

HSEEP Mechanics Self-Paced Training Written Transcript

Module 4

Audio Text:

Module 4 will continue with HSEEP Requirement 2 and provide information on conducting the exercise. It will then provide information on HSEEP Requirements 3 and 4.

Slide Text:

Module 4

- HSEEP Requirement 2: Conduction the Exercise
 - HSEEP Requirement 3
 - HSEEP Requirement 4
-

Audio Text:

Conditions often arise during the exercise execution that were not anticipated during the planning process. *On the day of the exercise, Murphy rules!*

Safety is the most important activity of every exercise. While every exercise team has one or more appointed Safety Officers, *all* exercise participants must be constantly aware of safety issues.

The exercise planning team should visit the exercise venue the day prior to the event to ensure that the conditions on the site have not changed.

Restrooms and water must be available to all who will be on or around the exercise site. Exercise staff must wear some form of identification while at the site. Perimeter security and site safety, to include weapons check policy, are essential during set-up and exercise conduct.

Slide Text:

HSEEP Compliance Requirement #2

- Planning and Conducting exercises in accordance with the guidelines set forth in HSEEP Volumes I-III.

The Exercise Team Leader and Chief Controller should recon the exercise site(s) 24 hours out to make sure there are no changes in site conditions.

If discussion-based, the recon should review room layout and access. If operations-based, the recon should include assembly area(s), response route(s), operations area(s), parking areas, registration area, observer and media accommodations, and the SimCell facility.

Exercise Team Members should arrive at least 1 hour before start time to handle remaining logistic and administrative issues, arrange registration, and ensure controller and evaluator staff are briefed and in place.

On the day of the exercise, Murphy rules!

See *Mechanics Manual* – Page 25

Audio Text:

Exercise briefings are important tools for delivering necessary exercise-related information to participants. They are opportune times to distribute exercise documentation not previously provided, including administrative information such as location of restrooms and first aid stations, and answer any outstanding questions. All briefings should begin with on-site safety.

A discussion-based exercise generally includes a briefing on methods to be used to present the scenario and discussion rules.

An operations-based exercise should include briefings for controllers and evaluators, actors, players, observers and the media.

Slide Text:

Exercise Briefings

Briefings are opportune times to distribute exercise documentation, provide instructions and administrative information, and answer questions.

A discussion-based exercise generally includes a briefing on media to be used to present the scenario.

An operations-based exercise may include briefings for controllers/evaluators, actors, players, and observers/media.

All briefings should begin with safety concerns.

See *Mechanics Manual* – Page 25

Audio Text:

Evaluation is the cornerstone of an exercise. It documents strengths and areas for improvement in an organization's preparedness. Evaluation takes place using pre-developed Exercise Evaluation Guidelines. The exercise observations and comments feed improvement planning activities. The evaluation process for all exercises includes a formal exercise evaluation, integrated analysis, and a drafting of the After Action Report and Improvement Plan (AAR/IP).

Photography, sound recordings, and videography are important tools to document and supplement written evaluations and comments.

Permission may be needed to publish photographs of participants, particularly if minors are involved as exercise players. The *HSEEP Mechanics Manual Attachment 2* has an example of a permission form.

Slide Text:

Performance Data Collection is needed to verify exercise results, strengths, and areas for improvement. Written performance data is based on the evaluators' observations recorded on EEG forms.

Photography, sound recordings, and videography can be important documentation tools to supplement written evaluations and comments.

A picture is worth 1,000 words... but permission may be needed. See *Mechanics Manual*, Attachment 2.

See *Mechanics Manual* – Page 26
(Images – 2 pictures from an exercise)

Audio Text:

Discussion-based exercises such as seminars and workshops may not need a Player Hot Wash or exercise team debrief.

Complex Tabletops and Operational-based exercises may require all of the process activities that are stated on this slide.

Slide Text:

HSEEP Compliance Requirement #3

- Developing and submitting a properly formatted After-Action Report/Improvement Plan (AAR/IP).

The AAR/IP process should consist of:

- a player Hot Wash
- an exercise team debrief
- an evaluation team preliminary analysis
- drafting an AAR/IP
- holding an AAR Conference to confirm the IP
- posting the AAR/IP to the HSEEP CAP system

See *Mechanics Manual* – Page 26

Audio Text:

A *Hot Wash* must be held immediately following the end of an operational-based exercise. Hot Washes may also be held at the end of the discussion-based exercise at the discretion of the exercise planning team.

A Hot Wash allows players to provide immediate feedback both verbally and through distribution of Participant Feedback Forms.

A Hot Wash enables evaluators to identify system successes and failures as well as players' level of satisfaction with the exercise.

Include information gathered during a *Hot Wash* when writing the AAR/IP.

Actors often have valuable information about how they were treated during an exercise and can offer unique role-player perspectives. These Hot Washes should be held separately from exercise players.

Slide Text:

A Hot Wash is typically conducted by the exercise Chief Controller or Evaluator. It allows players to provide immediate feedback, verbally and through distribution of Participant Feedback Forms. It

enables evaluators to capture events while they are fresh in player's minds. It is often useful to hold a separate Hot Wash with actors.

The AAR/IP includes information gathered during the Hot Wash.

Hot Washes are held immediately following ENDEX.

See *Mechanics Manual* – Page 26
(Image – washing machine)

Audio Text:

Debriefs are a more formal forum for exercise planners, facilitators, controllers, and evaluators to review their observations and discuss the exercise.

Debriefs may be held following the *Hot Wash* or within a few days after the exercise. The exercise planning team leader facilitates the discussion and allows each person to provide an overview of the functional area that they observed.

Discussions are recorded and identified strengths and areas for improvement are analyzed for inclusion in the AAR/IP and Lessons Learned.

Slide Text:

Debriefs are a more formal forum for planners, facilitators, controllers, and evaluators to review observations and provide feedback. They may be held immediately or a few days after the exercise.

The Exercise Planning Team Leader facilitates discussions. Identified strengths and areas for improvement are analyzed for inclusion into the AAR/IP and Lessons Learned.

See *Mechanics Manual* – Page 26
(Image – people taking around a table)

Audio Text:

Following the Debrief, evaluators should review their EEGs and discussion notes to develop preliminary written analyses of the exercise. Preliminary analyses involve developing a chronological narrative for each capability and its associated activities.

The Chief Evaluator may assign the preliminary analysis for each activity to an individual or group of evaluators with relevant expertise or the evaluation team can jointly develop all required preliminary analyses.

The narratives should highlight strengths and areas for improvement, and identify points relevant to the organization's ability to complete the Target Capability objectives.

Slide Text:

A preliminary analysis follows the debrief, in which evaluators review their EEG discussion notes.

In writing the preliminary analysis, evaluators consider:

- Exercise objectives
- Key decisions
- Player training
- Resource shortcomings

- Plans, policies and procedures adequacy
- Players' familiarity with these documents
- Agencies/Jurisdictions coordination and cooperation
- Lessons learned
- Strengths
- Areas for improvement

See *Mechanics Manual* – Pages 27-29
(Image – people looking at documents together)

Audio Text:

The After Action Report/Improvement Plan summarizes exercise events and analyzes player performance of the Target Capability objectives.

The Improvement Plan portion of the AAR/IP includes corrective actions for improvement with timelines for their implementation and assignment to responsible parties.

To prepare the AAR/IP, exercise evaluators analyze data collected from the *Hot Wash*, the Debrief Meeting, Participant Feedback Forms, EEG, and other sources (e.g., plans, standard operating guidelines, and procedures). It compares actual results with expected outcomes.

Slide Text:

AARs/IPs provide feedback to participating organizations on their performance during the exercise. They summarize exercise events, evaluate achievement of exercise objectives, and validate the overall organization capabilities against a given scenario.

IPs include:

- corrective actions for improvement,
- timelines for their implementation, and
- assignment to responsible parties.

Evaluators must uncover not only what happened, but why it happened or didn't happen.

See *Mechanics Manual* – Page 27

Audio Text:

In writing an AAR/IP it is critical for evaluators to discover not only *what* happened, but *why* events happened – or didn't happen.

A root cause is the source of, or an underlying reason behind, an identified issue that needs improvement. Examples of a root cause may be an equipment failure, insufficient training need, a communications failure, or an inconsistency or lack of detail in an existing plan.

Root cause analysis may require the review and evaluation of an organization's equipment maintenance, emergency plans, training programs, and other plans, policies, and procedures.

Uncovering *root cause* enables the evaluation team to develop *actionable* solutions to improvement areas that will be identified in the After Action Report.

Slide Text:

Each task not completed as expected is an opportunity for evaluators to search for a root cause – the source of, or underlying reason behind, an identified issue. To arrive at a root cause, evaluators trace the origin of each event to earlier events and their respective causes. If an individual did not perform well, the root cause(s) may be due to insufficient training, experience, communications, a procedure, or the plan.

The root cause should never be identified as a person.

See *Mechanics Manual* – Page 28

(Image – plant with roots & the words, “Find the Root Cause”)

Audio Text:

When the draft AAR is completed, the exercise planning team, evaluation team, and exercise player stakeholders meet for an After Action Conference. For operations-based exercises, a face-to-face conference may be best. For discussion-based exercises, a conference phone call may be sufficient.

During the AAR Conference, attendees develop an improvement plan that pinpoints corrective actions that were identified in the After Action Report.

The improvement plan converts exercise observations and evaluations into concrete and measurable steps that will result in improved response capabilities.

It specifically details the actions that the participating organization will take to address each recommendation presented in the AAR/IP, who or what agency will be responsible for taking that action, and the timeline for completion.

Improvement Plan finalization is a negotiated process. Exercise stakeholders must agree that the IP recommendations are actionable, and they must agree to assume responsibility for their accomplishment.

Slide Text:

After completing the draft AAR, the exercise planning team, evaluation team, and exercise player stakeholders meet for an After Action Conference.

Over-classifying AARs reduce opportunities for sharing lessons learned.

After Action Conference attendees develop an IP that pinpoints corrective actions identified in the AAR, provides completion dates, and assigns a responsible person or agency.

The AAR and IP are then finalized as a combined AAR/IP, and IP corrective action items are entered into the CAP System.

IP finalization is a negotiated process.

See *Mechanics Manual* – Page 29

Audio Text:

Maintaining the discipline to keep the Improvement Plan on track is the most difficult part of the process. Failure to follow improvement plan corrective actions to completion, often results in repeated unlearned lessons and lack of preparedness improvement.

The HSEEP Corrective Action Program (CAP) System is an excellent tool for tracking Improvement Plan recommendations. It assigns IP activities with responsible organizations, action officers, and completion dates.

The HSEEP system will send an email to IP action officers, who are not entered in The CAP System, inviting them to register.

The CAP System allows action officers to update their tasks as they are completed. It has an alert system reminder for tasks that are overdue for completion.

Slide Text:

HSEEP Compliance Requirement #4

- Tracking and implementing corrective actions identified in the AAR/IP.

Once recommendations, corrective actions, assignment responsibilities, and due dates are identified in the IP, the exercising organization tracks each corrective action to completion.

The HSEEP Corrective Action Program (CAP) System is an excellent tool for tracking IP recommendations.

- It assigns IP activities to the responsible organization's action officers with expected completion dates.
- It allows action officers to update status of their tasks.
- It has an alert system reminder for overdue tasks.

IP tracking is the weakest link. (Image – chain with broken link)

See *Mechanics Manual* – Page 29

Audio Text:

When you can check all of these boxes, you will have achieved “HSEEP Compliance.”

Slide Text:

When you can check all of these boxes, you will have achieved “HSEEP Compliance.”

- Conducting an annual Training and Exercise Plan Workshop, and developing and maintaining a Multi-Year Training and Exercise Plan.
 - Planning and conducting exercises in accordance with the guidelines set forth in HSEEP Volumes I-III.
 - Developing and submitting a properly formatted After Action Report/Improvement Plan (AAR/IP).
 - Tracking and implementing corrective actions identified in the AAR/IP.
-

Audio Text:

Planning, training, exercising and evaluating are a system – a perpetual motion machine. The lubrication that keeps the gears turning is **leadership**.

The boss's interest in maintaining the system is critical to keeping it working. And, everyone has a stake in keeping him or her interested and involved.

Slide Text:

Planning, training, exercising, and evaluating are gears of a perpetual motion machine. Leadership is the lubrication that keeps the gears turning.

(Image – oil can labeled “Leadership” oiling gears labeled “Plan,” “Train,” and “Exercise/Evaluate”)

Audio Text:

This concludes Module 4; next please complete the module quiz to check your understanding.

Slide Text:

Conclusion of Module 4

Next – Complete the module quiz to check your understanding.

This quiz may not be accessible to all users. For a more accessible version of this quiz, please contact us by email at PHMP_TrainEx@doh.state.fl.us

HSEEP Mechanics Self-Paced Training Module 4 Learning Check

1. An Exercise Hot Wash:
 - a. Is required for all HSEEP exercises.
 - b. Is typically conducted by the Exercise Planning team Leader.
 - c. Provides information for the Exercise AAR/IP.
 - d. Is held the day following an exercise to allow players to write notes about their observations.

2. Evaluators are tasked to find the “root cause” of each area where improvement is needed. Root Causes:
 - a. Do not involve equipment or personnel.
 - b. Are listed in HSEEP Volume III.
 - c. Are the underlying reason behind an issue that needs improvement.
 - d. Do not impact the writing of the AAR/IP.

3. The weakest link in the HSEEP System is:
 - a. Insufficiently trained Player organization staff.
 - b. Insufficiently trained exercise controllers and evaluators.
 - c. Insufficient IP tracking.
 - d. Insufficient access to the HSEEP CAP System.

Module 4 Learning Check Answer Key

1. An Exercise Hot Wash:
 - c. Provides information for the Exercise AAR/IP.
 2. Evaluators are tasked to find the “root cause” of each area where improvement is needed.
Root Causes:
 - c. Are the underlying reason behind an issue that needs improvement.
 3. The weakest link in the HSEEP System is:
 - c. Insufficient IP tracking.
-

Audio Text:

Congratulations, you have completed the HSEEP Mechanics Self-Paced Training. You are now ready to complete the posttest.

Slide Text:

Congratulations, you have completed the HSEEP Mechanics Self-Paced Training.
Next – Please complete the posttest and course evaluation.
(Image – man turning gears, “HSEEP: Plan, Train, Exercise & Evaluate”)

Posttest

Audio Text:

Congratulations, you have completed the HSEEP Mechanics Self-Paced Training. You are now ready to complete the posttest.

Slide Text:

Please complete the HSEEP Mechanics Self-Paced Training Posttest

(Image – man turning gears, “HSEEP: Plan, Train, Exercise & Evaluate”)

This test may not be accessible to all users. For a more accessible version of this test, please contact us by email at PHMP_TrainEx@doh.state.fl.us

Posttest Instructions – Text Version

- Request a copy of the Posttest by sending an email to PHMP_TrainEx@doh.state.fl.us .
- Open the Word version of the Posttest and check the box beside the correct answer. Save your completed Posttest to your computer.
- Send your completed Posttest as an email attachment to PHMP_TrainEx@doh.state.fl.us; please include your name and contact information in the email message.
- Your Posttest will be scored and a certificate will be sent to you by email when you receive a passing score.

If you have any questions, please contact us by email at PHMP_TrainEx@doh.state.fl.us.