

**Earthquake**

**Dialysis Facility Tabletop Exercise**

**After Action Report/ Improvement Plan**

# Preface

This After-Action Report/Improvement Plan (AAR/IP) aligns the objectives of this exercise with existing preparedness doctrine, to include the National Preparedness Goal and related frameworks and guidance. The document includes exercise information required for preparedness reporting and trend analysis; users are encouraged to add additional sections as needed to support their own organizational needs.

# Special Handling Instructions

While the outline for this exercise is available to the public, if Exercise Design Teams (EDTs) choose to customize the exercise with local information, they may decide to designate the materials as For Official Use Only (FOUO) to designate its contents as sensitive information not to be disclosed to unauthorized personnel.

The control of exercise information is based on sensitivity regarding the nature of the exercise (e.g., the exercise scenario may address politically sensitive issues and/or may portray detailed response plans and potential response shortcomings), rather than the actual exercise content.

If deemed FOUO by the EDT, all exercise participants should follow appropriate guidelines to ensure proper control of information within their areas and safeguard, handle, transmit, and store this material in accordance with current information security policies and directives.

Reproduction of the sensitive information, in whole or in part, is prohibited without prior approval from [Sponsor Agency/Organization]. At a minimum, this document will be provided on a need-to-know basis only.

[Edit the text in this section as necessary based on the sponsor’s security directives. Edit the markings/caveat on the document’s cover to be consistent with this text.]

# Exercise Overview

|  |  |
| --- | --- |
| **Exercise Name** | [Earthquake Exercise Name] |
| **Exercise Date** | [Exercise Date] |
| **Exercise Schedule** | Appendix A contains the detailed schedule for this exercise. |
| **Scope** | This Dialysis Facility Table-Top Exercise (TTX) is planned for approximately [duration] hours. The exercise will be conducted at [exercise location]. |
| **Mission Areas** | Mitigation, Response, and Recovery |
| **Objectives** | * FACILITIES: Structural maintenance considerations; earthquake resistant construction; non-structural mitigation; back-up power and water supplies; supplies for staying on-site; accessibility considerations; and emergency repairs.
* HUMAN RESOURCES POLICIES: Employee notification and alerts; early release/telework policies; flexible work schedules; payroll and insurance policies; employee insurance policies; employee/family reunification procedures; employees trained in first-aid with access to medical supplies; and capacity to ensure accessibility for individuals with disabilities or access and functional needs.
* CONTINUITY OF OPERATIONS PLANS: Plans to operate at an alternate location; access to important data; roles and responsibilities; insurance policies; supplier and customer relationship management; and plans and processes to resume operations.
* EMERGENCY OPERATIONS PLANS: Ability to provide critical information and updates during the emergency through multiple notification systems; guidance on how to protect critical assets; plans to provide first aid; protocols for communicating with local first responders and critical infrastructure providers; delegation of authority and secession planning; and cooperation and coordination with local, tribal, regional, State, and Federal emergency preparedness officials.
* POLICIES AND PROCEDURES: to effectively track the location of on-duty staff and sheltered patients in the dialysis facilities care; a means to shelter in place for patients, staff, and volunteers; safe evacuation for the dialysis facility; plans for arrangements with other dialysis facilities or other providers to receive patients.
 |
| **Threat or Hazard** | Earthquake |
| **Scenario** | The [insert name of fault line] suddenly awakens near [insert local]. The rupture shoots northwest and southeast from the epicenter along the fault at 2 miles per second, sending seismic energy waves out in all directions. As the magnitude 6.5 earthquake’s rupture front travels along the [insert name of fault system], it causes several highway ruptures, damage to numerous bridges and overpasses, and major disruptions to critical infrastructure. |
| **Sponsor** | [Sponsor Agency/Organization][Funding source(s): indicate name grant program(s) being utilized, if applicable] |
| **Participating Organizations** | [Insert a brief summary of the total number of participants and participation level (i.e., Federal, state, local, tribal, non-governmental organizations (NGOs) and/or international agencies).] Appendix B contains the full list of participating agencies and Whole Community partners. |
| **Point of Contact** | [Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)] |

# Analysis of Core Capability Performance

Aligning the exercise objectives and core capabilities provides a consistent taxonomy for evaluation that transcends individual exercises; this evaluation taxonomy is then available to support both preparedness reporting and gap analysis. This section presents a tabular summary of the core capability performance ratings based on an evaluation of how the exercise was conducted. Additionally, the section presents an overview of the evaluation related to each exercise objective and associated core capability, highlighting strengths and areas for improvement.

## Summary of Core Capability Performance Ratings

Table 1 includes the exercise objectives, aligned core capabilities and performance rating for each core capability as observed during the exercise and determined by the evaluation team. The following ratings were used to evaluate the performance of core capabilities during the exercise:

| * Performed without Challenges (P)
* Performed with Some Challenges (S)
 | * Performed with Major Challenges (M)
* Unable to be Performed (U)
 |
| --- | --- |

These rating are consistent with the U.S. Department of Homeland Security’s Homeland Security Exercise and Evaluation Program (HSEEP). The HSEEP rating definitions are presented at the end of Table 1.

**Table 1. Summary of Core Capability Performance Ratings**

| Objective | Core Capability | Performance Rating |
| --- | --- | --- |
| P | S | M | U |
| 1. Assess the ability to effectively manage structural maintenance considerations; earthquake resistant construction; non-structural mitigation; back-up power and water supplies; supplies for staying on-site; accessibility considerations; and emergency repairs.
 | Facilities  |  |  |  |  |
| 1. Assess the ability to effectively provide employee notification and alerts; early release/telework policies; flexible work schedules; payroll and insurance policies; employee insurance policies; employee/family reunification procedures; employees trained in first-aid with access to medical supplies; and capacity to ensure accessibility for individuals with disabilities or access and functional needs.
 | Human Resources Policies  |  |  |  |  |
| 1. Assess the ability to implement plans to operate at an alternate location; access to important data; roles and responsibilities; insurance policies; supplier and customer relationship management; and plans and processes to resume operations.
 | Continuity of Operations Plans |  |  |  |  |
| 1. Ability to provide critical information and updates during the emergency through multiple notification systems; guidance on how to protect critical assets; plans to provide first aid; protocols for communicating with local first responders and critical infrastructure providers; delegation of authority and secession planning; and cooperation and coordination with local, tribal, regional, State, and Federal emergency preparedness officials.
 | Emergency Operations Plans |  |  |  |  |
| 1. Assess the ability to effectively track the location of on-duty staff and sheltered patients in the dialysis facilities care; a means to shelter in place for patients, staff, and volunteers; safe evacuation for the dialysis facility; plans for arrangements with other dialysis facilities or other providers to receive patients.
 | Policies and Procedures  |  |  |  |  |

| **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 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 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).
 |

**Overview of Core Capability Performance Evaluation**

The following pages provide an overview of the exercise evaluation related to each objective and associated core capability, highlighting strengths and areas for improvement.

## Core Capability 1: Facilities

**Objective 1:** Assess the ability to effectively manage structural maintenance considerations; earthquake resistant construction; non-structural mitigation; back-up power and water supplies; supplies for staying on-site; accessibility considerations; and emergency repairs.

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This statement should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

## Core Capability 2: Human Resources Policies

**Objective 2:** Assess the ability to effectively provide employee notification and alerts; early release/telework policies; flexible work schedules; payroll and insurance policies; employee insurance policies; employee/family reunification procedures; employees trained in first-aid with access to medical supplies; and capacity to ensure accessibility for individuals with disabilities or access and functional needs.

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1:[Observation statement. This statement should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis:[Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2:[Observation statement]

Reference:[List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

## Core Capability 3: Continuity of Operations Plans

**Objective 3:** Assess the ability to implement plans to operate at an alternate location; access to important data; roles and responsibilities; insurance policies; supplier and customer relationship management; and plans and processes to resume operations.

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This statement should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

## Core Capability 4: Emergency Operations Plans

**Objective 4:** Ability to provide critical information and updates during the emergency through multiple notification systems; guidance on how to protect critical assets; plans to provide first aid; protocols for communicating with local first responders and critical infrastructure providers; delegation of authority and secession planning; and cooperation and coordination with local, tribal, regional, State, and Federal emergency preparedness officials.

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This statement should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

## Core Capability 5: Policies and Procedures

**Objective 5:** Assess the ability to effectively track the location of on-duty staff and sheltered patients in the dialysis facilities care; a means to shelter in place for patients, staff, and volunteers; safe evacuation for the dialysis facility; plans for arrangements with other dialysis facilities or other providers to receive patients.

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This statement should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

# Appendix A – Improvement Plan

This IP has been developed specifically for [Organization or Jurisdiction] as a result of [Exercise Name] conducted on [date of exercise].

| **Core Capability** | **Issue/Area for Improvement** | **Corrective Action** | **Primary Responsible Organization** | **Organization POC** | **Start Date** | **Completion Date** |
| --- | --- | --- | --- | --- | --- | --- |
| Core Capability 1: Facilities  | 1. [Area for Improvement] | [Corrective Action 1]  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| Core Capability 2: Human Resources Policies | 1. [Area for Improvement] | [Corrective Action 1]  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| Core Capability 3: Continuity of Operations Plans | 1. [Area for Improvement] | [Corrective Action 1]  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| Core Capability 4: Emergency Operations Plans | 1. [Area for Improvement] | [Corrective Action 1]  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |

| **Core Capability** | **Issue/Area for Improvement** | **Corrective Action** | **Primary Responsible Organization** | **Organization POC** | **Start Date** | **Completion Date** |
| --- | --- | --- | --- | --- | --- | --- |
| Core Capability 5: Policies and Procedures | 1. [Area for Improvement] | [Corrective Action 1]  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |

# Appendix B – Exercise Participants

| Participating Organizations |
| --- |
| **[Jurisdiction A]** |
| [insert local government agencies] |
| [insert names of Whole Community partners] |
|  |
|  |
| **[Jurisdiction B]** |
|  |
|  |
| **State** |
|  |
|  |
| **Federal** |
|  |
|  |

*[Note: The following tables are optional; delete if not needed.]*

| Exercise Participants  |
| --- |
| **Name** | **Agency/Organization** |
|  |  |
|  |  |
|  |  |

| Role | Name | Agency/Organization |
| --- | --- | --- |
| Exercise Sponsor Representative |  |  |
| Exercise Director |  |  |
| Exercise Design Team |  |  |
| Exercise Design Team |  |  |
| Exercise Design Team |  |  |
| Facilitator |  |  |
| Evaluator |  |  |
| Evaluator |  |  |
| Exercise Support Staff |  |  |