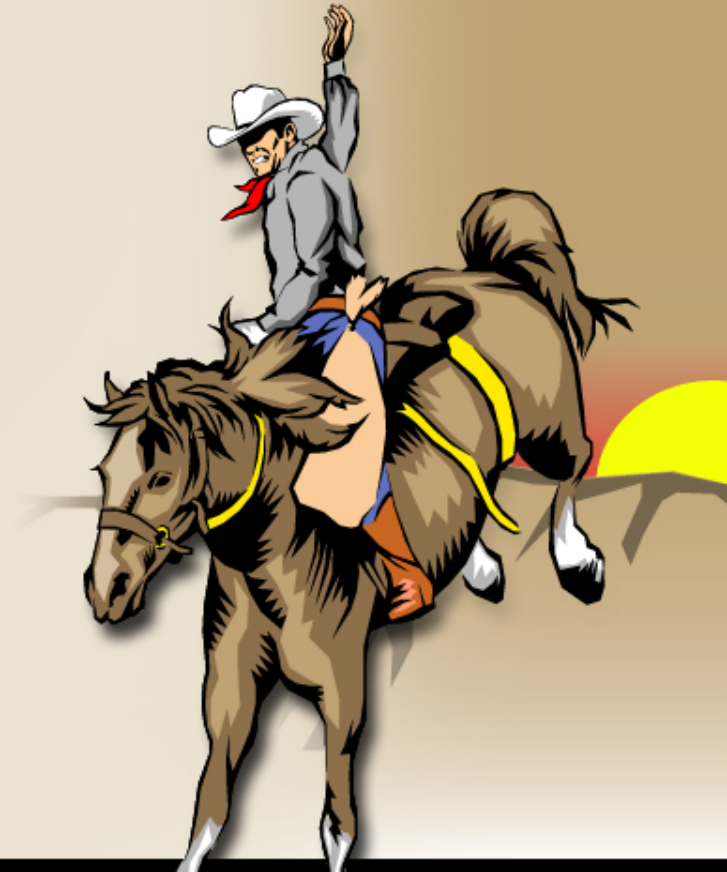


Is An Exercise By Any Other Name Just An Exercise?



EMERGENCY MANAGEMENT ROUNDUP

EXPECT THE UNEXPECTED

YES!



OVERVIEW

Exercises are a means to test and validate preparedness. DOE and DHS use a similar approach, though each occasionally emphasize different priorities and use differing terminologies.

Common areas to be examined in this presentation include exercise: planning, objectives, evaluation criteria, conduct, control, and improvement planning and tracking.



Homeland Security Exercise Evaluation Program (HSEEP)

Definition

HSEEP is a *capabilities*- and performance-based exercise program that provides standardized policy, doctrine, and terminology for the *design*, *development*, conduct, and *evaluation* of homeland security exercises. HSEEP also provides tools and resources to facilitate the management of self-sustaining homeland security exercise programs.

Purpose

HSEEP has been accepted as the standardized policy and methodology for the execution of the National Exercise Program (NEP). The NEP is the Nation's overarching exercise program formulated by the National Security Council / Homeland Security Council (NSC/HSC)

PROGRAM SCOPE

- **HSEEP** and **DOE** Exercise Programs each:
 - provide standardized policy and consistent terminology and methodology for conducting exercises.
 - provide program management resources such as policy and guidance, training, technology, and technical assistance.
 - facilitate establishment and maintenance of self-sustaining, capabilities-based exercise programs.
 - accommodate lessons-learned and corrective action program elements.

THE PREPAREDNESS CYCLE

Exercise Program

National Incident Management System (NIMS)

Defines a *preparedness cycle* as “planning, training, equipping, **exercising**, evaluating, and taking action to correct and mitigate.”

DOE O151.1C

“Emergency preparedness must include acquisition and maintenance of resources, training, drills, and **exercises**.”

PROGRAM BASIS

- **HSEEP**
 - National Preparedness Goal (Vision)
 - Critical Target Capabilities (37+34)
 - Target Capabilities List (TCL)
 - Universal Task List (UTL)

PROGRAM BASIS

- **DOE**
 - Emergency Management Program Goal (Mission)
 - Program Elements (15)
 - Performance Goals
 - Evaluation Criteria

PREPAREDNESS GOALS

DHS National Preparedness Goal

...engage Federal, State, local, and tribal entities; their private and non-governmental partners; and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major incidents in order to minimize the impact on lives, property, and the economy.



PREPAREDNESS GOALS

DOE Emergency Management Programs Mission

DOE emergency management programs will be ready at all times to promptly, effectively, and efficiently apply the necessary resources to mitigate consequences and protect its workers, the public, the environment, and national security in the event of an Operational Emergency involving DOE/NNSA facilities/sites or activities.



EXERCISE PLANNING

- **HSEEP** and **DOE** programs utilize similar concepts for planning and after action conferences
 - Concepts and Objectives Meeting
 - Initial Planning Conference (IPC)
 - Mid-Term Planning Conference (MPC)
 - Master Scenario Events List (MSEL) Conference
 - Final Planning Conference (FPC)
 - After Action Conference (AAC)

PROGRAM VALIDATION

Exercise programs provide **assurances** that goals can be achieved.

HSEEP - Focus is on Performance of Critical Tasks

Exercises provide a means to test and validate preparedness. Homeland security exercises should be designed and evaluated to demonstrate capability levels through the assessment of performance of critical tasks and achievement of outcomes.

PROGRAM VALIDATION

DOE – Focus is on Program Element Performance at Site- and Facility-Levels

- *All elements of an emergency management program are validated over a five-year period through a formal exercise program.*
- *The exercise program validates the Program Elements performance by facility- and site-level Emergency Response Organization (ERO) components through initiating response to simulated, realistic emergency events/conditions in a manner that replicates, as nearly as possible, an integrated emergency response to an actual event.*

OBJECTIVES

HSEEP Exercise Objectives – “**SMART**”

- S** – Simple an easily understood statement
- M** – Measurable can be gauged against a standard
- A** – Achievable challenging but not impossible
- R** – Realistic plausible for your jurisdiction and germane to what you want to accomplish
- T** – Task-Oriented tied to a **task** and measures what you want to exercise

HSEEP OBJECTIVES

- Task capabilities and universal tasks are the basis for exercise design and development
- The TCL and UCL are used to formulate exercise objectives
- The exercise objectives reflect the exercising entity's specific needs, environment, plans, and procedures
- Exercise objectives:
 - Individual key tasks
 - Groups of individual tasks (requires a "roll-up" method for overall evaluation)

DOE/NNSA OBJECTIVES

- Program Elements to be tested during an exercise are selected and form the basis for exercise objectives

- **DOE Exercise objectives:**
 - Clearly stated
 - Attainable
 - Measurable

“ . . . a condition, an action, and a measurable standard”

- Evaluation criteria for each Program Element represent **key** “tasks” and are a source of exercise objectives. They have a role comparable to TCLs in HSEEP.

EXERCISE TYPES

DISCUSSION-BASED EXERCISES

- **DHS** – First iteration in the exercise cycle; evaluated
- **DOE** – Similarity to techniques used in DOE *Program Evaluations*

EXERCISE TYPES

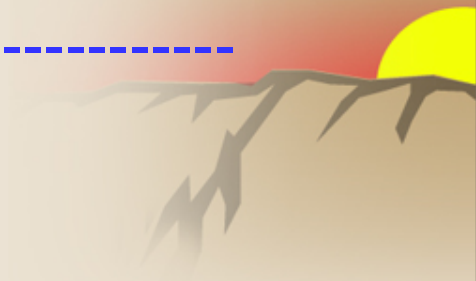
- **Discussion Based Exercises**

- Seminars
- Workshops
- Tabletop Exercises (TTXs)
 - ... Basic
 - ... Advanced
- Games

- **Program Evaluations**

- Interviews
- “Document Reviews”

- Performance Tests
- TTXs



EXERCISE TYPES

OPERATIONS-BASED EXERCISES

- **DHS** – Characterized by actual response, mobilization of apparatus and resources, and commitment of personnel, usually over an extended period of time; multi-jurisdictional.
- **DOE** – Exercises involving facility- and site-level ERO components; offsite authorities/capabilities invited to participate at least every three years.

EXERCISE TYPES

- **Operations-Based Exercises**
 - Drills
 - Functional Exercises (FE)
 - Full-Scale Exercises (FSE)
- **Exercises**
 - (Evaluated) Drills
 - Facility-Level Ex
 - Site-Level Ex
 - Full Participation Site-Level Ex

EXERCISE PROCESS

- **Incorporate internal and external responder participation**
- **Validate participant's capabilities & performance**
- **Satisfy defined National Exercise Program (NEP) schedule & frequency**
- **Invite offsite participation**
- **Validate facility/site/ program capabilities & performance**
- **Satisfy DOE/NNSA & Program Office schedule & frequency**

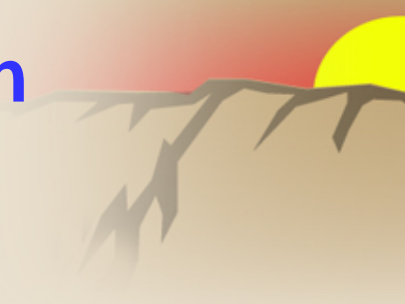
EXERCISE DOCUMENTS

HSEEP

- **EXPLAN**
(No scenario information)
- **Controller & Evaluator Handbook**
- **Master Scenario Events List**
- **Exercise Evaluation Guide**

DOE

- **Exercise Package**
(Scenario information)
- **Controller & Evaluator Manual**
- **Master Scenario Events List**
- **Exercise Evaluation Checklist**



EXERCISE OUTCOMES

- **HSEEP** and **DOE**
 - Critiques
 - Hot Wash
 - After Action Reports (AARs)
 - Lessons Learned / Improvement Planning to enhance program readiness

SUMMARY

There are no fundamental differences between HSEEP and DOE exercise methodologies.

Differences are in the detailed tasks of the response organizations

- **HSEEP:** Federal government, local communities, State agencies, county authorities
- **DOE/NNSA:** Facility/site, Cognizant Field Elements, and DOE/NNSA HQ response (and possibly offsite response, but not usually evaluated by DOE/NNSA)

Future guidance will more fully incorporate HSEEP concepts and terminology.