After-Action Reports
PS-EMC-01

About This Policy

Effective Dates:
01-01-2015

Last Updated:
12-11-2014

Responsible University Administrator:
Office of the Executive Vice President for University Academic Affairs

Policy Contact:
Mark Bruhn,
Associate Vice President, Public Safety and Institutional Assurance
mbruhn@iu.edu
Diane Mack
University Director, Emergency Management and Continuity
dimack@iu.edu

Scope

This procedure applies to the staff affiliated with and/or supporting the Indiana University Office of Public Safety and Institutional Assurance (PSIA).

Policy Statement

The university will take pragmatic and measured steps to provide an efficient, effective, safe, and secure environment. Observing and implementing lessons learned from incidents and events, whether they occur on IU property or elsewhere, is essential to a continual improvement process for all IU emergency procedures.

Reason For Policy

This policy was developed as a means to guide and support the development of a continuous improvement process that will enhance the safety and security of Indiana University.

Procedure

An After Action Report and Improvement Plan (AAR-IP) document will be utilized in this continual improvement process. An AAR-IP is written to provide an analysis of critical actions taken during an emergency situation, a large-scale planned event, or emergency-based exercises. The AAR-IP development process evaluates performance, documents effectiveness, and analyzes the efficacy of response operations. It analyzes the application and usage of other procedures/policies and recommends improvements to overall actions, where needed. The development of an AAR-IP provides benefits to internal and external stakeholders and may allow for improved communication and cooperation for the response to future emergency incidents or planned events.

The following incidents/events qualify for development of an AAR-IP:

- An emergency situation that impacts multiple IU campuses/properties, or a major portion of a single campus or IU property, and/or which otherwise has a significant affect on IU operations and/or activities.
- Any incident that involves the usage of IU-Notify.
- An emergency-based exercise, as defined by the Homeland Security Exercise and Evaluation Program (HSEEP).
- Any major academic, social, or recreational event that requires extensive or specialized planning where the Incident Command System (ICS) should be or was utilized to manage personnel, resources, and overall event operations.
- Any large routinely scheduled and planned event where there were significant actions or items noted which deviated from standard or routine event functions.

This policy is not a replacement for any existing requirements for documenting incident operations or event activities. Refer to the accompanying PSIA-EMC-01.1 Procedure: Development and Distribution of an After-Action Report and Improvement Plan for the development of an AAR-IP and the conditions where an AAR-IP may be required.

Summary of PSIA-EMC-01.1 Procedure: Development and Distribution of an After-Action Report and Improvement Plan:

**Responsibility for AAR-IP Development**
This section of the procedure outlines the responsibilities for selected departments as it pertains to AAR-IP development.

**Types of AAR-IPs**
There are three types of AAR-IPs, based on the nature of the emergency incident or planned event:

- Short Form/Brief Summary
- Incident Form
- Exercise Form

**Actions and Timeline for AAR-IP Development**
A number of steps for collecting, processing, and disseminating information related to an incident or event that qualifies for AAR-IP development, and a review and revision timeline, are included in this section of the procedure.

**Elements of an AAR-IP**
This section describes the various elements that comprise each of the AAR-IP forms.

**Usage and Application of an AAR-IP**
A structured and carefully prepared AAR-IP is only one part of the overall process for making enhancements or maintaining an emergency preparedness program or keeping essential services and organizational functions viable. The most significant part of the process is in the application of the information and details obtained during an emergency situation, or an incident during a planned event. This application, as it pertains to public safety programs, can directly aid in critical actions/functions, which are included in this section.

**Definitions**

**After Action Report and Improvement Plan (AAR-IP):** is a written document developed to provide an analysis of critical action taken during a crisis, a large-scale planned event, or an emergency-based exercise. It evaluates performance, documents effectiveness and the efficacy of response operations, and serves to highlight opportunities for improvement and the suggested means to correct or resolve those opportunities. (IUEMC, 2014)

**Business Continuity:** is an ongoing process to ensure that the necessary steps are taken to identify the impacts of potential losses and maintain viable recovery strategies, recovery plans, and continuity of services. (NFPA 1600, 2013)

**Emergency (or Emergency Situation):** is an incident, event, circumstance, or series of incidents, events or circumstances that has, or has the potential to, significantly and negatively impact life safety, operations, financial integrity, image, reputation, or relationships with stakeholders, investors, regulators, employees, or the IU community or general public.”(IUEMC, 2014)

**Emergency-Based Exercise:** is a discussion-based or operation-based instrument to train for, assess, practice, and improve performance in prevention, protection, response, and recovery capabilities in a risk-free environment.
Exercises can be used for: testing and validating policies, plans, procedures, training, equipment, and inter-agency agreements; clarifying and training personnel in roles and responsibilities; improving interagency coordination and communications; identifying gaps in resources; improving individual performance; and identifying opportunities for improvement. (Homeland Security Exercise and Evaluation Program, Volume I: HSEEP Overview and Exercise Program Management, 2007)

**Homeland Security Exercise Evaluation Program (HSEEP):** is a program that provides a set of guiding principles for exercise programs, as well as a common approach to exercise program management, design and development, conduct, evaluation, and improvement planning. (USDHS / FEMA, HSEEP Program Guidance, 2013)

**Incident:** see definition for Emergency above.

**Incident Command System (ICS):** is a standardized on-scene emergency management construct specifically designed to provide an integrated organizational structure that reflects the complexity and demands of single or multiple incidents, without being hindered by jurisdictional boundaries. The Incident Command System is the combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure and designed to aid in the management of resources during incidents. It is used for all kinds of emergencies and is applicable to small, as well as large and complex, incidents. The Incident Command System is used by various jurisdictions and functional agencies, both public and private, to organize field-level incident management operations. (USDHS / FEMA, Comprehensive Planning Guide-101, 2010)

**Mitigation:** refers to those activities taken to reduce the impacts from hazards. (NFPA 1600, 2013)

**Planned Event:** is a term that can used to describe one or more of the following:
Any major academic, social, or recreational event that requires extensive or specialized planning where ICS is, or should be, utilized to manage personnel, resources and overall event operations;
An emergency-based exercise, as defined by HSEEP;
Any deliberately organized activity or function where multiple actions, resources, and/or personnel are committed to fulfill specific goals and objectives. (IUEMC, 2013)

**Preparedness:** is the range of deliberate, critical tasks and activities necessary to build, sustain, and improve the operational capability to prevent, protect against, mitigate against, respond to, and recover from disasters. (EMAP Standard, 2010)

**Recovery:** is the process of rebuilding communities so individuals, businesses and governments can function on their own, return to normal life, and protect against future hazards. (Post-Katrina Emergency Management Reform Act, 2006)

**Response:** is a term used to describe those immediate and ongoing activities, tasks, programs, and systems to manage the effects of an incident that threatens life, property, operations, or the environment. (NFPA 1600, 2013)

**Responsible Department:** is a term used to describe an individual campus or University department charged with developing and disseminating an AAR-IP. (IUEMC, 2014)

**Stakeholder:** is a term that refers to public, private, and non-governmental agencies, departments, organizations, and individuals that have functional roles in the emergency management program. (EMAP Standard, 2010)

**Sanctions**

Enforcement of this policy will depend on the cooperation of all faculty, staff, and students not only to comply with the policy, but also to encourage others to comply, in order to promote a safe and secure environment in which to work, study, and live. Civility and respect are expected by all members of the university community in regards to this policy.

Violations of the policy should be referred to the appropriate administrative office for review and action: for academic employees, the campus office of academic affairs; for staff, University Human Resources; and for students, the campus office of student life.
## Additional Contacts

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Mark Bruhn</th>
<th>812-855-2004</th>
<th><a href="mailto:mbruhn@iu.edu">mbruhn@iu.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>AAR-IP Format and Content</td>
<td>Diane Mack</td>
<td>317-274-8152</td>
<td><a href="mailto:dimack@iu.edu">dimack@iu.edu</a></td>
</tr>
</tbody>
</table>

## History

This policy was established in January 2015.