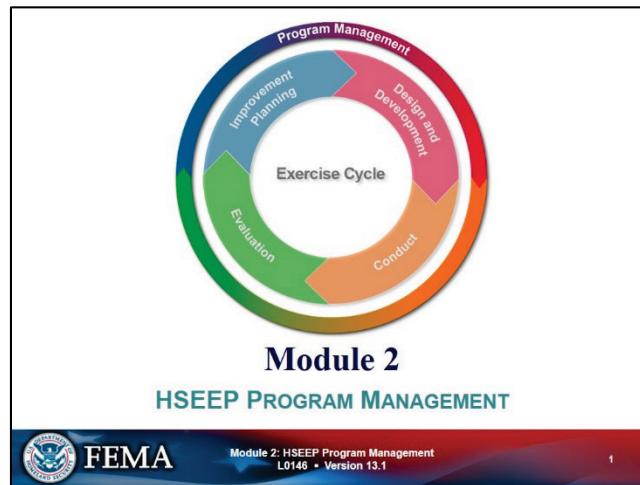**FEMA**

HSEEP Training

Module 2

HSEEP Program Management

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Slide 1

This section of the course is **Module 2 HSEEP Program Management**

In this module we will review the continuous iterative processes used to manage preparedness efforts in support of a community's overall resilience in the face of risks and hazards. Following the HSEEP methodology, training, exercises and evaluation activities, sustained over time, will help organizations create and maintain core capabilities.

Slide 2

Module 2 Terminal Objective

The purpose of this module is to provide you with an overview of the **HSEEP Program Management** processes and how they are used to develop, implement and maintain a **progressive multiyear training and exercise program**.

Slide 3

<table>
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Module 2 Agenda

This module will focus on the following aspects of HSEEP Program Management

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Module 2: Agenda

Lesson 1: Engaging Elected and Appointed Officials

Lesson 2: Multi-Year Training and Exercise Planning

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Lesson 1: Engaging Elected and Appointed Officials when establishing Preparedness Program priorities. Those in senior leadership, who hold positions with decision-making authority, fulfill this role.

Lesson 2: Multi-Year Training and Exercise Planning

These two activities provide long-term priorities for an effective exercise program. Exercise practitioners are encouraged to apply and adapt HSEEP guidance on exercise program management to meet the specific needs of their local jurisdiction or organization.

Slide 4
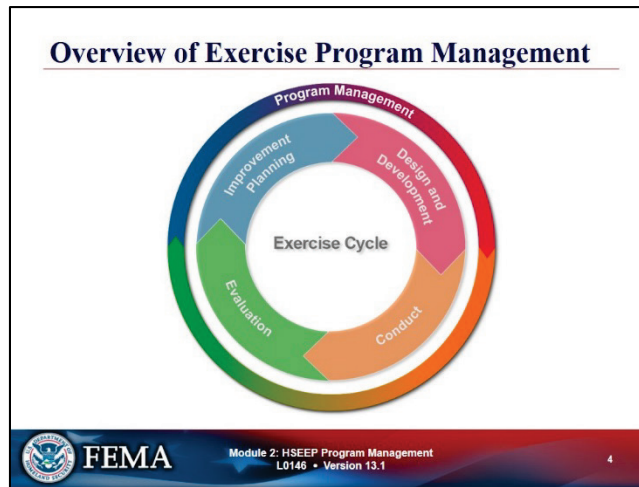
Overview of Exercise Program Management

Exercise program management is the ongoing process of overseeing and integrating a variety of exercises over time. An effective exercise program helps organizations maximize efficiency, resources, time, and funding by ensuring that exercises are part of a coordinated, integrated approach to building, sustaining, and delivering core capabilities. This approach—called multi-year planning—begins when elected and appointed officials, working with whole community stakeholders, identify and develop a set of multi-year exercise priorities informed by existing assessments, strategies, and plans. These long-term priorities help exercise planners design and develop a progressive program of individual exercises to build, sustain, and deliver core capabilities.

Effective exercise program management promotes a multi-year approach to:

Engaging elected and appointed officials	Establishing multi-year exercise program priorities
Developing a multi-year TEP	Maintaining a rolling summary of exercise outcomes
Managing exercise program resources	

Through effective exercise program management, each exercise becomes a supporting component of a larger exercise program with overarching priorities. Exercise practitioners are encouraged to apply and adapt HSEEP doctrine on exercise program management to meet their specific needs.

Let's look at these key elements in greater detail.

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Lesson 1: Engaging Officials

Enabling Objectives

After completing this lesson, you should be able to identify:

- How components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities
- The role elected and appointed officials play in identifying priority capabilities that will be addressed through training and exercises
- The importance of engaging these officials early and often throughout the HSEEP Program Management process.

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Lesson 1: Engaging Officials

Lesson 1 presents the groundwork Emergency Management practitioners complete to determine major capability requirements through a hazard and risk assessment, validate capability priorities for their organization and identify which priorities will be addressed in individual exercises.

To this end, after completing this lesson, you should be able to identify:

- How components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities,

- The role elected and appointed officials (and those in senior leadership) play in identifying priority capabilities that will be addressed through training and exercises,

- The importance of engaging these officials early and often throughout the HSEEP Program Management process.

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National Preparedness System Components
1. Identify and Assess Risk
2. Estimate Capability Requirements
3. Building and Sustain Capabilities
4. Plan to Deliver Capabilities
5. Validate Capabilities
6. Review and Update Risks, Tools, and Resources

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National Preparedness System Components

As described in Module 1, the **National Preparedness System** outlines a process for communities to use in their preparedness activities to achieve the **National Preparedness Goal**. The National Preparedness Goal describes the **31 core capabilities** communities can use to evaluate their current state of preparedness and set targets for improvements to do their part in meeting the preparedness goal.

There are **six components of the National Preparedness System,** and these are represented in the inner circle of tasks shown on this NPS graphic.

Each component of NPS provides communities with a reliable and consistent approach for identifying high-priority capability targets. Verifying available resources and resource allocation requirements for meeting capabilities can be used to help measure progress toward meeting preparedness targets.

The six NPS components are:

Identifying and Assessing Risk
This component involves collecting historical and recent data on existing, potential, and perceived threats and hazards. One tool used in addressing this component is the Threat and Hazard Identification and Risk Assessment (THIRA).

Estimating Capability Requirements
This component involves determining the resources required to best address those risks, and where communities currently stand in meeting those requirements. Some capabilities may already exist and need to be sustained, and some may need to be obtained or built.

Building and Sustaining Capabilities
This involves figuring out the best way to use resources to build capabilities. You can use the risk assessment to prioritize resources to address the highest probability or highest consequence threats.

Planning to Deliver Capabilities

This component involves all parts of the whole community in developing and updating plans to support delivering these core capabilities.

Validating Capabilities

Participating in exercises, simulations, or other activities helps address this component by identifying shortfalls in plans and capabilities. It also shows progress toward meeting preparedness goals.

Reviewing and Updating Risks, Tools and Resources

This component involves regularly reviewing and updating all of the tools used to address these components. Risks and resources evolve—and so should preparedness efforts.

The focus of the process is on:

- Determining what resources are needed to meet capability requirements
- Examining current resource levels within the community or organization
- Comparing the current resource levels to what is required to meet capability targets, and provide a list identifying levels of sufficiency, surpluses, and shortfalls of those resources required to meet the capability. These results provide foundational data used by Emergency Management Officials to identify training and exercises intended to expand on and validate these capabilities.

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Exercise Foundation

Because of natural shifts in community demographics, research on, and validation of, high-priority capability targets is key to the successful implementation of any exercise program.

This research includes a review of previous risk assessments and analysis of your jurisdiction's/organization's current threats and vulnerabilities. This review process looks at the data in light of existing policies, plans and procedures, program grant requirements and cooperative agreements, existing **Training and Exercise Plans (TEP)**, **After-Action Reports** from real-world events and **Improvement Plans** developed in response to real-world events or following evaluation of exercises. Taken together, this information should provide an accurate picture of the current state of preparedness and **Multiyear Program Priorities** and essential functions of each organization that provides emergency services and support to the community during a crisis.

The exercise planning team uses this process to become familiar with not only their own jurisdictions capabilities, but also the capabilities of neighboring jurisdiction—or community organizations—with whom they partner; sharing capabilities by establishing agreements to share resources.

A critical component of this review process is **review of current community demographics** and **engaging Senior and Elected Officials** or those in **Senior Leadership** roles within stakeholder organizations (or their delegates) to verify emergency planning priorities.

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Elected and Appointed Officials

Emergency Management practitioners, senior elected and appointed officials, and those in leadership positions who have decision-making and funding authority should be engaged to the extent possible in identifying priority capability targets.

Officials in leadership positions utilize the outcomes of ongoing assessment processes to identify and validate high priority capability targets that planning officials will address through a schedule of training and exercises. Senior leadership is responsible for gathering information from reference sources for use in identifying the core capabilities of highest concern to local and organizational planning efforts:

- Results of risk assessments
- Reports of current status of the preparedness effort, and/or applicable SOPs and functional agreements.

This leadership should be engaged early in the exercise program management process, and consulted again at critical decision points to identify a schedule of training and exercises to improve capabilities.

Since local planners often report difficulty in engaging senior leadership in this process, the individual community and/or organization should strive to identify throughout the program planning process where opportunities may exist to engage leadership in meaningful ways. One way to engage leadership and build more support from senior and elected officials for the exercise program as a component of the larger NPS effort is to invite them to attend exercise events, and assign someone from the planning team to act as a tour guide to various staging areas of the exercise. At each of these staging areas this tour guide should be prepared to provide these officials with information on the critical capabilities their particular jurisdiction or organization are attempting to address through the exercise, and describe the importance of the participation of the various participating stakeholder agencies and organizations in addressing the broader Emergency Management goals and meeting capability targets.

Recognizing that a community's preparedness status is dynamic and changes as the community demographic undergoes change, another method available to engage officials is to implement the **Rolling Summary Report**, which is a new addition to the revised HSEEP guidance. Since it is critical to begin each planning effort with a review of the local Emergency Management research, and maintain situational awareness on capabilities of stakeholder and partner organizations, this report can be used to keep those in senior leadership aware of progress made toward meeting priority capabilities.

These reports are another method of providing officials with information on the periodic assessment of the exercise program's overall progress toward meeting capabilities and raise awareness on the role of exercises in ensuring the needs of the community are being adequately met. Program managers should attempt to identify what motivates interest from senior officials and engage officials at their level of interest. If the primary focus of your particular leadership is limited to budgetary aspects, be prepared to provide leadership with explanations on how the exercise program helps to target funding requirements during staging area tours or through the summary report process. The important point is to use your knowledge of topics of importance to your senior leadership to provide a frame of reference customized to the level of interest your senior leadership will understand. The Rolling Summary Report will be described in greater detail in Lesson 2.

This engagement process of review, validation and report-back ensures the success of the HSEEP Exercise Cycle by ensuring each exercise effort addresses the latest local trends and priority capability targets. The outcomes of this iterative process set priorities that guide exercise planning and set the specific intent for individual exercises.

References:

Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide (CPG) 101

Whole_Community_Dec2011.pdf

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Multiyear Program Priorities

Multiyear program priorities are the outcome of leadership's assessment of hazards and risks related to specific core capability targets. They guide the development of exercise program objectives as well as objectives developed for individual exercises. At the program management level these priorities are used as the basis for identifying the type and range of exercises that will form a progressive, comprehensive, integrated exercise program.

Within the HSEEP planning cycle a roadmap for planning is developed at the **Training and Exercise Planning Workshop (TEPW)** through the collaborative effort of community stakeholders. This process will also be explained in Lesson 2.

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Lesson 1 Review

This is the end of Lesson 1. In this lesson we discussed:

- How components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities
- The role elected and appointed officials play in identifying priority capabilities that will be addressed through training and exercises
- The importance of engaging these officials early and often throughout the HSEEP Program Management process.

Questions?

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Lesson 2: Developing a Multiyear Training and Exercise Plan

In Lesson 2 you will learn how Emergency Management and Elected and Appointed Officials identify priorities to address in the development of a Multiyear Training and Exercise Plan.

After completing this lesson you should be prepared to explain:

- The purpose of a Training and Exercise Planning Workshop (TEPW)
- The purpose a Multiyear Training and Exercise Plan (TEP) and development and coordination of the Multiyear Training and Exercise Schedule
- Exercise Program Manager's role in managing program resources and how the Rolling Summary Report supports these efforts.

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Training and Exercise Plan Workshop

The creation of effective capabilities-based training and exercise programs begin with a multi-year **Training and Exercise Plan (TEP)**. This is not the same as the planning meetings used to identify and plan for individual exercises, but is a larger overarching effort designed to bring together stakeholders from across the community to establish PROGRAM LEVEL priorities and establish a multi-year schedule of training and exercise activities designed to address those priorities and validate core capabilities.

The Training and Exercise Planning Workshop (TEPW) provides a collaborative environment for these Whole Community stakeholders to engage in a forum to discuss and coordinate training and exercise activities across local organizations in order to maximize the use of available resources and prevent duplication of effort. Stakeholders can include government agencies, public safety agencies engaged in Emergency Management and should include hospital groups, nonprofit or NGOs who assist with sheltering and mass-casualty response such as the Red Cross or Salvation Army, or other public and private sector groups who provide additional services to support local infrastructure. This should also include organizations involved in communication, IT or networking through social media, or methods used to ensure operational continuity and essential functions through government, military (National Guard) or other stakeholder partners. Agencies, jurisdictions and public or private sector partners responsible for delivering or supporting the delivery of core capabilities to the local community should participate in the workshop. We will look at who these participants might be momentarily.

TEPWs are held on a periodic basis (e.g., annual or biennial) depending on the needs of the program requirements (grant or other funding or cooperative agreements).

The TEPW establishes the strategy and structure for your overall exercise program and sets the foundation for the planning, conduct, and evaluation of individual exercises.

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Why? Purpose of the TEPW

The TEPW is held to **coordinate exercise schedules at state, regional, and jurisdictional levels** and **eliminate duplicative efforts** to avoid over exercising and to share resources and knowledge.

The purpose of the TEPW is to engage elected and appointed officials in identifying exercise program priorities and planning a schedule of training and exercise events to meet those priorities.

During the workshop participants:

- Review program accomplishments to date
- Review each jurisdiction's progress and accomplishments over the past year
- Identify needs and modifications required—such as changes to the Multi-Year Training and Exercise Schedule or other information and planning that may need updating
- Translate these needs into priorities and develop specific objectives to address through exercises
- Track IP actions against current capabilities, training, and exercises
- Identify and coordinate possible funding sources, and most important
- Coordinate exercise activities and scheduling—a major part of the workshop should be spent on schedule coordination since the workshop is an excellent opportunity for all jurisdictions to coordinate their exercise schedules to avoid duplication of efforts and collaborate to maximize resources. This is especially beneficial for scheduling of exercises tied to "grant deliverables".

The TEPW is one of the key elements of HSEEP because it is an opportunity for Whole Community stakeholders to discuss and develop a plan to increase preparedness using a carefully coordinated training and exercise schedule. This allows local organizations to more effectively function as a whole when translating goals and priorities into specific objectives and exercises, coordinating exercise activities, and tracking Improvement Plan actions against current capabilities, training and exercises.

Note: The TEPW can be mandated at the state government level, but can also be used at the local government level. Some grant guidance also specifies exercises as a grant deliverable. The TEPW can be used to coordinate grant deliverables on a multijurisdictional level.

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### Who? Whole Community Participants

It's important to have the right people at the table when conducting the Training and Exercise Planning Workshop. Using **whole community** concepts, exercise program managers should identify **stakeholders and senior leaders from organizations** including but not limited to:

- **Representatives from relevant disciplines** that would be part of the exercises or any real-world events
- **Senior leaders or those responsible for providing resources to support exercises**
- **Individuals with administrative responsibility** relevant to exercise conduct
- **Representatives from volunteer, nongovernmental, or nonprofit or social support organizations**, including advocates for children, seniors, individuals with disabilities, those with access and functional needs, racially and ethnically diverse communities, people with limited English proficiency, and animals.

In keeping with the **"Whole Community"** approach, which focuses on enabling the participation of a wider range of players from the **private and nonprofit sectors** (including non-governmental organizations and the general public in order to foster better coordination and working relationships). it may be appropriate to include some of these stakeholders in the workshop planning process, particularly if it is likely there would be a need to enter into formal agreements to provide assistance during disaster response. It's critical that those who attend are individuals who have **the authority to make decisions** and are empowered to carry them out. This includes a **manageable number of officials from participating agencies.** The officials who attend from participating agencies are those who sponsor training and exercises and should not be confused with those involved in exercise planning or players.

Once a comprehensive set of stakeholders has been identified, exercise program managers can integrate them into the exercise program by having them regularly participate in TEPWs.

Slide 15
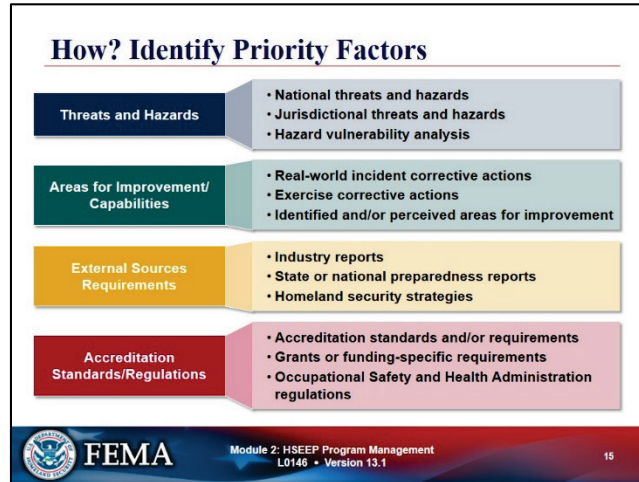
How? Identify Priority Factors

Planning is not a theoretical process that occurs without an understanding of the community, nor is it a scripting process that tries to prescribe hazard and response actions. Addressing the priority capabilities and their targets requires the combined efforts of the whole community and community-based plans provides a starting point for establishing preparedness operations, and adjusting operations as required. Because of the importance of this process, it is important that the TEPW engages individuals from partner organizations who can adequately weigh the risk specific to each discipline, functional area, and group represented by stakeholder organizations who work together to identify the CONTEXT of the threats or concerns of the local community.

At this stage, the overall goal of the workshop process is to identify the scope of the program planning effort. Outcomes of the process include lists of training and exercise processes or events aimed at building and sustaining the core capabilities that senior officials and leadership identify as priorities.

In support of these efforts the first task of TEPW participants is to identify factors for consideration in developing exercise program priorities which are the strategic, high-level priorities that will be used to guide the overall exercise program. These priorities form the development of individual exercise objectives to ensure that individual exercises evaluate and assess the community's priority capability targets in a coordinated and integrated fashion.

TEPW participants should consider the following factors:
- National Preparedness Goal and other strategy and guidance documents
- Threats and hazards including:
  - National threats and hazards
  - Organizational or jurisdictional threats and hazards

- Threat and Hazard Identification and Risk Assessment (THIRA)
- Local risk assessments
- Hazard vulnerability analysis.

Areas for improvement/capability assessments from exercises and real-world events, including:

- Strengths to be shared with other organizations
- Open and non-validated corrective actions
- Identified and/or perceived areas for improvement.

External sources and requirements, including:

- Industry reports
- State or national preparedness reports
- Homeland security strategies.

Accreditation standards, regulations, or legislative requirements, including:

- Accreditation standards (e.g., hospital accreditation requirements)
- Regulations or legislative requirements.

Workshop participants consider all the identified risk factors associated with each high priority capability and compare the resources necessary for addressing each against the resources available from all stakeholder organizations. This process can be used to identify the capabilities that are in greatest need of improvement that senior officials and leadership can designate for use in guiding the overall direction of a progressive training and exercise program.

Slide 16
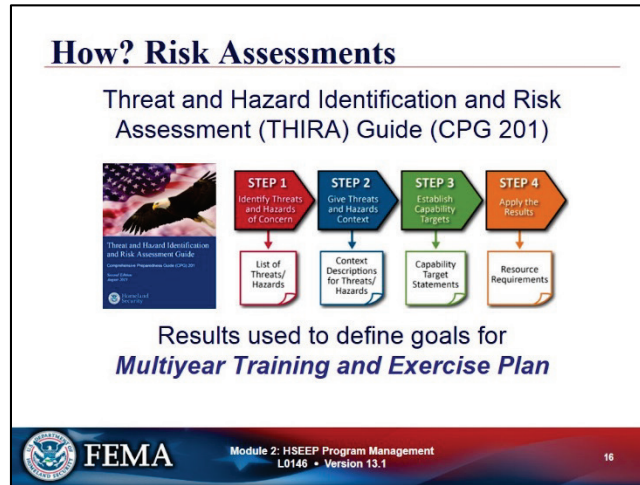
How? Risk Assessments

One method communities can use to determine program priorities is to conduct risk assessments following the process presented in the **Threat and Hazard Identification and Risk Assessment (THIRA) Guide,** *Comprehensive Preparedness Guide (CPG) 201,* *Second Edition August 2013*. The THIRA process defines four steps communities can use to identify and understand likely vulnerabilities. We recommend you read CPG 201 as well as the publication **Developing and Maintaining Emergency Operations Plans,** *Comprehensive Preparedness Guide (CPG) 101,* *Version2, November 2010.* Both preparedness guides describe processes that can help state and local partners understand the basics of the hazard and risk assessment process and how it supports the development of good program and operational plans.

Each industry that provides support for local infrastructure may also have additional guidelines that can be used as reference, providing workshop participants guidance in identifying the scope of program plans by describing standards and credentialing requirements for various stakeholder organizations.

The THIRA assessment process is intended to help stakeholders identify and prioritize capability targets and desired outcomes which can be tracked over time to identify improvement requirements in order to deliver or sustain core capabilities.

The five basic steps of the THIRA process support the preparedness planning effort, and these are:

Step 1. Identify the Threats and Hazards of Concern. Based on a combination of experience, forecasting, subject matter expertise, and other available resources, identify a list of the threats and hazards of primary concern to the community.

Step 2. Give the Threats and Hazards Context. Describe the threats and hazards of concern, showing how they may affect the community.

Step 3. Establish Capability Targets. Assess each threat and hazard in context to develop a specific capability target for each core capability identified in the National Preparedness Goal. The capability target defines success for the capability.

Step 4. Apply the Results. For each core capability, estimate the resources required to achieve the capability targets through the use of community assets and mutual aid, while also considering preparedness activities, including mitigation opportunities.

Because the THIRA process is scalable and focuses on identification of core capabilities for each mission area outlined in the National Preparedness Goal, it **can be employed at all levels of response planning**—by small, one-person departments as well as larger organizations with greater needs and resources.

Using the results of this risk analysis process, organizations of **all sizes** can develop a strategy for allocating resources more effectively to achieve capability targets and reduce risk. On a smaller scale these assessment steps can also be utilized to reassess and update the current hazard and risk landscape when planning for development of training or individual exercises.

When used as part of a continuous cycle of capability assessment, developing program plans, and planning for individual exercises, the incorporation of the results from repeated cycles of the THIRA process allows organizations to identify and manage changes to their risk landscape.

Publishing the results of the program level assessment process provides transparency into the planning process, and educates the community at large on the local preparedness environment by alerting individuals, families, businesses, organizations, community leaders, and senior officials on the risks facing the community. Publishing assessment results can also rally support for preparedness and resource funding to build and sustain capabilities within the local community.

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How? Link Core Capabilities
- Link each identified risk factor to the capabilities that mitigate the risk
- Prioritize these capabilities and
- Identify which stakeholder organizations provide support toward mitigation of the risk.

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How? Link Core Capabilities

Using the latest demographic information for the local community or organization, elected and appointed officials and/or senior organizational leaders with decision-making authority review a compiled list of capabilities that is obtained from the risk assessment process to determine which capabilities are of greatest concern. From this list of capabilities, leadership officials identify those that should be considered high priorities for improvement, and these become the focus of annual training and exercise efforts.

Once these priority capabilities are identified, workshop participants attempt to identify which of the assembled stakeholder organizations have responsibility for providing support toward mitigation of the identified risks. When the time comes for planning individual exercises, Exercise Program managers must determine which of these organizations should be invited to participate in planning for individual exercise events.

Let's look at how these core capabilities are identified.

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Mission Areas/Core Capabilities

During the TEPW community stakeholders work together to identify priorities for preparedness improvement efforts by reviewing and assessing the resource requirements related to each of the **mission areas** identified in the National Preparedness Goal.

Core capabilities are distinct critical elements necessary to achieve the specific capability related to these five mission areas of prevention, protection, mitigation, response, and recovery. By linking each risk factor to one or more capabilities that can address the risks associated with a particular mission area, participants identify and prioritize the capabilities to be addressed through the Emergency Management program.

This review process frames the planning efforts within the context of the mission areas and ensures assessments evaluate current status of the personnel, teams, facilities, equipment and supplies, existing

plans, procedures, strategies, training, exercises, programs, systems, technologies, services, funding, authorities, laws, ordinances and policies necessary to meet capabilities for each of the five mission areas.

Maintaining this CONTEXT for the planning effort is very important since training and exercises can sometimes be viewed as taking resources away from other political priorities. To avoid politicizing the planning effort, it is important for workshop facilitators and participants to be aware that the potential does exist for some workshop participants to promote political agendas. To maintain an appropriate context workshop, participants should work together to link the training and exercise program efforts to **real world capability priorities.** Emphasizing the linkage of the program, training and exercises to mission-critical core capabilities during the early program planning stages, as well as during development of individual exercises, can keep these planning discussions focused on the context a program of training, exercises and improvement planning designed to meet both local and national preparedness efforts.

Slide 19
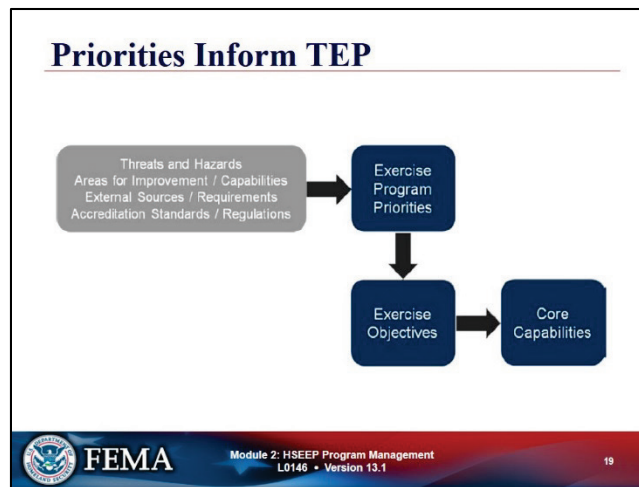
Priorities Inform TEP

The identified priorities inform the Training and Exercise Plan and ensure the tasks associated with each of the high-priority capabilities measure, assess and validate the community's existing capabilities within the context of each identified Mission Area.

One or more of these priority capabilities and their associated tasks will become the focus of training and exercises within the larger program plan and the individual exercise program when developing objectives for training and exercises.

This graphic illustrates the relationship between these program level priorities and exercise objectives that are designed to identify the individual tasks required to maintain core capabilities.

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Activity 1

Activity 1 (Optional):
THIRA Process for Establishing Priorities

Objective:
Using the THIRA process to prioritize capabilities targets to address using training and/or exercises.

Time: 10–15 minutes

Instructions:
Group discussion of hazard and risk assessment process for use in identifying priority capability targets.
With your group, please identify the top three Core Capabilities and targets. (Since the groups are comprised of varied entities, you may need to compromise for purposes of the activity.)

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THIRA for Establishing Priorities

Objective: Use the THIRA or hazard and risk assessment process to prioritize capabilities targets to address using training and/or exercises.

Time Required: 10–15 minutes.

Instructions: Utilize guided discussion of the hazard and risk assessment process stakeholder organizations use to identify priority capability targets for planning purposes.

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Multiyear Training and Exercise Plan

Outlines Program:
- Characteristics
- Vulnerabilities/Challenges
- Priorities/Goals/Objectives
- Exercise Methodology
  - Targeted capabilities
  - Planned exercises
  - Training courses
- Exercise Schedule/Timeline

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The **Multi-year Training and Exercise Plan** is designed to coordinate the effort to provide improved capabilities among all stakeholder organizations.

In developing a TEP, stakeholders should remember that public law, presidential directives, grant requirements, or various regulations may outline specific functional and reporting requirements and

timelines for certain exercises; therefore jurisdictions must review all funding source requirements as they prepare to establish their program plan.

The component of a typical Multiyear Training and Exercise Plan should present an outline of the identified **program priorities and target capabilities** to be addressed using an associated multiyear training and exercise **schedule.**

Major components to the plan include:

- The **Purpose** provides an overview of the TEP document and the organization's overall training and exercise program for a specific multi-year time period.

- **Program priorities** describes how the organization established the priorities and how the existing strategy documents, THIRA, capabilities assessments, and past After Action Reports (AARs) and Improvement Plans (IPs) informed the development of the priorities.

- Program **Methodology and Tracking**. Outline how the training courses and exercises were selected and how they will be tracked with respect to progression and improvement. The approach should challenge participants with increasingly advanced scenarios, verify lessons learned, demonstrate areas for improvement, offer means of evaluation, and ensure a method to share lessons learned and best practices.

- Multiyear **exercise training and exercise schedule.** A schedule of exercises that should illustrate the proposed activities scheduled in the Multiyear Training and Exercise Plan.

A progressive approach, with exercises that build upon each other and are supported with training resources, ensures that organizations do not rush into a full-scale exercise too quickly.

Following is a review of the different types of exercises that may be included in the multi-year plan.

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Discussion-Based Exercises

Discussion-Based Exercises

The first level of exercises is **Discussion-based** exercises.

Discussion-based exercises include **seminars, workshops, tabletop exercises (TTXs), and games.** These types of exercises can be **used to familiarize players with current plans, policies, agreements, and procedures or develop new plans, policies, agreements, and procedures**. Discussion-based exercises focus on strategic, policy-oriented issues.

Seminars generally orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, resources, concepts, and ideas. As a discussion-based exercise, seminars can be valuable for entities that are developing or making major changes to existing plans or procedures. Seminars can be similarly helpful when attempting to gain awareness of, or assess, the capabilities of interagency or inter-jurisdictional operations.

Similar to seminars, **workshops** differ in two important aspects: participant interaction is increased, and the focus is placed on achieving or building a product. Effective workshops entail the broadest attendance by relevant stakeholders. Products include new standard operating procedures (SOPs), emergency operations plans, continuity of operations plans, and mutual aid agreements. The workshop format is open and adaptable to different purposes. They can be done in a tabletop format with scenario and presentation slides but be designed to have players actually develop a procedure or procedural step, or design a plan or plan element. While they can be conducted in many different ways, to be effective, workshops should focus on a specific issue, focused objective, product, or goal that is clearly defined.

TableTop Exercises which are commonly referred to by their acronym—**TTXs**, are aimed at facilitating conceptual understanding, identifying strengths and areas for improvement, and/or achieving changes in perceptions. Players are encouraged to discuss issues in depth, collaboratively examining areas of concern and solving problems. The effectiveness of a TTX is derived from the energetic involvement of

participants and their assessment of recommended revisions to current policies, procedures, and plans; therefore facilitation is critical to keeping participants focused on exercise objectives. They come in a variety of *flavors* that fall into two types—the **traditional basic or advanced TTX**. Basically, an **advanced TTX provides more complex exercise play** that can combine certain disciplines, with small teams or task level or functional area players working on games in coordination with senior level players using a scenario that improves or moves forward over time in a series of moves over several modules. The idea is to use TTXs as a way to look at traditional functional and task level policies and procedures, and especially where these involve coordination across multiple jurisdictions or organizations in order to identify potential improvements.

A **game** is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or hypothetical situation. Depending on the game's design, the consequences of player actions can be either pre-scripted or decided dynamically. Identifying critical decision-making points is a major factor in the success of games because players make their evaluated moves at these crucial points.

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Operations-Based Exercises

Operations-based exercises are more complex and include *drills, functional exercises (FEs)*, and *full-scale exercises (FSEs)*. These exercises are used to validate plans, policies, agreements, and procedures; clarify roles and responsibilities; and identify resource gaps. Operations-based exercises are characterized by actual *implementation of response activities* in reaction to an exercise scenario.

A **drill** is a coordinated, supervised activity usually employed to validate a specific function or capability in **a single agency or organization.** Drills are commonly used to **provide training on tasks specific to new equipment or procedures, to introduce or validate procedures, or practice and maintain current skills**. Drills can also be used to determine if plans can be executed as designed, to assess whether more training is required, or to reinforce best practices. During drills the command and control or coordination of agency or organizational elements are simulated or not in play.

A drill is useful as a stand-alone tool for use when implementing the use of new equipment or procedures within a single agency or organization, but a series of drills can also be used to prepare several agencies and organizations to collaborate in a Full Scale Exercise or FSE.

Functional Exercises or FEs are traditionally used to evaluate coordination of **management-level command and control functions** and are designed to validate and evaluate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. As they are traditionally used FEs focus on exercising plans, policies, procedures, and staff members involved in **management, direction, command, and control branches of the Incident Command System (ICS) and Unified Command, or multiagency coordination centers (e.g., Emergency Operations Centers [EOCs])** where movement of personnel and equipment and task level activities are usually simulated.

FSEs are typically the most complex and resource-intensive type of exercise and include command-and-control, functional and task level components. They are conducted in a real-time, stressful environment intended to mirror a real incident where many activities occur simultaneously throughout the duration of the exercise. In an FSE, events are projected through an exercise scenario with event updates that drive activity at the operational level. They involve multiple agencies, organizations, and jurisdictions and validate many facets of preparedness operating under the Incident Command System (ICS) and Unified Command, or multiagency coordination centers (e.g., Emergency Operations Centers [EOCs]). Personnel and resources may be mobilized and deployed to the scene where actions would be conducted as if a real incident had occurred. The FSE simulates reality by presenting complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel. The level of support needed to conduct an FSE is greater than that needed for other types of exercises. Safety issues, particularly regarding the use of props and special effects, must be monitored and the exercise site or venue is usually large; therefore site logistics require careful planning and close monitoring.

Not every exercise that you can do will neatly fit into these seven exercise types. This is especially true as you move towards the use of games as operational exercises that may have elements of one or more exercise types.

For example:

Do you think it is possible for a game—which is a type of discussion-base exercise—to utilize Controllers to facilitate exercise play? Games are often described as a competition between two or more **teams**, but are also described as an exercise event where players utilize a computer or some sort of technology which alters scenario play based on player actions and responses.

Controllers are not typical participants for discussion-based exercises, but games can also be used to describe exercise scenarios designed to explore individual **OR** team decision-making processes.
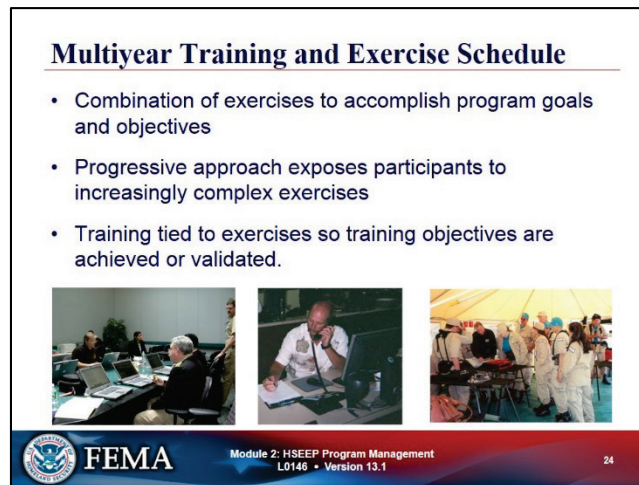
When games are used to evaluate team decisions rather than individual player actions, **Controllers** (rather than a computer) implement various scenario paths based on team decisions using a flow chart

representing the decision points within the scenario, with instructions provided for altering game play as a result of competing team decisions at each decision point.

Another example of this blending of types and terminology crossover is the use of Seminars to introduce new plans or procedures. Seminars usually do not include a feedback or evaluation process; however, Seminar attendees may possess expertise or insights not available to the originators of the plan. To provide the opportunity to obtain added value from the Seminar process, attendees should be provided with the added feature of a feedback mechanism to allow attendees the opportunity to raise questions or concerns on details of plan implementation, and invite recommendations on potential improvements for implementation of the plan in the field.

The main thing to remember is to avoid getting hung up over the HSEEP exercise *type* terminology when your exercise uses elements of different types, or incorporates additional focus areas in a blended delivery. In these cases be prepared to characterize and describe your blended exercise activities using one or more exercise of the common exercise type descriptions, and be sure to describe the rationale for blending these types in your exercise program plan and when describing requirements for the design and development of scenarios and implementation of exercise conduct.

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The **Multiyear Training and Exercise Schedule** should reflect a progressive program of increasingly complex exercises with each exercise building on the capabilities tested and validated in previous exercises. When building a training and exercise schedule, be sure that it is not overly aggressive. Think about what needs to be accomplished and how it can be efficiently accomplished through a combination of efforts and resources.

The schedule should:

- Provide a **graphic representation** of the proposed activities scheduled in the **Multiyear Exercise Plan.**
- Emphasize coordination between jurisdictions.

- Allow **adequate time** for a natural progression of increasingly complex exercises designed **to build and validate capabilities**.

Creating a multiyear training and exercise schedule requires ongoing coordination with stakeholders to:
- Identify the appropriate type and timeline for exercises,
- Consider current capabilities and preparedness levels,
- Experience of stakeholder organizations
- Personnel training and equipment acquisition schedules.

The completed Multiyear TEP and schedule should be distributed to the appropriate Emergency Management personnel throughout the state or jurisdiction. Templates for creation of the Multiyear TEP and other exercise documentation are available on the **HSEEP homepage at https://www.llis.dhs.gov/hseep**.

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Activity 2

**Activity 2 (Optional):
TEPW Schedule Development**

Objective:
Prepare for a TEPW to coordinate training and exercise priorities, goals, and types

Time: 15 minutes with 10-minute report-back

Instructions:
1. Determine your top two capabilities in your group.
2. Determine existing training/exercises that exist.
3. Determine new training/exercises required to meet core capabilities.
4. Place training and exercises on board.

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TEPW Schedule Development
Objective: Discuss activities that should be included/listed in the TEP Schedule (timeline).

Time Required: 10–15 minutes.

Instructions: Guided discussion on the dates/scheduling of activities across the TEP Schedule (timeline), including de-conflicting of scheduled activities across whole community stakeholder organizations.

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Rolling Summary of Outcomes

To help ensure that exercise program priorities are adequately addressed, Exercise Program Managers should periodically develop and distribute a **rolling summary of exercise outcomes**, or **rolling summary report**. A rolling summary report provides stakeholders with an analysis of issues, trends, and key outcomes from all exercises conducted as part of the exercise program.

The **rolling summary report is** not a collection of AARs, but rather **an analysis of trends across exercises**. It is developed periodically throughout the series of exercises completed as part of a multi-year TEP (e.g., quarterly or biennially, depending how many exercises are conducted). This report is **intended to serve as an exercise program management and communications tool**, which informs stakeholders and guides the development of future exercises.

This report is designed to:

- **Inform** elected and appointed officials on the progress of the exercise program
- Provide data to **support preparedness assessments and reporting requirements**
- Enable exercise planners to **modify objectives and the exercise schedule as required** to reflect knowledge gathered from the exercises.

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Managing Exercise Program Resources

An effective exercise program should utilize the full range of available resources. Program managers should also ensure they have planned for an exercise budget, program staffing, and other program support resources.

Exercise Budget Management

Effective budget management is essential to the success of an exercise program, and it is important for exercise managers to maintain awareness of their available resources and expected expenditures. In developing and maintaining an exercise program budget, program managers should work with the full range of stakeholders to identify financial resources and define monitoring and reporting requirements as required by individual exercises.

Program Staffing

Program managers should identify the administrative and operational staff needed to oversee the exercise program. The TEP can be the basis for determining exercise program staffing needs in addition to grant funds or other programmatic considerations. Program managers should also identify gaps between staffing availability and staffing needs. Exercise program managers can consider alternative means of procuring staff members, such as adding volunteers, students from universities (e.g., student nurses or emergency management students), or interns.

Other Resources

Exercise program managers should also consider other resources that can support exercises. Such resources can include:

- Information technology (e.g., modeling and simulation capabilities)
- Exercise tools and resources (e.g., document templates)
- Materials from previous exercises
- Training courses

- Mutual aid agreements, memoranda of understanding, and memoranda of agreement
- Technical assistance
- Equipment or props (e.g., smoke machines).

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Lesson 2 Review

In this lesson, you have learned:

- The purpose of a Training and Exercise Planning Workshop (TEPW)
- The purpose a Multiyear Training and Exercise Plan (TEP) and development and coordination of the Multiyear Training and Exercise Schedule
- Exercise Program Manager's role in managing program resources and how the Rolling Summary Report supports the Exercise Program Priorities.
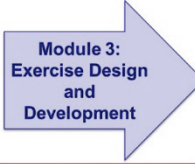
Questions?

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Module 2: Exercise Program Management Summary

As a review of the materials covered in Module 2:

- You've learned how the components of the National Preparedness System provide a foundation for identifying Exercise Program Priorities and how they are used in HSEEP Program Management.
- You understand the importance of engaging Senior Officials in identifying priority capabilities to be addressed through a progressive, comprehensive and integrated series of training and exercises.
- You identified the purpose of a Training and Exercise Planning Workshop (TEPW) and how stakeholders work together for development and coordination of the Multiyear Training and Exercise Plan (TEP) and Multiyear Training and Exercise Schedule.

In the lessons that follow you will be able to use your understanding of these program management processes to gain a better understanding of the planning activities involved in development of individual exercises.

The next section is Module 3: Exercise Design and Development.

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