



Earthquake Country Alliance SoCal Region “Exercise by Design: How to Write an Exercise”

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Earthquake
Country
Alliance
Southern California

Introduction

- **National Preparedness Goal (NPG):**
A secure and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to and recover from the threats and hazards that pose the greatest risk.
- **5 Mission Areas that are necessary to achieve the vision:**
Prevention, Protection, Mitigation, Response, Recovery

Why Are We Here?

- Learn about why it is important to exercise your Emergency Operations Plan (EOP) on a consistent basis
- Learn about how to design Discussion-Based Exercises
- Learn about FEMA HSEEP templates and other tools
- Experience conducting & participating in an actual Tabletop Exercise (TTX) and Hot Wash session

Note: FEMA refers to U.S. Department of Homeland Security Federal Emergency Management Agency; and HSEEP refers to FEMA Homeland Security Exercise Evaluation Program

CMS Emergency Preparedness Requirements 3178-F

- On September 8, 2016, the Federal Register posted the final rule for the Emergency Preparedness requirements for U.S. Centers for Medicare and Medicaid Services (CMS) participating providers and suppliers. The rule went into effect on November 16, 2016.
 - Emergency Preparedness Requirements for CMS participating providers and suppliers focus on 4 Core Elements:
 - ✓ Risk Assessment and Emergency Planning
 - ✓ Communication Plan
 - ✓ Policies and Procedures
 - ✓ Training and Testing (Exercising your Emergency Preparedness Plans)
 - Required to conduct two exercises on an annual basis
- Overall Theme, Preparation & Mitigation

Source: CMS.gov – Quality, Safety & Oversight Group – Emergency Preparedness



CMS Emergency Preparedness Requirements

3178-F – 4 Core Elements

- Risk Assessment and Emergency Planning
 - Identify Hazards/Threats in the area
 - Care-related emergencies
 - Equipment and power failures
 - Interruption of communications, including cyber attacks
 - Loss of all/portion of facility and supplies
 - Ensure that plan is reviewed and updated at least annually
- Communication Plan
 - Make sure it complies with Federal and State laws
 - System to Contact staff, patients, physicians, other necessary persons
 - Well-coordinated within the facility, across health care providers, and with state and local public health departments and emergency management agencies

Source: CMS.gov – Quality, Safety & Oversight Group – Emergency Preparedness

CMS Emergency Preparedness Requirements

3178-F – 4 Core Elements

- Policies and Procedures
 - Ensure that it complies with Federal and State laws
- Training and Testing (Exercising Your Emergency Preparedness Plans)
 - Ensure that it complies with Federal and State laws
 - Maintain and update plan annually

Source: CMS.gov – Quality, Safety & Oversight
Group – Emergency Preparedness



Definition of “Exercise”

What is the definition of “Exercise” according to the Merriam Webster’s Dictionary?

(n) Something performed or practiced in order to develop, improve or display a specific power or skill.

(v) To practice in order to train, strengthen or develop.

Why Exercise?

Answer: “Exercises” improves “Readiness” by:

- Involving the whole community
- Provide a way to evaluate operations and validates plans and capabilities
- Reinforcing teamwork
- Identify both capability gaps and areas for improvement
- Demonstrating a community’s resolve to prepare for disastrous and catastrophic events.

Why Exercise? (Continue)

- Clarify roles and responsibilities
- Improve inter-agency coordination
- Find resource gaps
- Develop individual performance
- Identify opportunities for improvement

Foundation for Exercises

Foundation for “Exercise” Design:

- Homeland Security Exercise Evaluation Program (HSEEP)
- Provides a common approach and consistent methodology for “Exercise” planning...It’s scalable and available to all organizations regardless of size or scope of the organization or planned activity.

HSEEP Fundamental Principles:

- Guided by elected officials and appointed officials
- Capability-based, Objective Driven
- Progressive Planning Approach
- Whole Community Integration
- Informed by Risk
- Common Methodology

Exercise Target Capabilities

- A **Capability** is the means to achieve a **measurable outcome** through the **performance** of **critical tasks** under **specified conditions** to **target levels** of performance

- HSEEP identifies 37 “Target Capabilities (for CMS providers and suppliers) but not limited to:

Common Capabilities:

- Planning
- Communications
- Risk Management
- Community Preparedness and Participation
- Intelligence, Information Sharing & Dissemination

Respond Mission Capabilities

- Responder Safety & Health
- Environmental Health
- Citizen Evacuation or Shelter-in-Place
- Isolation & Quarantine

Exercise Target Capabilities

Respond Mission
Capabilities for CMS
providers and suppliers
(continue)

- Emergency Triage & Pre-Hospital Treatment
- Medical Surge
- Medical Supplies Management & Distribution
- Mass Prophylaxis
- Fatality Management

Recovery Mission
Capabilities but not
limited to:

- Structural Damage Assessment
- Restoration of Lifelines
- Economic & Community Recovery

2 Types of Exercises

Discussion-Based Exercises



Operations-Based Exercises



Discussion-Based Exercises

Focus on strategic, policy-oriented issues and do not involve deployment of resources.

Action comes from a facilitated discussion with participants, either as whole group or in break out sessions.

Facilitators are essential to keeping the discussions on track to meet the exercise objectives.

4 Types of Discussion-Based Exercises

Seminar: An informal discussion designed to orient participants to new or updated plans, policies or procedures



Workshop: Resembles a seminar, but is employed to build specific products, for example draft of plan or policy



4 Types of Discussion-Based Exercises

Tabletop (TTX):

Involves key personnel discussing simulated scenarios in an informal setting... Can be used to assess plans, policies & procedures

Games: Contests, competitions focusing one or two items of plans, policies & procedures.



Discussion-Based Exercises Documents

- Situational Manual (SIT MAN)
- Controller/Evaluator (C/E) Handbook
- Exercise Evaluation Guides (EEGs)
- Participant Feedback Forms
- After-Action/Improvement Plan Report

Please refer to the handout examples.

Source: FEMA EMI Master Exercise Practitioner E-0132 Discussion-Based Exercise Design & Evaluation

Discussion-Based Exercise Design Team

- Recruit and advocate for an Exercise Planning Team
- Assign team members with roles and responsibilities



Tips for Creating a Successful Planning Team:

- ✓ Define roles, responsibilities and functional requirements
- ✓ Engage elected & appointed officials and whole community leadership in exercise planning
- ✓ Use project management principles
- ✓ Follow standardized process
- ✓ Organize the team using National Incident Management System (NIMS) Incident Command System (ICS) or other structures that define support roles for each team member

Logistics Discussion-Based Exercise

Facilitators:

- Flexible & Adaptive
- Proactive
- Responsive
- Resilient
- Be Prepared
- Know the five W's:
Why, Who, When,
Where & What about
the exercise
- Remain neutral,
objective & fair

Strategies:

- Organize messages
- Encourage
dialog/participation
- Elicit - don't provide –
responses or solutions
- Make eye contact
- Provide positive
reinforcement
- Redirect if necessary
- Honor break, lunch and
end time

Logistics Discussion-Based Exercise

Writer:

- Select a knowledgeable & skilled author who can record all ideas and/or facts

Controller:

Manages the overall break out session time frame for the exercise

Evaluator:

- **Collects data:** Records observations & discussions that occurred during the exercise (logs/notes, issues, how decisions are made, etc.)
- **Note: Never interfere with the exercise, step in only for safety issues**

Logistics Discussion-Based Exercise

Avoid Evaluator Pitfalls:

- Error of Leniency:

“All is well - positive”

- Error of Central Tendency:

“Everything is average to avoid making difficult decisions”

- Halo Effect: “Form early impression of an individual or operations”

- Hypercritical Effect:

Believes he or she has to find something wrong regardless of player’s performance

- Contamination:

Influence of knowledge or expectations about certain aspects of the exercise

Source: FEMA EMI MEP E-0132 Discussion-Based Exercise Design & Evaluation

Logistics Discussion-Based Exercise

Four elements of Exercise Evaluation Guides (EEGs):

- Core Capabilities
- Organizational Capability Target(s)
- Critical Task(s) from policies and/or plans
- Target Rating(s)

Hot Wash:

- Exercise Players
- Planning Team
- Facilitators
- Evaluators

Record observations, notes, timelines, milestones

Note: Establish rules before start (respectful environment)

Logistics Discussion-Based Exercise

Hot Wash Pitfalls:

- Participants who performed badly criticize the exercise instead of their performance
- Provide feedback on exercise design & facility (Exercise Feedback Form)

• “3 Ups & Downs”

Allows participants to freely to tell you what’s is wrong & guarantees you will end at the fault of the exercise

- Participants may unintentionally begin to re-exercise the exercise rehashing issues discussed during the exercise

Logistics Discussion-Based Exercise

Other ways to collect TTX data:

- Participant Feedback Forms
- Facilitator/Evaluator Debriefing for TTX

Feedback Forms

- Input regarding observing strengths & areas for improvement
- Constructive criticism about the design, control, or logistics of the exercise to help enhance the planning of future exercises

Logistics Discussion-Based Exercise

Analyze the data:

Note: Evaluation of TTX focuses on assessing the adequacy of, and familiarity with, existing policies, plans and procedures

Focus on the Root Cause...Why

Staircase...Develop actionable solutions to issue(s)

- Define the problem
- Collect data
- Identify Cause Factors
- Identify Root Causes
- Recommend/Implement solutions

After-Action/Improvement Plan Report (AAR/IP)

- Overall summary of exercise findings and recommendations

Past Great California ShakeOut Exercises

- 2009 Great California ShakeOut Drill held at California Science Center's "Big Lab" in Exposition Park
- 2010 Providence Hospital & High School Great California ShakeOut Full-Scale Exercise (FSE) in City of Burbank
- 2011 Target Store Great California ShakeOut Drill in Northridge
- 2012 Downtown LA Union Station Drill
- 2013 City of Los Angeles Drill
- 2013 Los Angeles County Operational Area Earthquake Response FE
- 2014 City of La Mirada/BIOLA University Great California ShakeOut Community Disaster FSE
- 2015 USC Community Emergency Response Team (CERT) Great California ShakeOut Drill & Exercise
- 2017 10th Anniversary of the Great SoCal ShakeOut FSE
- 2018 City of Los Angeles & State of California for the County of Los Angeles Superior Court Great California ShakeOut Drills
- 2019 ???