

Functional Exercises

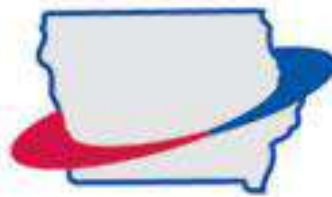
An overview
for the
Safeguard Iowa Partnership



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Welcome and Introductions

- **John Halbrook** –
Exercise Planner HSEMD



- **Steve Warren** –
Exercise Planner HSEMD



Webinar Objectives

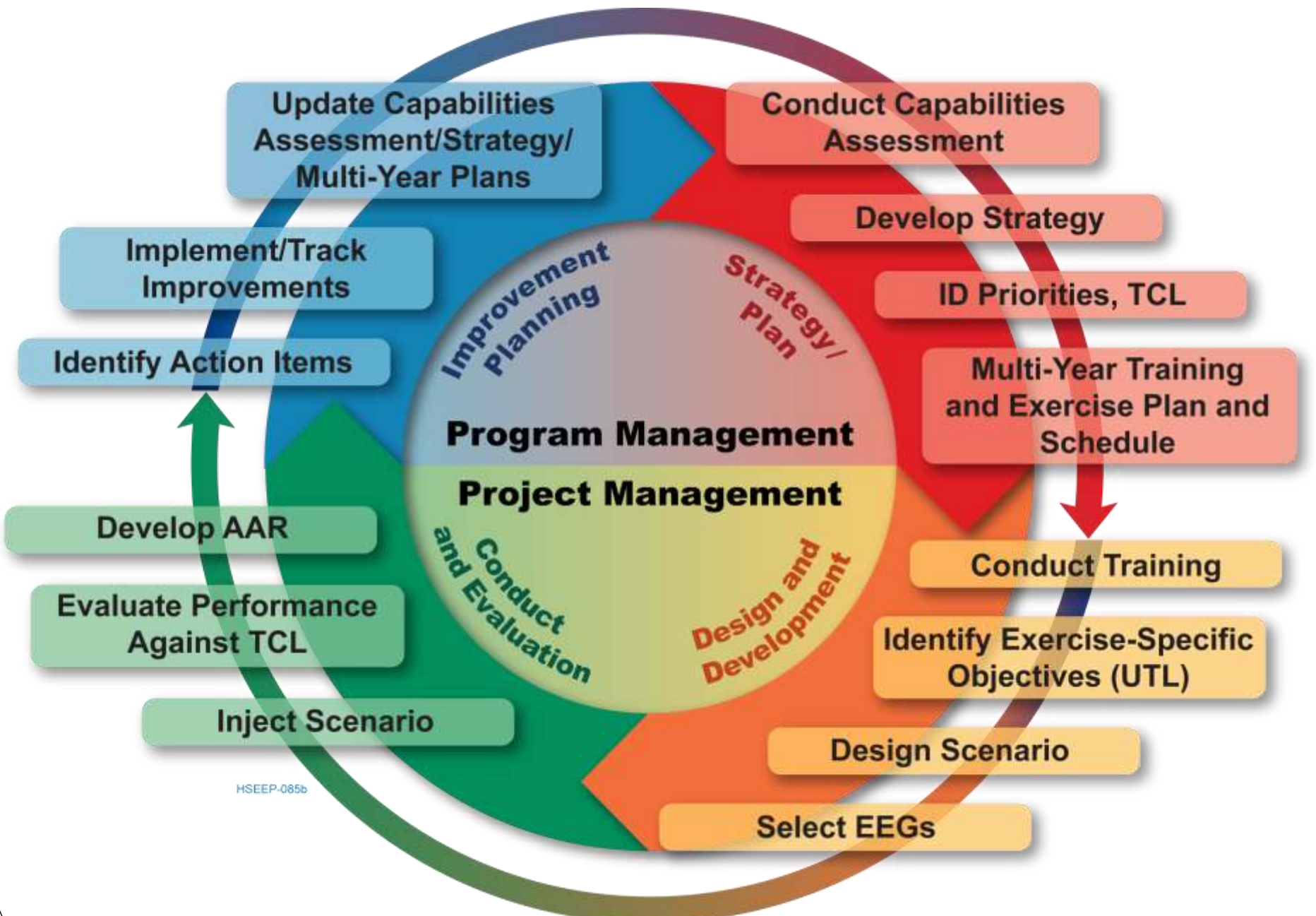
- Exercise philosophies and methodologies.
- Describe the purposes and characteristics of a functional exercise.
- Describe the steps in designing and conducting a functional exercise.
- Review documents that can be used to support functional exercises.
- Moving forward from functional exercises.

HSEEP

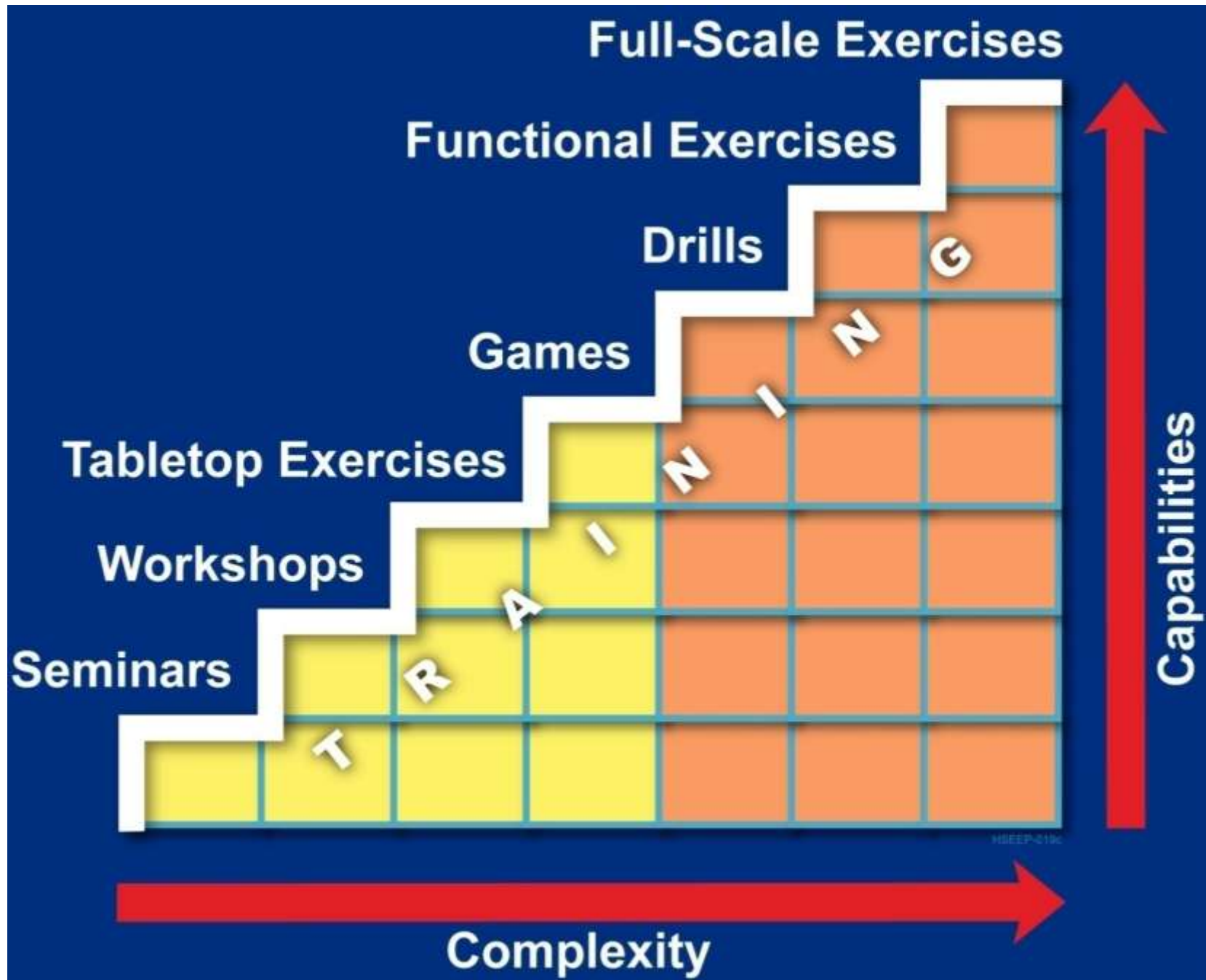
- HSEEP = Homeland Security Exercise Evaluation Program
- A nationally recognized methodology
- Adopted from federal, military and private sector exercise programs
- Established based upon best practices
- Common structure and terminology

Progressive Exercising

- Broad commitment: Multiple groups involved in planning, preparation, and execution.
- Careful planning: Each exercise carefully planned to achieve identified goals.
- Increasing complexity: Increasingly complex exercises build on each other until mastery is achieved.



HSEEP-085b



Full-Scale Exercises

Functional Exercises

Drills

Games

Tabletop Exercises

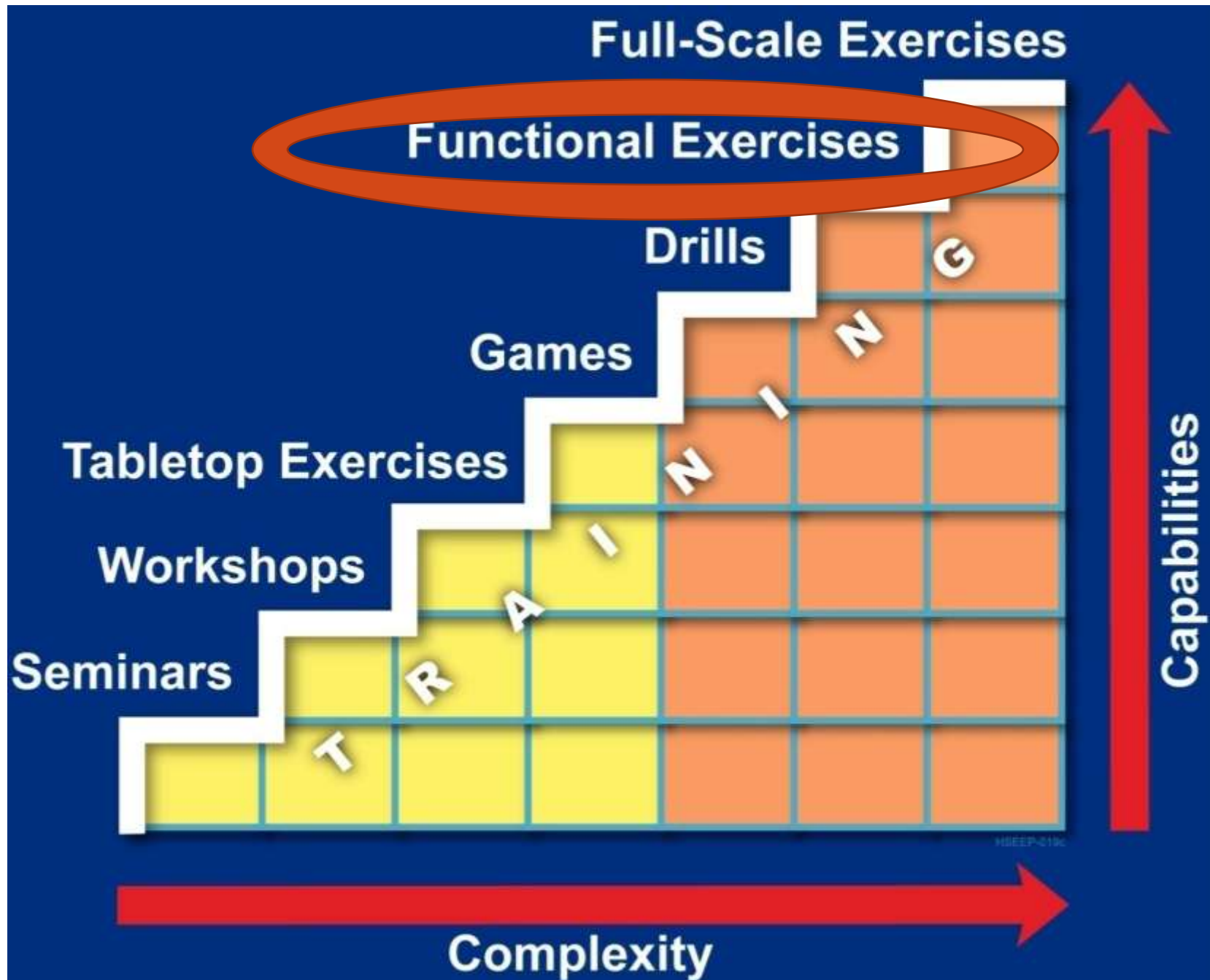
Workshops

Seminars

Capabilities

Complexity

HBEP-219C



Goals and Objectives

- We start with goals not Scenarios
 - Goals will tell us the scenarios that fit our exercise.
 - If we start with the scenario we don't always fit in all of our goals.
- Example
 - Identify which staff will set up an alternate work site during a COOP event.
 - Identify IT connectivity gaps in our emergency plan.
 - Evaluate the plans to mobilize the coordination center during an emergency.

The Functional Exercise

Operation Based

The Functional Exercise

- Purpose: Test the capability of one or more functions in an emergency
- As realistic as possible without deploying actual resources
- Takes place in EOC or operations center



Key Characteristics

Format:

- Interactive—challenges entire emergency management system
- Involves controller(s), players, simulators, evaluators
- Stressful atmosphere
- Lengthy, complex
- Requires careful scripting, careful planning, attention to detail

Key Characteristics

- It is geared for policy, coordination, and operations personnel.
- Players respond realistically to carefully planned and sequenced messages.
- Messages reflect events and problems.
- Players' decisions and actions:
 - Occur in real time.
 - Generate responses from other players.

Best Uses

Assess:

- EM Direction and control.
- Adequacy of plans, policies, procedures, roles.
- Individual and system performance.
- Decision-making process.
- Communication and information sharing.
- Allocation of resources.
- Adequacy of resources.

Participant Roles: Players

- The players are:
 - Operations center personnel—decision makers, coordination, operations.
- Duties:
 - Respond to messages as in a real emergency.
- Decisions and actions:
 - Take place in real time.
 - Generate real responses and consequences.

Participant Roles: Simulators

- “Actors”—People who portray organizations that interact with the players
- Duties:
 - Deliver prescribed messages, ad lib spontaneous messages
 - Simulate actions taken by the organization (must implement all directives)
 - Inform controller of deviations



Organizing Simulators

- How many?
 - At least one per organization represented in the operations center, plus some extras
- Group by function:
 - Nonparticipating government agencies
 - Participating organizations
 - Private or volunteer organizations and individuals

Participant Roles: Controller

- Supervises the simulation, ensures exercise stays on track and objectives are reached
- Duties:
 - Training, orientation, and narrative
 - Monitor events, adjust when needed
 - Make decisions on unexpected actions
 - Maintain order and professionalism

Participant Roles: Evaluators

- Role: Observe exercise progress, record and report observations.
- Duties:
 - Observe and record player actions.
 - Remain unobtrusive.
 - Evaluate achievement of objectives, identify problems, inform controller.
 - Document positive and negative observations.
 - Prepare written report.

How It Works: Startup

- Beginning: Announced or “no notice”
- Briefing:
 - Overview of objectives
 - How exercise will proceed
 - Time period simulated
 - Ground rules
- Narrative: Verbal, TV, computer, slides, dramatized

How It Works: Messages

- Messages may be presented on paper, by phone, by radio, in person.
 - Simulators communicate messages to players; players respond.
 - Players make requests; simulators respond.
- Messages are guided by MSEL.
- Success depends on simulating reality.



How It Works: Realism

- Strive for realism.
- Encourage spontaneity:
 - Players need normal range of available responses.
 - Controllers, simulators need to “go with the flow” when situation calls for it.



How It Works: Controlling Action

- Adjust scenario for spontaneous decisions.
- Adjust pace:
 - Adjust message flow.
 - Even pace among participants.
- Handle time skips.

Time Skipping

- Allows multiple phases of an emergency in a short exercise
- Transitions planned to coincide with natural breaking points
- Controller presents transition updates
- Simulators update simulation displays

Facilities and Materials

- Exercise where you operate.
- Provide:
 - Adequate space for players, simulators, evaluators, controller.
 - Needed equipment and materials: telephones, maps, displays, forms, etc.



Designing a Functional Exercise

- Use the full 8-step process.
- Attend to the details:
 - Convincing narrative
 - Carefully chosen major and minor events
 - Realistic sequence
 - Expected actions closely tied to objectives
 - Many well-conceived messages (100 or more in a larger exercise)
 - Tightly constructed MSEL

Unit Summary

- Reviewed how a functional exercise works.
- Discussed exercise roles.
- Examined how the design process is applied to functional exercises.
- Identified exercise responsibilities

Next: The Full-Scale Exercise

Tools and Templates

- HSEEP/Exercise Design class
 - January 24-27 2012
 - October 16-19th 2012
- Iowa Homeland Security Emergency Management
 - <http://www.iowahomelandsecurity.org/>
- Local Emergency Management Professionals
- HSEEP website
 - <https://hseep.dhs.gov>
- Exercise document templates
 - https://hseep.dhs.gov/hseep_Vols

Thank You

- John Halbrook

- John.Halbrook@iowa.gov

- (515) 725-3280

- Steve Warren

- Steve.Warren@iowa.gov

- (515) 725-3201

