

EXERCISE EVALUATION GUIDE

<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><i>Core Capability:</i> 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"> 1. <i>Critical Task:</i> Activate incident management procedures to manage your agency/organization's response to the pandemic. 2. <i>Critical Task:</i> Activate Continuity of Operations (COOP) protocols. 3. <i>Critical Task:</i> Identify and implement system(s) to account for and track essential agency/organizational resources and personnel. 4. <i>Critical Task:</i> Establish orders of succession (with appropriate triggers) that are at least three (3) deep per position. 5. <i>Critical Task:</i> Establish delegations of authority (with appropriate triggers) that are at least three (3) deep to take into account the expected rate of absenteeism. 6. <i>Critical Task:</i> Identify communications capabilities and systems (primary and backup) that are needed to perform essential functions. 7. <i>Critical Task:</i> 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. 8. <i>Critical Task:</i> Implement processes to share information with government, non-government, and private sector partners and stakeholders. 9. <i>Critical Task:</i> Establish criteria/triggers for deactivating COOP plans. 		

Capability Target	Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
<p>Maintain the ability to perform essential functions throughout the duration of the pandemic event.</p>	<ul style="list-style-type: none"> • Activate incident management procedures to manage your agency/organization's response to the pandemic. 		
	<ul style="list-style-type: none"> • Activate Continuity of Operations (COOP) protocols. 		
	<ul style="list-style-type: none"> • Identify and implement system(s) to account for and track essential agency/organizational resources and personnel. 		
	<ul style="list-style-type: none"> • Establish orders of succession (with appropriate triggers) that are at least three (3) deep per position. 		

	<ul style="list-style-type: none"> • Establish delegations of authority (with appropriate triggers) that are at least three (3) deep. 		
	<ul style="list-style-type: none"> • Identify communications capabilities and systems (primary and backup) that are needed to perform essential functions. 		
	<ul style="list-style-type: none"> • Establish devolution plans and procedures. 		
	<ul style="list-style-type: none"> • Implement processes to share information with government, non-government, and private sector partners and stakeholders. 		

	<ul style="list-style-type: none"> Establish criteria/triggers for deactivating COOP plans. 		
		Final Core Capability Rating	

Evaluator Name _____

Evaluator E-mail _____

Phone _____

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

Ratings Definitions

Performed without Challenges (P)	The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws.
Performed with Some Challenges (S)	The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified.
Performed with Major Challenges (M)	The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws.
Unable to be Performed (U)	The targets and critical tasks associated with the core capability were not performed in a manner that achieved the objective(s).