

**Bay Area Regional Catastrophic
Planning Team
Urban Shield 2013
Functional and Full Scale Exercise**

Read-Ahead Package
For Initial Planning Meeting
April 25, 2013

Regional Catastrophic Plans
Functional Exercise

BAY AREA UASI FUNCTIONAL EXERCISE OVERVIEW

The information provided in this packet will assist you, as members of the exercise planning team (EPT), to prepare for the Initial Planning Meeting (IPM) scheduled for April 25, 2013. This packet includes:

- IPM Agenda
- IPM Purpose & Exercise Overview
- EPT & Support Team Responsibilities
- Exercise Duration & Venues
- Participating Jurisdictions
- Suggested Core Capabilities and Objectives
- Exercise Evaluation Process
- Exercise Tools & Documentation
- Next Steps

EXERCISE OVERVIEW

The Bay Area Urban Area Security Initiative (UASI) will conduct a Functional Exercise (FE) in October 2013. A functional exercise is multi-agency activity designed to evaluate capabilities and multiple functions using simulated response. Initial indications are the exercise scenario will be built around a series of incidents resulting in mass fatalities in three jurisdictions in the Bay Area. This scenario will test the ability of emergency management agencies to respond to an incident; activate, and manage their Emergency Operations Center (EOC), gather and disseminate information, manage resources, and provide coordinated information and messages to the public in an open, non-threatening environment.

INITIAL PLANNING MEETING OVERVIEW

Background

This exercise-planning meeting should include all members of the EPT to support full discussion and consensus on pertinent issues. EPT members should represent the emergency management agencies that will participate in the FE.

Primary Focus

IPM lays the foundation for exercise development and is a working meeting to determine the scope and design of the exercise. During the meeting, the EPT provides input on exercise objectives, participants, exercise location and duration, and other details required to support the development of exercise products.

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Length

This should be no more than a 1.5-hour meeting.

Key Points

The EPT should discuss several issues during the meeting.

- Clearly defined Exercise Objectives and aligned core capabilities Core Capabilities;
- Evaluation requirements, including Exercise Evaluation Guide (EEG) capability targets and critical tasks;
- Relevant plans, policies, and procedures to be tested in the exercise;
- Exercise Scenario;
- Modeling and simulation planning;
- Extent of play for each participating organization;
- Optimum duration of the exercise;
- Exercise planners' roles and responsibilities;
- Decision to record exercise proceedings (audio or video);
- Identify local issues, concerns, and sensitivities;
- Determine the date, time, and location for the next meeting; and
- Encourage interaction between staff across the Bay Area emergency management and response community, including key mid-level and senior managers from authorities and agencies that provide resources, and decision-makers from public and private agencies directing the incident response

Outcomes

This IPM will result in desired outcomes, such as:

- Clearly defined exercise objectives with aligned core capabilities;
- A list of participating exercise organizations and anticipated organizational extent of play;
- Identified exercise scenario variables (e.g., threat scenario, scope of hazard, venue, conditions);
- Identification and availability of all source documents (e.g., policies, plans, procedures) needed to draft exercise documents and presentations;
- A refined exercise planning timeline with milestones;
- Identification and availability of subject matter experts (SMEs), as necessary, for scenario vetting and/or expert evaluation;
- Determination of preferred communication methods among the exercise planning team;
- Clearly identified and assigned responsibility for exercise logistical issues;

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- A list of tasks to be accomplished by the next planning meeting with established dates for completion and responsible planning team members identified; and
- An agreed-upon date, time, and location for the next planning meeting and the actual exercise.

EPT members should consider themselves trusted agents (individuals who know the scenario, but do not discuss with others) and may be requested to participate in the exercise as evaluators or subject matter experts, rather than participants.

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EXERCISE RESPONSIBILITIES

Suggested Exercise Planning Team Responsibilities

The EPT is composed of five to ten people drawn from the target audience (stakeholders from the participating agency's emergency response community). Generally, the EPT develops and guides the exercise.

Please consider the following questions in preparation for the IPM:

- What are candidate primary goals and objectives of the exercise?
- Who should be participating in the exercise and in what capacity?
- Which portions of the exercise require URS Corporation (URS) support?
- How many people will be participating (players) during the exercise?
- How many people will be observers during the exercise?
- What planning meetings are scheduled/anticipated prior to the exercise?

The list below identifies some of the authorities and agencies that may be considered for providing exercise design team members:

- Participating jurisdictions and agencies
- Relevant disciplines
- City and County of San Francisco
- Contra Costa County
- Monterey County
- Alameda County Sheriff/Coroner
- Bay Area UASI

Exercise Support Team Responsibilities

URS will provide staff skilled in the design, development, and conduct of exercises to assist the EPT with support for the FE. URS will provide technical support on an as needed basis to work with the EPT in the planning, design, and conduct of this exercise. URS will be responsible for producing all exercise deliverables and interfacing with exercise planners under the direction of the URS Exercise Manager. The core Exercise Support Team will be supplemented by additional staff that will function as controllers during the exercise and will produce the After Action Report (AAR) / Improvement Plan (IP).

At a minimum URS will perform the following activities in support of this exercise:

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- Develop this Read-Ahead packet and disseminate to the lead exercise planner. April 23, 2013
- **Conduct an IPM – April 25, 2013**
 - Develop exercise concept, objectives, and scope
 - Design a scenario to assess the objectives as identified by the EPT
 - Provide supporting documentation including an agenda, sign-in sheets, sample participating agency list, and sample objectives
 - Develop IPM Minutes
- **Conduct a Mid-term Planning Meeting (MPM) - tentatively May 30, 2013**
 - Review Draft Exercise Plan (ExPlan)
 - Provide supporting documentation including an agenda, sign-in sheets, Draft Master Scenario Events List (MSEL), EEGs, Deployment Timetable, Controller/Evaluator List, and Midterm Planning Meeting (MPM) power point presentation
 - Develop MPM Minutes
- **Conduct MSEL Meeting – tentatively August 29, 2013**
 - Determine key events and when to deliver them.
 - Consider the tasks, conditions, and standards set forth by each exercise objective.
 - Incorporate suggestions and construct the MSEL
- **Conduct Final Planning Meeting (FPM) - tentatively September 26, 2013**
 - Confirm final logistics and review the Controller/Evaluator (C/E) Handbook.
 - Provide supporting documentation including: agenda, sign-in sheets, C/E Handbook, ExPlan, media release/public information handout, communications plan, MSEL, Final Planning Meeting (FPM) power point presentation.
- **Conduct Exercise – October 26, 2013**
 - Provide appropriate number of controllers for functional areas/venues during the exercise
 - Develop exercise materials including: copies of the ExPlan and participant feedback form
 - Develop forms for the exercise players and observers, C/E Handbooks and MSELs for each controller and evaluator, and EEGs for each evaluator/data collector
 - Provide power point presentations/briefings for Controller/Evaluator Training; and the C/E debrief
- **Conduct After Action Meeting – Within 30 days of the exercise**
 - Provide supporting documentation including a presentation and Draft AAR/IP
 - Provide appropriate number of facilitators for the AAM
- Prepare and submit final copies of the AAR/IP within 60 days of the completion of the exercise. URS will submit the first draft of this report to the UASI within 30 days of the FE.

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- Distribute copies of all deliverable exercise materials in hard copy formats to Bay Area UASI by approximately December 2, 2013.
- Prior to final delivery, URS will submit documents to the Exercise Manager for review.

EXERCISE DURATION AND VENUES

The exercise should be a minimum of four hours with a 30-minute hotwash immediately following at each of the three venues. The suggested venues include all participating agency EOCs, and simulation cell (SimCell).

The EPT tentatively determined the following dates and timeframe for the FE:

- FE Duration: Four to six hours
- Exercise Date: October 26, 2013

PARTICIPANTS

The EPT's goal is to have three Bay Area Operational Area EOCs activate during the FE. However, depending on participation levels and interest, other Bay Area EOCs may activate. The EPT has preliminarily identified the following three potential candidates to participate in the FE:

- City and County of San Francisco
- Contra Costa County
- Monterey County

In addition to the three activated EOCs, Alameda County Coroner will participate with the objective of coordinating Region 2 coroner mutual aid operations. Cal EMA Coastal Region may participate in a supporting capacity.

Exercise Staff Organization

The EPT will designate staff to participate in the exercise in the following capacities.

- **Exercise Director** – The exercise director oversees all exercise functions during exercise conduct and serves in the following functional roles:
 - Oversees and maintains in contact with controllers and evaluators
 - Debriefs controllers and evaluators following the exercise
 - Oversees setup and cleanup of exercise as well as positioning of controllers and evaluators
- **Lead Evaluator** – The lead evaluator should participate as a member of the EPT and be familiar with all relevant issues associated with the exercise, including plans, policies, and procedures; incident command and decision-making processes; and interagency and/or inter-jurisdictional coordination issues. The lead evaluator should have the

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management skills needed to oversee a team of evaluators over an extended process as well as the knowledge and analytical skills to undertake a thorough and accurate analysis of all capabilities.

- **Evaluator** – Evaluators are chosen based on their expertise in the specific functional areas they will observe. Evaluators use evaluation documents to document observations, capture unresolved issues, and analyze exercise results. Evaluators do not interfere with exercise flow.
- **Controller** - controllers plan and manage exercise play, set up and operate the exercise incident site, and possibly take the roles of individuals and agencies not actually participating in the exercise. Controllers direct the pace of exercise play, provide key data to players, and may prompt or initiate certain player actions and injects to the players as described in the MSEL to ensure exercise continuity. Controllers issue exercise materials to players as required, monitor the exercise timeline, and supervise the safety of all exercise participants. Controllers are the only participants who should provide information or direction to players. All controllers should be accountable to one senior controller.
- **Senior Controller** – The senior controller is responsible for the overall organization of the exercise. The senior controller monitors actions by controllers and exercise progress, and coordinates decisions regarding deviations or significant changes to the scenario caused by unexpected developments during play. The senior controller debriefs controllers and evaluators after the exercise and oversees the setup and takedown of the exercise.
- **Safety Controller** - The safety controller is responsible for monitoring exercise safety during exercise setup, conduct, and cleanup. All exercise controllers assist the safety controller by reporting any safety concerns. The safety controller should not be confused with the safety officer, who is identified by the incident commander during exercise play.
- **Simulator** - Simulators are control staff personnel who role-play as nonparticipating organizations or individuals. They most often operate out of a SimCell, but they may occasionally have face-to-face contact with players. Simulators function semi-independently under the supervision of SimCell controllers, enacting roles in accordance with instructions provided in the MSEL. All simulators are ultimately accountable to the Exercise Director and senior controller.
- **Observer** - Observers do not directly participate in the exercise; rather, they observe selected segments of the exercise as it unfolds, while remaining separated from player activities. Observers view the exercise from a designated observation area and are asked to remain within the observation area during the exercise. A dedicated controller or public information officer should be assigned to manage these groups. In a discussion-based exercise, observers may support the development of player responses to the situation by asking relevant questions, delivering messages, or citing references; however, they generally do not participate in moderated discussion.
- **Player** - Players have an active role in preventing, responding to, or recovering from the risks and hazards presented in the scenario, by either discussing or performing their

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regular roles and responsibilities. Players initiate actions that will respond to and/or mitigate the simulated emergency.

- **Exercise Support Staff** – URS Corporation will provide exercise support staff, which will plan, design, and conduct the exercise by producing all exercise deliverables and interfacing with exercise planners. Exercise support staff also will provide exercise controllers.

EXERCISE CORE CAPABILITIES AND OBJECTIVES

Exercise objectives are the foundation of exercise design and development. Exercise objectives define the specific goals, provide a framework for the development of the scenario, guide development of individual organizational objectives, and provide evaluation criteria for the exercise.

Generally, the number of exercise objectives is limited by planner's ability to enable timely execution of the exercise, facilitate design of a reasonable scenario, and adequately support the successful completion of exercise goals.

Objectives are initially prepared during concept development. Exercises that are more complex typically have both major and supporting objectives. A major objective contributes to development of general events to present to participants for action. Exercise developers use the supporting objectives to tailor the exercise so that it assesses the knowledge and skills of players.

The performance addressed by the objectives should have observable and measurable indicators to aid in identifying evaluation criteria. Objectives should be simple, measurable, achievable, realistic and task-oriented (SMART).

Mission Areas and Core Capabilities

The EPT may wish to test specific capabilities or coordination functions during the exercise. The list below identifies the five mission areas and their associated Core Capabilities. Recommended Core Capabilities are bolded and in blue text.

Common (Apply to all Mission Areas)

- Planning
- **Public Information and Warning**
- **Operational Coordination**

Prevention

- Forensics and Attribution
- Intelligence and Information Sharing
- Interdiction and Disruption
- Screening, Search, and Detection

Protection

- Access Control and Identity Verification
- Cybersecurity
- Intelligence and Information Sharing
- Interdiction and Disruption

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- Physical Protective Measures
- Risk Management for Protection Programs and Activities
- Screening, Search, and Detection
- Supply Chain Integrity and Security

Mitigation

- Community Resilience
- Long-term Vulnerability Reduction
- Risk and Disaster Resilience Assessment
- Threats and Hazard Identification

Response

- Critical Transportation
- Environmental Response/Health and Safety
- **Fatality Management Services**
- Infrastructure Systems
- Mass Care Services
- Mass Search and Rescue Operations
- On-scene Security and Protection
- Operational Communications
- **Public and Private Services and Resources**
- Public Health and Medical Services
- **Situational Assessment**

Recovery

- Economic Recovery
- Health and Social Services
- Housing
- Infrastructure Systems
- Natural and Cultural Resources

Exercise Objectives

Table 1 lists the proposed Core Capabilities and recommended SMART objectives that agencies can tailor to their unique needs. In order to ensure that the exercise is as useful as possible, the participating EOCs should provide input on objectives that specifically address their unique concerns.

Table 1: Proposed Exercise Core Capabilities and Objectives

Nr.	Core Capability	Objective
1.	Operational Coordination	Assess the capability of participating agencies to develop an integrated response by gathering information from and sharing information with other activated EOCs to produce consistent information to EOC staff and senior decision makers in a timely manner in accordance with agency SOPs, the Regional RCPGP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.
2	Public and Private Services and Resources	Assess the capability of participating agencies to determine the need for and request resources to support field operations within the OA and in support of regional incident response operations according to their SOPs, the RCPGP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.
3.	Public Information and Warning	Assess the capability of participating agencies to disseminate prompt, coordinated, clear, specific, accurate, and actionable emergency public information and warnings to for the general population and AFN populations (along C-MIST needs) in a timely manner in accordance with agency protocols and the RCPGP Regional Catastrophic Incident Mass Fatality Plan.
4.	Fatality Management Services	Assess the capability of participating agencies to conduct operations in response to a mass fatality incident in accordance with their SOPs and the RCPGP Regional Catastrophic Incident Mass Fatality Plan.
5.	Situation Assessment	Assess the capability of participating agencies to gather information from field units and develop situational status reports for each OA EOC and for transmission to the REOC according to OA EOC SOPs, the RCPGP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.

AFN = Access and Functional Needs

C-MIST = Communication, Medical, Independence, Supervision and Transportation

OA = Operational Area

RCPGP = Regional Catastrophic Preparedness Grant Program

SEMS = Standardized Emergency Management System

SOP = Standard Operating Procedure

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Contra Costa County – Tailored Objectives

Based on initial input from Contra Costa County, URS tailored the objectives to address the distinct outcomes that Contra Costa County would like to achieve during the exercise. Table 2 displays these tailored objectives for Contra Costa County.

Table 2: Proposed Contra Costa County Exercise Core Capabilities and Objectives

Nr.	Core Capability	Objective	Level of Participation	Scenario
1.	Operational Coordination	Assess the capability of the Contra Costa County Operational Area to activate core sections of the EOC from a warm start and manage EOC operations during a simulated mass casualty incident in accordance with the County Emergency Operations Plan and the EOC Standard Operating Procedures. <i>Core Sections: EOC Management, Planning, Operations, Logistics, CWS, PIO, Mutual Aid. (Final decision on section activation is dependent on scenario and final department participation commitments).</i>	10 – 20	
2.	Public Information and Warning	Assess the capability of the Contra Costa County Operational Area Public Information Officer and staff to craft and deliver alert, warning and notification public messaging for the general population and AFN populations (along C-MIST needs) in a timely manner in accordance with agency protocols.	people, not including coroner staff	No preference.
3.	Fatality Management Services	Assess the capability of the Contra Costa County Operational Area to evaluate the need for and conduct operations in response to a mass fatality incident in accordance with the Bay Area RCPGP Regional Catastrophic Incident and County Mass Fatality Plans.		

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4.	Fatality Management Services	<p>Evaluate the Contra Costa County Coroner’s ability to:</p> <ul style="list-style-type: none"> • Conduct incident evaluation/assessment processes for a mass fatality event. • Exercise coordination with mutual aid partners and assess procedural differences. • Activate a Family Assistance Center. • Evaluate mass fatality identification, transportation and cold storage procedures. 	<p>Contra Costa Coroner 4 Deputies 1 Supervisor 1 Captain</p>	<p>50+ fatalities in a rail accident or natural disaster. Prefer not to use a plane crash scenario.</p>
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PIO = Public Information Officer

AFN = Access and Functional Needs

C-MIST = Communication, Medical, Independence, Supervision and Transportation

EOS = Office of Emergency Services

RCPGP = Regional Catastrophic Preparedness Grant Program

City and County of San Francisco – Tailored Objectives

Based on initial input from the City and County of San Francisco (CCSF), URS tailored the objectives to address the distinct outcomes that a CCSF would like to achieve during the exercise. Table 3 displays these tailored objectives for CCSF. Additional information, such as the scenario preference is based on CCSF input.

Table 3: Proposed CCSF Exercise Core Capabilities and Objectives

Nr.	Core Capability	Objective	Scenario
1.	Operational Coordination	Assess the ability of the CCSF DEM EOC to gather and maintain incident situational awareness about critical infrastructure, lifelines, and emergency routes in a timely manner in accordance with department SOPs, the I RECP, , using the processes and protocols contained in SEMS.	Mumbai-style attack, using the existing Urban Shield sites as though they are simultaneous terrorist attacks.
2.	Public and Private Services and	<p>Assess the ability of the CCSF DEM EOC to:</p> <ul style="list-style-type: none"> • Rapidly clarify requirements/limitations 	

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	Resources	<p>of resources and/or systems necessary to manage logistical capabilities, including DSW coordination, EMMA, personnel transportation, and the EOC Logistics Section staff while conducting resources management, and requesting.</p> <ul style="list-style-type: none"> Identify and discuss the method in which mass care support resource needs will be communicated and coordinated among field operators, DOCs, partner agencies, the San Francisco EOC, the and REOC. 	
3.	Public Information and Warning	Assess the ability of the CCSF DEM EOC to conduct EOC internal notification / call-down procedures for a terrorist-caused mass casualty event based on current plans, policies, and procedures, identify and discuss the method in which mass care support resource needs will be communicated and coordinated among field operators, DOCs, partner agencies, the San Francisco EOC, the and REOC.	
4.	Fatality Management Services	Assess the ability of the CCSF DEM EOC to conduct operations in response to a mass fatality incident in accordance with their SOPs and the RCPGP Regional Catastrophic Incident Mass Fatality Plan.	

DOC = Department Operations Center

DSW = Disaster Service Worker

EMMA = Emergency Management Mutual Aid

EOC = Emergency Operations Center

RCPGP = Regional Catastrophic Preparedness Grant Program

RECP = Regional Emergency Coordination Plan

REOC = Regional Emergency Operations Center

SOP = Standard Operating Procedure

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Monterey County – Tailored Objectives

Based on initial input from Monterey County, URS tailored the objectives to address the distinct outcomes that Monterey County would like to achieve during the exercise. Table 4 displays these tailored objectives for Monterey County.

Table 4: Proposed Monterey County Exercise Core Capabilities and Objectives

Nr.	Core Capability	Objective
1.	Operational Coordination	Assess the capability the Monterey County Operational Area EOC to develop an integrated response by gathering information from and sharing information with other activated EOCs to produce consistent information to EOC staff and senior decision makers in a timely manner in accordance with agency SOPs, the RCPGP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.
2.	Public and Private Services and Resources	Assess ability of the Monterey County Operational Area EOC to determine the need for and request resources to support field operations within the OA in support of regional incident response operations according to their SOPs, the RCPGP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.
3.	Public Information and Warning	Assess the capability of the Monterey County Operational Area EOC to disseminate prompt, coordinated, clear, specific, accurate, and actionable emergency public information and warnings to for the general population and AFN populations (along C-MIST needs) in a timely manner in accordance with agency protocols and the RECP.
4.	Fatality Management Services	Assess the capability of the Monterey County Operational Area EOC to conduct operations in response to a mass fatality incident in accordance with their SOPs and the RCPGP Regional Catastrophic Incident Mass Fatality Plan.
5.	Situation Assessment	Assess the Monterey County Operational Area EOC to gather information from field units and develop situational status reports for each OA EOC and for transmission to the REOC according to OA EOC SOPs, the RECP Regional Catastrophic Incident Mass Fatality Plan, and SEMS.

AFN = Access and Functional Needs

C-MIST = Communication, Medical, Independence, Supervision and Transportation

OA = Operational Area

RCPGP = Regional Catastrophic Preparedness Grant Program

RECP = Regional Emergency Coordination Plan

SEMS = Standardized Emergency Management System

SOP = Standard Operating Procedure

EXERCISE EVALUATION PROCESS

The goal of exercise evaluation is to validate strengths and identify improvement opportunities. Exercise evaluations maintain a fundamental link between the exercise and improvement planning. Multiple exercises over several years or more may be required to attain the desired level of a fully developed and practiced response capability.

Evaluation Process Overview

The following overview describes the standard steps in the Department of Homeland Security (DHS) evaluation and improvement process for the full spectrum of hazardous scenarios and incidents. The focus of the evaluation is on assessing core capabilities and capacities in responding to a simulated incident. An exercise evaluation is not a “report card”. The results offer support to build on strengths and improve response capacity. The following evaluation process steps include evaluation planning, exercise observation and data collection, data analysis, and draft after-action report.

Step 1: Evaluation Planning

As part of the exercise design and objectives development process, the EPT will determine what information evaluators and control staff should collect and how they will collect it. Identifying clear evaluation requirements early in the planning process will ensure that the design, development, and conduct of the exercise best support an effective evaluation. Early in the exercise planning process, the EPT leader should appoint a lead evaluator to oversee all facets of the evaluation process. In addition to appointing a lead evaluator, the EPT is responsible for the following:

- Recruiting, assigning, and training evaluators
- Evaluation documentation (e.g., exercise-specific details, evaluator team organization, assignments, and locations, evaluator instructions, EEGs, MSEL)
- Pre-Exercise Evaluator Briefing

Since this functional exercise will involve multiple jurisdictions and venues, the EPT should assign lead site evaluators at each venue.

Step 2: Exercise Observation and Data Collection

Expert (peer) evaluators collect and record participant actions during the exercise and collect additional data as needed. Evaluators record observations in accordance with EEGs specific to the capabilities that the EOC is exercising.

Step 3: Data Analysis

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The analysis phase should answer the following questions about the exercise play:

- What happened?
- What was supposed to happen?
- If there is a difference, why? What is the root cause of the outcome?
- What is the effect of that difference?
- What should be learned from this?
- What improvement should be made or exemplary practices adopted?

The first step in the analysis process is a player hot wash (i.e., a short discussion session immediately following the exercise to get player feedback).

Step 4: After-Action Report Draft

As part of the analysis phase, the exercise support team will draft the AAR, which provides a description of discussions, exemplary practices, issues that need to be addressed, and recommendations for improvements.

The exercise support team will share the assessment information with jurisdiction officials and, if appropriate, facilitate the identification of improvements that the jurisdiction can make. This phase of the exercise evaluation and improvement process generally consists of the following steps:

Improvement Process Overview

Improvement planning exercises afford organization the opportunity to evaluate capabilities and assess progress toward meeting capability targets. The improvement process includes developing corrective actions, conducting an after-action meeting, finalizing the AAR/IP, corrective action tracking and implementation, and supporting continuous improvement.

Step 5: Corrective Actions

The exercise planning support team develops and assigns corrective actions from a qualitative assessment of available exercise data. Corrective actions should be concrete, actionable steps that resolve capability gaps and shortcomings identified in exercises or real-world events. Prior to the AAM, the exercise support team the exercise planning team leader should validate that the review the draft AAR and draft corrective actions to ensure that the corrective actions are valid and require resolution. Corrective action reviewers should use the following questions to guide the 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?

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- What training is needed to improve performance?
- What are the lessons learned for approaching similar problems in the future?

Step 6: After-Action Meeting

The exercise support team will present the draft AAR and draft IP at an AAM with the EPT and officials from the agencies and jurisdictions that participated in the exercise. They will also solicit feedback and validation from the officials on their observations and recommendations.

Step 7: After-Action Report / Improvement Plan Finalization

Following the AAM, the exercise support team will finalize the AAR/IP by incorporating any corrections and recommendations. Some of the actions may include only the preliminary step of a multi-step activity (i.e., create a task force to review the issue and make recommendations for further action).

Step 8: Corrective Action Tracking and Implementation

Each jurisdiction is responsible for establishing a process to implement the desired improvements. Organizations should assign points of contact responsible for tracking and reporting on their progress in implementing corrective action plans. Over time, exercises should yield observable improvements in preparedness for future exercises and real-world events.

Step 9: Using Improvement Planning to Support Continuous Improvement

Improvement planning activities can help shape an organization's exercise program priorities and support continuous improvement in the building and sustaining of core capabilities. Improvement planning involves:

- Consistent Approach
- Support National Preparedness
- Effective Issue Resolution and Information Sharing
- Application across Operational Phases

TOOLS AND DOCUMENTATION

Table 5 lists the key exercise design and development documents identified by the exercise type and relevant audience.

Table 5: FE Documentation Tools

Document Title	Distribution Audience	Key Document Features
Exercise Plan (ExPlan)	Players and Observers	Includes general exercise information but does not contain scenario details. Enables players to understand their roles and responsibilities in the exercise.
Controller Evaluator (C/E) Handbook	Controllers and Evaluators	Supplements ExPlan with exercise administration information and scenario details.
Master Scenario Events List (MSEL)	Controllers, Evaluators, and Simulators	A chronological listing of the events and injects that drive exercise play. Produced in both short and long formats.
Exercise Evaluation Guides (EEGs)	Evaluators	Helps evaluators assess performance of capabilities, tasks, and objectives during an exercise
Participant Feedback Form	All Participants	Asks for input regarding observed strengths and areas for improvement that players identified during the exercise.

NEXT STEPS

Exercise Planning Decisions

- Confirm milestone dates
- Document final participant list and continue outreach
- Document final exercise objectives
- Finalize scenario and add details
- Confirm exercise venues (e.g., SimCell)
- Develop Staffing/Organization Chart
- Develop exercise forms (e.g., ExPlan)
- Confirm support requirements

Documentation Development

Proposed Planning Meeting Schedule

- MPM – May 30, 2013
- MSEL Meeting – August 29, 2013
- FPM – September 26, 2013
- FE – October 26, 2013
- AAM– 30 days following FE
- AAR/IP – 60 days following FE

Questions

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Appendix A – Acronyms and Abbreviations

AAM	After Action Meeting
AAR	After Action Report
AFN	Access and Functional Needs
CCSF	City and County of San Francisco
C/E	Controller/Evaluator
C-MIST	Communication, Medical, Independence, Supervision, and Transportation
DHS	Department of Homeland Security
EEG	Exercise Evaluation Guide
EOC	Emergency Operations Center
EPT	Exercise Planning Team
ExPlan	Exercise Plan
FE	Functional Exercise
FPM	Final Planning Meeting
HSEEP	Homeland Security Exercise and Evaluation Program
IP	Improvement Plan
IPM	Initial Planning Meeting
MPM	Midterm Planning Meeting
MSEL	Master Scenario Events List
OA	Operational Area
RCPGP	Regional Catastrophic Preparedness Grant Program
RCPT	Regional Catastrophic Planning Team
RECP	Regional Emergency Coordination Plan
REOC	Regional Emergency Operations Center
SEMS	Standardized Emergency Management System
SimCell	Simulation Cell
SMART	Specific, Measurable, Achievable, Relevant, and Time-bound
SME	Subject Matter Expert
SOP	Standard Operating Procedure
UASI	Urban Area Security Initiative
URS	URS Corporation