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## Using HSEEP-Compliant Exercises to Develop and Evaluate Capabilities

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## Agenda

- Definition and Purposes of Exercises
- Input, Process, Output, Outcome Assessment Methodology
- Types of Discussion and Operations-Based Exercises
- Metrics in Routine and High Stakes/Low Frequency Events
- Capability Development, Evaluation, and Improvement Cycle
- Essential Evaluation Concepts
- Discussion


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## Definition and Purpose

*Exercises allow personnel to validate training and practice strategic and tactical prevention, protection, response, and recovery capabilities in a risk-reduced environment.*

US Department of Homeland Security  
 HSEEP Program Overview (p.1)


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### Definition and Purpose

- Test and validate policies, plans, procedures, training, equipment and agreements
- Clarify and train personnel in roles and responsibilities
- Improve individual and team performance
- Improve interagency coordination
- Identify gaps in resources
- Strengthen relationships
- Unfreeze personnel and organizations

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### Assessment Methodology (high stakes/low frequency events)

Inputs	Processes	Outputs	Outcomes
			
Plans Equipment Personnel	Training Drilling Exercising	<b>Capabilities</b> Agent ID Rescue Decontamination Medical Treatment	Environment's response to outputs

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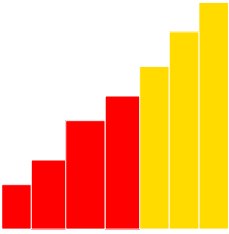
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### Types of Exercises

- Discussion-Based Exercises
- Operations-Based Exercises
- DHS identifies stair step approach
  - Complexity
  - Participant stress
  - Expense
- Different Functions
  - Develop or Evaluate Preparedness
  - Inputs, Process, Output



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## Discussion-Based Exercises

### Seminars

- First tier in building block approach
- Used to orient participants about plans, strategies, policies or concepts
- Informal discussion led by seminar leader
- Lack of time constraints by no real-time portrayal of events
- Low-stress environment, using lectures, panels, discussion cases, and experts

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## Discussion-Based Exercises

### Workshops

- Second tier in building block approach
- Focused on specific issue
- Focus on achieving a product (plan/policy)
  - EOPs, mutual aid agreements, exercise or improvement plans
- Increased participant interaction
- Train groups in coordinated activities
- Collect or share information/perspectives
- Low stress, no fault, non-time constrained

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## Discussion-Based Exercises

### Table Top Exercises (TTXs)

- Third tier in building block approach
- Key officials deliberatively discussing simulated situations (ConOps Planning)
- Assess and practice plans, policies, systems
- Troubleshooting problems
- Basic and advanced TTXs

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## Discussion-Based Exercises

**Games**

- Competitive simulation involving two or more teams in assumed real-life situation
  - Presented with branching scenarios that incorporate past decisions
- Tests understanding of interrelated processes
- Explore decision making processes and consequences of decisions

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## Operations-Based Exercises

**Drills**

- Supervised, coordinated activity to test a single function in a single agency
- Used to train or test equipment or policies
- Practice and maintain skills
- Performance measured against standards
- Instant feedback in a realistic environment
- Performance in isolation

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## Operations-Based Exercises

**Functional Exercises (FE)**

- Evaluates capabilities, functions, plans and staffs of Incident Command, Unified Command, Intelligence Centers or other multi-agency coordination centers (EOCs).
- Simulates reality of operations in a command center
  - Movement of field personnel and assets are simulated
- Presents complex and realistic problems in a very stressful environment

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## Operations-Based Exercises

### Full Scale Exercises (FSEs)

- Most complex step in exercise cycle
  - Validation of elements tested in other exercises
- Comprehensive evaluation of capability
  - Involves Command Post, EOC, and field response
  - Interagency, multi-function
  - Evaluates plans, equipment, training, personnel
- Very stressful, real-time play simulating actual operation
- Safety, logistic, and control considerations

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## Assessment Methodology (high stakes/low frequency)

	Interviews	Inspections	Tabletops	Drills	Full Scale	Real Event
Inputs	R/O	✓		✓	✓	✓
Processes	R/O		?	✓	✓	✓
Outputs	R/O			?	✓	✓
Outcomes	R/O					✓
Resources						

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## Assessment Methodologies and Metrics

- Full scale exercises are necessary to verify high-stakes/low frequency capabilities
  - To determine functional capability, a full scale exercise must sufficiently approximate real-world conditions
- Assessments should be based on pre-defined scenarios
- Assessment methods must be systematic and credible
- Metrics must be specific, valid, reliable, and detailed
- Use of TCL/UTL and locally-specific focused metrics
  - Life-critical high-stakes/low frequency events

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**Essential Concepts of Capability Assessment**

- Evaluate the "Chain of Preparedness"
  - Evaluate each critical link, including predicate capabilities and limitations
  - Consider "policy" impediments to capability
  - Political "spin control" reporting
  - Consider ongoing/operational impediments to capability
- Inaccurate assessments are worse than no assessments
  - Self assessments may be inaccurate
  - May dissuade further improvements and preparedness activities


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**Review**

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**Questions/Comments?**

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