

Evaluation, Lesson Learned, & Corrective Action System (ELLCAS)

July 8, 2015



After Action History

- Watershed was Japan response in 2011, which utilized a new process for developing AARs involving capability-based structure for data analysis.
- Exercise and Operation AARs have, since the Japan AAR, followed a very similar format and used a very similar evaluation methodology.
- The methodology itself has matured and become more rigorous such that clear comparison of results across operations and exercises is now possible.



Improvement Planning Cycle



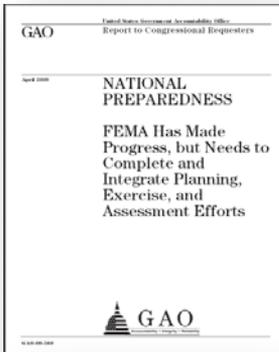


Why is this important?

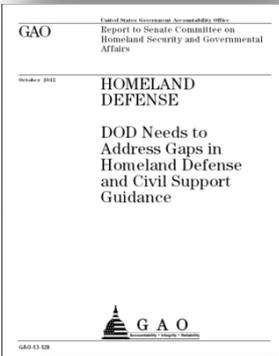
- A systematic process for developing AARs, developing and reviewing lessons learned and identifying and implementing and tracking corrective actions:
 - Fosters transparency, encourages information sharing, and creates unity of purpose across Programs
 - Ensures issues don't persist and are ultimately resolved
 - Results in the continuous enhancement of operational capabilities to address evolving threats
 - Advances knowledge improvement and retention
 - Provides data-substantiated justifications for priorities and resource choices
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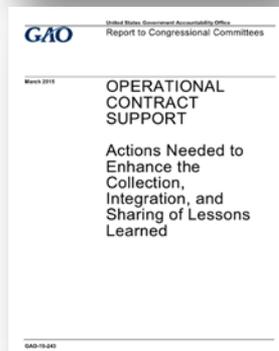
Examples to Consider



“[FEMA]...did not systematically track whether corrective actions had been taken to address deficiencies identified by exercises as called for by program guidance. - **GAO-09-369, Apr 30, 2009**



“[DoD]...does not have a process for periodically assessing the currency of its homeland defense and civil support strategy and ensuring that needed updates are completed in a timely manner. Reliance on an outdated strategy could hinder DOD's ability to effectively plan for and respond to major disasters and emergencies.” - **GAO-13-128, Oct 24, 2012**



DoD organizations do not consistently use the Joint Lessons Learned Information System (JLLIS) to share OCS issues and lessons learned due to the system's limited functionality. Without...OCS awareness, it will be difficult for DOD to...build on efficiencies that the services have identified to adequately plan for the use of contractor support. - **GAO-15-243, March 2015**





Evaluation, Lesson Learned, & Corrective Action System (ELLCAS)

- ELLCAS is a “system” comprised of three interdependent parts/pillars:
 - **Structured Analytics** using capabilities-based architecture for trend analysis and the correlation of results within a given event and across events, and allowing the development of improvement plans
 - **Enhanced Evaluation Methodology** clearly establishing bounds of evaluation and assuring complete and objective analysis: “Detailed Collection Plans” and Distributed Observations
 - **Connected Tool** that embodies the previous two parts, allows for faster analysis and output of fully-substantiated results, and supports the implementation and tracking of improvement plans to completion
 - Key benefits: (1) Reproducible; (2) Substantiation; (3) “Pin the Rose”
 - Additional functionality:
 - Ability to establish *event-specific evaluation* parameters
 - Provides for two layers of analysis (internal and external)
 - Timely output of near-complete electronic and hard-copy reports:
 - Collection Plans, Quicklooks, After Actions Reports, Lesson Learned Reports, and Corrective Action Tracking Reports
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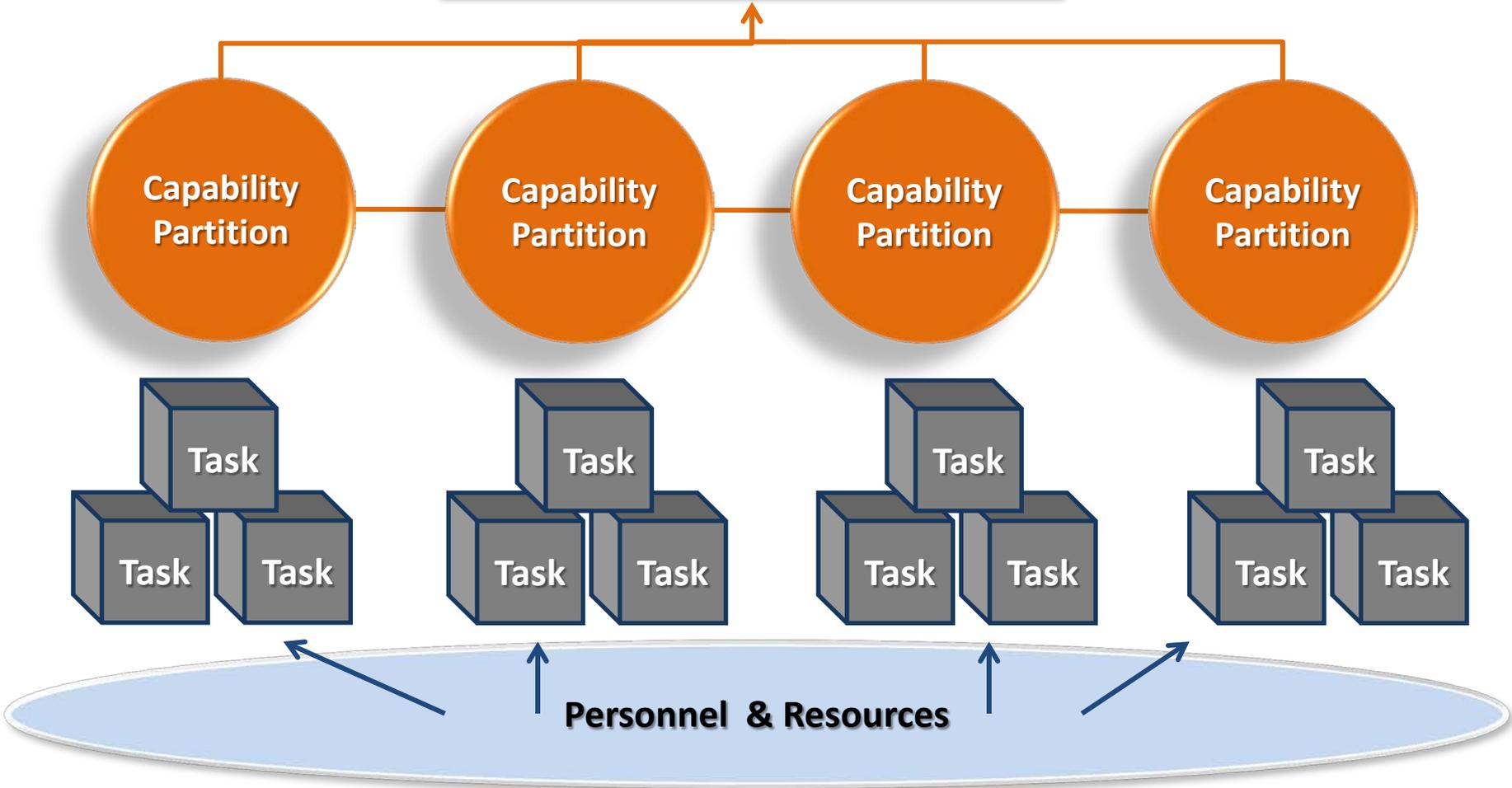
Capabilities-Based Planning: How it Works

- CBP focuses on the capabilities that must be exhibited in order to accomplish the overarching strategy or goal.
 - Breaks down traditional single asset or locational “stovepipes,” allowing systems and concepts from multiple resource pools to achieve capabilities.
 - Delivers capabilities to respond to a wide-range of threats, improving ability to manage operations in states of uncertainty instead of attempting to manage uncertainty.
 - Emphasizes flexibility, adaptability, and robust capabilities.
 - Especially useful for organizations where a latent capability to respond is necessary.
 - Desired end-state is a streamlined and collaborative, yet competitive process that produces a fully-integrated joint emergency-response capability.
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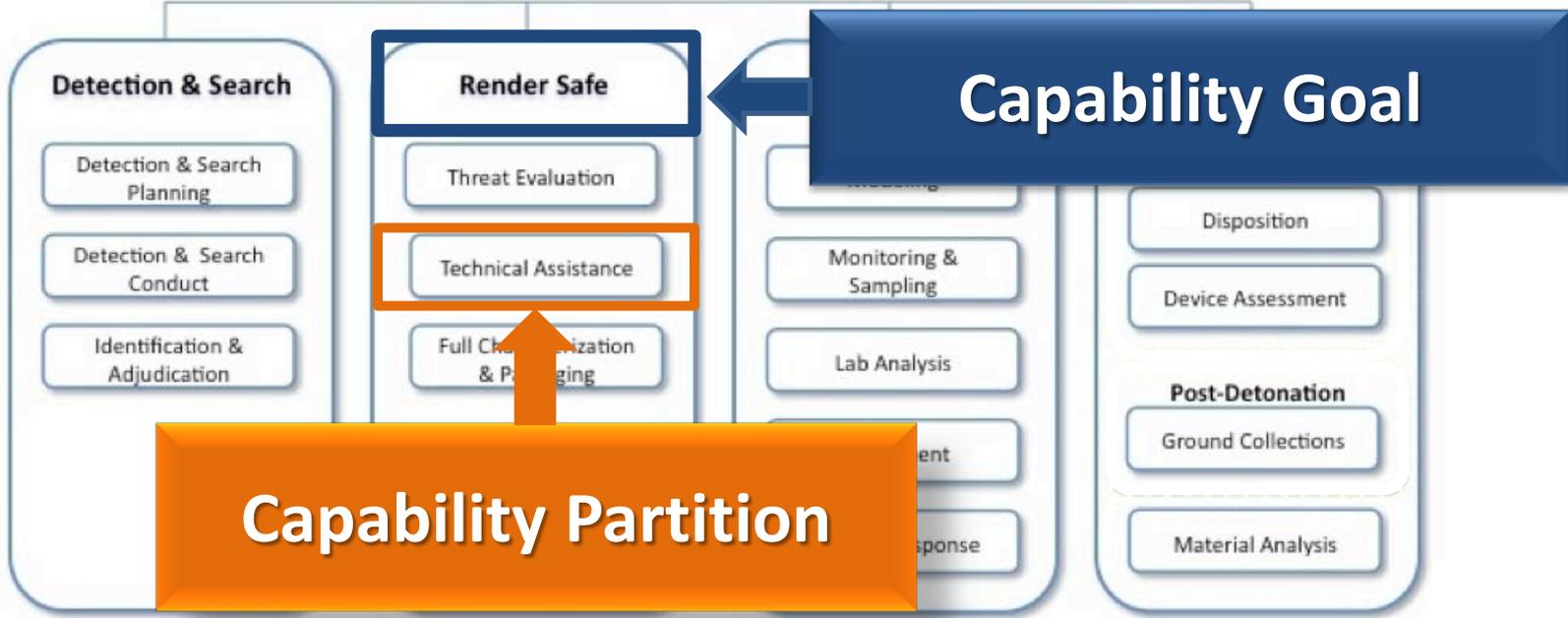


Capability Goal





DOE/NNSA Emergency Response Missions and Capabilities



DOE/NNSA Emergency Response Missions and Capabilities

Detection & Search

Detection & Search Planning

Detection & Search Conduct

Identification & Adjudication

Render Safe

Threat Evaluation

Technical Assistance

Full Characterization & Packaging

Consequence Management

Modeling

Monitoring & Sampling

Lab Analysis

Assessment

Medical Response

Nuclear Forensics

Pre-Detonation

Disposition

Device Assessment

Post-Detonation

Ground Collections

Mission Support Functions

Command & Control

Interagency Coordination

Information Management

Public Information

Security & Control

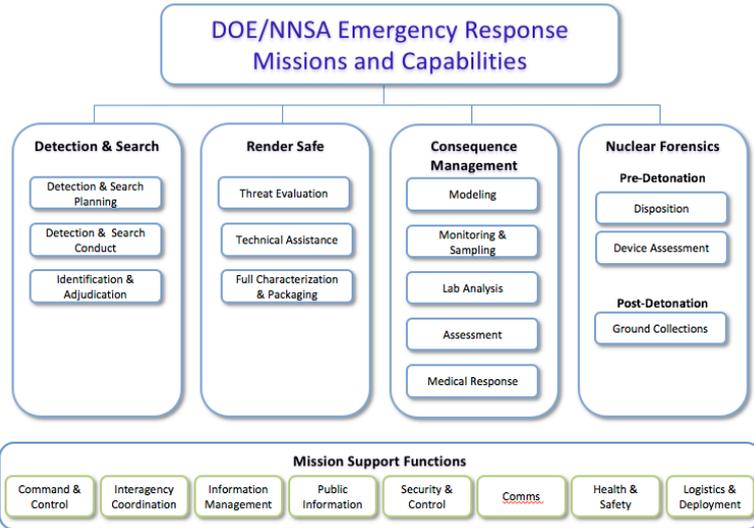
Comms

Health & Safety

Logistics & Deployment



Mosaic Approach to Evaluating Preparedness



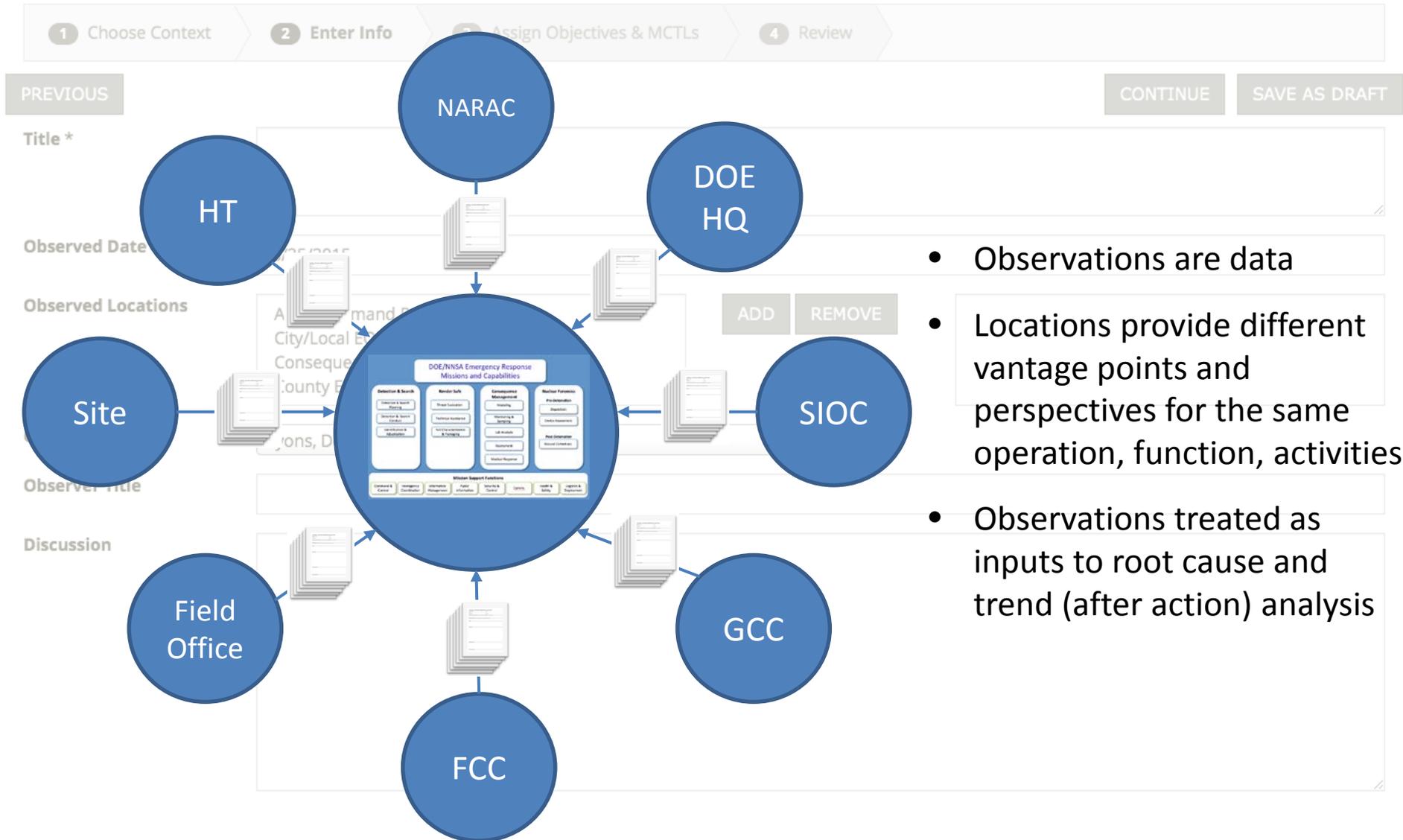
Fiscal Year	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep
FY 15		MC 15-01					VA 15	FR 15 NUWAIX 15 VR 15	MC 15-02	SE 15		
FY 16	MC 16-01					VA 16	VR 16	NUWAIX 16	MC 16-02			JS 16
FY 17		MC 17-01					MOAX 17 (VA, MC, EH, PH, RK) VR 17			NUWAIX 17		TW 17
FY 18		MC 18-01		CENTCOM 18		FR 18 VA 18	VR 18	NUWAIX 18	MC 18-02	CM 18		
FY 19		MC 19-01					VR 19	AFRICOM 19 NUWAIX 19	MC 19-02			JS 19

Not possible to evaluate or fully assess preparedness in 1 or 2 exercises. Is best be done through a well-considered, planned, phased approach using the MCTL as a mosaic



Distributed Evaluation for an Event

Context: Exercise - Event: JD 15-01



- Observations are data
- Locations provide different vantage points and perspectives for the same operation, function, activities
- Observations treated as inputs to root cause and trend (after action) analysis

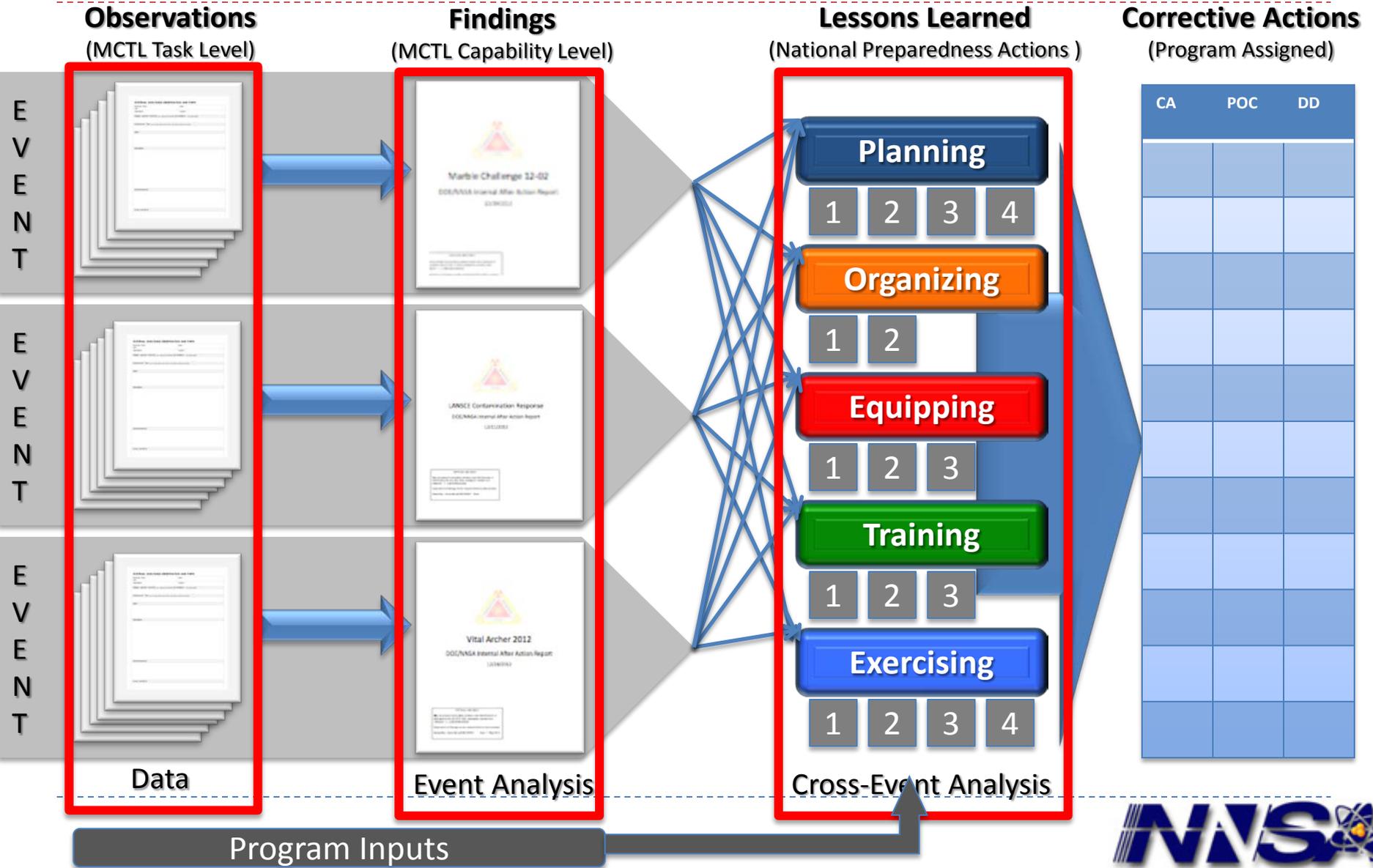


Key Terms

- **Observations:** Raw “performance” data at the task level, captured from responders or observers during or following an operation or exercise
- **Findings:** Roll-up and analysis of observations at the capability level for a given operation or exercise to determine best practices or areas for improvement
- **Lessons Learned:** Trends across operations, exercises, and programs, many of which justify, or result in, corrective actions
- **Corrective Actions:** corrections (to existing) or the development/implementation of (new) plans/policy, organization, training, equipment, and exercises



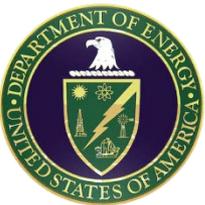
Lessons Learned & Corrective Action Process





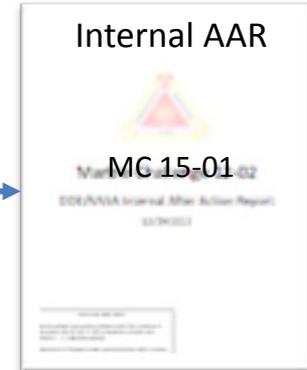
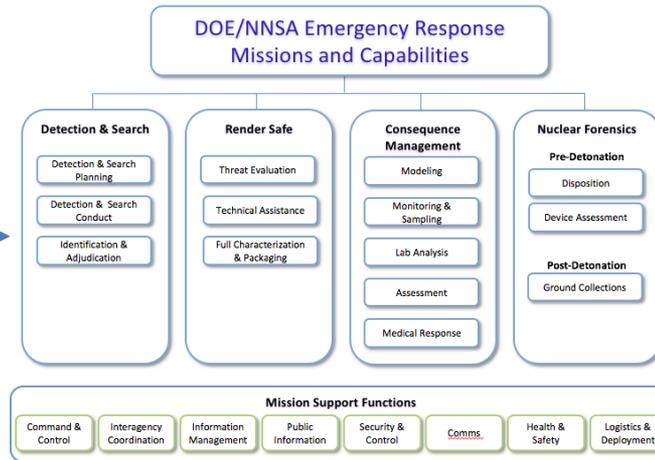
Scope of Analysis: “Inside the Numbers”

Type	Number	Definition
Observations	Over 2400	Raw “performance” data at the task level, captured from responders or observers during or following an operation or exercise
Findings	292	Roll-up and analysis of observations at the capability level for a given operation or exercise to determine best practices or areas for improvement
Lessons Learned	23	Trends across operations, exercises, and programs, many of which justify, or result in, corrective actions



Internal and External Outputs

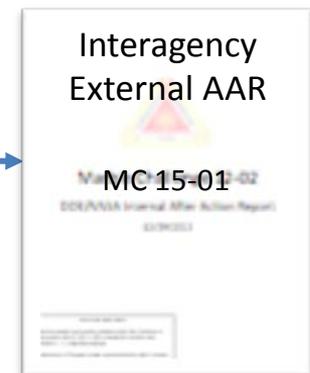
Observations
MC 15-01



FEMA

Core Capabilities List

- [Planning](#)
- [Public Information and Warning](#)
- [Operational Coordination](#)
- [Forensics and Attribution](#)
- [Intelligence and Information Sharing](#)
- [Interdiction and Disruption](#)
- [Screening, Search, and Detection](#)
- [Access Control and Identity Verification](#)
- [Cybersecurity](#)
- [Physical Protective Measures](#)
- [Risk Management for Protection Programs and Act](#)
- [Supply Chain Integrity and Security](#)
- [Community Resilience](#)
- [Long-term Vulnerability Reduction](#)
- [Risk and Disaster Resilience Assessment](#)
- [Threats and Hazard Identification](#)
- [Critical Transportation](#)
- [Environmental Response/Health and Safety](#)
- [Fatality Management Services](#)
- [Infrastructure Systems](#)
- [Mass Care Services](#)
- [Mass Search and Rescue Operations](#)
- [On-scene Security and Protection](#)
- [Operational Communications](#)
- [Public and Private Services and Resources](#)
- [Public Health and Medical Services](#)
- [Situational Assessment](#)
- [Economic Recovery](#)
- [Health and Social Services](#)
- [Housing](#)
- [Natural and Cultural Resources](#)



OBJECTIVES	OBSERVATIONS	FINDINGS	LESSONS LEARNED	CORRECTIVE ACTIONS
Assign Event Details	Submit Observation	Develop Findings	Develop Lessons Learned	View Corrective Actions
Develop Objectives	My Observations	Review Findings	Review Lessons Learned	
Review Objectives	Review Observations			



Next Steps

- Looking ahead, the plan is to:
 - Open up the MCTL aperture to other parts of DOE and NNSA (OE, NE, etc.)
 - Broaden the data pool:
 - Asset-specific operations and responses
 - Exercise and training event analysis (EDREs, IPXs, JDs, Bilats, etc.)
 - Day to day inputs (from meetings, etc.)
 - Implement a classified capability for the input and development of sensitive observations and findings



QUESTIONS?

Option 2: Framework

Hazards

DNF

Non-DNF

Energy
Emergencies

Biological

Chemical

SPR

Incidents

COOP/COG

OEP

Active Shooter

Severe Event

Security

Cyber

National Emergency
Assistance

Planning
Preparedness
Response
Readiness Assurance
Recovery

ALL
HQ/Site
Offices/Facilities/Labs/SPR
/OST/EM/NNSA

Base

Evolution to an
Emergency Management
Enterprise

29th Annual Meeting • July 6-10, 2015 • Shepherdstown, West Virginia
National Conservation Training Center (NCTC)