



# INDIANA DEPARTMENT OF HOMELAND SECURITY

## POLICY AND PROCEDURE



**Title:** HSEEP Compliance for Federal Grant-Funded Exercises Policy  
**Office or Division:** IDHS Exercise and Grants  
**Version:** 2.0  
**Date:** November 2, 2022

### Related Policy or Procedure:

- A. [FEMA's Homeland Security Exercise and Evaluation Program \(HSEEP\)](#)

1.	<b>Purpose</b>	This policy sets out standards of review for HSEEP Compliance for federal grant-funded exercises to be evaluated by the IDHS Exercise Section. This policy introduces the term HSEEP Consistent within the state of Indiana.
2.	<b>Authority</b>	A. State i. None B. Federal i. <a href="#">Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.)</a> .
3.	<b>Scope</b>	All exercises funded by federal grants are required to be reviewed by the IDHS Exercise Section for HSEEP Compliance. All county personnel funded through the Emergency Management Performance Grant (EMPG) Program are required to participate in one HSEEP Compliant (or HSEEP Consistent if not federally grant funded) exercise within a twelve-month period- October 1 to September 30.
4.	<b>Terms and Definitions</b>	A. <b>The Emergency Management Performance Grant (EMPG)</b> — A federal grant program that provides federal funds for states to assist state, local, territorial, and tribal governments in preparing or all-hazards, as authorized by Section 662 of the Post Katrina Emergency Assistance Act (6 U.S.C. § 762) and the Robert T. Stafford Disaster Relief and Emergency Assistance Act 42 U.S.C. §§ 5121 et seq.). B. <b>Emergency Management Agency (EMA)</b> — The unit of county government responsible for coordinating available resources to deal with emergencies effectively, thereby saving lives, avoiding injury, and minimizing economic loss. Each county in the state has its own EMA to help communities prepare for disasters and emergencies. C. <b>HSEEP Compliance</b> — Process determined by the IDHS Exercise Section after reviewing pre-exercise and post-exercise documentation specific to that exercise type, as per the criteria defined in the HSEEP doctrine. The Homeland Security Exercise and Evaluation Program (HSEEP) provides a set of fundamental principles for exercise programs, as well as a common approach to program

	<p>management, design and development, conduct, evaluation, and improvement planning. HSEEP Compliance is reviewed by the IDHS Exercise Section if the exercise was funded by a federal grant.</p> <p><b>D. HSEEP Consistent</b> — Exercises tied to non-federal grant funded exercises should be planned, facilitated/conducted, evaluated (as necessary by exercise type), and after-actioned (as necessary by exercise type) in accordance with HSEEP doctrine. The IDHS Exercise Section does not require review of non-federal grant funded exercises; HSEEP Consistency is accepted in good faith.</p> <p><b>E. A Local Emergency Planning Committee (LEPC)</b> — LEPCs are required to exercise emergency response plans for emergency medical personnel, fire service, and law enforcement agencies using a chemical defined as Extremely Hazardous Substances and/or Comprehensive Environmental Response Compensation and Liability Act Hazardous Substances.</p> <p><b>F. IntelliGrants</b> — A grant application and management system platform used by IDHS to enhance and standardize grant management across Indiana.</p> <p><b>G. Exercise Planning Meetings and Exercise Sign-in Sheet(s)</b> — A sign-in sheet is used as proof of participation in exercise planning meetings and/or exercises. The minimum requirements for a sign-in sheet must have the title at the top of the page, a date, and a list of names and emails of participants. Examples of sign-in sheets can be found on the <a href="#">IDHS Exercise Webpage</a>. Sign-in sheets must be uploaded into <a href="#">IntelliGrants</a> as proof of participation.</p>
<p><b>5. Procedure</b></p>	<p>All EMAs funded through the EMPG Program are required to participate in one exercise in accordance with HSEEP between October 1 and September 30. Formerly, EMAs funded through the EMPG Program were required to participate in three exercises that were in accordance with HSEEP. This requirement was reduced from three exercises to one exercise on May 27, 2022. The roles in which you can obtain your credit is by being an exercise planning team member, exercise participant or player, or a controller or evaluator.</p> <p>A. Beginning January 1, 2022, only federal grant funded exercises are required to be reviewed by the IDHS Exercise Section for HSEEP Compliance.</p> <ul style="list-style-type: none"> <li>• If the exercise was funded by federal grants, the exercise should be reviewed for HSEEP Compliance (further information under Section B).</li> <li>• If the exercise was not funded by federal grant funds, IDHS is accepting in good faith that exercises participated in are consistent with HSEEP standardization (i.e., “HSEEP Consistent”). <ul style="list-style-type: none"> <li>○ For non-federally funded exercises, it is important to continue to collect sign-in sheet(s) (PDF) from the exercises or exercise planning meetings with their name included. The exercise sign-in sheet(s) can be uploaded into IntelliGrants as part of the EMPG funded exercise participation requirement.</li> </ul> </li> <li>• LEPC exercises are no longer required to be HSEEP Compliant, unless funded by federal grant funds. To request LEPC Exercise HSEEP Compliance, select the check box requesting HSEEP Compliance review in <a href="#">Tier 2</a> (screenshot below with HSEEP Approval check box option within Exercise Proposal).</li> </ul>

B. Regarding federal grant-funded exercises, specific documentation is required to be uploaded to the IntelliGrants system to verify that the exercise was HSEEP Compliant.

- Sign-in sheets (PDF) from the HSEEP Compliant exercise or exercise planning meeting(s) with their name included, and
- An email (PDF) from someone within the IDHS Exercise Section (or LEPC Coordinator pending IDHS Exercise review for LEPC Exercises) verifying that the exercise was HSEEP Compliant. Directions for saving an email as a PDF: Select File -> Print -> Microsoft Print to PDF -> Print -> save to preferred location on your computer as a PDF file.
- The IDHS Exercise Section looks for certain documentation for an exercise to be considered HSEEP Compliant. To ensure your federal grant-funded exercise is HSEEP compliant, we encourage you to reach out to [Exercise@dhs.IN.gov](mailto:Exercise@dhs.IN.gov) or your assigned IDHS Exercise Program Manager with pre-exercise documentation within 30 days of your exercise, and post exercise documentation within 90 days after your exercise. The [IDHS Exercise Webpage](#) has many resources including templates and the [IDHS Exercise Guide](#) which outlines HSEEP Compliance documentation by exercise type.

6. <b>Exceptions or Limitations</b>	None.
7. <b>Roles and Responsibilities</b>	<p>IDHS Exercise Section – All IDHS Exercise staff will be required to evaluate exercise materials submitted requesting HSEEP Compliance review. The ultimate responsibility for ensuring compliance will fall on the State Exercise Officer.</p> <p>EMA - It is the responsibility of the EMA to request their exercise be reviewed by the IDHS Exercise Section for HSEEP Compliance and submitting all needed documentation. It is the EMAs responsibility to keep track of which exercises they have participated in. It is the EMAs responsibility to upload necessary documentation into IntelliGrants. It is the responsibility of the EMA to request the sign-in sheet from the exercise organizer.</p> <p>IDHS Grants – Assigned Grants staff member is responsible for reviewing and ensuring submitted documentation in the IntelliGrants system pertaining to federal grant-funded exercises meets the requirements set out in this policy.</p>
8. <b>Classification Level</b>	For Public Release.

9.	<b>Review of Policy/Procedure</b>	This policy shall be reviewed on an annual basis or upon a substantial change to the policies and procedures relating to the EMPG Program, as authorized by the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5121 et seq.).
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## Appendix A

<b>HSEEP Compliant v. HSEEP Consistent Requirements</b>		
	HSEEP Compliant	HSEEP Consistent
Definition	Process determined by the IDHS Exercise Section after reviewing pre-exercise and post-exercise documentation specific to that exercise type, as per the criteria defined in the HSEEP doctrine. The Homeland Security Exercise and Evaluation Program (HSEEP) provides a set of fundamental principles for exercise programs, as well as a common approach to program management, design and development, conduct, evaluation, and improvement planning. HSEEP Compliance is reviewed by the IDHS Exercise Section if the exercise was funded by a federal grant.	Exercises tied to non-federal grant funded exercises should be planned, facilitated/conducted, evaluated (as necessary by exercise type), and after-actioned (as necessary by exercise type) in accordance with HSEEP doctrine. The IDHS Exercise Section will accept in good faith that the exercise is HSEEP Consistent.
Federal Grant Funded Exercise (Y/N)	YES	NO
Requirement to be reviewed by IDHS Exercise (Y/N)	YES	NO
Required Sign-in Sheet (PDF) Obtained and Uploaded into IntelliGrants (Y/N)	YES	YES
Required Email (PDF) of HSEEP Compliance Verification from IDHS Exercise and Uploaded into IntelliGrants (Y/N)	YES	NO