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Disaster Planning for California Hospitals
The only statewide conference developed by and for California hospitals

Powering readiness through partnerships
Disaster Planning for California Hospitals

After Action Reporting and Improvement Plans Made Simple

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CHA Hospital Preparedness Program
Objectives

• Define and summarize key components to rapidly develop an After Action Report
• Identify process to analyze capabilities
• List the key steps to Improvement Plan development

Purpose: Why Do We Write After Action Reports?

• Ensure accreditation, regulatory and grant requirements are met
• Evaluate and assess emergency preparedness core capabilities
• Review real incidents to make improvements and share strengths
Purpose: Take a Step Back — Why Did We Exercise?

- Develop, test and validate:
  - Policies, plans and procedures
  - Training and competency
  - Equipment
  - Agreements
- Improve individual and team performance
- Improve interagency coordination and strengthen relationships
- Identify hazards, gaps in capabilities and resources
- Improve planning and response

Components of an After Action Report

1. Exercise Overview
2. Analysis of Core Capabilities Individually and Table
3. Align Exercise Objectives and Core Capabilities
4. Appendix: Improvement Plan
5. Appendix: Participants
6. Appendix: Other Exercise Documents
After Action Reporting

• Where do you find your information for the After Action Report?
• Evaluator notes
• Exercise Evaluation Guides (EEGs) and other sources such as included policies and procedures
• Hotwash
• Controller/Evaluator debrief

Tools and Information for Health Care

Homeland Security Exercise Evaluation Program
• After Action Report templates and examples
• Improvement Plan templates and examples

https://www.fema.gov/

The California Hospital Association website has templates, forms, After Action Reports and Improvement Plans
www.calhospitalprepare.org

HSDL is the Homeland Security Digital Library
https://www.hsdl.org/c/
After Action Report
Title Page

[Exercise Name]

After-Action Report/Improvement Plan

[Date]
The After-Action Report/Improvement Plan (AAR/IP) aligns exercise objectives with preparedness doctrine to include the National Preparedness Goal and related frameworks and guidance. Exercise information required for preparedness reporting and trend analysis is included; users are encouraged to add additional sections as needed to support their own organizational needs.

After Action Report
Exercise Overview

EXERCISE OVERVIEW

Exercise Name [Insert the formal name of exercise, which should match the name in the document header]
Exercise Dates [Indicate the start and end dates of the exercise]
Scope This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters].
Mission Area(s) [Prevention, Protection, Mitigation, Response, and/or Recovery]
Core Capabilities [List the core capabilities being exercised]
Objectives [List exercise objectives]
### After Action Report

**Exercise Overview (cont.)**

<table>
<thead>
<tr>
<th>Threat or Hazard</th>
<th>List the threat or hazard (e.g., natural/hurricane, technological/radiological release)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Scenario</td>
<td>Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)</td>
</tr>
<tr>
<td>Sponsor</td>
<td>Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable</td>
</tr>
<tr>
<td>Participating Organizations</td>
<td>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). Consider including the full list of participating agencies in Appendix B. Delete Appendix B if not required.</td>
</tr>
<tr>
<td>Point of Contact</td>
<td>Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)</td>
</tr>
</tbody>
</table>

### After Action Report

**Analysis of Core Capabilities**

“Aligning exercise objectives and core capabilities provides a consistent taxonomy for evaluation that transcends individual exercises to support preparedness reporting and trend analysis.

Table 1 includes the exercise objectives, aligned core capabilities, and performance ratings for each core capability as observed during the exercise and determined by the evaluation team.”

*From the FEMA AAR Template*
After Action Report
Analysis of Core Capability Summary

<table>
<thead>
<tr>
<th>Objective</th>
<th>Core Capability</th>
<th>Perform without Challenges (P)</th>
<th>Perform with Some Challenges (S)</th>
<th>Perform with Major Challenges (M)</th>
<th>Unable to be Performed (U)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1</td>
<td>Core capability</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective 2</td>
<td>Core capability</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective 3</td>
<td>Core capability</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

Table 1. Summary of Core Capability Performance

After Action Report
Analysis of Core Capability

<table>
<thead>
<tr>
<th>Objective</th>
<th>Core Capability</th>
<th>Perform without Challenges (P)</th>
<th>Perform with Some Challenges (S)</th>
<th>Perform with Major Challenges (M)</th>
<th>Unable to be Performed (U)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide department situational status to the Hospital Command Center within thirty minutes of activation of plan</td>
<td>Operational Coordination</td>
<td></td>
<td>S</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Provide hospital situational status to the MHOAC within sixty minutes of activation of the plan</td>
<td>Operational Coordination</td>
<td></td>
<td>M</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Analysis of Core Capabilities

Analyze Capabilities
• List Objective
• Match to Core Capabilities
• Identify Strengths
• Identify Areas of Improvement
• List:
  – Reference
  – Analysis

Identify Issues: The Good, the Bad and the Ugly

What were the exercise/real event issues related to the Objectives?
• Strengths
• Areas of Improvement
After Action Report: Strengths and Areas of Improvement

For example: Strengths
- Timely Department Operation Center notification of hospitals and nursing home contact of expected potable and non-potable water need for next 72 hours

For example: Areas of Improvement
- Delay in situational status reporting from the Department Operation Center to the Emergency Operations Center

Activity

Strengths and Areas of Improvement
Identify exercise and real event issues (strengths and areas of improvement)

Instructions
1. Write one strength from past exercise or real event.
2. Write one area of improvement from past exercise or real event.
Analysis of Capabilities: Match the Issues with the Objectives

Choose the first Objective
• List the Core Capabilities
• List the Strengths under the first Core Capability
• List the Areas of Improvement with also:
  – Reference
  – Analysis
• Go to the next Core Capability under that Objective and start the process again

Analysis of Capabilities: Let’s Put it Another Way

Identify what went right and what went wrong
• Start with first Objective
• List Capabilities the Objective tested
• List Strengths in meeting the objective
• List Areas of Improvement (identified issues that made it so that the Objective wasn’t fully met)
• Describe Resources and Analysis of what happened when testing the objective
Analysis of Capabilities

**Objective:** Notify Hospital Command Center of Department Situation Status within 30 minutes of activation of the plan

**Capabilities Matching Example:**
- Core Capability:
- Operational Coordination

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After Action Report: Example for a MHOAC

**Capabilities — for example:**
If the MHOAC tested obtaining situational status reporting from each hospital:
- **Core Capability:** Operational Coordination
- **Capability Target:** Obtain situational status reporting from 100% participating hospitals within 1 hour of event notification
- **Critical Task:** Current notification procedures are used to contact external agencies
After Action Report

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

**Objective 1**

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

**[Core Capability 1]**

**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 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.]

---

**After Action Report: Strengths**

**Objective 1: Provide department situational status to the Hospital Command Center within thirty minutes of activation of plan**

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

**Core Capability 1: Operational Coordination**

**Strengths**

The partial capability level can be attributed to the following strengths:

**Strength 1:** 100% of hospital departments provided a situation status report to the Hospital Command Center within thirty minutes of activation of the plan
After Action Reporting: Areas of Improvement

For each issue or Area of Improvement:
• **Observation Statement:** Write a one-sentence statement that identifies the area for improvement
• **References:** Reference relevant plans, policies, procedures, or regulations
• **Analysis:** Document detailed data on what you observed

After Action Report

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

[Objective 1]
The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

[Core Capability 1]

**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 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 of Improvement
Observation Statement

For example with loss of water:

Observation Statement:
• There was a delay in situational status reporting from the hospitals to the Department Operations Center

Area of Improvement
References

For example:

References:
• Objective 2: Test situational status reporting from the Department Operations Center to the Hospital and Nursing Home Command Centers within thirty minutes of notification of the event
• Golden State County Emergency Preparedness Policy 330.22 Situational Status Reporting
• Golden State County Emergency Operations Policy
Area of Improvement
Analysis

For example:

**Analysis:** Hospital and Nursing Home Command Centers were notified to provide written situational status reporting to the Department Operations Center. 8 out of 21 facilities provided written situational status reports within 30 minutes of the notice.

7 facilities called in their status and 5 facilities did not provide written or verbal situational status reports.

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After Action Report

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

**[Objective 1]**
The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

**[Core Capability 1]**

**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 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.]
After Action Report: Areas of Improvement

Objective 1: Provide department situational status to the MHOAC within sixty minutes of activation of plan

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

Core Capability 1: Operational Coordination

Areas for Improvement

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

Area for Improvement 1: 42% of Hospital Command Centers provided situational status report


Analysis: All acute care hospitals activated their Emergency Operations Plans on notification of a multi-casualty incident at the Main Street Mall. 8 of the hospitals reported not knowing how to fill out the situational status report for the county. 5 hospitals reported not knowing where to find the situational status reports. 2 hospitals were not aware they were supposed to report situational status. 1 hospital did not know who their MHOAC was.

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Analysis of Capabilities Activity

Objective

Become familiar with developing an analysis of core capabilities

Instructions

1. Select one area of improvement from the first activity.
2. Write a one sentence observation about the issue.
3. List references for the issue such as exercise objective, and/or related policies and procedures.
4. Write a one paragraph analysis that describes the issue.
After Action Report
Requirements

Bring in Requirements:
• Accreditation
• Regulatory
• Grant Requirements

Improvement Plan

What should the Planning Team do with the recommendations?
• In the After Action report we evaluated and assessed our Core Capabilities, now we will IMPROVE them
**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].

<table>
<thead>
<tr>
<th>Core Capability</th>
<th>Issue/Area for Improvement</th>
<th>Corrective Action</th>
<th>Capability Element</th>
<th>Primary Responsible Organization</th>
<th>Organization POC</th>
<th>Start Date</th>
<th>Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Capability 1: [Capability Name]</td>
<td>1. [Area for Improvement]</td>
<td>[Corrective Action 1]</td>
<td>Training</td>
<td>Education</td>
<td>Harry Styles</td>
<td>June 30th</td>
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<tr>
<td></td>
<td></td>
<td>[Corrective Action 2]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>[Corrective Action 3]</td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>2. [Area for Improvement]</td>
<td>[Corrective Action 1]</td>
<td>Equipment</td>
<td>Emergency Preparedness</td>
<td>Danica Patrick</td>
<td>July 5th</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>[Corrective Action 2]</td>
<td></td>
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</tr>
</tbody>
</table>

Capability Elements include: Planning, Training, Systems/Equipment
Improvement Plan Activity

Objectives

Develop an Improvement Plan

Instructions

1. Review the issue from After Action Report.
2. Fill in Improvement Plan with:
   - Capability
   - Observation Title
   - Recommendation
   - Corrective Action/Description
   - Primary Responsible Department
   - Point of Contact
   - Start Date
3. Select one person to report back your Improvement Plan

Time

Activity: 20 minutes
Report-Back: 10 minutes

Appendix B: Exercise Participants

<table>
<thead>
<tr>
<th>Participating Organizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal</td>
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<tr>
<td></td>
</tr>
<tr>
<td>State</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>[Jurisdiction A]</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>[Jurisdiction B]</td>
</tr>
</tbody>
</table>

APPENDIX B: EXERCISE PARTICIPANTS

APPENDIX B: EXERCISE PARTICIPANTS

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After Action Report
Appendix

Appendix
Examples may include:
• Events Summary
• Messaging
• Requests
• Participant Feedback
• Acronyms
• Other Items

Course Review

• Why Did We Exercise (what were we testing)
• After Action Report Components
  – Introduction
  – Core Capabilities Analysis
  – Appendix
• Improvement Plan
Questions?

Don’t forget to complete your evaluation!

If you do not have access to the app, please see CHA staff for a printed evaluation.

CE certificates will be emailed within two weeks of the conference.

Thank you

Mary Massey
CHA Hospital Preparedness Program
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