Planning Conference (IPC)

After Action Report and Improvement Plan

Mid-Term Planning Conference (MPC)

Final Planning Conference (FPC)

Exercise

Debriefs

Exercise

Hotwash

E-Day

E-Day

E+1

E+60

E-35

E-90

E-145

E-175

Exercise
Mid-Term Planning Conference/Meeting (MPM)

- **Intent:**
  - Review and confirm elements of draft SITMAN/EXPLAN
  - Resolve open issues and planning conflicts
  - Conduct site survey

- **Format:** Facilitated workshop based on EDT composition (2-3 hrs)

- **Outcome:**
  - Agreement on SITMAN/EXPLAN
  - Remaining issues resolved
  - Final planning requirements outlined and assigned to appropriate coordinators
MPM Exercise Documentation

- Controller/Evaluator (C/E) Handbook
  - Supplements the EXPLAN
  - Provides more detailed information about the exercise scenario and describes exercise controllers’ and evaluators’ roles and responsibilities.
  - Should be distributed only to those individuals specifically designated as controllers or evaluators.

- Master Sequence of Events List (MSEL)
  - Used for operations-based exercises
  - Timeline of expected actions and scripted events to be injected into exercise play
Final Planning Conference/Meeting (FPM)

- Intent: Confirmation of final SITMAN/EXPLAN and all other supporting documents
  - All components of the SITMAN/EXPLAN presented to EDT
  - Review Controller and Evaluator Plan
  - Identify/Confirm Evaluators
  - Confirm exercise logistics
- Format: Facilitated discussion
- Outcome: Exercise planning is complete
Concept and Objectives

Initial Planning Conference (IPC)

After Action Report and Improvement Plan

E - Day

Debriefs

E + 1

Hotwash

E-Day

Exercise

E-Day

Final Planning Conference (FPC)

E-35

Mid-Term Planning Conference (MPC)

E-90

Initial Planning Conference (IPC)

E-145

Concept and Objectives

E-175

Exercise
Execution/Game Day Considerations

- Materials Printed & Ready
- Registration & Sign-in Materials
  - Badges, sign-in, etc.
- Directional Signs
- Ensure Audio/Visual requirements are met
- Facilitator/Controller/Evaluator Briefings
Exercise Hotwash and Debrief

- **Debrief**
  - Forum for planners, controllers and evaluators to review and provide feedback on the exercise
  - Results should be captured for inclusion in the AAR

- **Hotwash**
  - Occurs immediately following an operations-based exercise
  - Allows players/responders the opportunity to provide immediate feedback.
  - Each functional area (e.g. administrators, nurses, staff, teachers) should conduct a hotwash, which should be facilitated by the lead controller for that area.
  - Results should be captured for inclusion in the AAR
Exercise Logistical Considerations

- Decide date and time
- Venue
  - Size (based on number of participants)
  - Arrange refreshments
  - Ensure parking details
- Invitations & Reminders
  - Transmit initial invitation ASAP
  - Send reminders three (3) business days prior
- Exercise Materials
  - Ensure all materials are completed at least 5 business days prior (inc. any speaker/presenter PowerPoint presentations, SITMAN/EXPLAN, Evaluations, Worksheets, etc.)
  - Print at least 10% extra
After Action Report/Improvement Plan (AAR/IP) Meeting

- **Intent:** To present evaluation findings and recommendations from the AAR and prepare the Improvement Plan
- **Format:** Facilitated discussion
- **Outcome:** Changes to AAR identified and Improvement Plan matrix completed
AAR/IP Meeting Exercise Documentation

- **After Action Report (AAR)**
  - Provides feedback to participating jurisdictions on their performance during the exercise
  - Summarizes what happened and analyzes performance of the tasks identified through the planning process as critical
  - Includes recommendations for improvements based on the analysis, which will be addressed in the Improvement Plan

- **Improvement Plan (IP)**
  - Identifies recommendations, action items, responsibility persons and due dates
  - Each organization/agency should ensure that each action item is tracked to completion
Exercise Control/Facilitation

- **Discussion-based exercises**
  - Keeps participant discussions on track with the exercise design objectives
  - Ensures all issues and objectives are explored as thoroughly as possible despite operating under time constraints.

- **Operations-based exercises**
  - Controllers plan and manage exercise play, and give key data to players and may prompt or initiate certain player actions
  - Evaluators evaluate designated functional areas of the exercise and have a passive role
Lead Exercise Coordinator/Planner

- Coordinates and facilitates exercise planning activities
- Develops exercise materials
  - SITMAN/EXPLAN
- Controller/Evaluator Manual
- Trains and debriefs controllers and evaluators
- Prepares the After-Action Report
Exercise Design Team (EDT) Responsibilities

General

• Provide direction and guidance during planning
• Provide subject matter expertise
• Review exercise material
• Collect or disseminate relevant information
• Act as liaisons between agency or functional discipline and exercise planning activities

EDT Composition

• Should include a representative from appropriate participating agencies/departments
For More Information…

KYEM Exercise Resource Page:

http://kyem.ky.gov/exercises/Pages/default.aspx
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