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CHAD

Community HealthCare Association of the Dakotas



DISASTER STRIKES BACK:

AFTER ACTION REPORTING & IMPROVEMENT PLANNING FOR A
TABLETOP EXERCISE

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CONNECT CONSULTING SERVICES

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BIO: Connect Consulting Services Nora O'Brien, MPA CEM, Founder and CEO



Connect Consulting Services
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- Founded Connect Consulting Services in 2009
- Masters Degree, Public Affairs, Disaster & Emergency Management
- Certified Emergency Manager by the International Association of Emergency Managers (IAEM)
- FEMA Adjunct Instructor teaching the Advanced Public Officer Course and FEMA Basic Academy Course
- Lead H1N1 and COVID-19 Pandemic Response, wildfires, hurricane responses
- Named 2018 Sacramento SBA- Woman-Owned Business of the Year
- Lead a team of 15+ EM planning and training professionals



BIO: Karen Garrison - Director of Health and Community Services

- Karen Garrison is an Aging Services Specialist who has developed and facilitated a wide variety of programs that support seniors and disabled adults for the past 30 years.
- Her extensive experience as a Service Provider in both community based and clinical settings throughout the San Francisco Bay Area include Skilled Nursing, Residential Alzheimer's Care, Adult Day Health Centers/ Community Based Activity Services, Supportive Senior Housing, Case Management Services, and multiple national service programs.
- Karen's experience leading non-profit programs and services allows her to support our non-profit clients with her unique perspective as a former provider. She now leads all Health and Community Service projects and manages our team of emergency and business continuity planners.
- Karen is Connect's CMS Emergency Preparedness Compliance Requirement expert.



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Training Objectives

- Review key emergency management exercise terminology
- Review types of disaster exercises
- Review evaluation of a Tabletop Exercise
- Review After Action Report and Improvement Planning of a Tabletop Exercise
- Question and answers



Why Do We Conduct Exercises???



- To meet the CMS Emergency Preparedness Requirements
- To better prepare your staff for disasters
- “Muscle memory”
- Fail spectacularly!!!



Terminology for Emergency Management Exercises

- **Disaster:** A sudden, calamitous event that seriously disrupts the functioning of a community or society and causes human, material and economic losses that exceed the community's or society's ability to cope using its own resources.
- **Disaster (Healthcare perspective):** Any situation where the incident, numbers of patients or severity of illness impacts or exceeds the ability of the facility or system to care for them.



Terminology for Emergency Management

- **Natural Disaster:** Natural Disasters are catastrophic events that result from any of the Earth's natural phenomena. These can range from wildfires, earthquakes, floods, extreme weather, etc.
- **Human Caused Disaster:** Human-Caused disasters have an element of human intent, negligence, or error involving a failure of a man-made system, as opposed to natural disasters resulting from natural hazards. Such human-caused disasters are crime, arson, civil disorder, terrorism, war, biological/chemical threat, cyber-attacks, etc.

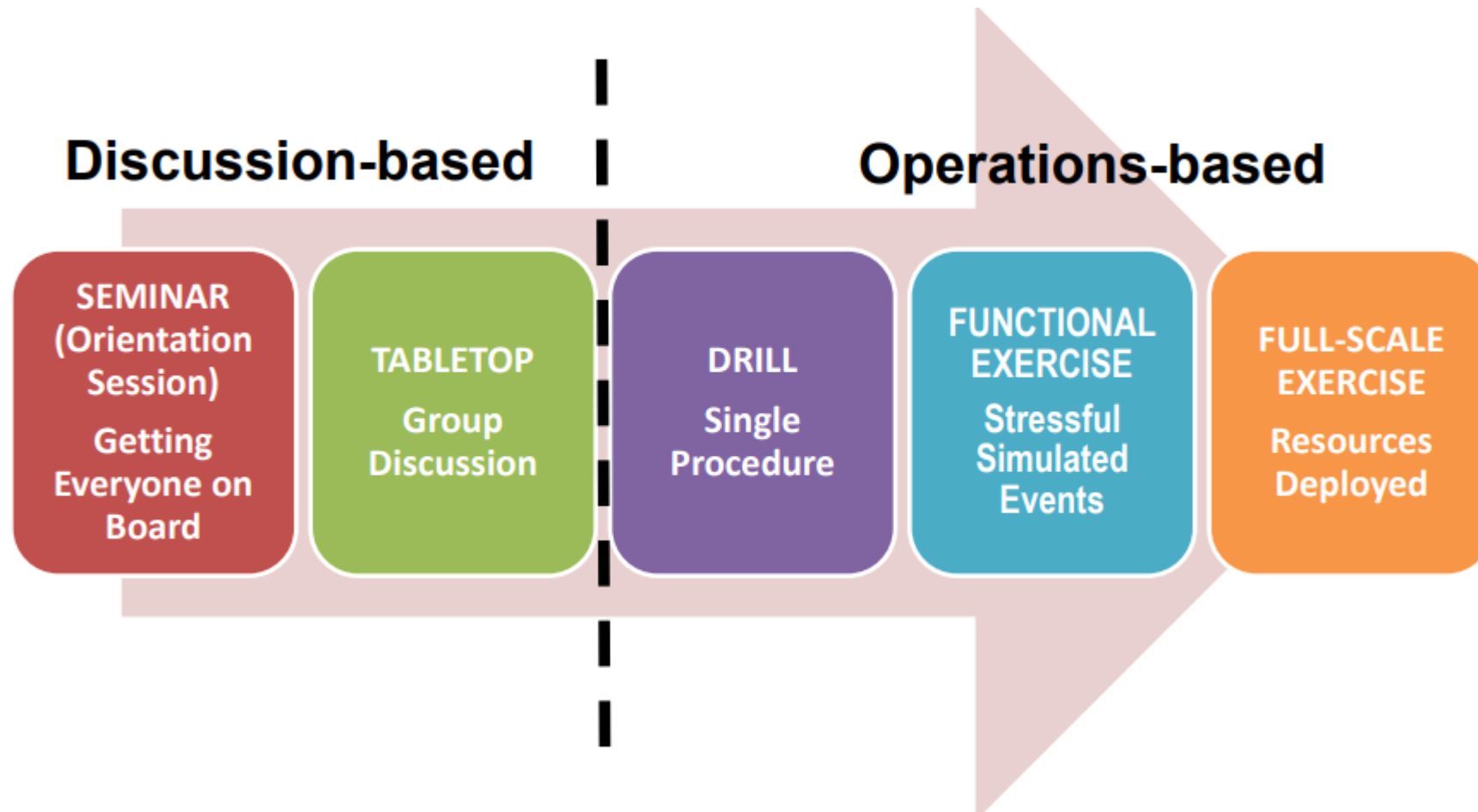


Terminology for Emergency Management (continued)

- **Discussion Based Exercises:** Discussion-based exercises are normally used as a starting point in escalating exercise complexity. Discussion-based exercises include seminars, workshops, tabletop exercises (TTXs), and games.
- **Operations Based Exercises:** Operations-based exercises are hands on. They are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include drills, functional exercises (FEs), and full-scale exercises (FSEs).



Types of Disaster Exercises: Typical Exercise Flow



Types of Disaster Exercises: Discussion Based

- These types of exercises typically highlight existing plans, policies, interagency/inter-jurisdictional agreements, and procedures.
- Discussion-based exercises are valuable tools for familiarizing agencies and personnel with current or expected capabilities of an entity. Discussion based exercises typically focus on strategic, policy-oriented issues.
- Facilitators and/or presenters usually lead the discussion, keeping participants on track toward meeting exercise objectives.



Types of Disaster Exercises: Discussion Based (continued)

- **Tabletop Exercises (TTX)** are discussion-based sessions where team members meet in an informal, classroom setting to discuss their roles during an emergency and their responses to a particular emergency situation.
- A facilitator leads the session and guides participants or “players” through a discussion of one or more scenarios.
- The duration of a TTX depends on the audience, the topic being exercised and the exercise objectives. Many tabletop exercises can be conducted in just a few hours, so they are cost-effective tools to validate plans and capabilities.



CHAD Member Tabletop Exercise Report Out

Please Share your TTX experience!



Questions?



Evaluation of a Tabletop Exercise



Evaluation of a Tabletop Exercise

- **Exercise Observation and Data Collection:**
 - Table Top exercises are Discussion Based and focus on higher-level capability issues involving plans, policies, and procedures.
 - Typically, these exercises have breakout group sessions after the Exercise Lead frames the scenario/situation and presents questions.
 - Each breakout group has an **Evaluator** and/or **Note Taker**.
 - **Note Takers** can focus on documenting general discussion issues that come up during the session.
 - **Evaluators** can focus on addressing and documenting issues related to exercise objectives on **Exercise Evaluation Guides (EEGs)**



Evaluation of a Tabletop Exercise (continued)

- **Exercise Evaluation:**

- Evaluation planning begins during the *initial planning phases* of the exercise itself.
- Identifying key and clear goals in the planning process will ensure that the design, development, and conduct of the exercise will support an effective evaluation.
- Exercise planners should collaborate to ensure a consistent approach for evaluating an exercise.
- Also, engage leadership of participants early in the exercise planning to identify any focus areas, potential concerns, and specific evaluation requirements.



Evaluation of a Functional Exercise (continued)

- **Exercise Evaluation Guide (EEG):**

- EEGs provide a consistent tool to guide exercise observation and data collection. The purpose of an EEG is to:
 - Streamline data collection and provide a consistent process for assessing preparedness
 - Assist jurisdictions/organizations to map exercise results to exercise objectives, capabilities, capability targets, and critical tasks for additional analysis and assessment;
 - Support development of the AAR.
- Overall Exercise Objectives and specific Organizational Target Capabilities documented on EEG for evaluation.
- Explanation on Ratings Definitions included.
- EEGs can be modified for use and additional sections for healthcare/hospitals added.
- Templates can be found online at <https://preptoolkit.fema.gov/web/hseep-resources>.



Evaluation of a Tabletop Exercise (continued)

• Sample EEG:

The Great Shake Out Earthquake Functional Exercise		[INSERT VENUE]
EXERCISE EVALUATION GUIDE		
Exercise Name: The Great Shake Out Earthquake Functional Exercise	Organization/Jurisdiction: [Insert Venue]	
Exercise Date: [Insert Exercise Date]		
[INSERT APPLICABLE HSEEP MISSION AREAS - PREVENTION, PROTECTION, MITIGATION, RESPONSE, AND/OR RECOVERY]		
Overall Exercise Objective: The Great Shake Out Emergency Response Exercise Planning Work Group selected objectives that focus on evaluating emergency response procedures, identifying areas for improvement, and achieving a collaborative attitude with key community partners. The objectives in this drill are based on the given Target Capabilities in the National Response Plan Scenarios and, for the hospital only, the six (6) key critical areas identified by the Joint Commission as well."		
HSEEP Core Capability: Infrastructure Systems <ul style="list-style-type: none">Stabilize critical infrastructure functions, minimize health and safety threats, and efficiently restore and revitalize systems and services to support a viable, resilient community.		
The Joint Commission (TJC) Performance Standards: [SECTION OPTIONAL/HOSPITAL SPECIFIC] <ul style="list-style-type: none">Utility Management Objective (EM.02.02.09)		
Organizational Target Capability: Exercise and evaluate the facility's plans for the management of primary and contingency plans to maintain electricity, water, fuel, medical gas/vacuum, and other critical utilities during an incident involving an earthquake that causes structural damage. <ul style="list-style-type: none">Critical Task: To test the facility's ability to provide power to emergency lighting and power in accordance with the Emergency Operations Plan (EOP).<ul style="list-style-type: none">Critical Task: [Insert additional venue specific measurable tasks related to Utility Management Objective]Critical Task: [Insert additional venue specific measurable tasks related to Utility Management Objective]Critical Task: [Insert additional venue specific measurable tasks related to Utility Management Objective]		
Source(s): [Insert name(s) of plan(s), procedure(s), or other reference(s)]		
FOR OFFICIAL USE ONLY (FOUO)		

The Great Shake Out Earthquake Functional Exercise		[INSERT VENUE]	
ORGANIZATIONAL TARGET CAPABILITY	ASSOCIATED CRITICAL TASKS	OBSERVATION NOTES AND EXPLANATION OF RATING	TARGET RATING
Exercise and evaluate the facility's plans for the management of primary and contingency plans to maintain electricity, water, fuel, medical gas/vacuum, and other critical utilities during an incident involving an earthquake that causes structural damage.	Critical Task: [Insert venue specific measurable tasks related to Utility Management Objective]		
	Critical Task: [Insert venue specific measurable tasks related to Utility Management Objective]		
	Critical Task: [Insert venue specific measurable tasks related to Utility Management Objective]		
FINAL CORE CAPABILITY RATING			
Evaluator Name _____		RATINGS KEY	
Evaluator E-mail _____		P – Performed without Challenges	
Phone _____		S – Performed with Some Challenges	
		M – Performed with Major Challenges	
		U – Unable to be Performed	
FOR OFFICIAL USE ONLY (FOUO)			



Evaluation of a Tabletop Exercise

- **Exercise Debrief:**

- Once the Tabletop scenario is completed and the last set of questions has been discussed, take a short break and then reconvene for the debrief or a “hot wash”.
- The hot wash allows participants to provide feedback on the exercise, determine whether the exercise objectives were met and share ideas for emergency plan improvements.
- The debrief also provides **Evaluators** the chance to clarify points or collect any missing information.
- The lead facilitator should assign one or more members of the evaluation team to take detailed notes during the debrief.
- The debrief discussion is reflected in the preliminary analysis for the **After Action Report (AAR)**.



Questions?



After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise



After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise

- **Exercise After-Action Report (AAR)/Improvement Plan (IP):**
 - The **AAR/IP** is a document that includes an exercise overview, analysis of capabilities, and a list of corrective actions.
 - The length, format, and development timeframe of the AAR/IP depends on the exercise type and scope.
 - The observations developed for the AAR/IP should be categorized as either strengths or areas for improvement:
 - **Strengths:** Actions that went exceptionally well, positive performance to meet objectives
 - **Areas for Improvement/Lessons Learned:** Actions/Outcomes did not meet expectations, performance did not meet objectives/critical tasks
 - Templates can be found online at <https://preptoolkit.fema.gov/web/hseep-resources>.



After Action Report (AAR)/Improvement Plan (IP) for a Functional Exercise (continued)

- **Exercise After-Action Report (AAR)/Improvement Plan (IP):**
 - Draft an **After Action/Corrective Action Report**. An example of the report format could be:
 - Executive Summary
 - Section 1: Exercise overview
 - Section 2: Exercise design summary (including the goals, objectives and key scenario events)
 - Section 3: Analysis of objectives
 - Section 4: Strengths and Lessons Learned
 - Section 4: Conclusion
 - Appendix A: Improvement Plan
 - Appendix B: Improvement Plan Tracking Table (optional, but recommended)
 - Appendix C: Participant feedback summary (optional)
 - Appendix D: Acronyms



After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise (continued)

• Sample After Action/Corrective Action Report Pages:

TTX (AAR/IP)

Operation: Can You Hear Me Now? Communications Failure TTX

OPERATION: CAN YOU HEAR ME NOW?



July 16th, 2021

AFTER-ACTION REPORT/IMPROVEMENT PLAN

The After-Action Report/Improvement Plan (AAR/IP) aligns exercise objectives with not only CMS and Joint Commission but also with the preparedness doctrine to include the National Preparedness Goal and related frameworks and guidance. Exercise information required for preparedness reporting and trend analysis is included; users are encouraged to add additional sections as needed to support their own organizational needs.

TTX (AAR/IP)

Operation: Can You Hear Me Now? Communications Failure TTX

ADMINISTRATIVE HANDLING INSTRUCTIONS

1. The title of this document is **Operation: Can You Hear Me Now?** Communications Failure TTX After Action Review/Improvement Plan

2. The information gathered in this report is sensitive and should be handled as such. This document should be safeguarded, handled, transmitted, and stored in accordance with appropriate security directives. This document is **FOR OFFICIAL USE ONLY**. Reproduction of this document, in whole or in part, without prior approval is prohibited.

3. At a minimum, the attached materials will be disseminated only on a need-to-know basis and when unattended, will be stored in a locked container or area offering sufficient protection against theft, compromise, inadvertent access, and unauthorized disclosure.

4. Facility Point of Contact:

Name: [Insert name of person completing report]

Title: [Insert position title of (e.g. "Emergency Preparedness Coordinator")

Date: [Insert date of report completion]

Address: [Insert address here]

City: [Insert city here]

County: [Insert county here]

State: [Insert state here]

Email: [Insert e-mail address of person completing the report]

TTX (AAR/IP)

Operation: Can You Hear Me Now? Communications Failure TTX

EXERCISE OVERVIEW

Exercise Name

Exercise Date

Exercise Location

Scope

Mission Areas

Operation: Can You Hear Me Now? Communications Failure TTX 2021

July 16th, 2021

[Insert location here]

This exercise is tabletop exercise (TTX). Exercise play is limited to discussion led response to communications issue impacting the facility.

Response

Target Objectives (Joint Commission and HSEEP)

- Communications:** Test the facility's ability to communicate internally, evaluating technology and Back Up systems. (TJC EM.02.02.01 and HSEEP Operational Communications and Public Information and Warning)
- Communications:** Test the facility's ability to communicate externally and with community partners, evaluating technology and Back Up systems. (TJC EM.02.02.01 and HSEEP Operational Communications and Public Information and Warning)
- Staff Responsibility Objective:** Test to ensure that during an emergency staff will be aware of their roles and responsibilities and communications for safety will be managed. (TJC EM.02.02.07 & HSEEP Operational Coordination, Public Health and Medical Services)
- Command and Management:** Test of ability to provide coordination for an incident response within the facility, including activation of Incident Command System positions. (TJC EM.01.01.01 and HSEEP Operational Coordination)
- Utility Management Objective:** Test of primary and contingency plans to maintain communications during an incident. (TJC EM.02.02.09 & HSEEP On-Scene Security and Protection, Infrastructure Systems, Public and Private Services and Resource Systems).

Threat or Hazard

Sponsor(s)

Participants

Scenario

Technology (IT/Communications Failure)

[Insert Sponsors here]

[Insert participants here]

California is a unique region. Wildfires are burning throughout the state. Red Flag Warnings/Fire Watches are across the state. Extreme Heat is impacting all. With a state hit by all sorts of disasters, another strikes. A massive earthquake strikes the Bay Area region with tremors felt all the way in Sacramento. No building damage is sustained, but communications are significantly impacted internally and externally.

Disaster Strikes Back: After Action Reporting & Improvement Planning for a TTX

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After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise (continued)

- **Exercise After-Action Report (AAR)/Improvement Plan (IP):**
 - The **Improvement Plan (IP)** part of the AAR.
 - The **IP** includes all consolidated corrective actions.
 - The IP can be modified with specific additions for healthcare/hospitals.
 - Improvement Planning is a critical process by which the areas for improvement from the exercise are turned into concrete, measurable corrective actions that strengthen the facility/agencies involved.



After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise (continued)

- Sample IP sections:

Issue Number: 01
ISSUE: [Insert issues identified and documented from the Areas for improvement/Lessons Learned]
RECOMMENDATION: [Insert recommendations based on issues identified and documented from the Areas for improvement/Lessons Learned]
CORRECTIVE ACTION DESCRIPTION: [Insert corrective actions based on issues identified and documented from the Areas for improvement/Lessons Learned]
PRIMARY RESPONSIBLE AFFILIATE/ORGANIZATION: [Insert name here]
AFFILIATE/ORGANIZATION POC: [Insert name here]
START DATE: [Insert date here] ESTIMATED COMPLETION DATE: [Insert date here]

HSEEP TARGET CAPABILITY	TJC PERFORMANCE STANDARDS	OBSERVATION	RECOMMENDATION	CORRECTIVE ACTION DESCRIPTION	PRIMARY COMPLETION DEPARTMENT/AGENCY	START DATE	COMPLETION DATE
[Insert identified HSEEP Target Capability (e.g. Public Health and Medical Services")]	[Insert identified TJC Performance]	[Insert identified observations which can be found in the analysis section from above here.]	[Insert any identified recommendations for correction here.]	[Insert any Corrective actions]	[Insert name and title of individual and department assigned to complete]	[Insert initial start date of Corrective Actions]	[Insert anticipated completion date of Corrective Actions. Notes and Addendums and Date changes can occur and should be documented]



After Action Report (AAR)/Improvement Plan (IP) for a Tabletop Exercise (continued)

- **Exercise After-Action Meeting (AAM)**

- The **AAM** is a meeting with key personnel to review the draft version of the AAR/IP.
- Meeting participants should seek to reach final consensus on strengths, areas for improvement, draft corrective actions, deadlines to complete corrective actions , and owners/assignees for implementation of corrective actions.
- The agenda for the AAM may include:
 - Introductions
 - Meeting Focus Discussion
 - Discussion Points (findings/ review revise the draft AAR/IP (strengths, areas to improve, identify corrective actions, assign improvement duties)
 - Discuss outcomes/dates of release of findings/report
 - Follow-up with leadership for finalized AAR/IP and continue to track corrective action completion



CHAD Member After Action Report Out

Please Share Your Experience!

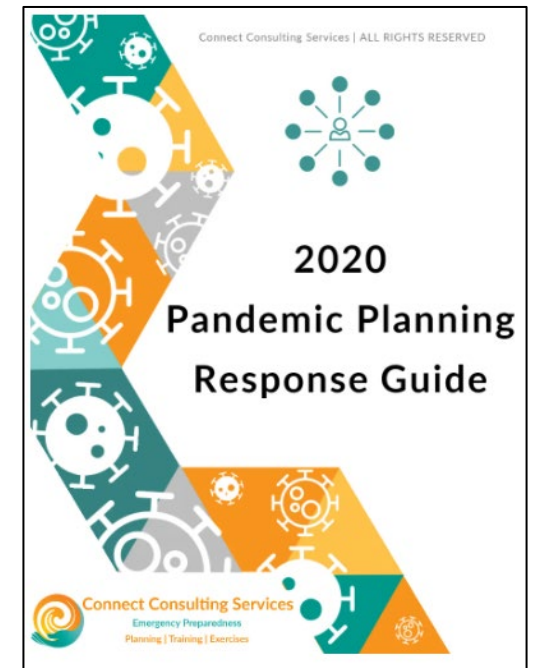
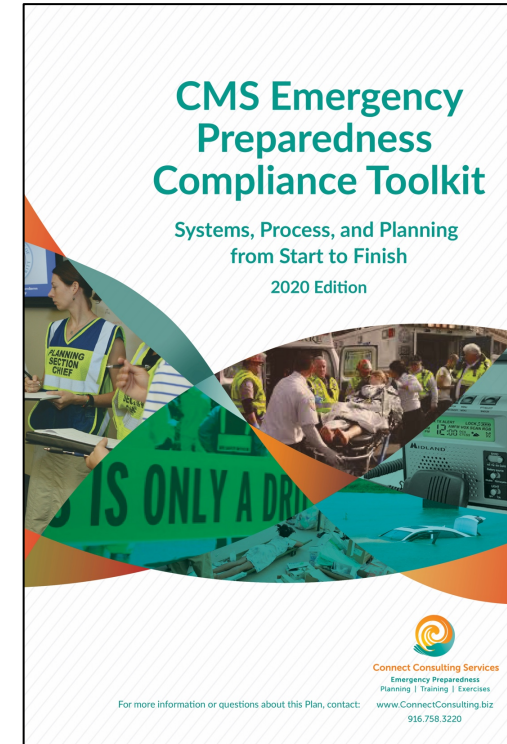


Questions?



2021 CMS Emergency Preparedness Toolkit

- Reflects all the changes from the [Omnibus Burden Reduction \(Conditions of Participation\) Final Rule CMS-3346-F](#)
- Streamlined, more user-friendly toolkit layout
- New provider reference chart for all changes
- Updated training, drill, and exercise resources
- **Bonus – CCS Pandemic Planning Response Guide**
- [\\$600.00 that includes 2 hours of consulting](#)



Disaster Exercise Resources/Education

- Homeland Security Exercise and Evaluation Program:
<https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep>
- Hospital Drills & Exercises Resources:
<https://www.calhospitalprepare.org/exercises>
- Hospital Exercise Program Checklist:
https://www.calhospitalprepare.org/sites/main/files/file_attachments/cha_exercise_program_for_hospitals_checklist_8.10.18_0.pdf
- Los Angeles County EMS Drills and Exercise Guide for Hospitals:
http://file.lacounty.gov/SDSInter/dhs/206687_ConductingDrills_Exercise30806.pdf
- CMS Emergency Preparedness Rule Exercises and Drills:
<https://www.aap.org/en-us/Documents/CMS-Rule-Webinar-Combined-Slides.pdf>
- IS-120.C: An Introduction to Exercises:
<https://training.fema.gov/is/courseoverview.aspx?code=IS-120.c>
- ASPR TRACIE Topic Collection - Exercise Program Information:
<https://asprtracie.hhs.gov/technical-resources/7/exercise-program/1>



Want More Information or Webinars?

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