



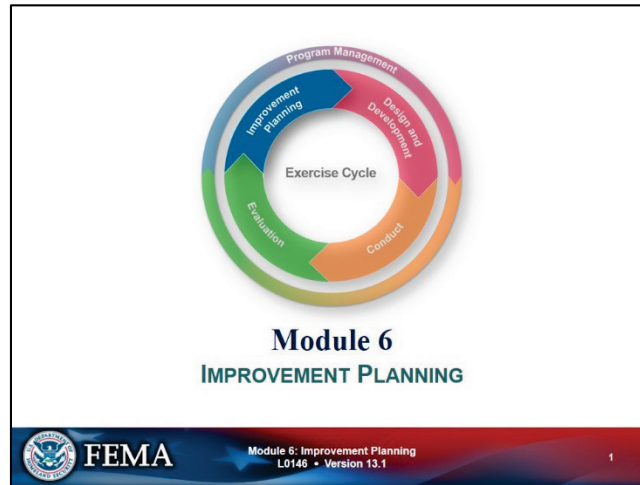
HSEEP Training

Module 6

Exercise Improvement Planning



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Slide 1**Module 6: Improvement Planning**


This module will describe HSEEP Improvement Planning.

This part of the planning process supports the overall assessment process by identifying the existing state of the capabilities within the given jurisdiction or organization, and the areas that require additional improvements following exercise conduct.

Slide 2

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.



The collage includes images of a person working at a computer, a group of people in a meeting, and emergency responders in full gear.

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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.

Exercises afford organizations the opportunity to evaluate capabilities and assess progress toward meeting capability targets in a controlled, low-risk setting. After the evaluation phase concludes,

organizations should reach consensus on identified strengths and areas for improvement and develop a set of improvements that directly addresses core capability shortfalls. This information is recorded in the AAR/IP and resolved through the implementation of concrete corrective actions, which are prioritized and tracked as part of a corrective action program. This process constitutes the improvement planning phase and the final step in conducting an exercise.


Slide 3

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 (AAR)/Improvement Plan (IP) finalization
- Corrective Action tracking and implementation
- Using improvement planning to support continuous improvement.

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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
- AAR/IP finalization
- Corrective Acton tracking and implementation
- Using improvement planning to support continuous improvement.

Slide 4


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.

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Corrective Actions

Once exercise data are analyzed, organizations should perform an additional qualitative assessment to identify potential corrective actions. Corrective actions are concrete, actionable steps that are intended to resolve capability shortcomings identified in exercises or real-world events. In developing corrective actions, elected and appointed officials or their designees should first review and revise the draft AAR, as needed, prior to the After-Action Meeting (AAM) to confirm that the issues identified by evaluators are valid and require resolution. The reviewer then identifies which issues fall within their organization's authority, and assume responsibility for taking action on those issues. Finally, they determine an initial list of appropriate corrective actions to resolve identified issues.


The organization's reviewer should use the following questions to guide their discussion when developing corrective actions:


- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to organizational structures to improve performance?
- What changes need to be made to management processes to improve performance?
- What changes to equipment or resources are needed to improve performance?
- What training is needed to improve performance?
- What are the lessons learned for approaching similar problems in the future?

Slide 5

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.



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After Action Meeting (AAM)

Once the organization's reviewer has confirmed the draft areas for improvement and identified initial corrective actions, a draft IP is developed for review at an AAM. AAMs serve as forums to review the revised AAR and the draft IP. Prior to the AAM, as appropriate, the exercise sponsor will distribute the revised AAR, which incorporates feedback on the strengths and areas for improvement, and the draft IP to participants. Distributing these documents for review prior to the meeting helps to ensure that all attendees are familiar with the content and are prepared to discuss exercise results, identified areas for improvement, and corrective actions. The organization's elected and appointed officials, or their designees, should attend the AAM along with exercise planners to answer any questions or provide necessary details on the exercise itself.

During the AAM, participants should seek to reach final consensus on strengths and areas for improvement, as well as revise and gain consensus on draft corrective actions. Additionally, as appropriate, AAM participants should develop concrete deadlines for implementation of corrective actions and identify specific corrective action owners/assignees. Participant organizations are responsible for developing implementation processes and timelines, and keeping their elected and appointed officials informed of the implementation status.

Slide 6**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

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**Finalizing the AAR/IP—Corrective Action Tracking and Implementation
After-Action Report/Improvement Plan Finalization**

Once all corrective actions have been consolidated in the final IP, the IP may be included as an appendix to the AAR. The AAR/IP is then considered final, and may be distributed to exercise planners, participants, and other preparedness stakeholders as appropriate.

Corrective Action Tracking and Implementation

Corrective actions captured in the AAR/IP should be tracked and continually reported on until completion. Organizations should assign points of contact responsible for tracking and reporting on their progress in implementing corrective actions. By tracking corrective actions to completion, preparedness stakeholders are able to demonstrate that exercises have yielded tangible improvements in preparedness. Stakeholders should also ensure there is a system in place to validate previous corrective actions that have been successfully implemented. These efforts should be considered part of a wider continuous improvement process that applies prior to, during, and after an exercise is completed.

Slide 7**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

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Using IPs to Support Continuous Improvement

Conducting exercises and documenting the strengths, areas for improvement, and associated corrective actions is an important part of the National Preparedness System, and 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.

The identification of strengths, areas for improvement and corrective actions that result from exercises help organizations build capabilities as part of a larger continuous improvement process. The principles of continuous improvement are:

Consistent Approach. Organizations should employ a consistent approach for continuous improvement-related activities across applicable mission areas—prevention, protection, mitigation, response, and recovery. This consistent approach enables a shared understanding of key terminology, functions, processes, and tools. This approach also fosters continuous improvement-related interoperability and collaboration across an organization’s components.

Support National Preparedness. By conducting continuous improvement activities, organizations support the development and sustainment of core capabilities across the Whole Community. Continuous improvement activities also ensure that organizations are able to support assessments of national preparedness in a timely, actionable, and meaningful way.

Effective Issue Resolution and Information Sharing. Through improvement planning, organizations complete continuous improvement action items at the lowest level possible while facilitating the sharing of strengths and areas for improvement.

Application across Operational Phases. The functions, processes, and tools apply to all operational phases, including:


- Near-real time collection and analysis during real-world events or exercises
- Post-event/exercise analysis
- Trend analysis across multiple events/exercises over time
- These processes provide the answer to the question posed in Module 1 of this course.

Slide 8

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, and 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.

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Why Exercise?

The HSEEP cycle describes processes that can be followed by any size community or organization to improve their resilience in addressing identified risks.

This process used for conducting exercises and documenting the strengths, areas for improvement, and associated corrective actions is an important part of the National Preparedness System, and 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 the state of preparedness through future exercises and real-world events.

Slide 9**Module 6: Summary**

In this module, we have described the improvement planning phase and how it supports exercise program management including:

- The process used to identify corrective actions for creation of Improvement Plans
- The continuous improvement principles used to track improvement plans and identify ongoing program improvement priorities.

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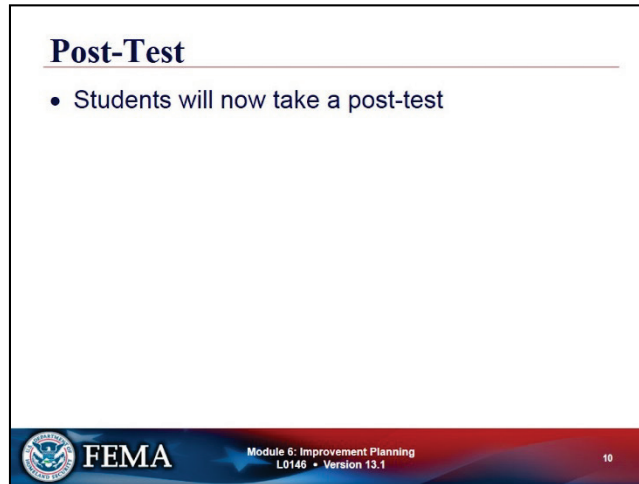
Module 6: Summary

In Module 6, we have discussed how the problems identified in the AAR are translated into IPs and future planning. Without a valid IP, jurisdictions are subject to repeating previous errors, not only in future exercise activities, but also in real-world incidents where the price paid can be much higher.

This module described the improvement planning phase and how it supports exercise program management including:


- The process used to identify corrective actions for creation of Improvement Plans
- The continuous improvement principles used to track improvement plans and identify ongoing program improvement priorities.

We hope this material has helped you understand the importance of the HSEEP Exercise Program Management process. Remember that you can find additional guidance as well as templates and tools to support your Exercise program on the HSEEP website.

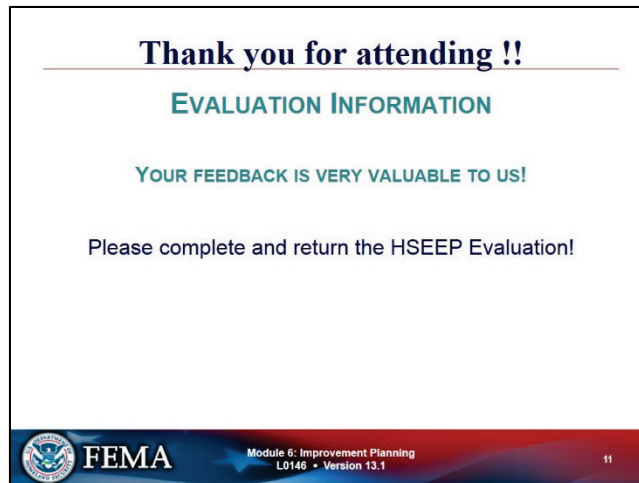
Slide 10

Post-Test

- Students will now take a post-test

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You will now take a post-test.


Slide 11

Thank you for attending !!

EVALUATION INFORMATION

YOUR FEEDBACK IS VERY VALUABLE TO US!

Please complete and return the HSEEP Evaluation!

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Thank you for Attending

This brings us to the end of our training. Thank you for attending!

Your feedback is important to the success of this course and the ongoing evaluation and improvement of the training. When you receive the evaluation forms from the EMI Course Manager, please take the time to complete and return it.



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