

Pandemic Accord

Controller/Evaluator Training

November 7, 2014



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Agenda

- Purpose & Scope
- Objectives
- Scenario
- Assumptions and Artificialities
- Controller Roles and Responsibilities
- Master Scenario Events List (MSEL)
- Evaluator Roles and Responsibilities
- Data Collection Methodologies
- After-Action Report Development



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Exercise Purpose

- Pandemic Accord is a two-year exercise series designed to examine the ability of public and private sector organizations to plan for, respond to, and recover from an influenza pandemic, with a particular focus on business continuity policies, plans, and procedures.
- Pandemic Accord Phase II includes:
 - 2, one-day functional exercises (Nov 13 and Nov 20)
 - Tabletop exercises (Dec 1-3)



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Exercise Scope

- **Functional exercises** will focus on the acceleration (ramp up) and deceleration (ramp down) intervals of a pandemic
 - Organizations will participate from their home office
 - Exercise play will be driven by a Master Scenario Events List (MSEL) and a series of video injects
 - Carry out tasks/make decisions as in a real event
- **Tabletop exercise** will focus on the preparation interval and long-term recovery
 - Organizations will participate in a group setting at 26 Federal Plaza (only need to participate in one day)
 - Facilitated, discussion-based format
 - Multiple modules involving scenario updates and a list of discussion questions



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Exercise Objectives

1. Evaluate the ability to identify, establish, and manage necessary public-private partnerships during an influenza pandemic
 - Core Capability: Public and Private Services and Resources
2. Verify the receipt, notification, documentation, and implementation of continuity protocols to effectively maintain essential functions during an influenza pandemic
 - Core Capability: Operational Coordination



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Exercise Objectives

3. Substantiate mechanisms to effectively plan for, implement, and manage social distancing and other pandemic influenza protective measures among employees, stakeholders, and/or customers
 - Public Health and Medical Services
4. Assess the effects of high levels of absenteeism on operational readiness during an influenza pandemic
 - Planning
5. Demonstrate business reconstitution approaches during post-wave recovery
 - Economic Recovery



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Fictional Scenario

- A novel influenza virus emerges and causes a pandemic.
- Passengers on a cruise ship making a two-week trip around the Gulf of Mexico fall ill with influenza-like symptoms before returning to New York City.
- The new virus has an attack rate of 20 to 25 percent and a case fatality rate of approximately 2 percent.



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Assumptions and Artificialities

- Assumptions constitute the implied factual foundation for the exercise. The following assumptions apply:
 - The exercise is conducted in a no-fault learning environment wherein capabilities, plans, systems, and processes will be evaluated.
 - The exercise scenario is plausible, and events occur as they are presented.
 - Participating agencies may need to balance exercise play with real-world emergencies. Real-world emergencies take priority.
- Artificialities
 - Exercise communication and coordination is limited to participating exercise organizations and venues.
 - Organizations will receive the same information at the same time.



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Exercise Safety

- Safety is EVERYONE'S concern
- Safety concerns override exercise execution
- Be aware of your environment and the players' activities
- Controllers and evaluators must immediately inform the Exercise Director / Senior Controller of safety concerns
- Actual emergencies will be identified by the phrase [**“real-world emergency”**]



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Exercise Control

- What is exercise control?
- Roles and responsibilities of controllers
- Master Control Cell – Venue Control Cell relationship and communications
- Master Scenario Events List – Injects – Exercise play: How it will work during the functional exercises



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Controller Roles and Responsibilities

- Controllers help manage exercise play to ensure it stays within established parameters and enables participants to achieve the defined exercise objectives.
- Controller responsibilities include:
 - Direct the pace of exercise play
 - Provide key data or exercise materials to players, as required
 - Monitor the exercise timeline
 - Prompt or initiate certain player actions and injects to the players as described in the Master Scenario Events List to ensure exercise continuity
 - Supervise the safety of all exercise participants



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Master Scenario Events List (MSEL)

- The MSEL is a chronological timeline of expected actions and scripted events to be injected into exercise play by controllers to generate or prompt player activity.
- Controllers typically use a MSEL to ensure that participant activity remains within predefined boundaries and that exercise objectives are accomplished.
- MSEL will drive exercise play during the functional exercises (Nov 13 and 20)



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Controller Instructions

- Review exercise materials ahead of time
- Arrive to your location early on the day of the exercise (exercise activity will begin promptly at 9:00 am)
- Introduce yourself as a controller to players
- Report issues or concerns to the Master Control Cell as necessary (contact number to be provided)
- Monitor the pace of exercise play
- Ensure participant safety and report any safety concerns



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Exercise Evaluation and Improvement Planning

- Exercise evaluation assesses the ability to meet exercise objectives and capabilities by documenting Strengths, Areas for Improvement, core capability performance, and corrective actions in an After-Action Report/Improvement Plan (AAR/IP).
- Evaluation of the exercises will be informed by:
 - Alignment of exercise objectives to core capabilities
 - Performance of critical tasks
 - Identification of planning strengths and areas for improvement

Evaluation provides the fundamental link between the exercise and improvement planning, thus supporting a continuous cycle of preparedness



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Evaluator Roles and Responsibilities

Before the exercise

- Review appropriate organizational plans, procedures, and protocols:
 - Emergency Operations Plan
 - Pandemic Plan/Annex
 - Business Continuity Plan
- Review the Exercise Plan and MSEL
- Review the EEGs and post-exercise survey questions
- Provide your contact information to the Exercise Lead



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Roles and Responsibilities (con't)

During the exercise

- Arrive early and introduce yourself to players
- Assure players that you are not there to judge their individual performance, and will focus instead on overarching policies, plans and procedures
- Stay in proximity to players and decision-makers
- Avoid "coaching" players on what to do
- Use EEGs to document performance and assess ability to execute critical tasks

After the exercise

- Participate in the hot wash and take notes on findings identified by players.
- Complete EEGs and online survey, and forward to Evaluation Lead



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Evaluator Instructions

Evaluators should pay special attention to:

- **Issues** identified by players
- **Decisions** that are made and process used to arrive at those decisions
- Opportunities and mechanisms for public-private sector **coordination** and **cooperation**
- **Unresolved** challenges
- **Recommendations** put forth by players.



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Interaction with Players

- While evaluators should keep a “low profile,” there may be occasions when evaluators need to interact with players to:
 - Gather information that is unavailable elsewhere in order to accurately evaluate a capability
 - Clarify a situation that they did not understand
 - Prevent a potentially dangerous situation from occurring
- **Interact only when necessary.** Remember that the evaluator's presence can distract players. With this in mind, the evaluator should:
 - Minimize questions by jotting them down and waiting to see if they are answered in the course of the exercise.
 - Ask questions at the player's convenience, such as during a lull in exercise play.
 - Ask essential questions quickly and let players return to their task.



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Data Collection Methodologies

- **For the full-scale exercises (Nov 13 and Nov 20)**
 - Document observations in the EEGs
 - Complete the web-based survey
 - Instructions and link to survey will be emailed to evaluators (*please ensure that the exercise design team has your evaluator's contact information*)
- **For the tabletop exercise (Dec 1-3)**
 - Note-takers will document participant discussions
 - Participate in post-exercise hot wash
 - Complete participant feedback form



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Exercise Evaluation Guides (EEGs)

EEGs promote **systematic observation**, which has the following advantages:

- Supports objective, data-based evaluation
- Keeps exercise documentation consistent and well-organized, which is essential for quickly and easily developing an After-Action Report (AAR)
- Supports the after action/improvement planning process by focusing observation on exactly what the planning team wants to evaluate.



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EEGs

EEGs identify the core capabilities, capability targets, and critical tasks that evaluators should observe during the exercise. They are not meant to:

- Be overly prescriptive.
- Create “busy work.” EEGs are important to those working on the after action process. The EEGs can summarize vast amounts of data, and support the timely production of an after action report.
- Prevent evaluators from documenting issues that were critical to the performance of a core capability arises but were not part of the EEG.
 - In these cases, evaluators can still capture the issue in the notes section of the EEG.



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EEG – Objective 1

<p><i>Exercise Name:</i> Pandemic Accord, Phase II <i>Exercise Date:</i> November 13 and 20, 2014</p>	<p><i>Organization/Jurisdiction:</i> Securities Industry Financial Markets Association (SIFMA), New York City and New Jersey Federal Executive Boards (FEBs), and the U.S. Department of Homeland Security, Federal Emergency Management Agency Region II (FEMA Region II)</p>	<p><i>Venue:</i> Multiple venues</p>
Response		
<p><i>Exercise Objective:</i> Evaluate the ability to identify, establish, and manage necessary public-private partnerships during a pandemic influenza outbreak.</p>		
<p><i>Core Capability: Public and Private Services and Resources</i> Provide essential public and private services and resources to the affected population and surrounding communities, to include emergency power to critical facilities, fuel support for emergency responders, and access to community staples (e.g., grocery stores, pharmacies, and banks) and fire and other first response services.</p>		
<p>Capability Target 1: Identify opportunities for public-private partnerships.</p> <ol style="list-style-type: none"> 1. <i>Critical Task:</i> Identify where interests intersect between the public and private sectors regarding an issue or problem related to the pandemic. 2. <i>Critical Task:</i> Define factors contributing to the issue or problem that may be addressed through a public-private partnership. 3. <i>Critical Task:</i> Determine which capabilities and resources are necessary for your agency/organization to address the issue or problem, and who (which public or private sector entity) possesses those resources or capabilities. 		
<p>Capability Target 2: Establish clear outcomes to be achieved through a public-private partnership.</p> <ol style="list-style-type: none"> 1. <i>Critical Task:</i> Define the desired outcomes for your agency/organization that might be achieved through a public-private partnership (i.e., what would “success” look like?). 		
<p>Capability Target 3: Determine the strategic value of entering into a public-private partnership.</p> <ol style="list-style-type: none"> 1. <i>Critical Task:</i> Define the potential short- and long-term benefits to your agency/organization of partnering to address an issue or problem. 2. <i>Critical Task:</i> Identify the potential short- and long-term consequences to public and private sectors if the issue or problem persists. 		



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EEG – Objective 1 (con't)

Capability Target	Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
Identify opportunities for public-private partnerships.	<ul style="list-style-type: none"> Identify where interests intersect between the public and private sectors regarding an issue or problem related to the pandemic. 		
	<ul style="list-style-type: none"> Define factors contributing to the issue or problem that may be addressed through a public-private partnership. 		
	<ul style="list-style-type: none"> Determine which capabilities and resources are necessary to address the issue or problem, and who possesses those resources or capabilities. 		
Establish clear outcomes to be achieved through a public-private partnership.	<ul style="list-style-type: none"> Define the desired outcomes for your agency or organization that might be achieved through a public-private partnership (i.e., what would "success" look like?). 		



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Ratings Key
P – Performed without Challenges
S – Performed with Some Challenges
M – Performed with Major Challenges
U – Unable to be Performed



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EEG – Objective 2

<p><i>Exercise Name:</i> Pandemic Accord, Phase II <i>Exercise Date:</i> November 13 and 20, 2014</p>	<p><i>Organization/Jurisdiction:</i> Securities Industry Financial Markets Association (SIFMA), New York City and New Jersey Federal Executive Boards (FEBs), and the U.S. Department of Homeland Security, Federal Emergency Management Agency Region II (FEMA Region II)</p>	<p><i>Venue:</i> Multiple venues</p>
Response		
<p><i>Exercise Objective:</i> Verify the receipt, notification, documentation, and implementation of continuity protocols to effectively maintain essential functions during a pandemic influenza outbreak.</p>		
<p>Core Capability: Operational Coordination Establish and maintain a unified and coordinated operational structure and process that appropriately integrates all critical stakeholders and supports the execution of core capabilities.</p>		
<p>Capability Target 1: Maintain the ability to perform essential functions throughout the duration of the pandemic event.</p> <ol style="list-style-type: none"> Critical Task: Activate incident management procedures to manage your agency/organization's response to the pandemic. Critical Task: Activate Continuity of Operations (COOP) protocols. Critical Task: Identify and implement system(s) to account for and track essential agency/organizational resources and personnel. Critical Task: Establish orders of succession (with appropriate triggers) that are at least three (3) deep per position. Critical Task: Establish delegations of authority (with appropriate triggers) that are at least three (3) deep to take into account the expected rate of absenteeism. Critical Task: Identify communications capabilities and systems (primary and backup) that are needed to perform essential functions. Critical Task: Establish plans and procedures for devolution (i.e., the process of transferring operational control for one or more essential functions to a pre-determined responsible party or parties), specifying triggers for activation and how the agency/organization will transfer operations if the pandemic renders leadership and essential staff incapable or unavailable to perform their essential functions. Critical Task: Implement processes to share information with government, non-government, and private sector partners and stakeholders. Critical Task: Establish criteria/triggers for deactivating COOP plans. 		



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Climate Change Adaptation Exercise

EEG – Objective 3

<p><i>Exercise Name:</i> Pandemic Accord, Phase II <i>Exercise Date:</i> November 13 and 20, 2014</p>	<p><i>Organization/Jurisdiction:</i> Securities Industry Financial Markets Association (SIFMA), New York City and New Jersey Federal Executive Boards (FEBs), and the U.S. Department of Homeland Security, Federal Emergency Management Agency Region II (FEMA Region II)</p>	<p><i>Venue:</i> Multiple venues</p>
Response		
<p><i>Exercise Objective:</i> Substantiate mechanisms to effectively plan for, implement, and manage social distancing and other pandemic influenza protective measures among employees, stakeholders, and/or customers.</p>		
<p><i>Core Capabilities:</i> Public Health and Medical Services Provide lifesaving medical treatment via emergency medical services and related operations and avoid additional disease and injury by providing targeted public health and medical support and products to all people in need within the affected area.</p>		
<p>Capability Target 1: Plan for and implement non-medical protective measures for employees, stakeholders, and/or customers.</p>		
<ol style="list-style-type: none"> 1. <i>Critical Task:</i> Identify strategies, such as social distancing, that would be considered to reduce/manage risk to your workforce, stakeholders, and customers. 2. <i>Critical Task:</i> Identify potential key policy changes and resource requirements associated with each strategy. 3. <i>Critical Task:</i> Describe how your agency/organization would prioritize the implementation of various strategies as the pandemic evolves (e.g., in what order are you likely to implement the various strategies?). 4. <i>Critical Task:</i> Describe the process for developing guidelines to protect your workforce and their families. 5. <i>Critical Task:</i> Describe how your agency would implement social distancing or other mitigation strategies. 6. <i>Critical Task:</i> Define the process by which your agency/organization would periodically review and update guidance related to social distancing and other mitigation strategies. 		



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EEG – Objective 4

<p><i>Exercise Name:</i> Pandemic Accord, Phase II <i>Exercise Date:</i> November 13 and 20, 2014</p>	<p><i>Organization/Jurisdiction:</i> Securities Industry Financial Markets Association (SIFMA), New York City and New Jersey Federal Executive Boards (FEBs), and the U.S. Department of Homeland Security, Federal Emergency Management Agency Region II (FEMA Region II)</p>	<p><i>Venue:</i> Multiple venues</p>
Response		
<p><i>Exercise Objective:</i> Assess the effects of high-levels of absenteeism on operational readiness during a pandemic influenza outbreak.</p>		
<p><i>Core Capability:</i> Planning Conduct a systematic process engaging the whole community as appropriate in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.</p>		
<p>Capability Target 1: Manage the continuation of essential functions despite high-levels of absenteeism.</p>		
<ol style="list-style-type: none"> 1. <i>Critical Task:</i> Assess the impacts of high levels of absenteeism on maintaining your agency/organization's essential functions. 2. <i>Critical Task:</i> Identify potential mitigation strategies to minimize the impacts of staff absenteeism on business operations. 3. <i>Critical Task:</i> Identify key resource requirements associated each of these mitigation strategies, and assess resource availability. 4. <i>Critical Task:</i> Track the status of essential functions to identify potential gaps or shortfalls. 5. <i>Critical Task:</i> Implement plans or processes to reallocate or reassign personnel, as appropriate, to address gaps or shortfalls. 6. <i>Critical Task:</i> Monitor the status of essential functions and update plans to ensure appropriate allocation of personnel and resources. 		



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EEG – Objective 5

<p><i>Exercise Name:</i> Pandemic Accord, Phase II <i>Exercise Date:</i> November 13 and 20, 2014</p>	<p><i>Organization/Jurisdiction:</i> Securities Industry Financial Markets Association (SIFMA), New York City and New Jersey Federal Executive Boards (FEBs), and the U.S. Department of Homeland Security, Federal Emergency Management Agency Region II (FEMA Region II)</p>	<p><i>Venue:</i> Multiple venues</p>
Response		
<p><i>Exercise Objective:</i> Demonstrate government and business reconstitution approaches during post-wave recovery.</p>		
<p><i>Core Capabilities:</i> Economic Recovery Return economic and business activities (including food and agriculture) to a healthy state and develop new business and employment opportunities that result in a sustainable and economically viable community.</p>		
<p>Capability Target 1: Develop plans to resume, restore, and recover business operations.</p>		
<ol style="list-style-type: none"> 1. <i>Critical Task:</i> Conduct a needs assessment to support resumption, restoration, and recovery of business operations. 2. <i>Critical Task:</i> Establish short-term goals/objectives for the post-wave recovery period. 3. <i>Critical Task:</i> Identify potential barriers or inhibitors to recover, restore, and resume business operations to "normal or near-normal" levels. 4. <i>Critical Task:</i> Establish priorities for recovering or restoring business operations to "normal or near-normal" levels. 5. <i>Critical Task:</i> Coordinate recovery planning with key stakeholders, vendors, and partners in the public and private sectors. 		
<p>Capability Target 2: Develop/revise policies, plans, and procedures to prepare for subsequent pandemic waves.</p>		
<ol style="list-style-type: none"> 1. <i>Critical Task:</i> Conduct an after-action review of your agency/organization's response to identify strengths and gaps/areas for improvement. 2. <i>Critical Task:</i> Identify strategies for addressing gaps/areas for improvement in your pandemic response and business continuity plans. 3. <i>Critical Task:</i> Integrate lessons learned into agency/organizational policies, plans, and procedures. 4. <i>Critical Task:</i> Coordinate mitigation planning for subsequent pandemic waves with key stakeholders, vendors, and partners. 5. <i>Critical Task:</i> Identify strategies to address the possibility that not all employees may be able to return to work at the time of reconstitution and that it may be necessary to hire temporary or permanent workers in order to complete the reconstitution process. 		



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Exercise Hot Wash

- Facilitated discussion held immediately after an exercise among the exercise players to capture feedback about any issues, concerns, or proposed improvements players may have about the exercise.
- At the conclusion of each **functional exercise**:
 - Conduct a 30-minute internal hot wash with the players, controllers, and evaluators to gather initial impressions of what happened, what went well, and where there were potential issues or challenges.
 - Use this information to help you complete the EEGs and to answer the online survey questions
- At the conclusion of each **tabletop exercise**:
 - Conduct a hot wash so participants can share key outcomes and lessons learned from the discussions with the larger group



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Online Survey

- Instructions and a link to the online survey will be sent to all registered evaluators (*make sure we have your evaluator's contact information*)
- Questions designed to get your feedback on what went well, potential gaps or areas for improvement, as well as on how the exercise design process could be improved
- Lead Evaluator will aggregate information from across survey responses to identify major themes or findings for the Summary of Findings report

The Summary Report will not identify any organizations or individuals by name. However, answers should not contain any proprietary information.



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Example Survey Questions

- Given the current level of absenteeism and trading volumes, was your financial organization able to complete the clearance and settlement process for securities as you would normally (timeframes met, reports issued, etc.)?
 - If not, was the impact significant enough that you had to request regulatory relief?
- What gaps or shortfalls did the exercise reveal in your current emergency plans, policies, and procedures to adequately address Continuity of Operations (COOP) during a pandemic scenario, including but not limited to, clearly identifying essential functions, personnel, and lines of succession?



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Example Survey Questions

- Briefly describe how the scenario affected your organization/ agency's ability to carry out its essential functions.
- Did you need regulatory relief to make your response/recovery strategy work?
 - If so, what type of regulatory relief was needed?
- Briefly describe the steps that your organization/agency took to resume, restore, and recover operational capability as the effects of the pandemic lessened in Wave II.
- Briefly describe the steps that your organization/agency is preparing for a potential next wave of the pandemic.



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What to do with your observations?

- Complete the online survey as soon as possible following each functional exercise, while the information is still fresh
 - Goal is to complete them by COB Friday, November 14, and Friday, November 21
 - You may not be able to answer all questions after each exercise
- Complete the EEGs and assign ratings for each critical task
 - Similarly, you may not be able to observe each critical task after each exercise
- Conduct an internal AAR to ensure you capture and act upon any confidential findings

EMAIL COMPLETED EEGs AFTER THE SECOND FUNCTIONAL EXERCISE TO ERIC TRABERT (TRABERE@CNA.ORG)



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Evaluation Output

- A Summary of Findings report will be developed after the full-scale exercises and the tabletop exercises to document exercise outcomes and capture overarching themes identified through the exercises, as well as key Strengths and Areas for Improvement.



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Points of Contact

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Pandemic Phase II

New York City

Full Scale Exercise #1 – 13 November 2014

Full Scale Exercise #2 – 20 November 2014

Tabletop Exercise(s) – 2,3, & 4 December 2014



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