



HSEEP Training

Module 1

Introduction and HSEEP Fundamentals



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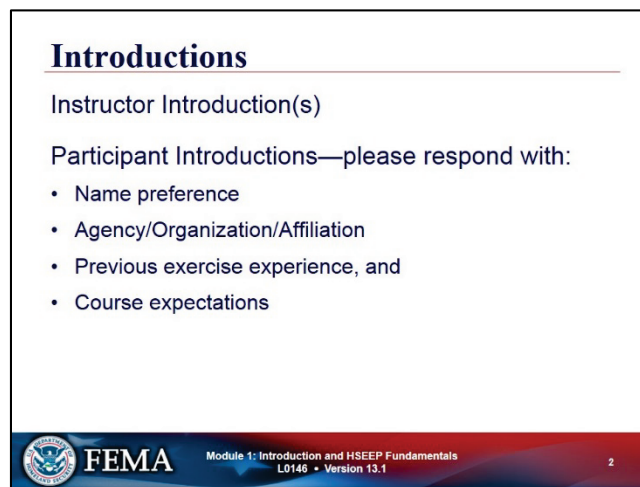
Slide 1



Welcome to the **HSEEP Training Course** and **Module 1: Introduction and HSEEP Fundamentals**.

This is an intermediate course designed to describe the core principles and processes of HSEEP, its standardized methodology, and resources which are designed to assist you in developing an exercise program.

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Participant Introductions:


When called on please respond by providing information on the following:

- Your name (or name preference),
- The name of the agency or organization you represent,
- Any previous exercises planning experience you possess,
- What you hope to gain by participating in this training course.

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Pre-Test

- Students will now take a pre-test before instruction begins



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You will now take a pre-test.

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HSEEP Training Course Agenda

Day One

- Module 1
- Module 2
- Module 3

Day Two

- Module 3
- Module 4
- Module 5
- Module 6



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This is an overview of the course agenda with approximate timeframes that will be used to cover the materials and activities.

Day One

- Module 1: Introduction and HSEEP Fundamentals
- Module 2: Exercise Program Management
- Module 3: Exercise Design and Development

Day Two

- Module 3: Exercise Design and Development (continued)
- Module 4: Exercise Conduct
- Module 5: Exercise Evaluation

- Module 6: Exercise Improvement Planning

Following completion of the course the HSEEP Course manager will provide you with a final exam and instructions for obtaining a course completion certificate.

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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

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This course is designed to provide training on the April 2013 release of the revised HSEEP Program Guidance. HSEEP doctrine used to be contained in three volumes but is now contained in one consolidated volume.

The target audience for this training is those involved in planning, budgeting, management, design, development, conduct and evaluation of exercises or those involved in the following roles at all levels of the planning process including:

- Exercise Planning Team Leaders/Members who require a comprehensive understanding of the HSEEP Exercise Planning Cycle
- Controllers and Facilitators who are responsible for the successful control and conduct of an exercise
- Evaluators who need to understand the evaluation processes; the supporting Core Capabilities and Exercise Evaluation Guides (EEGs); and be familiar with exercise conduct
- Exercise Program Managers who require an understanding of the Program Management and Improvement Planning process
- Senior Officials due to their responsibility for the continued operation of their assigned agencies/organizations to facilitate and direct improvement planning as required.

Slide 6**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.

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Slide 7**Module 1: Introduction to HSEEP****Lesson 1: HSEEP Overview**

- Purpose
- Applicability and Scope

Lesson 2: HSEEP Fundamentals

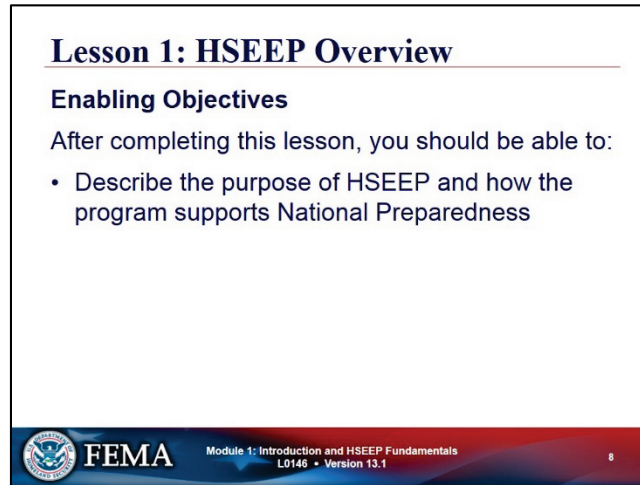
- HSEEP Principles
- Key Program Elements
- HSEEP Methodology

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Lesson 1 of this module presents an overview of HSEEP, including the purpose of the program and its applicability to the objective National Preparedness and scope of the program in assisting jurisdictions with exercise planning.

Lesson 2 presents the fundamentals of HSEEP, its implementation principles, program elements and the methodology used to create self-sustaining preparedness programs.


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Lesson 1: HSEEP Overview

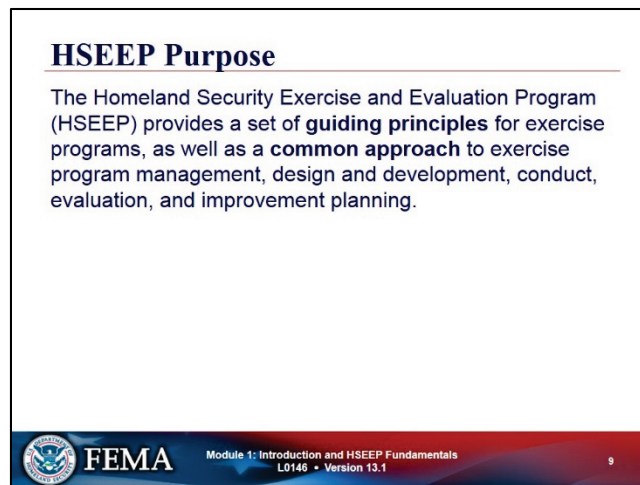
Enabling Objectives

After completing this lesson, you should be able to:

- Describe the purpose of HSEEP and how the program supports National Preparedness


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The intent of Lesson 1, HSEEP Overview, is to describe the purpose of the Homeland Security Exercise and Evaluation Program and how it integrates with and supports National Preparedness efforts across all stakeholders through a Whole Community approach.

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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.

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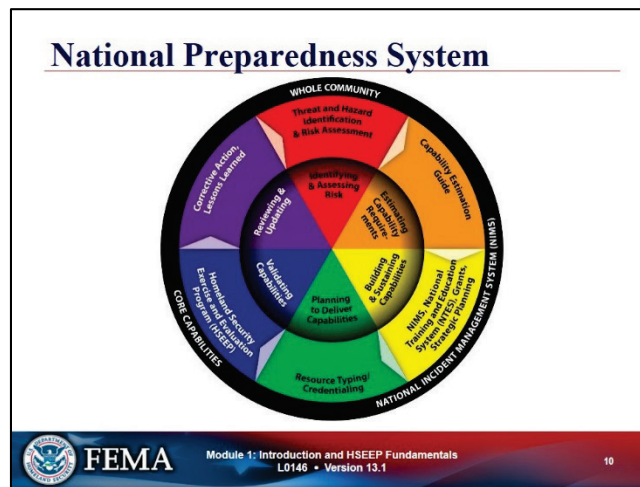
No major doctrinal changes have been made under the revised program guidance. As before, exercises remain a key component of national preparedness—they provide stakeholders across the whole community with the opportunity to shape planning, assess and validate capabilities, and set priorities for improvements.

Through the HSEEP Program, priorities are identified and continually re-evaluated as part of an iterative preparedness planning process, and guide the overall direction of a progressive exercise program, where individual exercises identify objectives aligned with core capability requirements anchored to the priorities identified by stakeholder organizations and design and develop individual exercises that build toward an increasing level of complexity over time.

Exercise evaluation assesses the ability to meet these objectives and capabilities by documenting strengths, areas for improvement, core capability performance, monitor corrective actions and outcomes through **Rolling Summary Reports** and **After-Action Report/Improvement Plans (AAR/IP)**. These processes allow organizations to implement and monitor corrective actions that build and sustain capabilities, and maintain readiness.

In this way, HSEEP aligns local preparedness efforts with the **National Preparedness Goal** and the **National Preparedness System** and supports efforts across the whole community and in organizations of all sizes to improve our national capacity to build, sustain, and deliver core capabilities.

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This National Preparedness System (NPS) graphic illustrates the processes and components used to achieve the National Preparedness Goal. The foundation of this system is integration of the whole community in the planning process, the utilization of National Incident Management System organizational structures, and the alignment of planning efforts to core capabilities for each mission area identified in the NPS.

HSEEP is the key component organizations can use to validate capabilities, and is linked to other elements of the NPS, including corrective action/lessons learned from previous exercises and actual events, threat and hazard identification and risk assessment, capability estimation, training and education, grants and strategic planning, and resource typing and credentialing.

The three concentric circles on this graphic of the National Preparedness System contain segments representing the activities communities may utilize to identify and assess local threats and hazards; estimate and build on existing capabilities; sustain, deliver and validate capability resources; and review, update, and manage community risks. These activities assist elected and appointed officials in identifying priority capability targets that can be examined and strengthened through a progressive exercise program.


These system components interact to build, sustain and deliver the core capabilities that ensure a community is prepared to address the threats and hazards of greatest concern. Through this capability estimation process, communities determine what resources they already have, what resources are available in the private and nonprofit sectors and from faith-based organizations, what resources they

can borrow through mutual aid, estimate whether available resources can deliver the required capability, and provide an estimate on the community or organization's ability to meet their capability targets.

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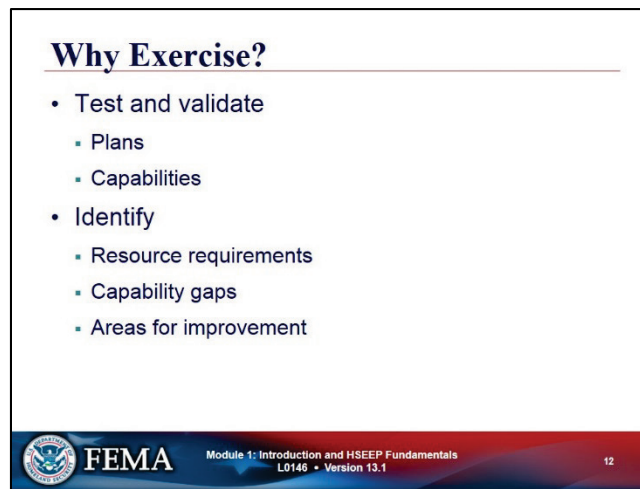
What Is HSEEP?

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

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HSEEP is a consistent approach to capabilities-based exercise program management that uses a common methodology for designing, developing, conducting, and evaluating exercises to measure progress toward building, sustaining, and delivering core capabilities. The program is designed to encourage the use of national best practices, is adaptable to the needs of each jurisdiction regardless of size.

As a key component of national preparedness, exercises provide elected and appointed officials and stakeholders from across the whole community with the opportunity to shape planning, assess and validate capabilities, and address areas for improvement.

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Why Exercise?

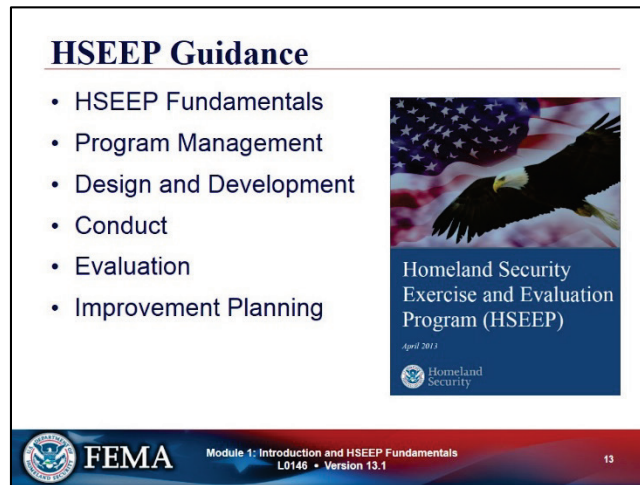
- Test and validate
 - Plans
 - Capabilities
- Identify
 - Resource requirements
 - Capability gaps
 - Areas for improvement

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Exercises play a vital role in national preparedness by enabling whole community stakeholders to test and validate plans and capabilities, and identify both capability shortfalls and areas for improvement. The intent of exercising is to validate capabilities in each of the five mission areas of the National Preparedness Goal. Exercises bring together and strengthen the whole community in its efforts to prevent, protect against, mitigate, respond to, and recover from all hazards. HSEEP provides an organizational structure that helps to provide a realistic mechanism to test whether the right equipment, personnel, plans, and training exist to validate a particular capability exists.

It's incumbent upon us, the exercise planners, to understand the purpose of each exercise we design and sponsor, what the intended outcome is for the exercise, and the core capabilities or procedures the exercise is intended to validate. Shortfalls identified through the evaluation process can direct your organization to areas for improvement, additional resource requirements, shortcomings in plans, policies or communication procedures, or poorly defined roles and responsibilities, all of which can be addressed through improvement planning.

A well-designed exercise provides a low-risk environment to test capabilities, familiarize personnel with roles and responsibilities, and foster meaningful interaction and communication across organizations. Overall, exercises are cost-effective and useful tools that help the nation practice and refine our collective capacity to achieve the core capabilities in the National Preparedness Goal.

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HSEEP Guidance

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

Homeland Security
Exercise and Evaluation
Program (HSEEP)
April 2013
Homeland Security

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HSEEP Guidance

The current version reflects the feedback, lessons learned, and best practices of the exercise community, as well as current policies and plans.

It includes an overview of HSEEP fundamentals that describes core HSEEP principles and overall methodology. This overview is followed by several chapters that provide exercise practitioners with more detailed guidance on putting the program's principles and methodology into practice.

The doctrine is organized as follows:

Chapter 1: HSEEP Fundamentals describes the basic principles and methodology of HSEEP.

Chapter 2: Exercise Program Management provides guidance for conducting a **Training and Exercise Planning Workshop (TEPW)** and developing a **Multi-year Training and Exercise Plan (TEP)**.

Chapter 3: Exercise Design and Development describes the methodology for developing exercise objectives, conducting planning meetings, developing exercise documentation, and planning for exercise logistics, control, and evaluation.

Chapter 4: Exercise Conduct provides guidance on setup, exercise play, and wrap-up activities.

Chapter 5: Evaluation provides the approach to exercise evaluation planning and conduct through data collection, analysis, and development of an **After Action Report (AAR)**.

Chapter 6: Improvement Planning addresses corrective actions identified in previous Improvement Plans (IPs) from both exercises and real-world incidents, and describes the processes that aid organizations in tracking corrective actions to resolution.

Ongoing Revision

The U.S. Department of Homeland Security (DHS) Federal Emergency Management Agency (FEMA) will review HSEEP doctrine and methodology on a biennial basis, or as otherwise needed as part of their

ongoing improvement planning process, making necessary modifications and incorporating the latest information on lessons learned from the field.

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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



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HSEEP exercise and evaluation doctrine is flexible, scalable, adaptable, and is for use by stakeholders across the whole community.

HSEEP doctrine is applicable for exercises across all mission areas—prevention, protection, mitigation, response, and recovery. Using HSEEP supports the National Preparedness System.

HSEEP doctrine is based on national best practices and is supported by training, technology systems, tools, and technical assistance.

Exercise practitioners are encouraged to apply and adapt HSEEP doctrine to meet their specific needs.

There continues to exist certain guidance/requirements, not from FEMA but through other sources, that continues to use “HSEEP-compliant” terminology. We want to make sure you understand that there is no such thing as “HSEEP compliant” exercises, exercise planning processes, or improvement planning. HSEEP is a process and methodology **NOT a compliance or prescriptive** process.

Slide 15**Revision Background**

- August 17, 2010, Secretary of Homeland Security directed the revision of the National Exercise Program (NEP)
- FEMA Deputy Administrator for Protection and National Preparedness (NPD) directed the 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.

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On **August 17, 2010**, the **Secretary of Homeland Security** directed the revision of the **National Exercise Program (NEP)** to accurately capture and reflect the Secretary's vision for an overall updated and revised exercise program.

NPD conducted an extensive effort to revise and improve the NEP. The 2013 iteration of HSEEP doctrine supersedes the 2007 HSEEP Volumes, and reflects the participation and collaboration of stakeholders from across the entire emergency management and homeland security enterprise.

Slide 16**Lesson 1: Review**

In this lesson we learned the purpose of HSEEP and how the HSEEP program supports National Preparedness efforts.

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Lesson 1 Review

In this lesson, you have learned about the purpose of HSEEP and how the program supports National Preparedness efforts.

Questions?

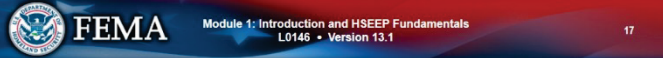
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Lesson 2: HSEEP Fundamentals

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 the National Preparedness System (NPS)



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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

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HSEEP Fundamental Principles

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

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Lessons learned from other organizations who have implemented their planning programs following the HSEEP principles have shown that these principles are critical to the effective examination of capabilities necessary to successfully respond to all kinds of risks and hazards. By providing a common approach and consistent method for exercise planning, HSEEP principles allow the planning process to remain flexible and accessible to each organization implementing an exercise program—regardless of size or scope of the group or organization, or the planned exercise.

The principles of the HSEEP process include the following:

Guided by Elected and Appointed Officials

The early and frequent engagement of elected and appointed officials is the key to the success of any exercise program. The basic premise here is that our senior officials should provide overarching guidance for the cycle of exercise products and overall preparedness effort. They are engaged in order to provide the overarching guidance and direction for the exercise and evaluation program as well as specific intent for individual exercises.

Capability-based, Objective Driven

The National Preparedness Goal identifies a series of core capabilities and associated capability targets across the prevention, protection, mitigation, response, and recovery mission areas. Through HSEEP, organizations can use exercises to examine current and required core capability levels and identify gaps. Exercises focus on assessing performance against capability-based objectives. There have been some changes to the naming of process steps used to develop exercise objectives which align the process with industry standards for development of objectives for training and evaluation. This will be described in detail in Module 3: Design and Development.

Progressive Planning Approach

A progressive approach includes the use of various exercises aligned to a common set of exercise program priorities and objectives within a cycle of exercises with increasing level of complexity over

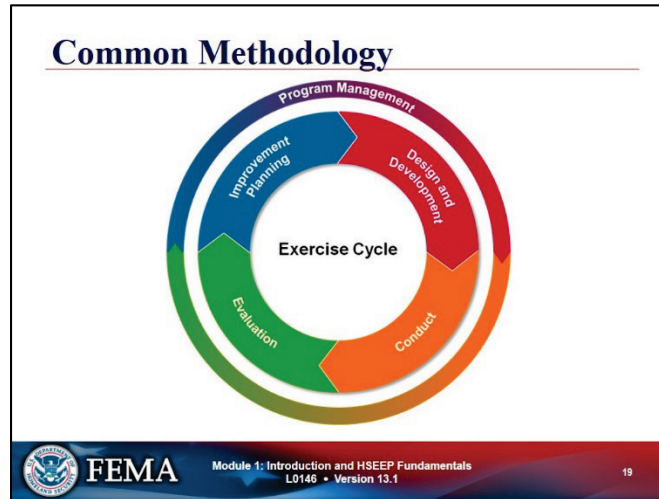
time. Progressive exercise planning does not imply a linear progression of exercise types. Those in senior leadership positions in state, territory, tribal, local government and organizations of all sizes can provide direction on the principal objectives that guide each organization's approach to planning and preparedness.

Whole Community Integration

The use of HSEEP encourages exercise planners, where appropriate, to engage the whole community throughout exercise program management, design and development, conduct, evaluation, and improvement planning.

Informed by Risk

Identifying and assessing risks and associated impacts helps organizations identify priorities, objectives, and core capabilities to be evaluated through exercises.

Slide 19**Common Methodology**


HSEEP includes a common methodology for exercises that is applicable to all mission areas—prevention, protection, mitigation, response, and recovery. This methodology enables organizations of divergent sizes, geographies, and capabilities to have a shared understanding of exercise program management, design and development, conduct, evaluation, and improvement planning; and fosters exercise-related interoperability and collaboration.

The Exercise Cycle graphic shown here represents the common planning methodology followed for all exercise types and includes: exercise program management, design and development, conduct, evaluation, and improvement planning that is applicable to management of exercise programs and execution of individual exercises—regardless of the scope or scale of the exercise.


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Presidential Policy Directive 8 (PPD-8)

- National Preparedness System
- National Preparedness Goal



The slide features two book covers side-by-side. The left cover is titled 'National Preparedness System' and shows a collage of people and emergency scenes. The right cover is titled 'National Preparedness Goal' and features an eagle with wings spread over an American flag. Both covers have the FEMA logo at the bottom.

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Presidential Policy Directive 8 (PPD-8) describes the Nation’s approach to national preparedness. The **National Preparedness Goal** is the cornerstone for the implementation of PPD-8; identified within it are the Nation’s core capabilities across five mission areas: ***Prevention, Protection, Mitigation, Response, and Recovery***.

The **National Preparedness System** is the instrument the Nation will employ to build, sustain, and deliver those core capabilities in order to achieve the goal of a secure and resilient Nation. The guidance, programs, processes, and systems that support each component of the National Preparedness System enable a collaborative, whole community approach to national preparedness that engages individuals, families, communities, private and nonprofit sectors, faith-based organizations, and all levels of government.

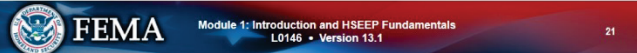
HSEEP exercises enhance consistency in exercise conduct and evaluation while ensuring exercises remain a flexible, accessible way to improve our preparedness and meet the intent of the PPD-8 Guidance.


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Lesson 2 Review

This lesson:

- Described the HSEEP methodology as set forth in the Exercise Planning Cycle
- Identified how the HSEEP Principles integrate core principles of the National Preparedness System (NPS)



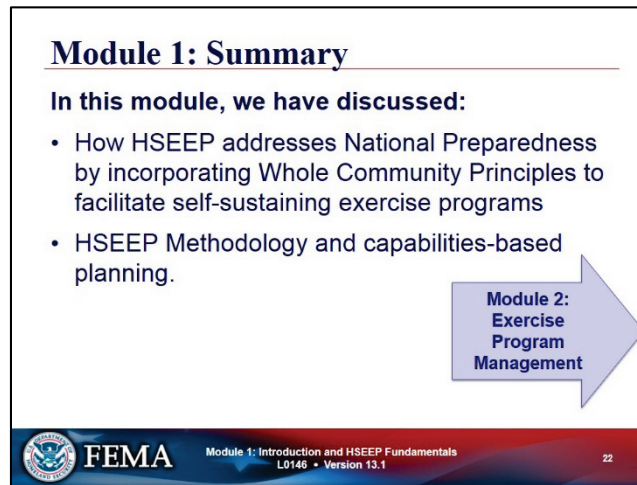
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Lesson 2 Review

In Lesson 2 information was included that:

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

Questions?


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Module 1: Summary

In this module, we have discussed:

- How HSEEP addresses National Preparedness by incorporating Whole Community Principles to facilitate self-sustaining exercise programs
- HSEEP Methodology and capabilities-based planning.

Module 2: Exercise Program Management

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Module 1 Recap

In this module, we have discussed:

- How HSEEP addresses National Preparedness by incorporating Whole-Community Principles to facilitate self-sustaining exercise programs
- HSEEP Methodology and Capabilities-Based Planning

In the next module: **Exercise Program Management**, we will begin to explore the **Exercise Cycle** and the processes that are critical to ensuring a self-sustaining program.



NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3



Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1