

## CONSIDERATIONS FOR EMERGENCY PREPAREDNESS AUDITS AUDIT DESIGN MATRIX

**Audience:** This tool is intended for state and local government auditors who have little prior experience auditing emergency management programs. The tool focuses on the basic elements of preparedness – planning, training, exercising, and evaluation. These elements function in a continuous cycle of improvement. The idea is to provide auditors with guidance on what to look for when conducting a basic audit of an agency’s preparedness to respond to incidents.



### Issue statement:

- Why does this matter? Communities expect government to be prepared and ready to engage before, during, and after incidents. They expect agencies to keep communities safe and prevent loss of life property, and economic value. The aftermath of the 2023 Maui wildfire exemplifies what goes wrong when agencies aren’t prepared. People lose trust in government, and the reputations of government agencies suffer.
- Our 2018 audit found that the state needed to strengthen its emergency management system. Recent events, such as the 2020 wildfires and the COVID-19 pandemic, showed that Oregon agencies were not prepared to respond to emergencies.
- Preparedness should be woven throughout an agency’s enterprise because it will touch all programs. That responsibility has not been recognized across the state enterprise. Preparedness has been siloed into a few agencies it goes deep and wide and must be built into agencies’ everyday functions, mission, vision, and values. An analogy is how agencies are now incorporating equity into all functions.
- Agencies must know how to work with their federal, state, and local partners, including community groups, to run incidents efficiently and effectively.
- Disasters disproportionately affect the most vulnerable. Agencies must conduct community hazards and threat analyses to identify who is most at risk. They must try to mitigate those risks before an emergency occurs and be prepared to assist vulnerable groups during and after emergencies.

### Overall potential objective:

- To what extent has (the entity) demonstrated its readiness to respond to incidents?

### About this document:

- A design matrix is an audit planning tool, which provides a snapshot of the audit. It is intended to be updated and revised as the audit progresses.
- The focus is on risks related to planning, training, exercising, and evaluation. This is a starting point for an audit because many programs may be low on the maturity curve. However, for those that further along, one could audit at a deeper level by evaluating the quality, robustness, and comprehensiveness of preparedness efforts. The materials we’ve referenced provide additional guidance if you’d like to delve deeper.
- The various criteria listed have endnotes with full titles and links. Endnotes are placed on the first mention of the criteria.
- We use “agency” as a generic term. For the most part, it can refer to local government or state agencies.
- It is an experiment and it’s not perfect. Please send feedback.

### Matrix column headings explained:

- Audit Questions: This refers to what your team is trying to answer.
- An informal commentary on why this matters: This column provides, in plain language and based on experience, why the audit question must be asked. This is not typically part of a design matrix. We added this to share acquired audit experience.
- Criteria, Information Required and Sources: Listed here is the information your team will need, and its source, to answer the audit question.
- Scope and Methodology: This information notes how your team will answer each question.
- Limitations: Presented here is information on what may affect your findings.
- What the analysis will allow you to report: This captures what the expected results of your work might be.

## Design Matrix – Emergency Preparedness Topics

	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
PLANNING	<p><i>Plan development:</i></p> <p>1. Does the agency have responsibilities in Oregon’s Emergency Management system? (Descriptive)</p>	<p>The short answer is yes, your agency has responsibilities. Every local government and virtual all state agencies have a role, BUT the agency might not have a clue what their responsibilities are.</p> <p>Unlike some government services that are siloed here or there, the emergency management system is like a net that touches virtually every entity.</p>	<p><u>Information required:</u>                      *State agency’s Emergency Support Function (ESF) and State Recovery Function (SRF) primary and supporting responsibilities and any roles in CEMP Volume I or II                      *Local government responsibilities</p> <p><u>Source:</u>  <a href="#">State CEMP</a><sup>i</sup>, <a href="#">ORS 401.032(2)</a>, <a href="#">ORS 401.035</a>, <a href="#">ORS 401.054</a><sup>ii</sup>, Section 151 to 152, Oregon Laws 2021, <a href="#">ORS 401.305</a></p>	<p><u>Scope:</u>                      Agency’s responsibilities</p> <p><u>Methodology:</u>                      Review state plans. Document responsibilities.</p>	<p>Plans may be out of date, not updated, incomplete, or not reflect an agency’s full responsibilities.</p>	<p>What the agency’s responsibilities are/aren’t in the state’s emergency management system.</p>
	<p>2. To what extent has the agency(s) developed a written plan(s) with policies and procedures for its ESF and SRF responsibilities? (Evaluative)</p> <p>(FYI - Multiple agencies may jointly share ESF and SRF responsibilities for some functions.)</p> <p><i>For local governments, this question can be refashioned to focus on the local government’s Emergency Operations Plan (EOP).</i></p>	<p>Agency personnel need to know what to do (their roles and responsibilities), have something to train to, and exercise against. They need to have a starting point for an incident. Developing a plan will help the agency identify and address capability gaps before an emergency occurs. A plan will help the agency prepare response objectives, manage resources, and set expectations for performance. Also, the people involved in evaluating risk and preparing plans should have general knowledge of emergency management principles and practices. If they don’t, that’s cause for concern.</p>	<p><u>Criteria:</u>  <a href="#">FEMA CPG 101</a><sup>iii</sup></p> <p><u>Information required:</u>                      ESF Operations Plan(s), SRF Annex(es), policies &amp; procedures on plan development and maintenance</p> <p><u>Source:</u>                      OEM CEMP webpage, OEM P&amp;P, agency internal P&amp;Ps</p>	<p><u>Scope:</u>                      Any ESF/SRF functions for which the agency holds a primary or supporting role in (Q1) and associated plans.</p> <p><u>Methodology:</u>                      Review existing plans, policies &amp; procedures</p>	<p>The ESF/SRF plans may be out of date, not updated, or incomplete. The agency’s plan may have been written by another entity for the purpose of fulfilling a requirement. In these cases, the plan may not accurately reflect the agency’s capabilities or operations. They may also be more like guidance (i.e., suggestions or recommendations) rather than actual plans that describe what needs to be done.</p>	<p>Whether the agency has/has not begun to take ownership for their responsibilities.</p>

	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
	<p>3. To what extent has the agency developed a written Continuity of Operations (COOP) plan? (Evaluative)</p>	<p>“Put your oxygen mask on first before helping others.” If you can’t maintain your own crucial business functions, how will you help others? The agency must maintain its critical business functions so it is able to help with statewide/county response and recovery functions. Think about how your agency fared at the beginning of the pandemic? If it was something other than seamless → COOP planning, training, exercising then rinse and repeat.</p>	<p><u>Criteria:</u>  <a href="#">FEMA Continuity Guidance Circular</a><sup>iv</sup>; <a href="#">DAS 107-001-010</a><sup>v</sup>; <a href="#">EMAP 4.4</a><sup>vi</sup></p> <p><u>Information required:</u>  COOP plan, any AARs from COOP exercises</p> <p><u>Source:</u>  Internal staff</p>	<p><u>Scope:</u>  The agency’s COOP.</p> <p><u>Methodology:</u>  Review the agency’s COOP plan and any AARs from COOP exercises</p>	<p>The agency’s COOP plan may be out of date, not updated, incomplete.</p> <p>The agency may have been given access to an online tool for completing a COOP plan in which the agency enters information into a template. These sometimes result in plans that read more like guidance and aren’t realistic for the agency’s needs.</p> <p>The agency may not have tested its plan to demonstrate its efficacy.</p>	<p>Whether the agency is/is not aware that they have COOP responsibilities and has begun to address those.</p>
	<p>4. Have agency programs that provide critical business functions incorporated those responsibilities into their missions/goals? (Descriptive)</p> <p>Do the agency’s key goals address disruptions to critical business functions?</p>	<p>It’s easier to prepare and respond to an emergency when the mindset is embedded into an agency’s culture – it’s mission, vision, values, and practices.</p>	<p><u>Criteria:</u>  *<a href="#">FEMA Continuity of Operations: An Overview</a></p> <p><u>Information required:</u>  Critical business functions as identified by COOP plans. Identify the programs responsible for critical business functions. Examine key goals and objectives of programs.</p> <p><u>Source:</u>  Agency/program COOP plans, program descriptions and documentation.</p>	<p><u>Scope:</u>  Programs providing critical business functions, per COOP.</p> <p><u>Methodology:</u>  Review COOP plans to determine critical business functions. Review org charts and program information to determine programs responsible for key business functions. Conduct inquires as necessary. Review program goals and objectives to determine if they mention anything related to COOP/emergencies, like having capabilities to respond to or recover from disruptions/incidents.</p>	<p>An agency’s mission, vision, values or strategic plans may be out-of-date or incomplete. Updates may not have involved emergency preparedness staff.</p>	<p>Whether the agency has/has not begun to embrace emergency preparedness in their culture.</p>

Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
5. To what extent have written plans been reviewed/ revised by agency leadership? And are any approvals needed from external partners? (Evaluative)	Agency leadership needs to know what's in the plan and own their roles and responsibilities. They must champion the plan within the agency and to external partners. Those external partners also need to know what's in the plan(s) and sign off on them.	<p><u>Criteria:</u>  <a href="#">FEMA CPG 101</a>, policies &amp; procedures for plan maintenance</p> <p><u>Information required:</u>            Status/dates of plan reviews and revisions</p> <p><u>Source:</u>            Plans, interviews</p>	<p><u>Scope:</u>            Some or all of ESF, SRF, COOP plans</p> <p><u>Methodology:</u>            Obtain plans and check for signature pages indicating that plans were signed and dated by someone in leadership.</p>	Agency leadership may not be aware of the plans, particularly if there has been turnover. Leadership may not realize they have a role in reviewing plans. Emergency preparedness may be a low priority for them.	Whether leadership has/has not taken ownership of preparedness responsibilities. Whether agency leadership is/is not involved in preparedness efforts.
<i>Evaluating written plans:</i>					
6. Do the written plans identify an Incident Command System (ICS) structure? (Evaluative)	The agency can't go it alone. ICS helps agencies and community partners play well together and be good neighbors. ICS helps entities accept assistance and resources, assist others, and manage the response as efficiently and effectively, as possible. ICS captures roles and responsibilities and lines of communication/reporting/authority.	<p><u>Criteria:</u>  <a href="#">FEMA NIMS 3rd edition, Oct 2017</a><sup>vii</sup></p> <p><u>Information required:</u> How the agency plans to manage the response.</p> <p><u>Source:</u> Agency plans</p>	<p><u>Scope:</u>            ESF, SRF, and some COOP plans</p> <p><u>Methodology:</u>            Look for an org structure in the plan that indicates the Incident Commander, Command Staff (Public Information Officer, Safety Officer, Liaison Officers) and General Staff (Chiefs for Planning, Operations, Logistics, and Administration/Finance).</p>	Agency personnel may be new to ICS and not realize the extent to which it can be used. Leadership and others may balk at the idea of using a different management structure during an emergency because, for example, it is not unusual under ICS for management in the routine hierarchy to report to staff under ICS.	Whether the agency does/does not recognize that they will need to work under a different management structure during an emergency response.
7. To what extent do the written plans identify an Incident Management Team (IMT) with backups? (Evaluative)	"Two is one and one is none." IMT teams are the initial teams that lead the response. They provide leadership and direction. But people need to sleep - they can't work 24/7 for days on end - and not everyone will be available when an incident strikes. Backups are necessary to fill staffing holes and provide relief as an incident stretches on. Responses are marathons, not sprints. You've got to be prepared to go the distance.	<p><u>Criteria:</u>            *<a href="#">FEMA NIMS 3rd edition, Oct 2017</a></p> <p><u>Information required:</u> Whether the agency has assigned two shifts or more of people to IMT positions.</p> <p><u>Source:</u> Agency's staffing plan for ICS/IMT positions</p>	<p><u>Scope:</u>            The agency's plans</p> <p><u>Methodology:</u>            Look for a staffing plan associated with the main plan. This should present the names of the primary people assigned to ICS positions along with their back-ups. A bench of people three deep per position is a thing of beauty.</p>	Limited number of appropriate and trained personnel in the agency. Mindsets that prevent sharing responsibilities (e.g., "Only I can be in charge," "I can do this on my own.")	Whether the agency has/has not taken steps to identify personnel for emergency response management roles.
8. To what extent do written plans show coordination or	The agency can't do it alone. It will be responding with partner agencies, and	<p><u>Criteria:</u>            See Section III.F on</p>	<p><u>Scope:</u>            Agency plans, policies, and</p>	Partner agency plans may not exist or they may be out-of-date	Whether the agency is/is not aware of partner agencies

Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
linkages with other agencies? (Evaluative)	they've got to play nice with each other. The agency's plans, actions, and responsibilities need to be coordinated with those of other agencies.	interconnectivity <a href="#">in FEMA NIMS 3rd edition, Oct 2017</a>  <u>Information required:</u> Indications that the agency has thought about how they will partner with other agencies.  <u>Source:</u> Agency plans	procedures.  <u>Methodology:</u> Review plans to see if the Concept of Operations section mentions other partners and their involvement. The ICS structure should also show how other agencies fit within command and control (e.g., they might have a liaison position in the ICS structure).	or incomplete. For the latter, plans may not have a section describing how the emergency will be managed (I.e., Concepts of Operations)	with whom they will work during an emergency and how they will work with them.
9. To what extent do written plans present considerations around vulnerable populations (I.e., equity issues) (Evaluative)	The vulnerable are always the most affected and hardest hit during emergencies. If we don't plan for and recognize their needs, inequitable distribution of resources is likely. Plans should address a resource-scarce environment for prioritizing and distributing resources. An example is people displaced from their homes because of wildfires or a major earthquake in a market with limited available affordable housing.	<u>Criteria:</u> The concept of "whole community" is in: * <a href="#">FEMA NIMS 3rd edition, Oct 2017</a> * <a href="#">FEMA CPG 101</a>  <u>Information required:</u> Mentioning the needs of vulnerable/high-risk populations  <u>Source:</u> Agency plans	<u>Scope:</u> The agency's plans  <u>Methodology:</u> Determine if the agency has conducted a risk assessment/hazard analysis or is aware of the findings from OEM's analyses.	An agency and its partners may not have conducted a risk assessment/hazard analysis that would identify the people, regions, and properties most at risk for poor outcomes.	Whether the agency has/has not conducted a risk assessment/hazard analysis to identify those most at risk for poor outcomes to emergencies.
10. To what extent do written plans include procedures for requesting, receiving, storing, and distributing resources? (Evaluative)	An agency needs a logistics plan in place for managing resources it might receive and distribute during an emergency (e.g., money, vaccines, medications, people, equipment, donations).	<u>Criteria:</u> *Resource Management chapter in <a href="#">FEMA NIMS 3rd edition, Oct 2017</a>  <u>Information required:</u> Indications that the agency has thought about how they will manage resources.  <u>Source:</u> Agency plans, policies and procedures	<u>Scope:</u> Agency plans, policies & procedures.  <u>Methodology:</u> Review plans, policies & procedures to determine if the agency knows how they will manage resources. Look for actual procedures (i.e., who does what, where, when, and how).	Agencies may not have thought through how they might have to alter their usual business practices to manage resources sent to or through them during an emergency.	Whether the agency has/has not thought about how they will manage resources that they will acquire or be sent to them during an emergency.

	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
	11. To what extent have operational objectives and key performance measure been built into the plan(s)?	These are especially important for establishing timeframes – when things will be stood up, ready – for other interdependent plans, for communicating with stakeholders, and for evaluating performance both in exercises and real-life incidents.	<p><u>Criteria:</u>  <a href="#">National Response Framework</a></p> <p><u>Information required:</u>  Written objectives and performance measures</p> <p><u>Source:</u> Agency plans</p>	<p><u>Scope:</u> Agency plans, policies &amp; procedures</p> <p><u>Methodology:</u> Review plans, policies &amp; procedures for stated objectives and performance measures.</p>	The agency may say they can't know what the objectives will be until they are in an emergency. However, general objectives can be stated to foster a unified response and address known risks.	Whether the agency has/has not established operational objectives and performance measures for responding to emergencies.
TRAINING	12. To what extent does the agency have a training plan? (Evaluative)	Preparedness never ends. Training is ongoing. People need to know what to do, what the expectations are, and what roles they will fill. Also, personnel leave agencies all the time, and you need to maintain a trained workforce. There's turnover from leadership down, including emergency management staff, which means you need a written training plan to keep training ongoing.	<p><u>Criteria:</u>  *<a href="#">Homeland Security, HSEEP, January 2020</a><sup>viii</sup>  *<a href="#">EMAP 4.10</a></p> <p><u>Information required:</u> Dates, times, attendance lists for past and future trainings</p> <p><u>Source:</u> Training plan/calendar, staff</p>	<p><u>Scope:</u>  Training plan for agency personnel.</p> <p><u>Methodology:</u>  Ask to see the agency's training plan. Look for dates, times, identified attendees, and names of trainers. Consider the topics covered and whether they are training to elements in the plans.</p>	The agency may default to OEM's training plan and not develop their own plan to develop personnel adequately. If they do have a plan, it may be limited in scope (e.g., a one-time ICS training).	Whether the agency has/has not begun to consider how they will train personnel to respond to an emergency.
	13. To what extent have agency personnel been oriented to the agency's emergency preparedness plans? (Evaluative)	Personnel need to know that their agency has emergency preparedness responsibilities, that a plan for responding exists, and that they will likely be asked to play a role in responding to an emergency. Recently passed state law requires state and local government officials to complete training.	<p><u>Criteria:</u>  See definition for 'seminar' in <a href="#">Homeland Security, HSEEP, January 2020</a>; <a href="#">Oregon Laws 2022, Ch. 55</a> (HB 4068), Section 4.<sup>ix</sup></p> <p><u>Information required:</u> Evidence that an orientation was held (i.e., date, time, agenda, attendance list)</p> <p><u>Source:</u> Ask staff for this information</p>	<p><u>Scope:</u>  Agency's training plan and agendas for the trainings. Trainings should be for agency personnel.</p> <p><u>Methodology:</u>  Determine if a training was held to orient agency personnel to ESF, SRF, and COOP plans. Orientations can be lecture-style events with time for questions and answers.</p>	Agencies may not think it's necessary to present plans to all agency personnel. The agency may not have an exercise plan, or the plan may not include orientations.	Whether personnel are/are not aware of the agency's emergency plans.
	14. To what extent have agency personnel been trained on ICS and their roles and	Knowing ICS and one's position in it reduces a person's stress. If trained and exercised on their position, they will know what is expected of them during a	<p><u>Criteria:</u>  See definition for 'national preparedness' in <a href="#">FEMA NIMS 3rd edition, Oct 2017</a>; <a href="#">Oregon</a></p>	<p><u>Scope:</u>  Agency's training plan and agendas for trainings held. Trainings should be for agency</p>	Agencies may limit training to FEMA's online, introductory ICS course and not train to specific ICS positions, such as Logistics or	Whether agency personnel do/do not understand fundamentals about their roles and responsibilities and

	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
	responsibilities under ICS? (Evaluative)	response. ICS also allows folks to lean on others, including those who hold the same position. In a standardized system like ICS, you know what other people are supposed to be doing, and you learn to trust others to fulfill their roles. You don't have to do it all. Everyone has a role to play.	<p><a href="#">Laws 2022, Ch. 55</a> (HB 4068), Section 4(1) state officials to have ICS training.</p> <p>* <a href="#">FEMA, Training and Education webpage</a><sup>x</sup></p> <p><u>Information required:</u> Evidence that trainings were held (i.e., date, time, agenda, attendance list)</p> <p><u>Source:</u> Training plan, ask staff</p>	<p>personnel.</p> <p><u>Methodology:</u> Determine if the training plan has introductory and ICS position-specific trainings for agency personnel. Ask for sign-in sheets and match attendees against staffing plans.</p>	Planning Chief.	reporting lines during an emergency.
EXERCISE	15. To what extent does the agency have an exercise plan? (Evaluative)	Exercising the agency's plans minimizes the initial chaos when an emergency arises. People need to practice their roles & responsibilities before "sh*t hits the fan." Personnel gain confidence and competence in their roles by participating in exercises. No one who hasn't received training or participated in exercises should be working on an incident. Folks should never meet each other for the first time on an incident.	<p><u>Criteria:</u></p> <p>* <a href="#">Homeland Security, HSEEP, January 2020</a></p> <p>* <a href="#">EMAP 4.11</a></p> <p><u>Information required:</u> Evidence that exercises are being developed according to FEMA guidance</p> <p><u>Source:</u> Agency exercise plan, exercise calendar</p>	<p><u>Scope:</u> Agency exercise scope and planning documents</p> <p><u>Methodology:</u> Ask to see the agency's exercise plan. Consider the topics covered and whether they have objectives based on elements within the agency's preparedness plans.</p>	The agency may default to OEM's exercise calendar and not develop their own plan. The exercise plan may be limited in scope or may not involve partners, and exercises within the plan may not be progressive. The plan may focus on just one area, like command and control, rather than testing other functions like receiving and distributing resources.	Whether the agency has/has not begun to consider how they will test their emergency preparedness plans.
	16. To what extent is the exercise plan progressive? (Evaluative)  (Progressive means going from orientations to tabletops to functional, and then full scale exercises)	Exercises test the validity of plans. Through exercises, an entity can demonstrate whether a plan is worth the paper it is printed on. Knowledge, competence, confidence, and capabilities are built over time. An annual tabletop exercise (i.e., a structured discussion/seminar) is a start but isn't enough to prepare for an emergency.	<p><u>Criteria:</u></p> <p>* <a href="#">Homeland Security, HSEEP, January 2020</a></p> <p>* <a href="#">Oregon Laws 2022, Ch. 55</a> (HB 4068), Section 6 establishes base <i>minimums</i> (<u>not</u> leading practice)</p> <p><u>Information required:</u> Documentation of orientations, tabletop, functional and full-scale exercises on a topic (e.g., receiving and distributing resources)</p> <p><u>Source:</u> Exercise plan, exercise</p>	<p><u>Scope:</u> Agency exercise scope and planning documents or after-action reports.</p> <p><u>Methodology:</u> Determine if the agency has held exercises that build upon each other - from orientations to tabletop to functional and full-scale exercises.</p>	Functional and full-scale exercises, which require more resources to plan and execute, may not be supported by agency leadership. Agency preparedness personnel may not have the resources (e.g., other staff) with which to plan and carry out higher-level exercises.	Whether the agency has/has not considered how they will build knowledge, competence, confidence and capabilities for responding to an emergency.

	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
	17. To what extent has the agency exercised its plan(s) internally, and in coordination with others? (Evaluative)	You won't know if the plan will work during an emergency if you don't practice it first. Exercises will help identify gaps that can be addressed before an emergency arises.	calendar  <u>Criteria:</u> * <a href="#">Homeland Security, HSEEP, January 2020</a> * <a href="#">Oregon Laws 2022, Ch. 55</a> (HB 4068), Section 6 (3) for state agencies, (4) for counties  <u>Information required:</u> Attendance lists that show internal and external partners participated in exercises  <u>Source:</u> After-action reports, ask exercise planners	<u>Scope:</u> Participant lists in exercise scope and planning documents or after-action reports.  <u>Methodology:</u> Determine if exercise participants have included or will include the agency's key response partners.	Plans may not include the roles and responsibilities of partners. The agency may think it does not have the resources to plan and conduct functional and full-scale exercises with partners.	Whether the agency has/has not involved its personnel and response partners in their preparedness exercises.
EVALUATION	18. To what extent has the agency conducted after-action meetings with partners for preparedness exercises or real-life events? (Evaluative)	Nothing is perfect the first time or the tenth time. Plans and process are perpetually evolving. It's a constant process of learning and adapting. This is the part of the process that provides the continuous improvement loop, which is essential for making sure the hard-learned lessons from each incident are captured and corrective action is implemented.	<u>Criteria:</u> *Importance of lessons learned – <a href="#">National Preparedness Goal, 2nd Edition, Sept 2015</a> , p17 <sup>xi</sup> *See Chapter 5 Exercise Evaluation in <a href="#">Homeland Security, HSEEP, January 2020</a> (These criteria can be applied to the evaluation of preparedness exercises or real-life events) * <a href="#">NWCG AAR</a> <sup>xii</sup>  <u>Information required:</u> Documentation that meetings with response partners took place  <u>Source:</u> Agendas and meeting minutes	<u>Scope:</u> Documentation for exercises developed and led by the agency.  <u>Methodology:</u> Review agendas, sign-in sheets/participant lists, and notes for after-action meetings to see if they include key response partners	Agency personnel may not be trained on the AAR/IP process. Time, other responsibilities, and burn-out may prevent the work from being done. Leadership may not want to allocate funds to hire a consultant to conduct the reviews.	Whether the agency is/is not evaluating their actions during exercises or real-life events. Whether the agency has/has not committed resources to conducting after-action reviews.
	19. To what extent has the agency produced after-action reports (AARs) for preparedness exercises or	AARs record what when well and what needs improving. This information is crucial for identifying operational, logistical, and resource gaps.	<u>Criteria:</u> *See Chapter 5 Exercise Evaluation in <a href="#">Homeland Security, HSEEP, January 2020</a>  <u>Information required:</u> A report	<u>Scope:</u> Agency documents  <u>Methodology:</u> Review any P&P related to monitoring the implementation	Agency personnel may not be trained on the AAR/IP process. Time, other responsibilities, and burn-out may prevent the work from being done. Leadership may not want to allocate funds to hire	Whether the agency is/is not producing AARs. Whether the agency has/has not committed resources to produce AARs.



	Audit questions (Objectives)	An informal commentary on why this matters	Criteria, information Required and Sources	Scope and methodology	Limitations	What this analysis will allow you to report
	real-life events? (Evaluative)		that evaluates the agency's performance for an exercise or real-life event  <u>Source:</u> Ask staff for after-action reports	of AARs. Review report(s) used to capture feedback about exercises. Determine if the feedback is organized by the exercise objectives.	a consultant to conduct the reviews and produce reports.	
	20. To what extent has the agency produced improvement plans (IPs) for preparedness exercises or real-life events? (Evaluative)	"Those that fail to learn from history are doomed to repeat it." (Winston Churchill) Improvement plans present corrective actions that address gaps identified in after-action reports. Due dates and responsible parties are attached to each corrective action for accountability. Operational, training, and exercise plans are revised based on AARs/IPs and hopefully eventually aligned with agency strategic objectives.	<u>Criteria:</u> *See Chapter 5 Exercise Evaluation <a href="#">in Homeland Security, HSEEP, January 2020</a> * <a href="#">EMAP 4.11.3</a>  <u>Information required:</u> A table that shows for each recommendation: a corrective action description, responsible agency, point of contact, and completion date.  <u>Source:</u> Improvement plans are typically attached to after-action reports	<u>Scope:</u> Agency documents  <u>Methodology:</u> Review document(s) used to address corrective actions after an exercise, including assigning responsible parties and deadlines. Review any P&P related monitoring implementation of IPs.	Agency personnel may not be trained on the AAR/IP process. Time, other responsibilities, and response burn-out may prevent the work from being done. Leadership may not want to allocate funds to hire a consultant to conduct the reviews and produce reports. Some may be reluctant to assign responsible parties to corrective actions.	Whether the agency is/is not determining next steps and assigning responsible parties for carrying out those next steps. Whether the agency has/has not committed resources to produce IPs.
	21. To what extent has the agency documented revisions to their plans based on AAR/IP findings and shared those revisions with response partners? (Evaluative)	If something is not documented, it never happened. Change logs and distribution lists are used in response plans to document specific revisions and indicate with whom those revisions were shared.	<u>Criteria:</u> *See Operational Planning in <a href="#">DHS NRF, 4th Edition, Oct. 28, 2019</a> <sup>xiii</sup>  <u>Information required:</u> Tie recommended improvements from AARs/IPs to changes made in agency plans based on those recommendations  <u>Source:</u> AARs/IPs, change and distribution logs in agency plans	<u>Scope:</u> Agency documents  <u>Methodology:</u> Review change logs in response plans against corrective actions plans to determine if the plans have been revised timely, or at all.	Change logs and distributions lists may be missing from emergency preparedness plans. They may also be out-of-date.	Whether the agency is/is not documenting changes made to their plans because of knowledge gained during exercises or responses to real-life events.

## Contact information:



Amelia Eveland, MBA

Lead Auditor

Audits Division, Oregon Secretary of State

amelia.h.eveland@sos.oregon.gov

<sup>i</sup> Oregon's Comprehensive Emergency Management Plan (CEMP) - [https://www.oregon.gov/OEM/emresources/Plans\\_Assessments/Pages/CEMP.aspx](https://www.oregon.gov/OEM/emresources/Plans_Assessments/Pages/CEMP.aspx). See the Oregon ESF Agency Job Table for a list of agencies with primary and supporting responsibilities in ESF functions - [https://www.oregon.gov/OEM/Documents/Oregon\\_ESF\\_Agency\\_Table\\_Job\\_Aid.pdf](https://www.oregon.gov/OEM/Documents/Oregon_ESF_Agency_Table_Job_Aid.pdf). See Volume IV – Oregon Disaster Recovery Plan - [https://www.oregon.gov/oem/Documents/OR\\_RECOVERY\\_PLAN\\_MARCH\\_2018.pdf](https://www.oregon.gov/oem/Documents/OR_RECOVERY_PLAN_MARCH_2018.pdf) - page nine for a list of coordinating agencies and the State Recovery Function Annexes starting on pdf 79 for a full list of tasked agencies for each SRF functions.

<sup>ii</sup> Oregon Revised Statutes, Chapter 401 — Emergency Management and Services, ORS 401.054 lists state entities which must designate agencies to liaise with OEM. ORS 401.305 speaks to city, county, or tribal government emergency management. Please note, ORS doesn't necessarily equate to leading practices for emergency management. - [https://www.oregonlegislature.gov/bills\\_laws/ors/ors401.html](https://www.oregonlegislature.gov/bills_laws/ors/ors401.html).

<sup>iii</sup> FEMA Developing and Maintaining Emergency Operations Plans, Comprehensive Preparedness Guide 101, September 2021, Version 3.0 - [https://www.fema.gov/sites/default/files/documents/fema\\_cpg-101-v3-developing-maintaining-eops.pdf](https://www.fema.gov/sites/default/files/documents/fema_cpg-101-v3-developing-maintaining-eops.pdf)

<sup>iv</sup> FEMA Continuity Guidance Circular, February 2018 - [https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular\\_031218.pdf](https://www.fema.gov/sites/default/files/2020-07/Continuity-Guidance-Circular_031218.pdf)

<sup>v</sup> DAS Statewide Policy - - Statewide Continuity of Operations Planning, February 2018 - <https://www.oregon.gov/das/Policies/107-001-010.pdf>

<sup>vi</sup> Emergency Management Accreditation Program (EMAP) Emergency management Standard, EMAP EMS 5-2022 - <https://emap.org/wp-content/uploads/2023/04/EMAP-EMS-5-2022-Emergency-Management-Standard.pdf>

<sup>vii</sup> FEMA National Incident Management Systems (NIMS), Third Edition, October 2017 - [https://www.fema.gov/sites/default/files/2020-07/fema\\_nims\\_doctrine-2017.pdf](https://www.fema.gov/sites/default/files/2020-07/fema_nims_doctrine-2017.pdf). NIMS webpage - <https://www.fema.gov/emergency-managers/nims>.

<sup>viii</sup> FEMA Homeland Security Exercise and Evaluation Program (HSEEP), January 2020 - <https://www.fema.gov/sites/default/files/2020-04/Homeland-Security-Exercise-and-Evaluation-Program-Doctrine-2020-Revision-2-2-25.pdf>. HSEEP webpage - <https://www.fema.gov/emergency-managers/national-preparedness/exercises/hseep#>,

<sup>ix</sup> Oregon Laws 2022, Ch. 55 (HB 4068) [https://www.oregonlegislature.gov/bills\\_laws/lawsstatutes/2022orLaw0055.pdf](https://www.oregonlegislature.gov/bills_laws/lawsstatutes/2022orLaw0055.pdf). Note: session laws will be codified in the next edition of the Oregon Revised Statutes – the 2023 Edition, which should be release in early 2024.

<sup>x</sup> FEMA Training and Education - <https://www.fema.gov/emergency-managers/national-preparedness/training>.

<sup>xi</sup> US DHS National Preparedness Goal, Second Edition, September 2015 - [https://www.fema.gov/sites/default/files/2020-06/national\\_preparedness\\_goal\\_2nd\\_edition.pdf](https://www.fema.gov/sites/default/files/2020-06/national_preparedness_goal_2nd_edition.pdf). FEMA webpage - <https://www.fema.gov/emergency-managers/national-preparedness/goal>.

<sup>xii</sup> National Wildfire Coordinating Group After Action Reviews - <https://www.nwccg.gov/wfldp/toolbox/aars>

<sup>xiii</sup> US DHS National Response Framework, Fourth Edition, October 2019 - [https://www.fema.gov/sites/default/files/2020-04/NRF\\_FINALApproved\\_2011028.pdf](https://www.fema.gov/sites/default/files/2020-04/NRF_FINALApproved_2011028.pdf). FEMA webpage - <https://www.fema.gov/emergency-managers/national-preparedness/frameworks/response>.