

# The Homeland Security Exercise and Evaluation Program (HSEEP)

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## What is the Homeland Security Exercise and Evaluation Program (HSEEP)?

- A capabilities and performance-based exercise program
- Provides a standardized policy, methodology, and terminology for exercise design, development, conduct, evaluation, and improvement planning
- Ensures that exercise programs conform to established best practices
- Provides unity and consistency of effort for exercises at all levels
- Meets the National Response Plan (NRP) and National Incident Management System (NIMS) goals
- Provides tools and resources for States and local jurisdictions to establish self-sustaining exercise programs
- Applicable for Federal, State, and local governments, departments, and agencies; private sector entities; and Non-Governmental Organizations.

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## History of HSEEP

Figure 1: HSPD-8 in Context

- Chemical Stockpile Emergency Preparedness Program (CSEPP)
- Radiological Emergency Preparedness (REP) Program
- Nunn-Lugar-Domenici (NLD) Domestic Preparedness Program

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## HSEEP Coordination

DHS has sought both Intra- and Inter-Agency HSEEP buy-in through and National Exercise Program (NEP) Charter and Implementation Plan:

- Addresses Katrina Report recommendations
- Distributed HSEEP Volumes for Intra- and Inter-Agency Review
- Provides framework for Federal Inter-Agency exercise coordination
- Establishes Five Year Exercise Schedule
- Mandates HSEEP as standardized methodology and policy for all Intra- agency exercises

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## HSEEP Components

HSEEP addresses the range of exercise evaluation issues through a blended approach involving four related program areas:

- **Policy and Guidance**—Providing the strategic direction for exercise and evaluation programs Nationwide
- **Training**—Offering courses and tutorials on the many HSEEP plans, policies, and requirements
- **Technology**—Ensuring that Federal, State, and local jurisdictions have the tools necessary to plan and implement exercise programs
- **Direct Support**—Supporting jurisdictions across the Nation through funding, training, and other exercise support

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## Exercise Types

There are seven types of exercises defined within HSEEP.

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## Exercise Types: Discussion Based

Discussions-based Exercises familiarize participants with current or new plans, policies, agreements and procedures.

Types of Discussion-based Exercises include:

- **Seminar:** A seminar is an informal discussion, designed to orient participants to new or updated plans, policies, or procedures
- **Workshop:** A workshop resembles a seminar, but is employed to build specific products, such as a draft plan or policy
- **Tabletop Exercise (TTX):** A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting. TTXs can be used to assess plans, policies, and procedures.
- **Game:** A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedure designed to depict an actual or assumed real-life situation.



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## Exercise Types: Operations Based

Operations-based Exercises validate plans, policies, agreements and procedures, clarify roles and responsibilities, and identify resource gaps in an operational environment. Types of Operations-based Exercises include:

- **Drill:** A drill is a coordinated, supervised activity usually employed to test a single, specific operation or function within a single entity
- **Functional Exercise (FE):** A functional exercise examines and/or validates the coordination, command, and control between various multi-agency coordination centers
- **Full-Scale Exercise (FSE):** A full-scale exercise is a multi-agency, multi-jurisdictional, multidiscipline exercise involving functional and "boots on the ground" response



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## Exercise Documentation (slide 1 of 4)

The list below briefly describes the important document types associated with most exercises. More information can be found in HSEEP Volume II.

- A **Situation Manual (SitMan)** is a participant handbook for discussion-based exercises, particularly TTXs. It provides background information on exercise scope, schedule, and objectives. It also presents the scenario narrative that will drive participant discussions during the exercise.
- The **Exercise Plan (ExPlan)**, typically used for operations-based exercises, provides a synopsis of the exercise and is published and distributed to players and observers prior to the start of the exercise. The ExPlan includes the exercise objectives and scope, safety procedures, and logistical considerations such as an exercise schedule. The ExPlan does not contain detailed scenario information.
- The **Controller and Evaluator (C/E) Handbook** supplements the ExPlan for operations-based exercises, containing more detailed information about the exercise scenario and describing exercise controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it is distributed only to those individuals specifically designated as controllers or evaluators.



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## Exercise Documentation (slide 2 of 4)

- The **Master Scenario Events List (MSEL)** is a chronological timeline of expected actions and scripted events (i.e., injects) to be inserted into operations-based exercise play by controllers in order to generate or prompt player activity. It ensures necessary events happen so that all exercise objectives are met.
- A **Player Handout** is a 1-2 page document, usually handed out the morning of an exercise, which provide a quick reference for exercise players on safety procedures, logistical considerations, exercise schedule, and other key factors and information.



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## Exercise Documentation (slide 3 of 4)

**Exercise Evaluation Guides (EEGs)** help evaluators collect and interpret relevant exercise observations.

EEGs provide evaluators with information on what tasks they should expect to see accomplished during an exercise, space to record observations, and questions to address after the exercise as a first step in the analysis process.

Standardized EEGs have been created that reflect capabilities-based planning tools, such as the Target Capabilities List (TCL) and the Universal Task List (UTL).

The EEGs are intended to guide an evaluator's observations so that the evaluator focuses on capabilities and tasks relevant to exercise objectives to support development of the After Action Report/Improvement Plan (AAR/IP).



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## Exercise Documentation (slide 4 of 4)

An **After Action Report/Improvement Plan (AAR/IP)** is the final product of an exercise. The AAR/IP has two components:

- an AAR, which captures observations and recommendations based on the exercise objectives as associated with the capabilities and tasks; and
- an IP, which identifies specific corrective actions, assigns them to responsible parties, and establishes targets for their completion.

The lead evaluator and the exercise planning team draft the AAR and submit it to conference participants prior to an After Action Conference (see below).

The draft AAR is distributed to conference participants for review no more than 30 days after exercise conduct.

The final AAR/IP is an outcome of the After Action Conference and should be disseminated to participants no more than 60 days after exercise conduct.



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## Documentation by Exercise Type

Exercise planners should develop the following documents to support exercise planning, conduct, evaluation, and improvement planning:

For Discussion-based Exercises:

- Situation Manual (SITMAN)

For Operations-based Exercises :

- Exercise Plan (EXPLAN)
- Player Handout
- Master Scenario Events List (MSEL)
- Controller/Evaluator Handbook (C/E Handbook)

Templates and samples of these documents can be found in HSEEP Volume IV: Sample Templates and Formats, available on the HSEEP website <http://hseep.dhs.gov> .



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## Planning and After Action Conferences

The HSEEP methodology defines a variety of planning and after action conferences. The need for each of these conferences varies depending on the type and scope of the exercise. They include:

- Concepts and Objectives Meeting
- Initial Planning Conference (IPC)
- Mid-Term Planning Conference (MPC)
- Master Scenario Events List (MSEL) Conference
- Final Planning Conference (FPC)
- After Action Conference (AAC)



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## HSEEP Compliance

HSEEP Compliance is defined as adherence to specific HSEEP-mandated practices for exercise program management, design, development, conduct, evaluation, and improvement planning. In order for an entity to be considered HSEEP compliant it must satisfy four distinct performance requirements:

1. Conducting an annual Training and Exercise Plan Workshop and developing and maintaining a Multi-year Training and Exercise Plan.
2. Planning and conducting exercises in accordance with the guidelines set forth in HSEEP Volumes I-III.
3. Developing and submitting a properly formatted After-Action Report/Improvement Plan (AAR/IP). The format for the AAR/IP is found in HSEEP Volume III.
4. Tracking and implementing corrective actions identified in the AAR/IP.



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## Exercise Planning and Conduct

- Exercise objectives should be based on capabilities and their associated critical tasks
- An entity may wish to create its own Simple, Measurable, Achievable, Realistic, and Task-oriented (S.M.A.R.T.) objectives based on its specific plans/procedures associated with these capabilities and tasks
- The scenarios used in exercises must be tailored toward validating the capabilities, and should be based on the entity's risk/vulnerability assessment.



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## After-Action Reporting

- Following each exercise, a draft AAR/IP must be developed based on information gathered
- Following every exercise, an After-Action Conference (AAC) must be conducted, in which:
  - Key personnel and the exercise planning team are presented with findings and recommendations from the draft AAR/IP.
  - Corrective actions addressing a draft AAR/IP's recommendations are developed and assigned to responsible parties with due dates for completion
- A final AAR/IP with recommendations and corrective actions derived from discussion at the AAC must be completed within 60 days after the completion of each exercise



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## Improvement Planning

- Corrective actions included in the improvement plan must be measurable.
- Corrective actions included in the improvement plan must designate a projected start date and completion date.
- Corrective actions included in the improvement plan must be assigned to an organization and a point of contact (POC) within that organization.
- Corrective actions must be continually monitored and reviewed as part of an organizational Corrective Action Program. An individual should be responsible for managing a Corrective Action Program to ensure corrective actions resulting from exercises, policy discussions and real-world events are resolved and support the scheduling and development of subsequent training and exercises.



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## HSEEP Components

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## Training

- National Standardized Exercise Curriculum (NSEC) <http://www.training.fema.gov/emiweb/cec/>
- Independent Study (e.g., IS-120.A, IS-130) <http://training.fema.gov/EMIWeb/IS/IS120a.asp> <http://training.fema.gov/EMIWeb/IS/IS130.asp>
- Master Exercise Practitioner Program (MEPP) <http://training.fema.gov/EMIweb/cec/emiopt.asp>
- Check the Indiana Department of Homeland Security website for training opportunities (under revision) <http://www.in.gov/dhs/tngbranch.htm>



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## Technology

HSEEP technological tools include:

- HSEEP Website
- HSEEP Volume IV Library
- HSEEP Toolkit
  - NEXS System
  - Design and Development System (DDS)
  - CAP System
  - Exercise Evaluation Guide Library (EGL)
- Lessons Learned Information Sharing (LLIS.gov)



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## HSEEP Website:

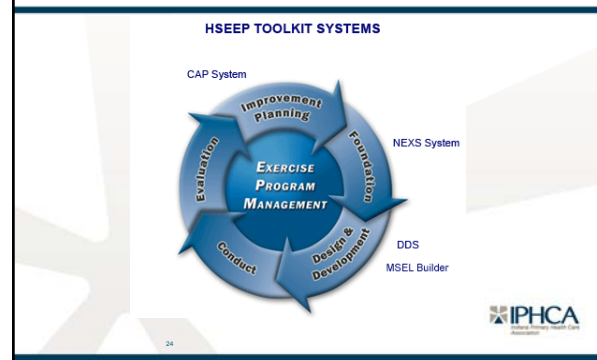
[https://hseep.dhs.gov/pages/1001\\_HSEEP7.aspx](https://hseep.dhs.gov/pages/1001_HSEEP7.aspx)



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## HSEEP Toolkit:

[https://hseep.dhs.gov/pages/1001\\_Toolk.aspx](https://hseep.dhs.gov/pages/1001_Toolk.aspx)



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## HSEEP Toolkit: National Exercise Schedule (NEXS) System



- The Nation's online comprehensive tool:
- Facilitates scheduling, deconfliction, and synchronization of all National-Level, Federal, State, and local exercises.
  - Compiles all exercises
  - Serves as a management tool and reference document for exercise planning



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## HSEEP Toolkit: Design and Development System (DDS)

- Design and Development System (DDS) - a project management tool and comprehensive tutorial for the design, development, conduct, and evaluation of exercises.
- The DDS provides users with the appropriate templates and guidance from the HSEEP Volumes for developing timelines, planning teams, and exercise documentation (e.g., Situation Manuals, Exercise Plans, exercise planning conference materials).



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## HSEEP Toolkit: Corrective Action Program (CAP) System

- The CAP System is a web-based application that allows homeland security officials to track, prioritize, and analyze corrective actions following exercises or real-world events
- Enables users to:
  - Quickly enter data from a finalized AAR/IP
  - Track the progress of corrective action implementation
  - Analyze and report on trends in improvement plans
- System processes consistent with HSEEP, specifically Volume III, *Evaluation and Improvement Planning*



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## Direct Support

- Direct Support Application (available to all States/territories/UASIs, but the application must be submitted by the SAA)
  - Reviewed by panel of Exercise Managers
- Exercises
  - Cross Border
  - Infrastructure
  - Prevention
- Training and Exercise Plan Workshops



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## HSEEP Resources

### HSEEP Volumes

- Volume I: Overview and Exercise Program Management*
- Volume II: Exercise Planning and Conduct*
- Volume III: Exercise Evaluation and Improvement Planning*
- Volume IV: Sample Exercise Documents and Formats*

[https://hseep.dhs.gov/pages/1001\\_HSEEP7.aspx](https://hseep.dhs.gov/pages/1001_HSEEP7.aspx)

*Thank You*



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