



# NIMS COMPLIANCE (NIMS) AND HOMELAND SECURITY EXERCISE EVALUATION PROGRAM (HSEEP): HOSPITAL BREAK-OUT SESSION

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Anchorage, Alaska  
January 16, 2009

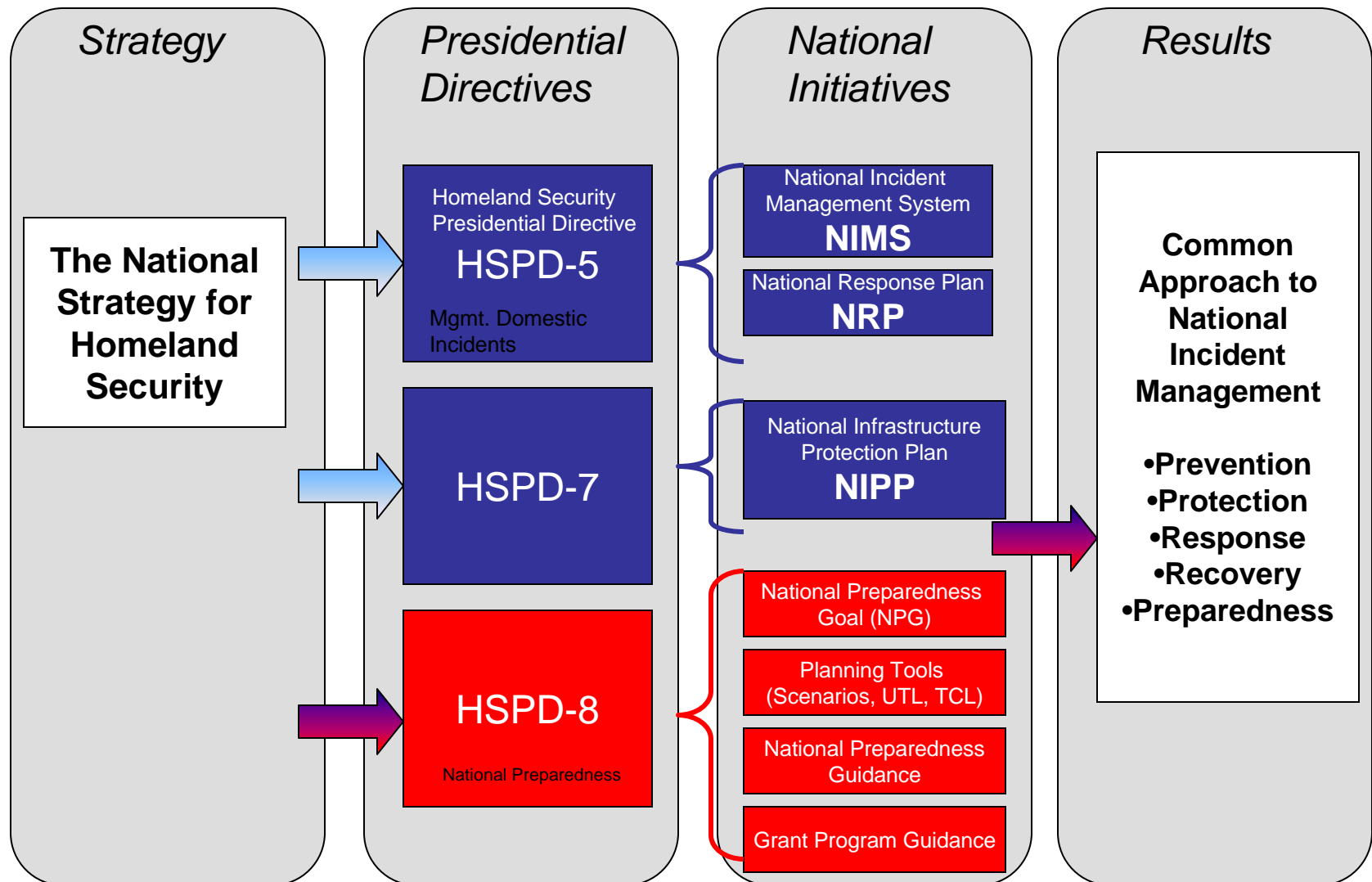


# National Preparedness Goal

- Homeland Security Presidential Directive 8 (HSPD-8, “*National Preparedness*”) calls for a domestic **all-hazards preparedness** goal that establishes:
  - Measurable readiness priorities and targets
  - Standards for preparedness assessments and strategies
  - A system for assessing the Nation's overall level of preparedness
- Purpose:
  - to establish a unified, risk-based, national approach to prepare for major events – or “Incidents of National Significance” under the National Response Plan
- Interim Goal, published 3/31/05; Final Goal with target levels of capability 10/05



# Goal in Context





# National Priorities

- **Overarching Priorities**

- Implement National Incident Management System (NIMS) and National Response Plan (NRP), now the 'Framework', per HSPD #5
- Expand regional collaboration
- Implement the National Infrastructure Protection Plan (NIPP) per HSPD #7
- HSPD #21: Public Health and Medical Preparedness (catastrophic health events; establishment of a 'discipline of disaster health')

- **Capability-Specific Priorities**

- Information sharing and collaboration
- Interoperable communications
- CBRNE detection, response, and decontamination capabilities
- Medical surge and mass prophylaxis capabilities



# 17 NIMS Elements for FY 2007

1. Adoption of NIMS
2. Incident Command System
3. Multi-Agency Coordination System
4. Public Information Systems
5. NIMS Implementation Tracking
6. Preparedness Funding
7. Revise and Update Plans
8. Mutual-Aid Agreements
9. IS-700: NIMS – An Introduction
10. ICS-800: NRF – An Introduction
11. ICS 100 (Intro to ICS) and 200 (ICS Basic); 300-400 required of Command
12. Training and Exercises
13. All-Hazard Exercise Program
14. Corrective Actions
15. Response Inventory
16. Resource Acquisition
17. Standardized Terminology



# 14 NIMS Implementation Activities for FY 2008

Each has multiple metrics

#	Category	Element / Detail
1	Organizational Adoption	<p><b>#1: Adoption of NIMS</b> -14 elements are addressed throughout the organization; monitor formal adoption; single principle coordinator</p> <p><b>#2: Reflect Adoption in All Programs</b> -and in the Emergency Management program documentation -all elements of NIMS in all planning -FORMAL adoption -communication of NIMS throughout organization, verbiage, audits</p>



# 14 NIMS Implementation Activities for FY 2008

Each has multiple metrics

#	Category	Element / Detail
2	Preparedness Planning	<p><b>#3: Revise and Update Plans</b> -EOP, SOP's to include NIMS and NRF components</p> <p><b>#4: Mutual Aid Agreements</b> -includes public, private and non-governmental agencies or organizations</p>



# NIMS (cont.)

#	Category	Element / Detail
3	Preparedness Training and Exercises	<p><b>#5: Identify personnel to complete (5 year plan):</b></p> <p><b>ICS-100 Introduction to ICS</b> -Entry level and all disaster workers (all hospital, EMS, etc.) and up</p> <p><b>ICS-200 Basic ICS</b> -Completion by those with primary responsibility as part of emergency management (1<sup>st</sup> line supervisory and up)</p> <p><b>IS-700 NIMS: An Introduction</b></p> <p><b>ICS 300 and 400</b> (2-3 days each – all command staff.. Disappeared from 2008 grant guidance...) <i>[ALL courses required of permanent and potential Command Staff, emergency managers, etc.]</i></p> <p><b>#6: Identify personnel to complete ICS 800</b> (NRP – an Introduction)</p>



# NIMS (cont.)

#	Category	Element / Detail
3	Preparedness Training and Exercises	#7: Training and Exercises NIMS compliant (HSEEP)



# NIMS (cont.)

#	Category	Element / Detail
4	Communication and Information Management	<p data-bbox="633 435 1760 701"><b>#8: Interoperability in Communication Standards Incorporated into Acquisition Programs</b> (equipment, communication and data interoperability)</p> <p data-bbox="633 821 1875 882"><b>#9: Standard and Consistent Terminology</b></p> <p data-bbox="633 1002 1750 1063"><b>#10: Collect and Distribute Information</b></p> <ul data-bbox="633 1110 1760 1206" style="list-style-type: none"><li>- Consistent and accurate information during an incident or event</li></ul>



# 17 NIMS Implementation Activities

#	Category	Element / Detail
5	Command and Management	<p><b>#11: Incident Command System (ICS)</b> Manage all emergency incidents, exercises and preplanned events according to ICS organizational structures, doctrine, procedures, as defined in NIMS.</p> <p><b>#12: Incident Action Planning and Common Communication Plans</b> -EM Program reflects participation w/external entities</p>



# 17 NIMS Implementation Activities

#	Category	Element / Detail
5	Command and Management	<p><b>#13: Adopt Public Information Principles</b> -JIS and JIC during incident or event</p> <p><b>#14: Public Information</b> is gathered, verified, coordinated and disseminated</p>

NIMS Compliance Objectives (requirements) from previous Federal fiscal years remain on-going commitments in the present fiscal year. **Therefore, State, Territorial, Tribal, and local jurisdictions must continue to support all NIMS objectives required or underway in order to achieve full NIMS compliance.**

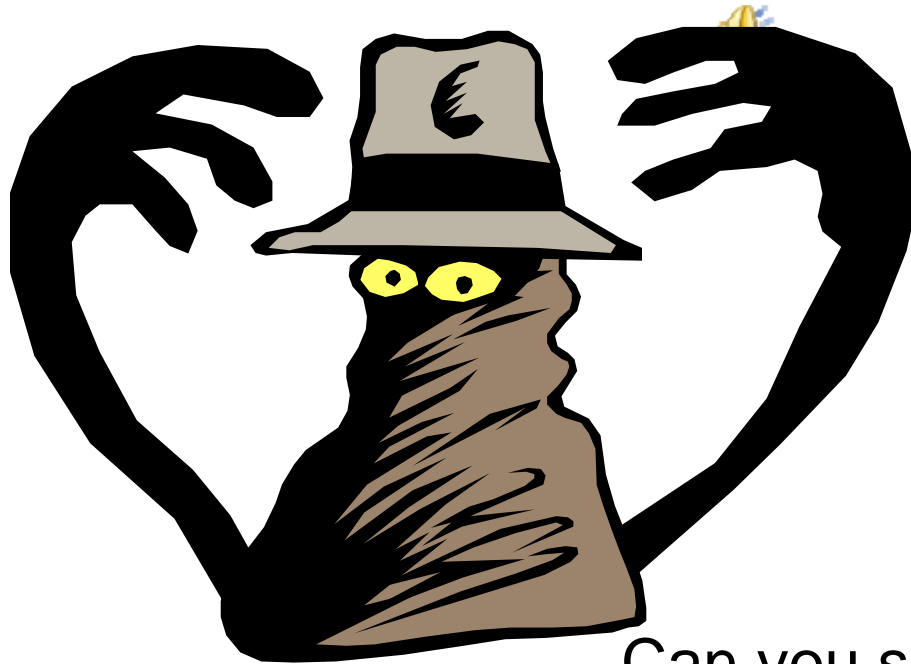
The chart below depicts the 27 NIMS Compliance Objectives prescribed by National Integration Center's Incident Management Systems Integration (IMSI) Division in FY 2008 (note: Many of these activities were originally prescribed in FY's 2005-2007). To be compliant in FY 2008, jurisdictions must affirmatively answer Compliance Metrics relating to those specific NIMS Compliance Objectives listed below.

NIMS Component		NIMS Compliance Objective	Original FY Prescribed to:		
			State/Territory	Tribal Nations	Local
ADOPTION		1. Adopt NIMS for all Departments/Agencies; as well as promote and encourage NIMS adoption by associations, utilities, nongovernmental organizations (NGOs) and private sector emergency management and incident response organizations.	2005		
		2. Establish and maintain a planning process to communicate, monitor, and implement all NIMS compliance objectives across the State/Territory/Tribal Nation (including Departments/Agencies), to include local governments. This process must provide a means for measuring progress and facilitate reporting.	2006	2008	N/A
		3. Designate and maintain a single point of contact within government to serve as principal coordinator for NIMS implementation jurisdiction-wide (to include a principal coordinator for NIMS implementation within each Department/Agency).	2006	2007	
		4. Ensure that Federal Preparedness Awards (to include, but not limited to, DHS Homeland Security Grant Program and Urban Area Security Initiative Funds) to State/Territorial/Tribal Departments/Agencies, as well as local governments, support all required NIMS Compliance Objectives (requirements).	2005	2008	
		5. Audit agencies and review organizations should routinely include NIMS Compliance Objectives (requirements) in all audits associated with Federal Preparedness Awards.	2006	2008	
		6. Assist Tribal Nations with formal adoption and implementation of NIMS.	2007	N/A	
PREPAREDNESS	Planning	7. Revise and update emergency operations plans (EOPs), standard operating procedures (SOPs), and standard operating guidelines (SOGs) to incorporate NIMS and National Response Framework (NRF) components, principles and policies, to include planning, training, response, exercises, equipment, evaluation, and corrective actions.	2005		
		8. Promote and/or develop intrastate and interagency mutual aid agreements and assistance agreements (to include agreements with the private sector and NGOs).	2005		
	Training	9. Use existing resources such as programs, personnel and training facilities to coordinate and deliver NIMS training requirements.	2006	2008	
		10. Complete IS-700 NIMS: An Introduction or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	2006		
		11. Complete IS-800 National Response Framework (NRF): An Introduction or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	2006		
		12. Complete ICS-100 Introduction to ICS training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	2006		
		13. Complete ICS-200 ICS for Single Resources and Initial Action Incidents training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	2006		
		14. Complete ICS-300 Intermediate ICS training or equivalent by appropriate personnel (as identified in the Five-Year NIMS Training Plan, February 2008).	2007		
		15. Incorporate NIMS concepts and principles into all appropriate State/Territorial/Tribal training and exercises.	2005		
		16. Plan for and/or participate in an all-hazards exercise program [for example, Homeland Security Exercise and Evaluation Program] that involves emergency management/response personnel from multiple disciplines and/or multiple jurisdictions.	2006		
Exercises	17. Incorporate corrective actions into preparedness and response plans and procedures.	2006			
	18. Apply common and consistent terminology as used in NIMS, including the establishment of plain language (clear text) communications standards.	2006			
COMMUNICATION AND INFORMATION MANAGEMENT		19. Utilize systems, tools, and processes to present consistent and accurate information (e.g., common operating picture) during an incident/planned event.	2007		
RESOURCE MANAGEMENT		20. Inventory response assets to conform to NIMS National Resource Typing Definitions, as defined by FEMA Incident Management Systems Integration Division.	2006		
		21. Ensure that equipment, communications and data systems acquired through State/Territorial and local acquisition programs are interoperable.	2006		
		22. Utilize response asset inventory for intrastate/interstate mutual aid requests [such as Emergency Management Assistance Compact (EMAC)], training, exercises, and incidents/planned events.	2007		
		23. Initiate development of a State/Territory/Tribal-wide system (that incorporates local jurisdictions) to credential emergency management/response personnel to ensure proper authorization and access to an incident including those involving mutual aid agreements and/or assistance agreements.	2008		
COMMAND AND MANAGEMENT	Incident Command System	24. Manage all incidents/planned events in accordance with ICS organizational structures, doctrine and procedures. ICS implementation must include the consistent application of Incident Action Planning (IAP), common communications plans, implementation of Area Command to oversee multiple incidents that are handled by separate ICS organizations or to oversee the management of a very large or evolving incident that has multiple incident management teams engaged, and implementation of unified command (UC) in multi-jurisdictional or multi-agency incident management, as appropriate.	2006		
		25. Coordinate and support emergency management and incident response objectives through the development and use of integrated MACS, [i.e. develop/maintain connectivity capability between local Incident Command Posts (ICPs), local 911 Centers, local/regional/State/territorial/tribal/Federal Emergency Operations Centers (EOCs), as well as NRF organizational elements.]	2006		
	Public Information	26. Institutionalize, within the framework of ICS, Public Information, [e.g., Joint Information System (JIS) and a Joint Information Center (JIC)] during an incident/planned event.	2006		
		27. Ensure that Public Information procedures and processes can gather, verify, coordinate, and disseminate information during an incident/planned event.	2007		



“Who’s Gonna Make Me”?

NIMS Police?



Can you spell “unfunded mandate”?



# Implications

- **62 Federal Funding Programs**

- Including airport improvement funds
- Firefighter health and safety
- Many your communities count on


- **Community Implications**

- IF CMS becomes “police” – not critical for public health but IS for hospitals
- Assures community integration
- We learn from our exercises and joint planning/training efforts
- It’s the right thing to do

**BUT LET’S GO BACK AND REVISIT HSEEP....**



# NIMS (cont.)

#	Category	Element / Detail
3	Preparedness Training and Exercises	<p data-bbox="627 564 1593 706">#7: Training and Exercises NIMS compliant (HSEEP)</p>  <p>The text 'HSEEP' is rendered in large, bold, 3D block letters. The letters are yellow with a gradient to orange and have a dark orange shadow underneath, giving them a three-dimensional appearance. They are slanted slightly to the right.</p>



# Homeland Security Exercise and Evaluation Program

- **What is HSEEP? And what does it do?**
  - The standard for exercise design, development, conduct and evaluation for all exercises
  - Framework for all activities ... for all agencies ... for all actions



# Overview

- Establishes common language and concepts
- Meets National Response Plan (NRP) and NIMS goals
- Synchronizes all exercises in the Nation
- Provides tools and resources for States and local jurisdictions to establish self-sustaining exercise programs



# Why Conduct Exercises?

- Training
- Find flaws in our response plans; evaluate/validate our capabilities
- Show constituents our capabilities
- Orient new staff / test new equipment
- Justify funding – give elected / appointed officials a “reality check” (if you do it right once, they’ll buy it. Make it realistic; provide feedback)



# Components

- Blended approach involving 4 related program areas
  - Policy and Guidance: Provides strategic direction for exercises and evaluation programs Nationwide
  - Training: Courses and tutorials on HSEEP plans, policies, requirements
  - Technology: Ensures Federal, State, and local jurisdictions have tools necessary to plan, implement exercise programs
  - Direct Support: through funding, training, and other means to support exercises



# Exercise Types

- **Discussion based:** familiarize participants
  - Seminar: informal discussion; to orient
  - Workshop: to build specific products
  - Tabletop Exercise (TTX): key personnel discussing simulated scenarios in an informal setting
  - Games: simulation of operations in competitive environment
- **Operations based exercise:** Hands on
  - Drill: tests a single, specific operation, function within a single entity
  - Functional Exercise (FE): examines/validates coordination, command and control between various multi-agency coordination centers (NOT involve responders)
  - Full-Scale Exercise (FSE):



- **Policy & Guidance Tools:**

- Tools to translate HSEEP Policy and Guidance into everyday exercise, evaluation use

- Exercise Evaluation Guides (EEG's)

- Observations – collection tool

- Promotes consistent capture of exercise performance

- Assists evaluator in AAP/IP development

- AAR/IP Template

- Outline for development of final AAR/IP

- Consistent format across all levels and entities reporting





- Exercise & Training Curriculum:

- HSEEP Mobile Course

- Train-the-Trainer
    - Direct delivery course
    - 7-module course

- National Standardized Exercise Curriculum (NSEC)

- Independent Study (IS-120, IS-130)
    - Master Exercise Practitioner Program (MEPP)





- **HSEEP Technology:**

- Website (centralized repository)
- Volume IV Library
- Toolkit
  - NEXS System (nations comprehensive online scheduling tool)
  - Design and Development System (DDS) – customizable lists, templates, interactive guidance w/team email capability
  - Cap System – web-based application to track, prioritize and analyze corrective actions following exercise or real-world events
  - Exercise Evaluation Guide Library (EEGL)
- Lessons Learned Information Sharing (LLIS.GOV)
- Training & Exercise Plan Workshop
  - Develop multi-year plan
  - Required by grant guidance
  - Populates the National Exercise Schedule.





# 5 Volumes

- I. **Overview and Exercise Program Management**  
Guides building, maintaining effective exercise program;  
summarizes planning & eval. process
- II. **Exercise Planning and Conduct**  
Foundation, design, development and conduct
- III. **Exercise Evaluation and Improvement**
- IV. **Sample Exercise Documents and Formats**
- V. **Prevention Exercises (Draft)**  
Those that test pre-incident capabilities such as intelligence  
analysis and information sharing



# Coordination

- **Coordination**

- National Exercise Program (NEP) Charter and Implementation Plan seeks intra- and inter-agency HSEEP buy-in
  - Katrina Report recommendations
  - HSEEP volumes for all agency review
  - Establishes Five-Year Exercise Schedule
  - Mandates HSEEP as standardized methodology and policy for all intra-agency exercises
  - Establishes National Exercise Schedule (NEXS) and Correction Action Program (CAP)
- Deputy Secretaries across Federal Gov't reviewed and approved HSEEP Volumes
- President approved NEP



# Compliance

- Adherence to any specific HSEEP-mandated practices for exercise design, conduct, evaluation and documentation
- **4 performance requirements:**
  - 1. Conduct annual Training & Exercise Plan Workshop (T&EPW) and develop and maintain multi-year training & exercise plan
    - Capabilities-based planning – from TCL
    - Building block approach – training and exercises escalate in complexity



# Compliance (cont)

## 2. Plan and conduct exercises per HSEEP Volumes I-III.

- Exercise objectives based on capabilities and their critical tasks
- SMART objectives (Simple, Measureable, Achievable, Realistic, Task-oriented)
- Scenarios tailored toward validating capabilities – based on risk/vulnerability assessment
- Include appropriate documents
  - Situation Manual
  - Exercise Plan
  - Master Scenario Events List (MSELs)
  - Controller/Evaluator (C/E) Handbook



## Compliance (cont)

3. After-Action Report/Improvement Plan (AAR/IP)
  - Based on observations collected using Exercise Evaluation Guides (EEG's)
  - Finalized in After-Action Conference (AAC)



# Compliance (cont)

## 4. Improvement Planning

- Measurable
- Specific deadlines and leads
- Assigned to organization and point of contact
- Maintained and reviewed as part of organizational CAP – continually monitored and reviewed



## For Consideration

- How many have incorporated HSEEP compliance expectations in your hospital planning?
- How many have exercised to HSEEP compliance?
- What are your primary concerns in meeting HSEEP compliance?
- What resources or assistance do you need to improve your current situation?