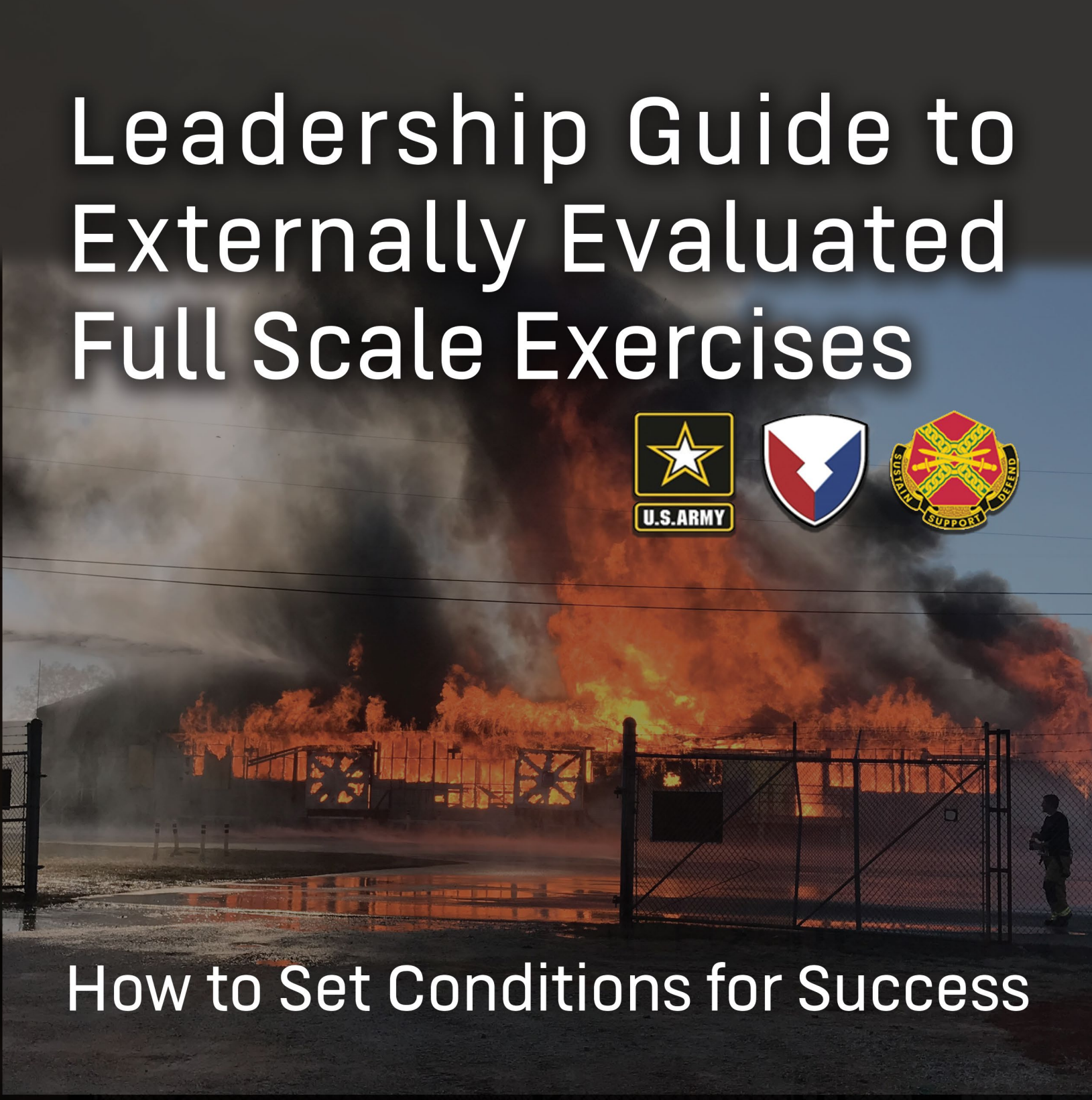
Leadership Guide to Externally Evaluated Full Scale Exercises



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INTRODUCTION

This handbook provides senior commanders (SCs) and garrison commanders (GCs) a guide to the U.S. Army Installation Management Command's (IMCOM) Full Scale Exercise (FSE) Program. It details the leader's role in the training environment, the design process, the external evaluation process, and the corrective action plan/improvement plan process. The purpose of this handbook is to provide a timeline for engagement in the FSE process, and strategies for planning, execution success, and improvement.

FSEs are multi-agency, multi-jurisdictional, multi-organizational exercises that validate many facets of preparedness. The FSEs focus on implementing and analyzing the plans, policies, procedures, and cooperative agreements developed in discussion-based exercises and are honed in previous, smaller, operations-based exercises. FSEs present the reality of operations in multiple functional areas, including the complex and realistic problems that require critical thinking, rapid problem solving, and effective response by trained personnel.[1]

IMCOM installations struggle to use the FSE planning process to plan the initial planning meeting, mid-planning meeting, and final planning meeting. The Multi-Year Training and Exercise Program (MTEP) is a plan of action and milestones blueprint for training over a three-year period, and supports core capability development. The MTEP must be included in the planning process. Using MTEP supports the development of specific, measureable, achievable, realistic, and timely objectives. MTEP supports choosing which core capabilities should to be validated, and helps with designing rigorous and executable scenarios to build readiness and strengthen resilience. Installations often lack a holistic approach by not including all garrison directorates, tenants, and local partners in the exercise process. Before leaders help inform the overall trained, needs practice, and untrained (T/P/U) assessment, they must first understand, direct, lead, and validate performances in an exercise setting.

Installation senior commanders must ask if their installation is resilient to disruption and attack, and if it can sustain operations in support of multi-domain operations.[2] The IMCOM FSE program provides senior commanders/garrison commanders with written, formal after action reports (AARs) that enable evaluation of the processes to execute prevention, protection, mitigation, response, and recovery (P2MR2) capabilities. Performance evaluations also provide feedback to installations to set them up for success.

In the following example, commanders should be able to answer all the questions for successful response and recovery.

Active Shooter Scenario Example

- Was the incident contained? Was the active shooter quickly neutralized to prevent further injury or loss of life? Was the installation locked down to deny a larger victim pool?
- Was the duration of the incident shortened? Were victims quickly triaged, treated, and transported to prevent negative patient outcomes? Was intelligence shared to identify a possible terrorist nexus and potential follow-on attacks? Were witnesses quickly sequestered and interviewed?
- Was recovery sped up? Was intelligence validated to enable the installation to return to normalcy? Was the Emergency Family Assistance Center activated to support the victims' families? Is the public affairs office (PAO) engaged to support one voice messaging? Were fatality management plans in place, and was staff able to manage a mass casualty incident?

After reading this handbook, installation leaders should be set up for success with a well-planned, rigorous, and command-supported FSE. This handbook offers ways to share knowledge, establish timelines, develop input/output for review from FSE governance process, and support overall P2MR2 to build readiness and resilience.

Endnotes

1. City and County of San Francisco, "Full Scale." Department of Emergency Management; https://sfdem.org/full-scale.

2. U.S. Army Training and Doctrine Command (TRADOC) Pamphlet (PAM) 525-3-1, *The U.S. Army in Multi-Domain Operations 2028*, 6 December 2018.

CHAPTER 1: Leader's Roles and Responsibilities in the Training Environment

"The [U.S.] homeland is no longer a sanctuary."[1] The modern adversary recognizes they can no longer defeat the U.S. in a direct battlefield confrontation. Instead, adversaries will attempt to keep the U.S. out of the fight by disrupting, delaying, and preventing power projection from installations worldwide. The U.S. Army must overcome potential friction points at the installation level to organize, mobilize, and deploy combat power in a contested environment. To accomplish those missions, training must be a vital part of any commander's priority list. Success begins with leaders who are committed to maintaining high standards, meeting performance metrics, and supporting efforts to ensure mission readiness.

U.S. Army Installation Management Command (IMCOM's) Externally Evaluated Full Scale Exercise (FSE) Program supports the U.S. Army Materiel Command's (USAMC) strategic focus area 2.0, installation readiness; specified task 2.4, implement protection capabilities for prevention, protection, mitigation, response, and recovery (P2MR2) from all hazards; and enabling task 2.0, assess performance through FSE. The FSE program provides real-time feedback to senior commanders (SC)/garrison commanders (GCs) about mission readiness and P2MR2. The Army is moving forward to modernize and equip to overmatch enemies in order to seize, retain, and exploit the initiative. As installations move beyond exercising within capability/capacity, incorporate multi-domain operations (MDO) in design and planning, and focus on strategic outcomes, FSEs continually expand.[2]

Installations must ask if they are resilient to disruption and can sustain operations to project power from the strategic support area in support of MDO. The FSE is the culminating event in the training cycle, similar to a rotation at one of the Army's combat training centers (CTCs). Like the CTC program, the FSE program is the cornerstone of an integrated training strategy that provides tough, highly realistic training, follows Army doctrine, and is similar to an actual incident or event. The focus is performance-oriented training within a specific scenario assessed against established tasks, conditions, and standards. The learning and experience gained from the FSE facilitates commanders' readiness assessment and sets new goals for sustainment and improvement in training and operations.

The FSE program provides senior leaders with written, formal after action reports (AARs) that enable the evaluation of the processes to execute P2MR2 capabilities. Figure 1-1 illustrates the linkage between P2MR2 and key questions commanders must ask themselves, including "Are we ready?"

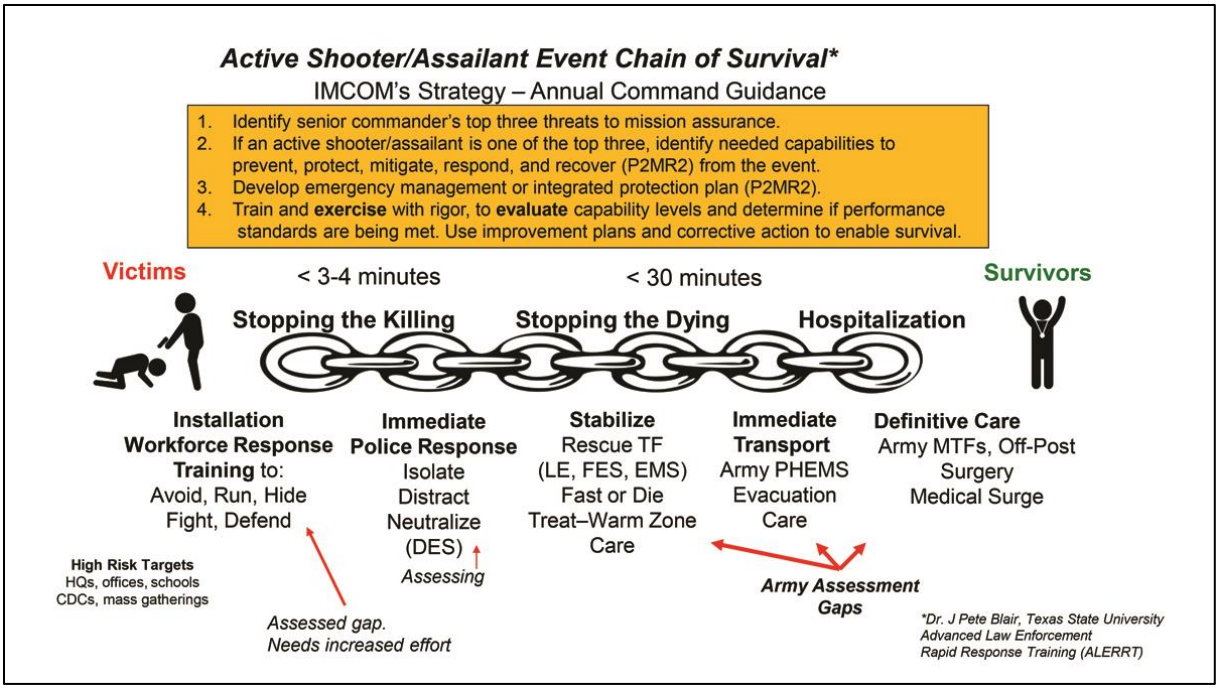

Figure 1-1. Chain of Survival

The Army Campaign Plan articulates how the Army achieves objectives to support mission readiness and resiliency from disruption or attack.[3] Battlefields extend across all domains, including inside the wire of U.S. Army installations worldwide. To build capability that the enemy would deny, the Army must win the home game first, integrating the 12 non-warfighting functions into an overall protection plan (see Figure 1-2) and a comprehensive protection mindset.

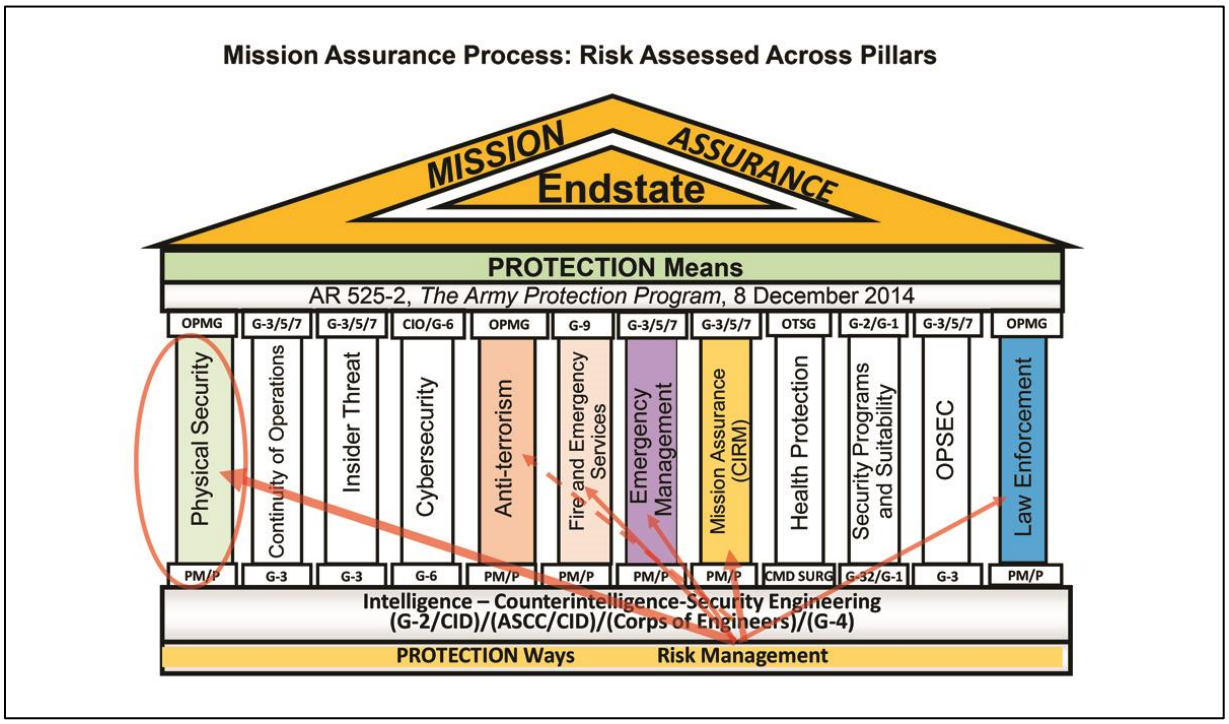

Figure 1-2. Crosswalk Functional Risk Assessments

Role of the Army Leader in the Training Environment

The role of the Army leader at any level includes the quality training of subordinates, development of teams, and promotion of the essence of the Army: teamwork. SC and GC must engage in every aspect of training and be physically present during planning and execution (as depicted in Figure 1-3). Basic principles of training, such as training to standard; training to validate plans, policies, and procedures; and training to maintain/sustain capabilities, are all applicable to the IMCOM FSE program. To validate performance, leaders must think through capability-building by using the Multi-Year Training and Exercise Program (MTEP); the trained, needs practice, and untrained (T/P/U) assessment; and the capability gap analysis.[4] FSEs allow the SC/GCs to evaluate and validate their installations' ability to prevent, protect, mitigate, respond, and recover from an all-hazards perspective. Installation protection readiness is directly tied to training proficiency.

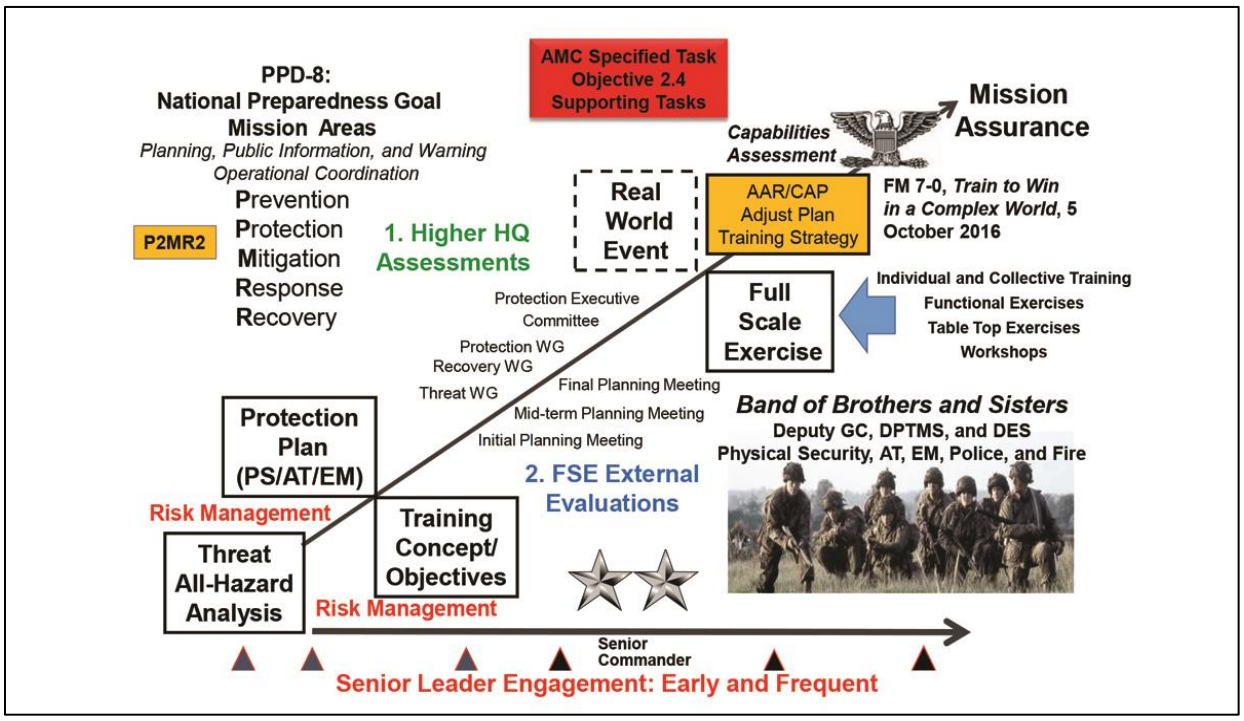

Figure 1-3. Protection Process to Mission Assurance

> *Training guidance flows from the top down and results in subordinate units' identification of specific collective and individual tasks that support the higher unit's mission.*[5]

SCs and GCs must have training plans that are visible and transparent, to enable all installation leadership, including directorates and tenants, to support the overall mission requirements. The FSE life cycle (planning, execution, AAR, and corrective action plan) feeds coordinated efforts installation-wide to provide leaders feedback and support common mission objectives. Table 1-1 highlights senior leader tips for success during the FSE process. Building P2MR2 capabilities into a team-centric environment encourages collaboration so they can identify the capabilities of each member and how they can contribute to the success of the organization as a whole. Table 1-2 depicts tips for garrison commanders from early planning through the out-brief.

Table 1-1. Senior Leader FSE Dos and Do Nots

Do	Do Not
Engage in early planning.	Make significant last-minute changes.
Ensure tenant commands/units and organizations participate in FSE.	Allow competing priorities to minimize the opportunity for external evaluation.
Review/approve exercise training objectives and scenario.	
Resource/support the garrison's conduct of exercise.	
Provide leadership guidance during the execution of an FSE.	
Participate in the in-brief and out-brief.	

Table 1-2. Garrison Commander FSE Dos and Do Nots

Do	Do Not
Provide command guidance early.	Establish the scenario before training objectives are established.
Participate in the entire planning cycle.	Make significant last minute changes.
Ensure the event supports training objectives.	Include notional exercise play.
Ensure the trusted garrison agents/controllers are identified early in the planning process.	Take over command at incident command.
Ensure all directorates participate in planning and execution.	
Ensure tenant commands/units and organizations participate in planning and execution.	
Participate in exercise providing guidance and direction for staff.	
Participate in in-brief and out-brief.	

Conduct a Full Spectrum of Training Scenarios

Conducting effective training must be a top priority for installation leaders. Readiness is the ability to respond to and recover from an all hazards event, including terrorist attacks, natural disasters, cyber-attacks, and other threats. To provide realistic training with limited time and resources, efforts must focus on maximizing training proficiency in MDO. Top-down guidance provides subordinate leaders with focus and understanding of the SC/GC's training guidance and intent.

Training is mission focused and as such, delivers a clear mission statement. It provides a concept of operations and prioritizes tasks using task, condition, and standard to target proficiency. Training allows for time to accomplish an effective exercise. Importantly, training is never philosophical or vague.

FSEs are vital training to prepare for complex emergency operations. In general, training recreates stress; forces personnel to make rapid, critical decisions; and integrates operations for the unit/installation.

> *"I'm a battle rhythm person. I don't believe in handling things just when they become emergencies. My goal is to set foundations and then you can be adaptive and agile to emergencies….and you can't be innovative if you can't do your core tasks well."*[16]
>
> *General Gus Perna*

In a contested environment, installations must identify and sustain mission-essential functions to support warfighters over an extended period. Plan, prepare, execute, assess is a continual process. The FSE is one of the most efficient and effective ways to measure, assess, and increase installation readiness, by providing a complex coordination venue for planning and response/recovery efforts with staff, tenant organizations, host nations, and local, state, and federal partners.

Installation Emergency Management

- *Installation mission is top priority.*
- *Focus on changing outcomes.*
- *Goal is to "stabilize" by 72 hours. The team cannot get back time.*
- *Think big, go big, go fast, and be smart.*
- *The plan should define how the team organizes and solves problems.*
- *"The consequence of failing to act is greater than the consequences of making a mistake."*[17]

Commander's Activities in Training

Published training guidance provides the necessary vision, direction, and purpose to prepare individuals and organizations to win. Commanders provide the motivation. The following lists the role of commanders during training.

- Influence unit training with their presence and leadership by providing purpose, direction, and motivation.
- Engage in priority aspects of the FSE planning process, starting with the concept and objectives meeting.

- Be physically present to the maximum extent possible during the planning and execution of the training.
- Provide the unit with the benefit of their experience, knowledge, and guidance from planning to execution.

As depicted in Figure 1-4, the commander is at the center driving every effort as the unit builds proficiencies through:

- Understanding the higher commander's training guidance;
- Visualizing how long-range training can be conducted; and
- Assessing the results of observed and evaluated training.

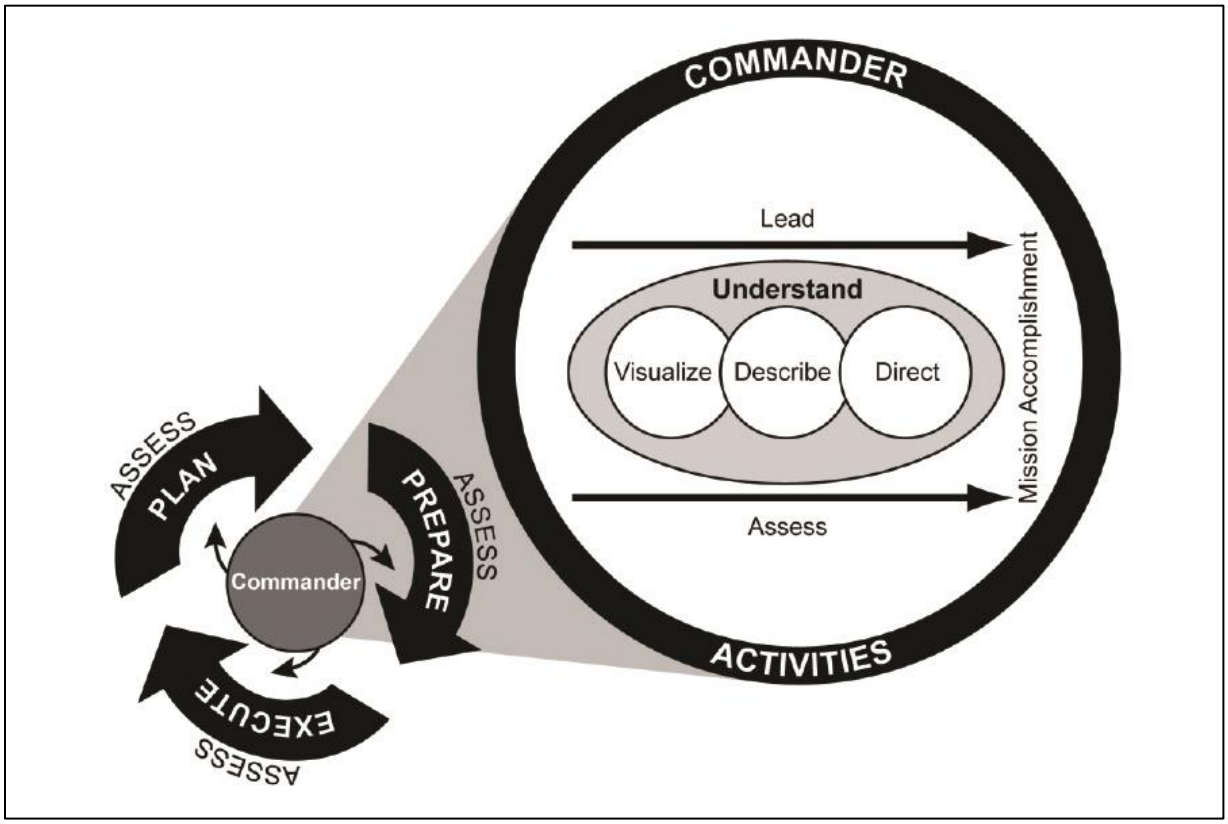

Figure 1-4. Commander's Activities in Training as Depicted in Army Doctrine Publication (ADP) 7-0, *Training*, 31 July 2019.[8]

Commanders have to understand the variables that affect unit-training readiness over time, in order to mitigate their effect. These variables may include:

- Key leader turnover,
- Assigned strength,
- Resource availability, and
- Time management cycles.

Long-Range Planning

"I tell this story to illustrate the truth of the statement I heard long ago in the Army: plans are worthless, but planning is everything. There is a very great distinction because when you are planning for an emergency you must start with this one thing: the very definition of "emergency" is that it is unexpected, therefore it is not going to happen the way you are planning."[9]

The commander's intent and operational approach provide the framework for plans.[10] Long-range planning includes detailed training strategies spanning months and years. Without a plan, a unit can never fully capitalize on training resources. Synchronizing efforts for the FSE supports resourcing and execution, and should be included on the SC's long-range training calendar. SCs and GCs are instrumental in providing motivation, guidance, and an environment that encourages learning. Planning supports the most important training principle: train as you fight.

Endnotes

1. Rempfer, Kyle, "'The homeland is no longer a sanctuary' amid rising near-peer threats, NORTHCOM Commander says." Military Times; 27 August 2018. https://www.militarytimes.com/news/your-air-force/2018/08/27/the-homeland-is-no-longer-a-sanctuary-amid-rising-near-peer-threats-northcom-commander-says/.

2. Army Training and Doctrine Command (TRADOC) Pamphlet (PAM) 525-3-1*, The U.S. Army in Multi-Domain Operations 2028*, 6 December 2018.

3. Headquarters Department of the Army (HQDA) Execute Order (EXORD) 067-19, *Army Campaign Plan 2019+* (Common Access Card [CAC] access required).

4. IMCOM Operations Order 19-061, *U.S. Army Installation Management Command Protection Full Scale Exercise (FSE) Implementation Guidance*, 21 August 2019.

5. Field Manual (FM) 7-0, *Train to Win in a Complex World,* 05 October 2016.

6. Jowers, Karen. "Here's how this general is working to fix mold and other housing problems." Military Times; 19 November 2019. https://www.militarytimes.com/pay-benefits/2019/11/19/heres-how-this-general-is-working-to-fix-mold-and-other-housing-problems/.

7. Fugate, Craig, "Emergency Management Course: Thoughts and Deadly Sins," (PowerPoint, Army Basic Emergency Management Course, Federal Emergency Management Agency [FEMA], Camp Blanding 4 May 2020).

8. ADP 7-0, *Training*, 31 July 2019.

9. Eisenhower, Dwight D., "Remarks at the National Defense Executive Reserve Conference," 14 November 1957.

10. ADP 5-0, *The Operations Process*, 31 July 2019.

CHAPTER 2: Foundation for a Successful Full Scale Exercise

Installation externally evaluated full scale exercises (FSEs) are designed to validate plans, policies, procedures, and agreements; clarify roles and responsibilities for installation, tenant, and local organizations; and identify response and recovery capability gaps in an installation's operational environment. U.S. Army Installation Management Command (IMCOM) Operation Order (OPORD) 19-061, *IMCOM Protection FSE Implementation Guidance*, 21 August 2019, provides the foundation for FSE design and execution. When combined with Homeland Security Exercise Evaluation Program principles,[1] it supports the identification of specific, measurable, achievable, relevant, and time-bound training objectives; the prioritization of IMCOM's 27 core capabilities; and the development of scenarios that support the installation's Multi-Year Training and Exercise Plan (MTEP).

The FSE is a foundational component of MTEP. Installation staff input to senior leader engagement is paramount to a successful FSE and the overall MTEP. Installations that can identify previously assessed mission critical capabilities, assets, and activities, and local threats and gaps, and that customize training objectives, are well on their way to a successful FSE, MTEP, and overall mission assurance.

To facilitate the successful design and execution of an FSE, the IMCOM provost marshal/protection directorate (PM/P) provides an exercise design and control (EDC) team to augment and develop exercise products in coordination with installation staff. The EDC team coordinates with installation planners to conduct a site visit. This site visit includes an office call with the garrison commander (GC) to obtain the commander's intent and approval of FSE training objectives. In coordination with installation planners, the EDC team conducts additional remote/virtual/distributed exercise planning, core capabilities selection, scenario development, and database development throughout the FSE planning life cycle. This saves critical man-hours throughout the design, planning, and execution phases of the FSE. Key installation milestones during this timeframe include the concept and objectives meeting, the initial planning meeting, the midterm planning meeting, the final planning meeting, and the master scenario events list meeting. The outcome of these planning meetings is briefed to the GC to provide the status of FSE planning and to receive subsequent guidance.

Finally, the EDC team leads and controls the execution of the FSE with oversight from the installation's exercise director. The EDC team also provides evaluation input from master scenario events list injects, and participates in the FSE out-brief to the senior commander (SC), GC, installation directors, and installation staff. The following steps explain the foundation for the design of a successful FSE.

Multi-Year Training and Exercise Plan Review/Influence

The MTEP consists of a pre-planned training strategy that includes individual training; team and staff collective training; functional exercises; and table top exercises in resolving identified threats to mission assurance. Nesting IMCOM's 27 installation core capabilities into the MTEP provides a multi-year crawl-walk-run training process to achieve proficiency, prevent redundancy, focus training, and provide mission assurance.

IMCOM's annual Protection Training Workshop is the forum where FSE scheduling and deconfliction is accomplished. Successful FSE planning should be initiated no later than 12 months from the scheduled date of the FSE. This means informed and accurate installation input at the Protection Training Workshop is critical, including SC/GC approved FSE execution dates.

Threats, Hazards, and Risk

The installation conducts a thorough all hazard threat assessment to identify its top three threats, and structures its MTEP to test and validate capabilities against those possible threats. Army Techniques Publication (ATP) 5-19, *Risk Management,* 14 April 2014, is a foundational document for identifying and mitigating risk. However, Homeland Security's Comprehensive Preparedness Guide (CPG) 201, provides a more comprehensive hazard identification and risk assessment process that can be applied to Army installations when viewed as a community, and produce a more comprehensive risk analysis. Department of Defense (DD) Form 2977, *Deliberate Risk Assessment Worksheet*, September 2014, and other risk management worksheets (hasty or preliminary) can still be used to document identified risks, their severity, and their mitigation strategies in a simplified format. Some of these potential threats, hazards, and risks are found in Figure 2-1.

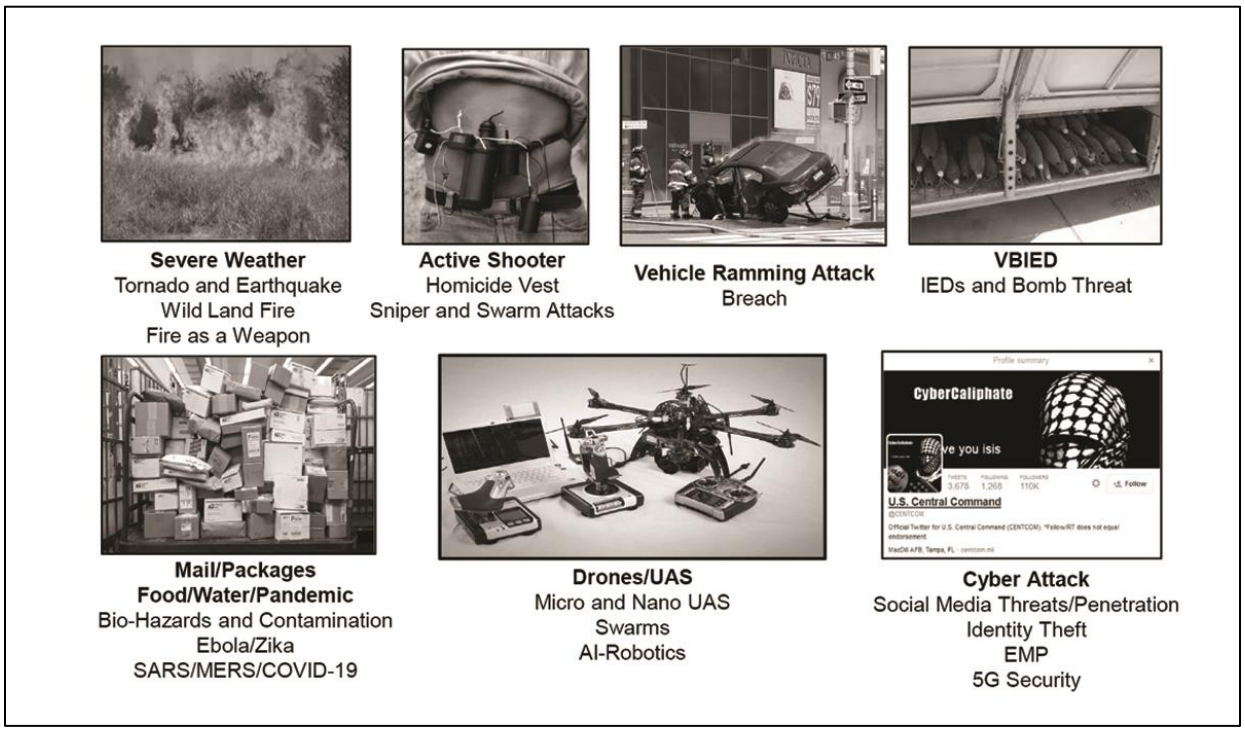

Figure 2-1. Ubiquitous All Hazards and Threat Trends

In accordance with IMCOM OPORD 19-061, when recommending the training objectives and scope of the exercise, the exercise director conducts a thorough review of multiple source documents to address one of the installation's top three threats, taking into account the following:

- SC and GC guidance
- Higher headquarters training requirements
- Annual command guidance
- After action reports (AARs)/improvement plans (real-world/previous exercises)
- Installation plans, policies, and procedures
- IMCOM priority core capabilities
- Trained, needs practice, and untrained (T/P/U) assessments/open corrective actions
- Higher headquarters assessments
- Risk convergence

Capabilities Assessments

A comprehensive capabilities assessment summarizes the installation's prevention, protection, mitigation, response, and recovery (P2MR2) capabilities regarding defined hazards, and describes the installation's limitations on the basis of training, equipment, or personnel. Additionally, the capabilities assessment describes and identifies the methods and agencies involved in using the existing risk analysis and capability assessment to identify what resources are needed for a response to a defined hazard. This includes using past incident critiques to identify and procure additional resources. Comprehensive capabilities assessments help answer the following questions:

- What are the current capability levels (capabilities lost, sustained, or built)?
- What gaps exist between desired capabilities and the current capabilities?
- What must be done to close capability gaps or sustain current capabilities?
- What impact did funding have on building/sustaining the capabilities assessed over the last year?

The EDC team will directly assist installation planners to assess and identify which capabilities were exercised and tested throughout the MTEP cycle. They will consider the following when developing and recommending the list of core capabilities to be exercised during the FSE:

- What previous capabilities have been assessed?
- What are the strengths and weaknesses of previous exercises?
- Are there open or non-validated corrective actions to be tested or validated?
- Are there any identified or perceived areas for improvement to be tested or validated?
- What core capability does the SC want tested or validated?

Critical Capabilities, Assets, and Activities Assessment

Another key component for a successful MTEP is the critical capabilities, assets, and activities assessment. The commander and staff strive to develop a holistic perspective on all tenant capabilities and assets as it relates to their responsibilities to provide mission assurance to the Department of Defense (DOD) and the installation's senior commander. Installation staffs will coordinate with tenant organizations to accomplish the following:

- Identify the respective threats and hazards for each tenant organization.
- Provide threat and hazard context for each tenant organization.
- Establish overarching capability targets that nest each tenant's critical capabilities, assets, and activities into a standardized method that ensures mission assurance.

Gap Analysis

The GC can use exercises to evaluate current capability levels and targets and identify gaps. Senior leaders will engage early and frequently to drive the overall process of identifying capability gaps through an FSE to adjust plans, policies, procedures, and training/resourcing strategies.

Commanders describe the capability gaps between the capability targets set in their all hazard threat assessment and the installation's current capabilities, and describe how they plan to address those capability gaps.

Step 1. Identify and contextualize the capability gap between a community's capability target and the estimated current capability. There is a capability gap if the current capability is less than the capability target. After identifying that capability gap, commanders assign a priority rating (high priority, medium priority, and low priority) to identify how important it is to achieve that capability target.

Step 2. Once commanders have identified the capability gaps, they identify the intended approach for addressing the capability gaps or sustainment needs. Commanders identify the approaches for sustainment or filling the capability gaps and then add specific information, including the following:

- What timeframe does this intended approach cover?
- What activities or investments will need to occur to address the existing capability gap or support sustainment?
- What partners may support the efforts?

Commanders cannot always plan to address all capability gaps in any given year. Therefore, GCs must rely on the MTEP to help reduce gaps via a multi-year approach.

Trained, Needs Practice, and Untrained Assessment

The IMCOM external evaluation team does not offer a T/P/U assessment. Instead, they identify strengths and potential gaps through an AAR, so the SC can make informed decisions regarding the installation's readiness priorities and the way ahead. Importantly, multi-level, multi-agency, and community training efforts lead to improved capability and performance, as well as more accurate T/P/U assessments.

Commander Assessment/Intent

The GC must understand, visualize, describe, direct, lead, and assess a complex environment supporting the SC's intent and mission assurance. The GC must develop and communicate a clear vision for bolstering installation core capabilities through the P2MR2 perspective. Continuous installation training and personal engagement is key to the GC communicating their guidance and developing a comprehensive understanding of the operational environment. For the installation's response and recovery to be effective, the GC must be engaged in training.

Summary

All these steps feed into the alignment of FSE objectives, core capabilities, scenario, and expected performance. The FSE is a culminating event resulting from MTEP. Capability assessments and gap analyses are critical components to developing a holistic training plan. The steps listed in this chapter will help the GC with the overall development of a successful FSE.

IMCOM will provide an EDC team to assist with developing an exercise concept and objectives meeting brief, and establishing a planning life cycle that includes the initial planning meeting, midterm planning meeting, final planning meeting, and master scenario events list meeting, as outlined in Chapter 3. Remember, a successful FSE results from senior leaders who are involved early and often in the design and development process.

Endnotes

1. Department of Homeland Security, *Homeland Security Exercise Evaluation Program (HSEEP),* January 2020.

CHAPTER 3: Full Scale Exercise Design and Planning Process

Selecting Training Objectives, Core Capabilities, and the Full Scale Exercise Scenario

As discussed in Chapter 2, the foundation of selecting training objectives, core capabilities, and the full scale exercise (FSE) results from the command-approved Multi-Year Training and Exercise Program (MTEP). There are multiple additional source documents that help in determining FSE training priorities, objectives, and scope. Senior commander (SC) guidance, annual command guidance, higher headquarters directed training requirements, emergency management plans, risk assessments, after action reports (AARs), and corrective action plans all shape the FSE. The resulting FSE addresses one of the installation's top three threats to readiness and mission assurance, assets, and activities.

Command-driven priorities focus the development of the exercise training objectives that an installation demonstrates during the FSE. As outlined in Army Doctrine Publication (ADP) 7-0, *Training*, 31 July 2019, (and Field Manual [FM] 7-0, *Train to Win in a Complex World,* 5 October 2016), the Army conducts tough, realistic, standards-based, and performance-oriented training. Thus, to achieve the desired outcomes, training objectives incorporate senior leaders' intent; exercise participants' plans, policies, and procedures; operating environments; corrective actions from previous exercises; and real-world incidents. The exercise planning team selects a reasonable number of training objectives to facilitate a rigorous and effective scenario design, execution, and evaluation, which must be specific, measurable, achievable, relevant, and time-bound (SMART).

Training objectives are not tasks. "Stand-up the emergency operations center (EOC) within two hours" and "Law enforcement establishes a perimeter to secure an active shooter event" are tasks. SMART training objectives provide the framework for the training audience to execute their tasks in support of a larger goal. In the Homeland Security Exercise Evaluation Program (HSEEP), training objectives are broader than tasks, and provide an umbrella where multiple efforts align to achieve a measurable objective. Using the priorities and training intent, the exercise design and control (EDC) team assists in customizing training objectives so that an installation can achieve something measurable that clearly demonstrate the training audience's proficiency in achieving the intent. The commander's intent should be published so the staff can publish an operation order (OPORD) for the training event. The goal of response operations is to mitigate the severity of an incident, reduce its duration, and return to normal as quickly as possible. Aligned with the national planning goals and the National Preparedness System, and adopted by Department of Defense Instruction (DODI) 2000.16, *DOD Antiterrorism Program Implementation*, 17 November 2016, the purpose of the FSE is to improve the capacity to build, sustain, and deliver capabilities to better respond and recover from a real-world incident. Specific guidance on the goal of an exercise is critical to staff achievement. U.S. Army Installation Management Command (IMCOM) OPORD 19-061, *IMCOM Protection FSE Implementation Guidance*, 21 August 2019, identifies 27 of the 32 Homeland Security core capabilities across the five mission areas (prevention, protection, mitigation, response, and recovery [P2MR2]) that are relevant to installations. The core capabilities serve as both preparedness tools and a means of structured implementation. The coordinating structures that sustain and deliver these capabilities are proven across all manner of incidents. The following 10 capabilities (of the 27 total capabilities) are typically demonstrated during an FSE.

- Planning
- Public information and warning
- Operational coordination
- Intelligence and information sharing
- Threat and hazard identification

- Environmental response/health and safety
- On-scene security, protection, and law enforcement
- Operational communications
- Public health and medical services
- Situational assessment

Exercise planners select additional core capabilities based upon the approved MTEP and other source documents. Well-planned and well-executed FSEs have no more than 12 to 15 core capabilities identified for evaluation, per the IMCOM Exercise Evaluation Guide and an installation's specific plans, policies, and procedures.

By linking training objectives and core capabilities to scenario development, installation staff will use an all-hazards approach for scenario selection based upon the results of the risk management process as stated in Army Regulation (AR) 525-27, *Army Emergency Management Program,* 29 March 2019. Planners must encourage coordination with federal, regional, state, tribal, other service, local, and private (or host nation) response and recovery partners to integrate them into operations, as they would during a real-world event. Scenarios must be rigorous and realistic enough to stress the staff and disrupt an installation's mission. Installations must demonstrate the ability to protect capabilities, assets, and activities from threats, enable rapid response to contain situations, shorten the duration of situations, and speed recovery. The goal is to be resilient to disruptions or attack and to sustain strategic support area operations to project power from the strategic support area in support of multi-domain operations and day-to-day installation operations.

Homeland Security Exercise and Evaluation Program

Department of Defense (DOD) and U.S. Army Emergency Management regulations mandate the use of the HSEEP, which provides a set of fundamental principles for exercise programs. HSEEP also provides a common approach to program and training management, design, development, conduct, evaluation, and improvement planning. This approach standardizes the way Army installations prepare to solve disruptions to mission assurance (as depicted in Figure 3-1). HSEEP can be viewed as a version of the more familiar joint event life cycle (JELC), but with civilian nuances that make it easier to understand and implement in coordination with civilian agencies/external partners. Similar to the JELC, the HSEEP doctrine incorporates lessons learned and best practices, current policies and plans that support training, and technological systems and tools. Through HSEEP, installation staff can develop, execute, and evaluate exercises that address the priorities established by the SC and garrison commander (GC).

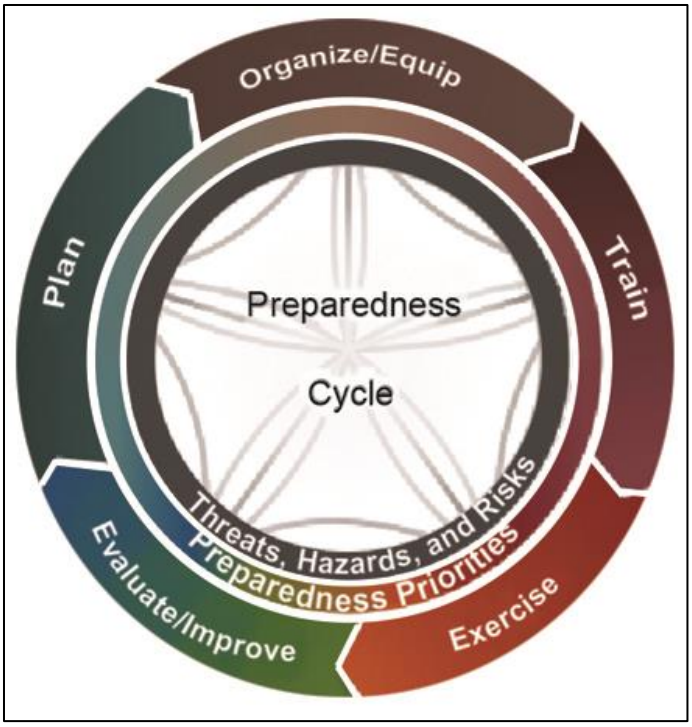

Figure 3-1. Integrated Protection Cycle

The FSE addresses the critical events that have been identified in an installation's threat and hazard identification and risk assessment, to ensure the training and preparations are effective. As the primary trainer of an installation staff, the GC is responsible for establishing priorities and resourcing those efforts to achieve established priorities.

The first responder technical experts in law enforcement, fire emergency services (FES), and emergency medical services have prescribed levels of training and proficiency that they are required to demonstrate on some periodic basis to retain their certifications. Law enforcement and FES professionals serve as incident commanders, and as such, manage the response effort for the immediate threat: the active shooter, the loss of power to mission essential vulnerable assets, etc. The GC and the entire installation staff support that responder effort by bringing in other resources through installation tenant units/agencies and the surrounding local communities, or even other military installations within the geographic area. How the GC supports the incident commander will determine their effectiveness in solving the immediate problem.

However, the challenge does not end there. The GC must anticipate what future needs an incident commander will have as the situation evolves; figure out how to provide resources to the incident commander at the right time; and concurrently plan for recovery to get back to a normal state. Simultaneously, the GC must be communicating with the SC, higher headquarters, tenant organizations, the workforce and their families, and the community.

The challenge the GC faces is, "How is it possible to effectively synchronize those efforts to achieve incident priorities and return to normal?" The answer is the emergency operations center (EOC). The EOC is the central command and control facility that is responsible for strategic direction and operation decisions. It has been clearly demonstrated during numerous past FSEs that the turnover of team members often equates to many of them not being fully qualified in their positions, not internalizing what information is or is not important, not knowing the incident intent and priorities, and infrequently coming together to achieve harmony in problem solving. However, with accurate training management and

resourcing, the GC's personal engagement can resolve the challenges of performing at high levels and increase proficiency at processing and assessing the massive amounts of data flowing from the incident command post to the SC during an incident. Personal engagement can also offer actionable recommendations to best solve the situations that may be faced while in command.

Just like the JELC, the HSEEP outlines a decision support-process to conduct an effective exercise. A planning timeline is initially created as the control mechanism to ensure that the major milestones are completed before exercise execution. As in every other Army endeavor, command influence and leadership is required throughout the planning, execution, and evaluation process to ensure the organization achieves its training objectives and intent. Commanders must hold personnel accountable for participating and ensuring the exercise design meets the training objectives. AARs have shown a powerfully marked difference when installation commanders provide clear, actionable guidance to their staff and planners, and actively manage the execution of their MTEP. FM 7-0 and ADP 7-0 talk about commander's roles in the training life cycle, and are great references to review prior to beginning MTEP and FSE planning.

The majority of the information exercise planners need to develop an effective training event is taken from the questions previously presented in Chapter 2. GCs should make an in-depth review of where staff proficiencies are and identify ways to close those gaps. Following the FSE, the GC will receive a written AAR (discussed in Chapters 4 and 5) that points out areas with challenges and areas where staff performed well. These are guides and snapshots of the FSE to help determine what the training proficiencies are, and they provide a deep look into the actual readiness status. Ultimately, it is a GC's responsibility to accurately assess their organization.

To identify and exploit the strengths and challenges of an organization, the Army and HSEEP processes take into account the current level of training and proficiency; the other training events an installation has accomplished before the FSE; the prior trained, needs practice, and untrained (T/P/U) assessments; and the higher headquarters assessment evaluations. The EDC team, in collaboration with installation planners, helps craft a rigorous exercise that challenges staff to near-failure, yet reinforces positive assessments to maintain proficiency, and identifies areas where staff may not be proficient. In doing so, the EDC team distinctly follows Army and HSEEP methodology to ensure a complete and effective environment for staff to perform. There will be a few trusted agents will know all the details of the exercise. However, consider limiting those who know everything to personnel who will not participate in the exercise as a blue-player; rather they can assist the exercise as controllers or white/simulation cell personnel. It is counterproductive if the exercise events are distributed to the training audience and they are pre-staged to respond.

The following briefly outlines the major milestone events, scope, and outcomes of the Army and HSEEP processes.

Concept and Objectives

The concept and objectives (C&O) meeting is the formal beginning of the planning process. It is held to identify the objectives, type, scope, and purpose of the exercise. The GC, deputy GC, installation command sergeant major (CSM), and representatives from each installation staff section, including the exercise lead planner, must be present. Representatives from potentially participating tenant units/organizations and off-post external partners also typically attend the C&O meeting. The C&O meeting helps planners create objectives for GC approval; identify the core capabilities and supporting tasks that are going to be tested and validated; design a scenario based on those capabilities and tasks; and identify additional planning team members (trusted agents).

- **Exercise Scope.** Proposed objectives and aligned capabilities linked to threats and risks; location, date, and duration of the exercise; participants and anticipated extent of play; exercise planning team; assumptions and artificialities; control and evaluation concepts; security organizations and structure; available resources; logistics; planning timeline and milestones; local issues, concerns, and sensitivities; and engagement with senior leaders for guidance and intent
- **Outcomes.** GC-approved exercise concept; exercise timeline; extent of participant play; identification of planning team members; and planning timeline, milestones, and meeting dates

Initial Planning Meeting

The initial planning meeting (IPM) marks the beginning of the exercise development phase. It refines the training objectives and exercise scope. The IPM also develops exercise documentation by obtaining the planning team's input on exercise location, schedule, duration, and other relevant details. During the IPM, exercise planning team members are assigned different activities associated with designing and developing exercise documents and logistical support. In addition to conducting the IPM, the exercise planning team gathers the appropriate pre-exercise intelligence injects. These injects enhance the realism and informational value of the final documents and multimedia presentations that are presented during the exercise.

- **Discussion Points.** Clearly defined objectives and aligned capabilities linked to threats and risks; evaluation requirements, including exercise evaluation guide capability targets and critical tasks; relevant plans, policies, and procedures to be evaluated; exercise scenario; modeling and simulation; participants' extent of play; optimum duration of the exercise; exercise planners' roles and responsibilities; decision to record exercise proceedings (audio or video); local issues, concerns, or sensitivities; consensus regarding the date, time, and location for the next meeting; and re-engagement with senior leaders to ensure alignment with guidance and intent
- **Outcomes.** GC-approved clearly defined objectives and aligned capabilities; initial capability targets and critical tasks (reviewed and confirmed prior to the next meeting); scenario variables (threat, scope, venue, conditions); the list of participating organizations and extent of play; the draft exercise plan; identification and availability of all source documents (plans, policies, procedures) needed for exercise documentation; refined exercise planning timeline; identification of available subject matter experts (scenario vetting); clearly identified and assigned responsibility for logistical issues; list of tasks to be accomplished by the next planning meeting, to include date and responsible planning team members; and agreed-upon date, time, and location of the next planning meeting

Midterm Planning Meeting

The midterm planning meeting (MPM) serves as a forum to further refine the exercise scenario details and timeline.

- **Discussion Points.** Comments on the draft exercise documentation; construction of the scenario timeline; development of the master scenario events list (MSEL); identification of exercise venue artificialities and limitations; agreement on final logistical items; assignment of additional responsibilities; and re-engagement with senior leaders to ensure alignment with their guidance and intent.
- **Outcomes.** Reviewed exercise plan; draft of the Facilitator Guide or Controller/Evaluator Handbook; well-developed scenario including injects; agreement on the exercise site; identified logistics planning requirements; and finalization of date, time, and location of the final planning meeting (FPM).

Master Scenario Events List

The MSEL can be combined with the MPM or conducted shortly after the MPM. In the HSEEP, where there are numerous external agencies participating, it is an excellent forum to ensure equities are included in the exercise planning effort so everyone gets what they need out of the process. The EDC team creates the MSEL using key exercise requirements, and continually coordinates work with installation planners throughout the JELC to refine it. Injects (activities that spur capabilities, to be demonstrated during the exercise) are developed over time, and finalized on-site with the exercise director or lead planner before execution. Injects are appropriately detailed to ensure the training audience has sufficient prompting to perform critical tasks and achieve exercise training objectives. If the training audience departs from or focuses on a response area or event to the point where they lose focus on their objectives, ad hoc injects will be created on-site to refocus or expand a training objective. This always happens in collaboration with the exercise director.

Final Planning Meeting

The FPM serves as the formal end of the exercise planning process. It is held to finalize exercise documentation and logistics. No major changes to the exercise's design, scope, or supporting documentation should take place at or following the FPM. The FPM ensures that all logistical requirements have been met, all outstanding issues have been identified and resolved, and all exercise products are ready for printing.

- **Discussion Points**. Conduct a comprehensive final review; approve all remaining draft documents and presentation materials; resolve any open planning issues and identify last-minute concerns; review all exercise logistical activities, such as schedule, registration, attire, special needs; and re-engage with senior leaders to ensure alignment with guidance and intent.
- **Outcomes.** Final approval of exercise documents and material for production; identified issues are resolved; attendees understand and approve exercise processes and procedures; and task assignments and logistical elements, including facilities, equipment, and schedules are confirmed and documented in Appendix D of the AAR.

Installation Requirements

Once the fiscal year FSE schedule has been finalized and approved, IMCOM will task an EDC team to establish communications with the designated exercise lead planner. The two-person EDC team and the lead planner will coordinate an opportunity for the team to conduct an installation site visit. This is ideally completed 12 months before FSE execution, in accordance with the suggested JELC planning timeline.

The site visit is an important event in the FSE planning life cycle because it is the only opportunity for the key stakeholders to have face-to-face, candid collaboration before FSE execution. The EDC team will meet representatives from the installation staff directorates and conduct breakout sessions that ensure the FSE design accounts for the installation's specific needs. This allows the design team to present their FSE operational requirements with the most suitable installation personnel. During the EDC team's visit, they should conduct an office call with the GC to present an IMCOM FSE program overview and an executive overview of the specific exercise. They should seek the GC's exercise guidance to ensure clear alignment with the installation's capabilities and ongoing focus areas. By the end of the visit, the EDC team should present staff with the exercise concept and objectives, and proposed FSE scenario options.

For the EDC team to make the very most of the site visit and subsequent (remote) planning meetings and in-progress reviews, it is imperative that the installation directorate representatives and local/ regional/external agency trusted agents are identified and made available during this visit. Early partner integration is critical, as the EDC team will not be as familiar with the installation leadership's current concerns, priorities, challenges, constraints, or tenant organizational relationships as those conducting the daily mission. FSE scenario design and development is not conducted in a vacuum. It requires local expert input to extract and generate the most rigor during the FSE.

To be effective and efficient during FSE execution, installation staff needs to provide infrastructure support for both the white/simulation cell and the IMCOM external evaluation team. These facilities will be assessed on-site by the EDC team, who will check for ample computer workstation space, network performance, phone/radio communication capability, and physical security. The EDC team will coordinate with local information assurance, Network Enterprise Center (NEC), and other agencies to identify the optimal capacity and configuration to accomplish the white/simulation cell mission support requirements.

The following list of items/behaviors facilitate the art of exercise design, which greatly affects the quality of the FSE.

- Commitment and accountability from the top-down. SC, IMCOM Directorate (ID) director, GC, deputy GC, and installation CSM leader engagement is necessary.
- An honest assessment of the installation's ability to accomplish P2MR2 mission areas. The Directorate of Plans, Training, Mobilization, and Security (DPTMS) provides the critical planning required to prepare for multi-agency, multi-jurisdictional emergencies, and supports the GC in establishing an all-hazards assessment of the most common threats facing the installation, developing mitigation strategies, orchestrating EOC operations, developing training strategies, and planning for recovery operations.
- A holistic, constant-improvement approach throughout the FSE life cycle (HSEEP/JELC). The more an installation understands the FSE is an opportunity to excel, the better the scenario design and its intended outcome will be.

- A Murphy's Law approach to event planning (flexibility with redundancy). People, priorities, missions, facilities, and change of command ceremonies are not valid reasons for project derailment.
- Open and frequent information/progress-sharing. SC staff, key tenants, ID director and staff, and other leaders and decision makers should be included in the installation EOC and whenever possible, listed in supporting documents. Include, as appropriate, leaders from federal, regional, state, tribal, local, volunteer, private industry, and host nation partners.

In addition to the aforementioned, IMCOM OPORD 19-061, Annex C, Appendix 4, provides a comprehensive list of installation responsibilities for FSE execution.

Design Expectations

The GC can exercise mission command through the "commander's intent" to the staff who, in turn, determine how to achieve it. Leaders, at every level, have the responsibility to ensure mission success through individual and collective training proficiency. Both commanders and staffs have expectations throughout the FSE design, execution, and assessment phases of collective training events. Those expectations are fulfilled through planning that meets the desired end-state, and they are communicated at intervals throughout the HSEEP/JELC process.

"Commanders ensure their subordinate leaders have the necessary skills and knowledge to manage training and achieve desired levels of readiness. Commanders conduct training through the activities of understanding, visualizing, describing, directing, leading, and assessing."[1]

Subordinate leaders and staffs must also be fully aware of the SCs expectations regarding the multitude of threats to mission assurance. SCs must provide their intent and priorities to focus the GC's limited resources in the P2MR2 mission areas. The GC expects the tactical and technical experts on staff to be individually and collectively prepared to manage crises in the five mission areas, function as a unified staff, and anticipate future requirements to reduce the severity of an incident and ensure the continued mission requirements supporting multi-domain operations are achieved.

Summary

The FSE planning process is a doctrinal training activity that should already be familiar to most installation leaders and planners. It should be the culminating training event to validate the MTEP. Utilizing a hybrid of the JELC and HSEEP processes, ideally starting 12 months out, an appropriately complex and rigorous training event can be planned, resourced, and executed to provide staff and responders with a worthwhile experience. Engaged leadership throughout the FSE process, as in all things, is critical to success.

Endnotes

1. ADP 7-0, *Training*, 31 Jul 2019.

CHAPTER 4: External Evaluation Process

U.S. Army Installation Management Command's (IMCOM's) full scale exercise (FSE) external evaluation process is designed to assist commanders in identifying capability gaps before they affect garrison mission assurance. IMCOM oversees the exercise evaluation program and provides contract support for exercise evaluation teams (EETs). The program includes pre-FSE preparation; EET deployment to FSE location; planning and coordination, exercise evaluation, and post-exercise development and delivery of the exercise commander's out-brief; and after action reports (AARs).[1] IMCOM functional area subject matter experts (SMEs) from all over the world are trained and qualified as exercise evaluators using IMCOM exercise evaluation guides (EEGs) as standardized tools to evaluate garrison capability tasks, conditions, and standards. The external FSE evaluation process supports the garrison assessment of plans, policies, and procedures for emergency response and recovery. Both the out-brief and AAR provide an exercise overview to frame observations, and provide analysis and general feedback to support the installation's continued efforts to build preparedness and strengthen resilience. Department of Defense Instruction (DODI) 6055.17, *Department of Defense (DOD) Emergency Management Program*, 13 February 2017; Army Regulation (AR) 525-27, *Army Emergency Management Program,* 29 March 2019; and IMCOM Operation Order (OPORD) 19-061, *IMCOM Protection FSE Implementation Guidance*, 21 August 2019, mandate FSEs.

Exercise Evaluation Team Purpose and Scope

The EET supports IMCOM garrison exercise programs by reducing the exercise development and execution requirements for exercise management, planning, design, execution, and evaluation. EET leads, provided by IMCOM, coordinate exercise evaluators, synchronize products, and facilitate evaluation operations from EET arrival at the FSE site to the commander's out-brief. EET leads ensure evaluation processes are executed to standard and the evaluation deliverables are accomplished on time. The EET provides commanders with comprehensive observations on the garrison's prevention, protection, mitigation, response, and recovery (P2MR2) performance in an all-hazards event on the installation. These observations provide detailed information to garrison commanders (GCs) and support informed quality trained, needs practice, and untrained (T/P/U) assessments. This centrally managed team standardizes the FSE program across all IMCOM installations by instituting consistent execution to established performance standards, with external evaluation providing IMCOM with reliable measures of readiness across all of its installations.

Leadership Responsibilities

How do installation leaders support the exercise evaluation program? There are some simple ways leaders can encourage participation and support the FSE during execution.

First, leaders should nominate SME personnel to attend the Emergency Management Exercise Evaluation Course (EMEEC). This enables external evaluation standards across IMCOM and builds up the required number of garrison evaluators. Investing in staff evaluators not only shares expertise with other garrisons, but also allows a team to bring back information and ways to improve their own performance. Trained evaluators on staff are an asset for an off-year integrated protection exercise.

Second, leaders should be physically present at FSE venues when possible. Direct observation of staff allows a leader to understand how well their team coordinates, collaborates, and makes decisions. It also provides leaders with a holistic view of what services are impacted on the installation, and what questions staff needs to answer to meet incident objectives.

Finally, leaders should reinforce to staff that the FSE is a non-attribution environment, and exercises are where gaps should be identified, rather than in a real-world event. Leaders should encourage a learning environment where staffs feel comfortable making decisions, right or wrong.

Evaluator Identification and Training

Personnel identified to serve as exercise evaluators are required to attend the 40-hour Army EMEEC, conducted at the Regional Training Institute, Camp Blanding, Florida. Following the course, each evaluator must complete a field validation. Here they perform evaluator duties at an actual FSE and are validated by an instructor from the Regional Training Institute. Once complete, evaluators are added to the IMCOM evaluator pool.

The EMEEC, similar to other emergency management courses offered, supports the Army protection plan and preparedness by ensuring personnel possess foundational exercise evaluation knowledge in accordance with the Homeland Security Exercise Evaluation Program (HSEEP). EMEEC also ensures that evaluators are proficient at data collection and analysis techniques, and employ persuasive writing skills to inform AAR/improvement planning to effect change. Students learn to evaluate an installation's capability to maintain mission assurance in accordance with the established criteria, exercise evaluation guidance, HSEEP principles, and available plans, procedures, and training objectives. As a qualified exercise evaluator, personnel must be prepared and permitted to conduct an FSE evaluation at least once every 12-18 months.

Team Composition and Sourcing

EETs consists of an IMCOM team chief and/or government representative, and functional area SMEs from other IMCOM garrisons or relevant commands who already successfully complete the Army EMEEC and associated field requirements. EET personnel are trained and tracked by respective IMCOM directorates in coordination with the IMCOM provost marshal/protection directorate. Normally, evaluation teams will not use more than two evaluators from a single garrison at a time (see Figure 4-1). In addition, during the off-year evaluation, trained U.S. Army Garrison (USAG) evaluators can provide a capability to support the garrison integrated protection exercise. The EET training objective is to build directorate benches to ensure sufficient evaluators are available to evaluate respective directorate FSEs.

Figure 4-1. Evaluating Fire Response during FSE to a Burning Building at Fort Rucker, December 2019

Evaluation Team Configuration

EET team configuration and implementation is dependent upon the scenario, size, and scope of the exercise, which is designed to validate the target capabilities nested into the commander's training objectives. For example, an evaluated functional exercise designed to evaluate only emergency operations center (EOC) operations will typically consist of six evaluators who are all Phase II certified and experienced in the EOC. Conversely, EET composition for FSEs will have up to 15 SMEs assembled, based on their knowledge, skills, and abilities that are directly related to a specific scenario (i.e. active shooter).

Pre-FSE Preparation

Evaluation Team Support Requirements. Team leads will request plans, policies, procedures, standard operating procedures (SOPs), and any memorandum of understanding (MOU)/memorandum of agreement (MOA) the exercise uses to validate performance. Individual evaluators need access to these documents before the team's arrival on site to prepare to support the exercise. When a local plan or SOP is not available or does not exist, the evaluators use higher-level publications as the reference for the observed activities (installation policy, Department of the Army [DA] pamphlet, manuals, doctrinal publications, regulations, etc.) to assess performance.

Planning and Coordination. IMCOM exercise teams will work closely with garrison exercise planners to coordinate logistics and confirm the execution schedule.

Garrison Command Desk-Side In-brief. The IMCOM headquarters representative and evaluation team chief will meet with the garrison commander for a desk-side discussion of the exercise in order to field questions, address concerns, and obtain focus area guidance. This meeting also serves as a pre-brief to the commander for the garrison in-brief.

Garrison In-brief. The evaluation team chief provides installation leadership and directorate staff with an overview of the externally evaluated FSE process, and introduces the evaluators.

Functional Area Counterpart Link-Up. Following the in-brief, the directorate counterpart link-up is intended for both the evaluator and the garrison functional area representatives to review the evaluation process, and discuss specific plans, SOP validations, and the relevant capability EEGs. Because of this meeting, both the garrison participant and the evaluator have a common understanding of the evaluation process, source documents, and expectations before the start of the exercise.

Exercise Evaluation

During the exercise, the evaluation team chief interacts directly with installation leadership, the garrison exercise director, and the white cell to keep the evaluation team informed of changes during the exercise. To maintain situational awareness of the exercise progress and synchronize implementation of any changes that directly affect evaluation operations, the team leads are in constant contact with the evaluation team, the exercise controllers, and the white cell lead. Figure 4-2 provides an example of an exercise control organization and lines of communication.

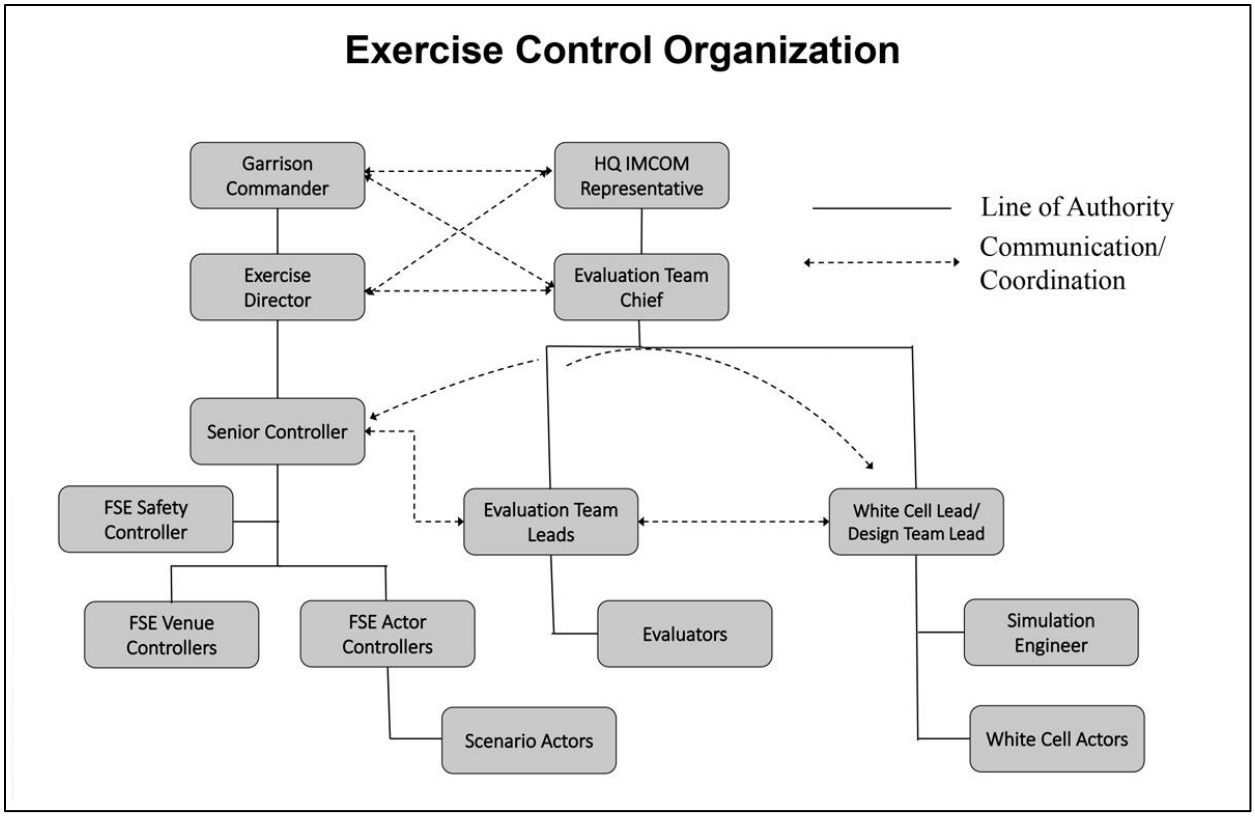

Figure 4-2. Example FSE Exercise Control Organization

Evaluators are in position before start of exercise and provide coverage of the critical activities for their respective functional areas throughout the exercise day. Each day of exercise execution ends with a pause of exercise, and evaluators observing the garrison's hot wash, if one is conducted. For garrisons that elect to do so, the use of a daily hot wash is very effective in encouraging staff self-assessment and helping leadership gain situational awareness. Evaluators will not actively participate in the garrison hot wash, but rather observe to capture information to augment their own observations. Following the garrison's hot wash, the evaluation team meets to conduct a daily hot wash of their own, receive guidance on evaluation deliverables, and give the start of exercise instructions for the next day. Garrisons have a multitude of real world scenarios to choose from for their FSE. Figure 4-3 depicts a mass casualty scenario at Fort A.P. Hill.

Figure 4-3. FSE Simulated Aircraft Crash with Mass Casualties at Fort A.P. Hill

Evaluator Tools

Exercise Evaluation Guide. EEGs are the standard to track and measure critical tasks demonstrated during the exercise, and provide a consistent process for collectively assessing preparedness. Further, the process leads to the overall validation of the chosen training objectives, and supports the development of the AAR.

Master Scenario Events List (MSEL). The MSEL drives expected actions from the beginning of the exercise to the end. The MSEL also provides the stimulus for evaluators to observe and evaluate the selected training objectives.

Local Plans, Policies, and SOPs. Installations are evaluated in accordance with their own plans, policies, procedures, and SOPs. Local guidance from developed plans validates installation performance in order to assess capability.

Observation and Data Collection

Evaluators position themselves to be invisible, and observe the actions taken by exercise participants. They should not do anything to interfere or influence the outcome of the operations, except when a safety concern arises. Evaluators may engage participants and actors in conversation to better understand what they have observed, but should do so as unobtrusively as possible. Evaluators should coordinate their activity with the exercise controllers for each location, and should provide information on progress of the exercise to the evaluation team leads and white cell controllers to facilitate situational awareness.

Observation. EETs observe exercise activity in a non-attribution environment, including many of the following:

- Activation or implementation of plans, policies, processes, and procedures; requests for resources; use of mutual aid agreements; etc.
- Roles, responsibilities, and authorities of the garrison, government agencies, jurisdictions, and private organizations
- Pertinent decisions made or decision-making processes
- Information sharing with other agencies and the public (HSEEP)

Data Collection. Data collection is critical to providing an overall understanding of the exercise. Collecting data uses a variety of methods, tools, and techniques to provide the information needed for continuous improvement activities and resourcing decisions, instead of just relying on assumptions. It supports fact-based record of what actions were taken, what key decisions were made, and the outcomes of those actions and decisions (HSEEP). In addition to EEGs, evaluators can use a variety of data collection methods as part of their evaluation plan, including direct observation, document reviews, and participant feedback (HSEEP).

Data Analysis. Team leads organize and conduct preparation of the garrison out-brief presentation, performing an initial data analysis of the findings compiled in the evaluator observations. The team reviews and discusses observations to ensure they are accurate and complete. Often, an evaluator of one functional area will observe the effects of decisions and actions taken by another functional area. Sharing this information enhances the quality of the observations provided to the GC.

Evaluators consider participant performance against all targets to determine the overall installation capability and resilience. Additionally, the EET documents strengths and areas for improvement over the course of exercise play. Evaluators should consider the following questions to identify issues:

- What happened, and what was supposed to happen based on current plans, policies, and procedures?
- What was the impact?
- Were the consequences of the action (or inaction/decision) positive, negative, or neutral?
- Do plans, policies, and procedures support activities and associated tasks?
- What are the strengths and areas of improvement to remedy deficiencies?

Scenarios, training objectives, and chosen core capabilities must align to support thorough and detailed evaluations that result in identifying the sustain and needs improvement capability gaps.

Example A. USAG X chooses an active shooter exercise, focusing on integrating fire, law enforcement, the special response team (SRT), explosive ordnance disposal, and the rescue task force (RTF). All organizations actively participated and used existing plans to drive actions.

Result. Each organization was able to coordinate, collaborate, and cooperate with others, working out any kinks in integration. Evaluators made over 110 observations across all functional areas, giving the SC/GC detailed feedback and actionable recommendations to improve overall resiliency.

Example B. USAG X decides on a hurricane scenario, focusing on recovery. However, the directorate of public works does not have training objectives or core capabilities included in the exercise plan. The directorate of public works is also not included in the planning process, and have few MSEL injects drive action.

Result. Evaluation was very limited, and could only provide feedback on the EOC directorate of public works representative. No damage assessment teams were dispatched, there were no injects providing visual damage for decision making, and there was no actual performance of capabilities observed. Infrastructure is mission critical and real world events are not where installations want to find out they have large gaps in planning, preparation, or mitigation strategies.

Evaluation Criteria

The criteria used to assess garrison capabilities is intended to assist commanders and staff in prioritizing the resources required to mitigate the identified gaps in capability. Below are the criteria definitions. Each observation made by the EET is identified using the following criteria.

- **Major Improve.** Impacts mission assurance at a critical point, and needs addressed as soon as possible. Major improves impact the life, safety, mission assurance, and protection of property.
- **Significant Improve.** Needs an improvement plan in a timely manner, with possible mitigation efforts in place.
- **Minor Improve.** Tasks are being met; however, room for improvement still exists.
- **Sustain**

Observation Examples

Observation. MAJOR: Access control point (ACP) search procedures were inadequately performed.

Discussion. Intelligence suggested the active shooters had friends with possible terrorism connections. Four connected personnel (role players) attempted to get on base with false identification cards and weapons. Two identification cards were identified, and only one of four weapons was discovered. Failure to follow established SOPs allowed all four individuals and three weapons through the ACP, gaining access onto Fort X and increasing the risk to the protected populace.

References. AR 190-13, *The Army Physical Security Program*, 27 June 2019

Recommendation. Follow SOPs, increase training in random access measure (RAM) procedures, and validate with drills and exercises.

Observation. SUSTAIN: First arriving law enforcement established command and immediately formed contact teams, directing them inside the building toward active shooter.

Discussion. The initial law enforcement senior officer established command, and directed two separate teams of military police into the building with the tactical objective of locating and neutralizing the active shooter. With limited resources and maximum skill, Soldiers were employed forward to give their best efforts to mitigate the incident with minimal loss.

References. Training Support Package (TSP) 191-AS-2015

Recommendations. Sustain

Post-exercise Deliverables

Evaluation results are reviewed with installation leaders at a desk-side meeting, before the final out-brief. This provides significant observations, or observations of a sensitive nature, from being presented during the out-brief.

Final Out-brief. The final out-brief is attended by installation leadership, exercise players, directorate staff, and the evaluation team. The brief is scheduled for one hour, and immediately following the evaluation team is available to answer any questions.

After Action Report. A formal AAR is provided to leadership 60 days after the final out-brief. This formal document provides an in-depth analysis of evaluator observations, areas for improvement, best practices, and actionable recommendations. See Figure 4-4 for the recommended cover page of the final AAR.

USAG Fort X

Full Scale Exercise 2020

18-19 June 2020

AFTER ACTION REPORT

This after action report (AAR) aligns exercise objectives with national and Army preparedness doctrine to include the national preparedness goal and related guidance. Exercise information required for preparedness reporting and trend analysis is included.

Figure 4-4. Cover Page of Final After Action Report

Endnotes

1. IMCOM OPORD 19-061, *IMCOM Protection FSE Implementation Guidance*, 21 August 2019.

CHAPTER 5: Corrective Action Plan/Improvement Plan

The corrective action plan (CAP)/improvement plan (IP) is the final step in the externally evaluated full scale exercise (FSE) process, and a vital step in the installation's ability to respond and recover from an all-hazards incident. CAPs/IPs are a tool for tracking the corrective actions needed to enhance critical operations by capability, and revising standard operating procedures (SOPs). CAPs/IPs also provide accountability and transparency. CAPs/IPs include three key elements. The first is a clear statement identifying the problem from the U.S. Army Installation Management Command (IMCOM) provided after action report (AAR) observations. The second is a statement of planned resolutions created by the installation. The final key element is the steps that are taken to resolve the identified gaps in capabilities. CAP/IP guidance is referenced in Army Regulation (AR) 525-27, *Army Emergency Management Program*, 39 March 2019; AR 525-2, *The Army Protection Program*, 8 December 2014; and Department of the Army (DA) Pamphlet (PAM) 525-27, *Army Emergency Management Program,* 17 July 2020. This guidance outlines the steps involved, with clear definitions of the process and its ultimate importance as a progress-gauging tool. CAPs/IPs are a tool to identify specific improvement goals and inform the Multi-Year Training and Exercise Program (MTEP) for future training iterations.

CAP/IP Development Process

Final FSE out-briefs are intended to provide staff with an 80 percent-plus solution, for an early way ahead. A CAP template will accompany the final AAR 60 days after out-brief, pre-filled with all needs-improvement observations and recommendations. U.S. Army Garrison (USAG) directorates/staff begin course of action (COA) development based on the provided out-brief observations. Once received, the installation will find that columns A, B, C, D, and F are password protected to prevent accidental deletion. The garrison is responsible for filling in cells E and G through N.

IMCOM simultaneously uploads the new CAP/IP into the IMCOM provost marshal/protection directorate (PM/P) CAP/IP database. When USAGs receive the CAP/IP, the deadline for completing and returning the document is 60 days from receipt. IMCOM will review the provided COAs for acceptability and notify the garrison of any unacceptable COAs within 10 working days. As seen in Figure 5-1, all FSE identified gaps must be resolved no later than 180 days after initial receipt. If resolution cannot be accomplished by deadline, a waiver must be submitted to IMCOM headquarters for approval.[1]

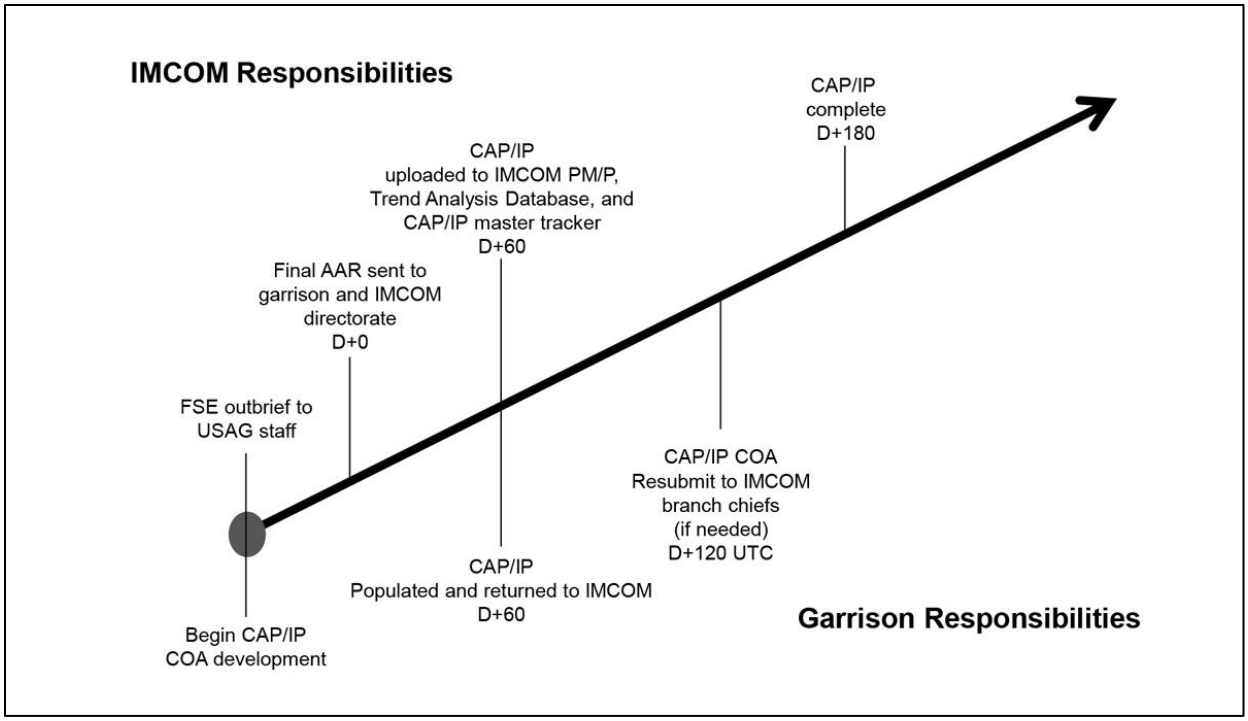

Figure 5-1. CAP/IP Roles and Responsibilities for Submission

Why do CAPs/IPs Matter to the Installation?

Apart from the IMCOM requirement, the CAP/IP format provides a clear standard for all garrisons to use, track, and complete all observations to completion. The results are incorporated into the annual emergency management plan review and update process.

What do CAPs/IPs mean to the Senior Commander/Garrison Commander?

Senior commanders (SCs)/garrison commanders (GCs) are responsible for all actions conducted under their leadership. They must have visibility for support (both vertically and horizontally) and accountability of installation units, garrison directorates, and tenant organizations. If plans are updated, the SC's/GC's understanding of those plans ensures a coordinated response, clear delineation of expected roles/responsibilities, validation of mission assurance, and installation success.

Summary

The CAP/IP process is one of the most important steps in the way ahead for MTEP. After assuming command, SCs/GCs should reference this document to understand their collective strengths, weaknesses, and capabilities. Installations must ensure the warfighters' capabilities growth through rigorous and realistic exercises that maintain mission focus. The CAP/IP tool provides SCs/GCs with the ability to assess the trained, needs practice, and untrained (T/P/U) status of the collective tasks outlined in the 27 capabilities of the exercise evaluation guides (EEGs). CAPs/IPs can and should be used as continuity for SCs/GCs when addressing the mandatory requirement for exercises. Historically, SCs/GCs command lifecycle presents them with only one externally evaluated exercise. Outgoing commanders and their directorate leadership can present and use the CAP/IP to give a "state of the installation" brief to the incoming commander. Future exercises should use this CAP/IP as a reference for inputting the appropriate amount of rigor and realism into the exercise to find the next gap in capability. The CAP/IP can also assist in finding the root cause of an issue when exercises fail to achieve the desired results because the responsible directorates did not accurately address previous gaps.

Endnotes

1. IMCOM Operation Order (OPORD) 19-061, *IMCOM Protection FSE Implementation Guidance*, 21 August 2019, Fragmentary Order [FRAGORD].

Acronyms

AAR	after action report
ACP	access control point
ADP	Army doctrine publication
AI	artificial intelligence
AMC	Army Materiel Command
AR	Army regulation
ASCC	Army Service component command
AT	antiterrorism
ATP	Army Techniques Publication
C&O	concept and objectives
CAP	corrective action plan
CDC	Centers for Disease Control and Prevention
CID	Criminal Investigation Command
CIO	chief information officer
CIRM	critical infrastructure risk management
CMD	command
COA	course of action
CPG	Comprehensive Preparedness Guide
CSM	command sergeant major
CTC	combat training center
D	day
DA	Department of the Army
DD	Department of Defense (form)
DES	Director of Emergency Services
DOD	Department of Defense
DODI	Department of Defense instruction
DPTMS	Directorate of Plans, Training, Mobilization, and Security
EDC	exercise design and control
EEG	exercise evaluation guide
EET	exercise evaluation team
EM	emergency management
EMEEC	Emergency Management Exercise Evaluation Course
EMP	electromagnetic pulse
EMS	emergency medical services
EOC	emergency operations center
EXORD	execute order
FES	fire and emergency services
FM	field manual
FPM	final planning meeting
FRAGORD	fragmentary order
FSE	full scale exercise

GC	garrison commander
HQ	headquarters
HQDA	Headquarters, Department of the Army
HSEEP	Homeland Security Exercise Evaluation Program
ID	IMCOM Directorate
IED	improvised explosive device
IMCOM	U.S. Army Installation Management Command
IP	improvement plan
IPM	initial planning meeting
JELC	joint event life cycle
LE	law enforcement
MDO	multi-domain operations
MERS	Middle East respiratory syndrome
MOA	memorandum of agreement
MOU	memorandum of understanding
MPM	midterm planning meeting
MSEL	master scenario events list
MTF	medical treatment facility
MTEP	Multi-Year Training and Exercise Program
NEC	Network Enterprise Center
NPG	national planning goals
NPS	National Preparedness System
OPMG	Office of the Provost Marshal General
OPORD	operation order
OPSEC	operations security
OTSG	Office of the Surgeon General
P2MR2	prevention, protection, mitigation, response, and recovery
PAM	pamphlet
PAO	public affairs office
PPD	Presidential policy directive
PHEMS	Pre-hospital Emergency Medical Services
PM/P	provost marshal/protection directorate
PS	physical security
RAM	random access measure
RTF	rescue task force
SARS	severe acute respiratory syndrome
SC	senior commander
SMART	specific, measurable, achievable, relevant, and time-bound
SME	subject matter expert
SOP	standard operating procedure
SRT	special response team
SURG	surgeon
TF	task force

T/P/U	trained, needs practice, and untrained
TRADOC	United States Army Training and Doctrine Command
TSP	Training Support Package
UAS	unmanned aircraft system
USAG	U.S. Army Garrison
UTC	Coordinated Universal Time
VBIED	vehicle-borne improvised explosive device
WG	working group

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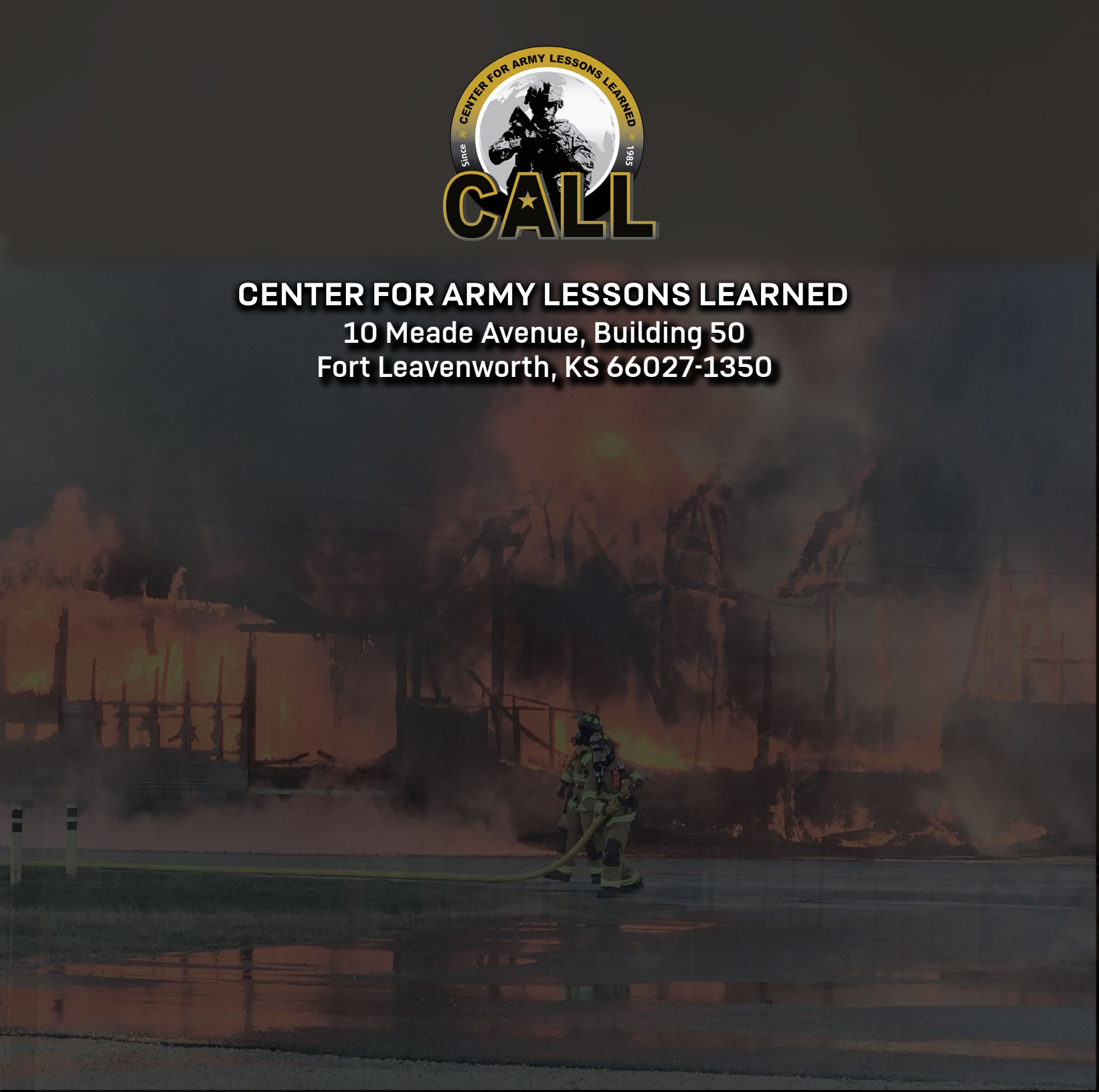

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