Emergency Preparedness Exercise Design and Evaluation: Session One

Aimee Wollman Nesseth, M.Div, MS, Optima EP
Brian Kaczmarski, BS, MPH, Optima EP
August 3, 2023
Objectives

- Identify the key components of emergency preparedness exercise and design.
- Explain the four functions of the Homeland Security Exercise and Evaluation Program (HSEEP) cycle.
- Understand the connection between capabilities and objectives.
- Identify helpful tool and resources that support the elements of emergency preparedness exercise and design.
Exercise Design Series Part 1: Welcome and Introductions

Aimee Wollman Nesseth

Brian Kaczmarski

Co-Owners Optima EP LLC and Emergency Preparedness Consultants
Exercises are intimidating, difficult, and, at times frustrating. Our job is to make the process easy and meaningful.

“I’d much rather fall flat on my face during an exercise than in front of a CNN reporter....”

“No fault” vs. “at fault” are two very different places...”

“We LOOK for failures during exercises, we want them, we want to shine a big old spotlight on them.....what we don’t want is that big old spotlight when we’re trying to explain why we did such a horrible job....”
History and Setting the Stage

Yes, this part is boring.....no, we can’t skip it...

**Background:** 9/11, Katrina, and ‘insert bad thing here’ have shown us multiple times we are vulnerable.

In 2003, two particular presidential directives have led to the world of emergency preparedness and response that we know and love today. Homeland Security Presidential Directives **HSPD-5 & HSPD-8**

Center for Medicare & Medicaid (CMS) agencies came to the table in 2017, officially.

The 2021, Appendix Z added to the love....
There was an unforeseen issue....

1. We knew we weren’t prepared and were still vulnerable
2. We continued to mess up when bad things did happen
3. There was no standardized incident management structure in place
4. There were no ‘structured capabilities’ or ‘functions’ to focus on.
Solutions: NIMS and Capabilities Based Planning

Response Structure

Along came the National Incident Management System (NIMS) – our lovely application of NIMS is the Incident Command System (ICS). Did you know that there is NHICS? Nursing Home ICS. Impress your friends at your next social gathering.

Capabilities-Based Planning

There are MANY models but they are CRITICAL to this work.

Standard capabilities led to standardized planning….our plans align in that they speak to the same capabilities, regardless of the ‘bad thing’

This led to ‘Capabilities Based Planning’ and ‘All-Hazards Planning’ – two identified best practices.
Cool! We’re ready....now we just sit around and wait for the ‘bad thing’ right?

“THAT WITH WHICH WE DO NOT PRACTICE GOES ‘BYE-BYE’…”
Actual proof of people just sitting around waiting for the bad thing to happen....

Images by:  www.bing.com/images

optima ep
Emergency Preparedness Consultants
The need for a standardized ‘testing’ system....

**Exercise Requirements** – depending on your discipline/provider type, you have between 1-2 exercise or real event requirements annually

- We needed a standardized system for this as well
- ‘Homeland Security Exercise and Evaluation Program’, lovingly referred to as HSEEP, was created to meet this need.
HSEEP Cycle

Four Functions

1. Design and Development
2. Conduct
3. Evaluation
4. Improvement Planning
HSEEP: Functions within each module

There are 18 different functions within the modules.

Sounds easy, right??

If you don’t do it regularly, it can be a challenge.
We are here to help!

The series breakdown

Part 1- Introduction to Emergency Preparedness Exercise and Design

Part 2- Design and Development

Part 3- Conduct

Part 4- Evaluation and Improvement Planning

The remainder of Part 1 will focus on the ‘building blocks’ approach and the capabilities breakdown.
The Building Block Approach

Only Tabletop, Functional, and Full-Scale Exercises typically require an After-Action report
# Nomenclature

<table>
<thead>
<tr>
<th>Capability</th>
<th>Activities</th>
<th>Tactics</th>
</tr>
</thead>
</table>
| • A large, complex function requiring ‘staff and stuff’ to be completed in a coordinated manner.  
• Typically, a series of activities is required to demonstrate this. | • Smaller, more measurable and observable functions that collectively make up a capability. | • Single, measurable actions that collectively form an activity. |
The Capability & Objective connection

**Ask yourself:**

What do you hope to accomplish by performing a particular capability?

This is where objectives come in.

We dive into this more in Part 2 (that’s called a cliffhanger!)

Images by Bing
Capabilities – are everywhere!

The 15 PHEP Capabilities

Capabilities – Hospital Preparedness

The HPP Capabilities*

New HPP Capabilities Emphasize Healthcare Response (hhs.gov)

*Note: 4 new Capabilities are being proposed for the new Cooperative Agreement which would begin on July 1, 2024.

Hospital Preparedness (HPP) Capabilities
1. Foundation for Healthcare and Medical Readiness
2. Healthcare and Medical Response Coordination
3. Continuity of Health Care Service Delivery
4. Medical Surge

8 hpp capabilities - Bing images
Capabilities for Accreditation

The Joint Commission Capabilities

eICS - Incident Reports (juvare.com)

The Joint Commission Critical Areas
- Communication
- Resources and Assets
- Safety and Security
- Staff Responsibilities
- Utilities Management
- Patient Clinical and Support Activities
Capabilities – FEMA

FEMA Core Capabilities

<table>
<thead>
<tr>
<th>Prevent</th>
<th>Protect</th>
<th>Mitigate</th>
<th>Respond</th>
<th>Recover</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
<td>Planning</td>
<td>Planning</td>
<td>Planning</td>
<td>Planning</td>
</tr>
<tr>
<td>Public Information and Warning</td>
<td>Public Information and Warning</td>
<td>Public Information and Warning</td>
<td>Public Information and Warning</td>
<td>Public Information and Warning</td>
</tr>
<tr>
<td>Operational Coordination</td>
<td>Operational Coordination</td>
<td>Operational Coordination</td>
<td>Operational Coordination</td>
<td>Operational Coordination</td>
</tr>
<tr>
<td>Forensics and Attributes</td>
<td>Access Control and Identity Verification</td>
<td>Community Resilience</td>
<td>Critical Transportation</td>
<td>Economic Recovery</td>
</tr>
<tr>
<td>Intelligence and Information Sharing</td>
<td>Cybersecurity</td>
<td>Long-Term Vulnerability Reduction</td>
<td>Environmental Response/Health and Safety</td>
<td>Health and Social Services</td>
</tr>
<tr>
<td>Screening, Search, and Detection</td>
<td>Intelligence and Information Sharing</td>
<td>Risk and Disaster Resilience Assessment</td>
<td>Fatality Management Services</td>
<td>Housing</td>
</tr>
<tr>
<td>Interdiction and Disruption</td>
<td>Physical Protective Measures</td>
<td>Threats and Hazard Identification</td>
<td>Infrastructure Systems</td>
<td>Infrastructure Systems</td>
</tr>
<tr>
<td>Risk Mgmt for Protection Programs and Activities</td>
<td>Mass Care Services</td>
<td></td>
<td>Mass Search and Rescue Operations</td>
<td>Natural and Cultural Resources</td>
</tr>
<tr>
<td>Screening, Search, and Detection</td>
<td>On-Scene Security and Protection</td>
<td></td>
<td>Operational Communications</td>
<td></td>
</tr>
<tr>
<td>Supply Chain Integrity and Security</td>
<td>Public and Private Services and Resources</td>
<td></td>
<td>Public Health and Medical Service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Situational Assessment</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Suggestions/Best Practices

• Know if your provider type/discipline has specific ‘capabilities’
• Format your plans into capabilities
  • Activities
  • Tactics (these become your Standard Operating Procedures or Ops Checklists)
  • Exercise Evaluators will be looking at the ‘tactics’ level

• You’ll never reach proficiency at the tactic level until you understand what’s above them; capabilities and activities
• The ‘tactics’ and how they are formatted are THE most important part of your plans
Example of Plan

Not all names are the same…

INCIDENT RESPONSE GUIDE
UTILITY FAILURE

### UTILITY FAILURE

#### MISSION

To safely manage resident care through effective and efficient nursing home operations during the loss of a major utility with the facility.

#### DIRECTIONS

Read this entire response guide and use as a checklist to ensure tasks are addressed and completed. For each response period, all activated IMT positions should refer to their Job Action Sheet for additional actions. Each IRG is intended to be a starting point and not all inclusive. Customize to your facility.

Note: Section duties and responsibilities remain the responsibility of the Incident Commander unless delegated.

#### OBJECTIVES

- [ ] Identify extent of outage and consider evacuation.
- [ ] Maintain resident care capabilities.
- [ ] Minimize impact on nursing home operations and clinical services.
- [ ] Communicate the situation status to residents, staff, and the public.

#### RAPID RESPONSE CHECKLIST

- [ ] Call 9-1-1 if the power outage causes or threatens a medical emergency (e.g., power is lost to a ventilator).
- [ ] If the utility outage poses a risk to the safety of residents, staff or visitors, take actions to reduce/eliminate the threat without jeopardizing the safety of staff.
- [ ] Report the outage to the appropriate utility company or repair vendor.
About HSEEP

Exercises are a key component of national preparedness — they provide the whole community with the opportunity to shape planning, assess and validate capabilities, and address areas for improvement.

HSEEP provides a set of guiding principles for exercise and evaluation programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning.

To learn more about HSEEP resources and templates, click on the area of interest in the graphic to the right or select an item from the menu below.

HSEEP News & Updates

- New Long-Term Community Resilience Exercise Resources Now Available
- Access Virtual Exercise Best Practice Guides Today

Quick Links

Policy and Guidance

HSEEP Policy & Guidance provides a set of fundamental principles for exercise programs, as well as a common approach to exercise management, design and development, conduct, evaluation, and
HSEEP Resources - Preparedness Toolkit (fema.gov)
Conduct
Exercise conduct involves activities essential to conducting exercises such as preparing for exercise play, managing exercise play, and conducting immediate exercise wrap-up activities. Throughout these efforts, the engagement of elected and appointed officials by practitioners will ensure that the exercise is addressing the guidance and intent of officials.
Go to Conduct

Evaluation
Exercise evaluation is the cornerstone of an exercise and maintains the functional link between exercise and improvement planning. Through exercise evaluation, organizations assess the capabilities needed to accomplish a mission, function, or objective. Effective exercise evaluation involves planning for exercise evaluation, observing and collecting data during exercise conduct, analyzing data, and reporting exercise outcomes.
Go to Evaluation

Improvement Planning
Exercises afford organizations the opportunity to evaluate capabilities and assess progress toward meeting capability targets in a controlled, low-risk setting. An effective corrective action program develops improvement plans that are dynamic documents, with corrective actions continually monitored and implemented as part of improving preparedness.
Go to Improvement Planning

Exercise Evaluation Guides (EEGs)
Exercise Evaluation Guides (EEGs) provide a consistent tool to guide exercise observation and data collection. EEGs are aligned to exercise objectives and core capabilities, and list the relevant capability targets and critical tasks. These targets and critical tasks may be drawn from the National Preparedness Goal and the five national planning frameworks, a threat/hazard identification and risk assessment product, or from an organization’s own plans and assessments.
Go to Exercise Evaluation Guides (EEGs)
Or just ‘YouTube’ it....

HSEEP Training Videos – YouTube (34 short videos)
Part 2: Design and Development

Please reach out to Aimee or Brian with any questions.

aimee@optimaep.com
brian@optimaep.com
Superior Health: Emergency Preparedness Tabletop Exercises

• Virtual facilitated tabletop exercises September 2023 through September 2024.
• Meet CMS requirements for full-scale community-based exercise.
• Test functional elements of your Emergency Plan.
• Complete the required documentation and receive an “After Action Report” from Optima EP.
• To register: Meet the CMS Requirement: Virtually facilitated tabletop exercise (mailchi.mp)
This material was prepared by the Superior Health Quality Alliance, a Quality Innovation Network-Quality Improvement Organization under contract with the Centers for Medicare & Medicaid Services (CMS), an agency of the U.S. Department of Health and Human Services (HHS). Views expressed in this material do not necessarily reflect the official views or policy of CMS or HHS, and any reference to a specific product or entity herein does not constitute endorsement of that product or entity by CMS or HHS.

12SOW-MI/MN/WI-NH-23-80 072623

Empowering patients, families and caregivers to achieve health care quality improvement.