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# Emergency Preparedness Exercise Design and Evaluation: Session Three

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# Exercise Design Series Part 3: Exercise Conduct

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LLC and Emergency  
Preparedness  
Consultants



# Objectives for Session #3

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- Demonstrate types of documents to develop for exercise conduct
- Define the key roles of Exercise Facilitator, Safety Officer and Controller
- Explain the importance of Exercise Evaluators and Exercise Evaluation Guides (EEGs)
- Identify tips to make your exercise a success



# Let's Review....

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There are two key components to creating an exercise:  
Design and Development



Always start with the capability you want to test, then build exercise objectives that are specific, measurable, action-oriented, realistic, and time-limited.



Build your scenario to drive play toward activation of the capability you want to test. It is acceptable to have “time jumps” and “injects” to move the exercise forward.



# Documents to develop

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1. Choose what Incident Command System (HICS or NHICS) forms you want to use in the exercise.

- Why?: Documentation is KEY in real events for insurance purposes, to identify lessons learned, for liability protection, for potential reimbursable expenses. Practice using them in an exercise!!
- At a minimum you want the following forms available to your team:
  - 201: Situation Report/Incident Briefing
  - 202: Incident Objectives
  - 203: Organization Chart of your Incident Command Structure
  - 204: Assignment List
  - 215A: Safety Analysis
- There is a form that combines all of these other forms known as the Quick Start Form



# Quick Start Form

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## NHICS 200 | INCIDENT ACTION PLAN QUICK START

COMBINES NHICS FORMS 201+202+203+204+215A



1. INCIDENT NAME	2. OPERATIONAL PERIOD		
	DATE:	FROM:	TO:
	TIME:	FROM:	TO:
3. SITUATION SUMMARY			-- NHICS 201 --



# 2. Exercise Presentation

## Power Point

### SCENARIO

- It is a hot and sticky July afternoon in Smith County, WI. Severe weather watches have been in place since Noon.
- At 2:30 p.m. dark clouds gathered on the west side of town and the wind started to pick up. At approximately 2:45 p.m. it is believed a tornado touched down on the east side of the Smith County fairgrounds and moved east into a residential area.
- There appears to be some buildings down in the fairgrounds and several homes have lost roofs, and suffered partial or complete collapse.
- Today was half price wrist band day at the Smith County Fair, so it is believed there were many children and young adults at the fair when the tornado hit.

## Situation Reports



### SITREP for "March Madness"

#### Situation Report # 1 (20 minutes play time)

It is a clear and crisp Monday morning in early March and all operations are going smoothly. At noon you receive a weather alert stating that a "strong prolonged winter storm" is expected to arrive in the coming days with impacts Wednesday-Friday. The biggest concern regarding this storm system is where the rain/ice/snow line will fall. There is a chance of "significant icing (.25-.50 inches of ice), strong winds, and hazardous travel".

#### **ALL: Considerations for this Play Period:**

1. Given the information above, what actions, if any, do you need to take personally or professionally to prepare for this storm?
2. Would this trigger a broader conversation with your leadership team or activation of your internal Incident Command ? Why or why not?



# Discussion-Based Exercise Placemat

[Insert Jurisdictional/Organizational Logo]
[EXERCISE NAME]
[Insert Jurisdictional/Organizational Logo]

### EXERCISE AGENDA – [DATE]

I.	Welcome and Opening Remarks	[x minutes]
II.	Exercise Overview	[x minutes]
III.	Scenario Briefing	[x minutes]
IV.	Module 1 Discussions	[x minutes]
V.	Break	[x minutes]
VI.	Module 2 Discussions	[x minutes]
VII.	Break	[x minutes]
VIII.	Module 3 Discussions	[x minutes]
IX.	Break	[x minutes]
X.	Hotwash	[x minutes]
XI.	Adjournment	

### EXERCISE-SPECIFIC OBJECTIVES

1. [List exercise-specific objectives]
2. [List exercise-specific objectives]
3. [List exercise-specific objectives]

### EXERCISE SCENARIO

[Month, Day, Year]: [Time] [Provide scenario event details, including any relevant locations and persons/groups involved in the scenario, including impacts (2-3 sentences)]

**Module 1:** [Month, Day, Year]: [Time] [Provide scenario event details, including any relevant locations and persons/groups involved in the scenario, including impacts (2-3 sentences)]

**Module 2:** [Month, Day, Year]: [Time] [Provide scenario event details, including any relevant locations and persons/groups involved in the scenario, including impacts (2-3 sentences)]

**Module 3:** [Month, Day, Year]: [Time] [Provide scenario event details, including any relevant locations and persons/groups involved in the scenario, including impacts (2-3 sentences)]

### BREAKOUT GROUP AND LOCATIONS

[FUNCTION/AGENCY/JURISDICTION]	LOCATION
[function/agency/jurisdiction]	[Room #/Table]
[function/agency/jurisdiction]	[Room #/Table]
[function/agency/jurisdiction]	[Room #/Table]
[function/agency/jurisdiction]	[Room #/Table]





# Exercise Flow

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## Structured:

- Strong facilitator role and control
- Guided questions
- Situation Report updates point to specific actions
- Best used for more “inexperienced” teams who may not know where to start

## Less Structured:

- Less facilitator control
- Scenario is updated through Sit Reps
- ‘Play’ builds upon itself
- May be a more realistic experience
- Facilitator must watch for need to ‘re-direct’ if players get off task



# Documents to Consider – NOT REQUIRED

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\*\*The bigger the exercise, the more complicated the documentation. So, for example, in a Functional Exercise or FULL scale exercise you will often see these types of documents.

- **ExPlan** –

- Target: All
- Purpose: Very general overview of scenario and format of exercise written in narrative form

- **SitMan** –

- Target: Trusted Agents
- Purpose: A deeper dive into the details of the exercise
- Typically reserved for Facilitators or Evaluators, includes timeline and additional details

- **MSEL** – Master Scenario Exercise List

- Target: Exercise Controllers and Evaluators
- Purpose: The nitty gritty of the exercise. Allows the facilitators not to miss anything and keep play flowing. Allows the evaluators a chance to 'peek ahead' so they know what to be listening/looking for



# Example of a MSEL

**Master Scenario Event List (MSEL)**  
 (all times are EST)  
**EXERCISE SHAKEDOWN DRIE December 3, 2014**

**NOT FOR DISTRIBUTION  
 PRIOR TO EXERCISE**

#	Exercise Time	Scenario Time	Delivery mode	Inject	Capabilities Tested / Target Audiences / Data or Tools Provided	Expected Outcome / Questions to ask	Observations
			Upstairs	announcement by Ex Director			
	0850	0850	Introductory comments	<b>Frank Slater</b>			
0	0900	T= Dec 3 0900	Sound Effects	<b>StartEx – SHAKEDOWN</b>	How to start an Exercise	Did anyone get under the table? Did anyone leave?	
1	0900	T = Dec 3 0900	PPT slides	Earthquake .	<b>Alert / Notification</b>		
	0905	0915		Assessment		Answer questions 1, 2, 3, 4, 5,6	
2	0915	0915	PPT Media reports and Twitter messages begin	In Ottawa Gatineau, there is considerable building damage being reported. In addition, damaged power grids have caused widespread power failures. Most of the area is left without electricity..	Situational awareness		
3	0920 to 0955	T= Day 1	PPT Media reports and Twitter messages	Multiple reports of building damage -	Situational awareness Expand this to specific buildings and neighbourhoods (based on registration info)		





## Design and Development Templates

Key factors drive the exercise design and development process. Exercise practitioners use the intent and guidance of their elected and appointed officials and the exercise program priorities to shape the key concepts and planning considerations for exercises. In designing and developing individual exercises, exercise planning team members are identified to schedule planning meetings, identify and develop exercise objectives, design the scenario, create documentation, plan exercise conduct and evaluation, and coordinate logistics.

- [C&O Meeting Presentation Template](#)
- [C/E Handbook Template](#)
- [COSIN Template](#)
- [Discussion-Based Exercise Placemat](#)
- [Evaluation Plan Template](#)
- [Exercise Plan Template](#)
- [Extent of Play Agreement](#)
- [Facilitator Guide Template](#)
- [F/E Handbook Template](#)
- [FPM Presentation Template](#)
- [IPM Presentation Template](#)
- [Master Task List](#)
- [Master Task List \(Auto-Fill Template\)](#)

[About - HSEEP Resources - Preparedness Toolkit \(fema.gov\)](#)



# EXERCISE CONDUCT

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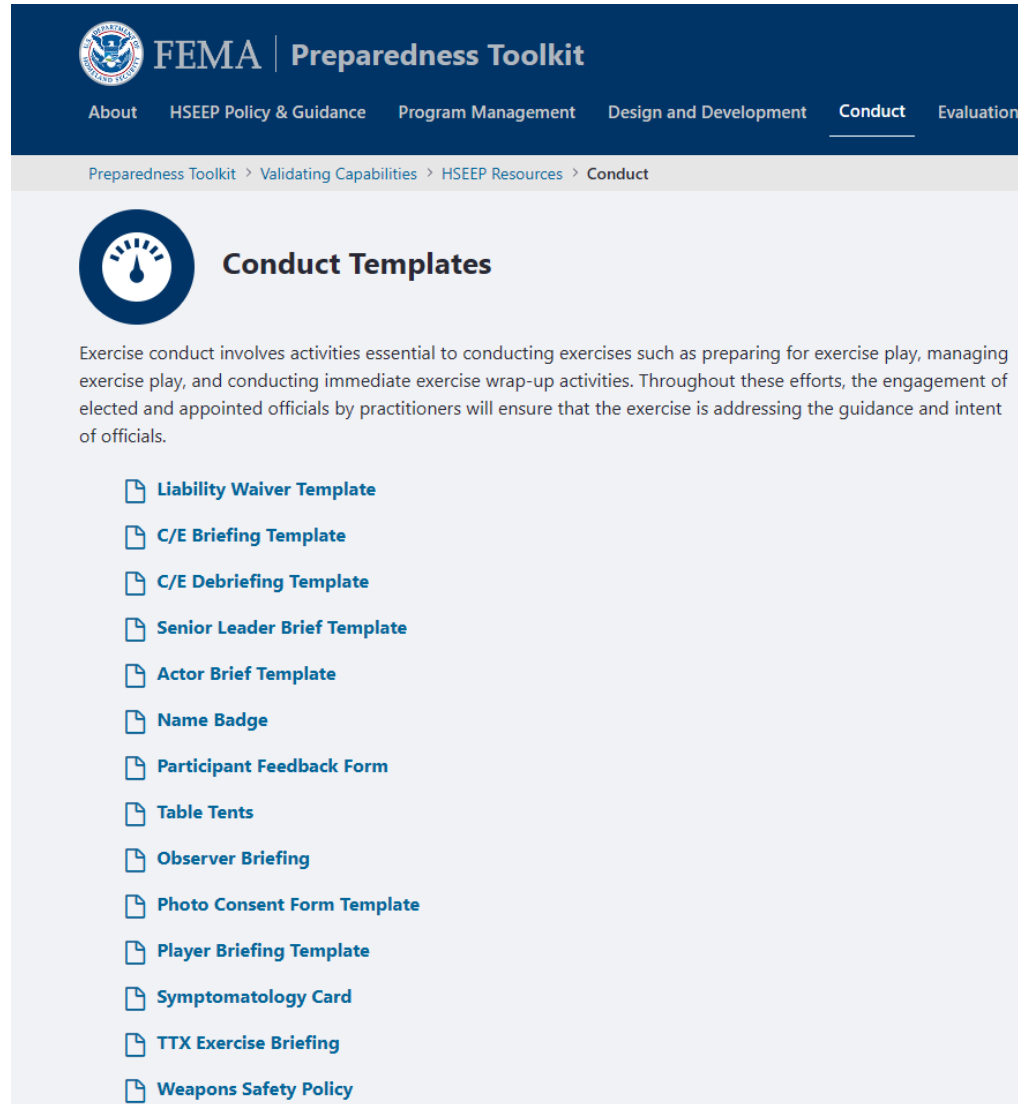
# About - HSEEP Resources - Preparedness Toolkit (fema.gov)

14 different templates available to you.

You will NOT need them all.

Pay attention to:

- Any liability or consent waivers you may need (especially if using minors as “real” patients in a full scale exercise)
- Participant Feedback Form
- C/E Briefing Template (Controllers and Evaluators) for Trusted Agent meeting



The screenshot shows the FEMA Preparedness Toolkit website. The header includes the FEMA logo and the text 'FEMA | Preparedness Toolkit'. Below the header is a navigation menu with links for 'About', 'HSEEP Policy & Guidance', 'Program Management', 'Design and Development', 'Conduct', and 'Evaluation'. The 'Conduct' link is highlighted. Below the navigation menu is a breadcrumb trail: 'Preparedness Toolkit > Validating Capabilities > HSEEP Resources > Conduct'. The main content area features a circular icon with a flame and a drop, followed by the heading 'Conduct Templates'. Below the heading is a paragraph of text: 'Exercise conduct involves activities essential to conducting exercises such as preparing for exercise play, managing exercise play, and conducting immediate exercise wrap-up activities. Throughout these efforts, the engagement of elected and appointed officials by practitioners will ensure that the exercise is addressing the guidance and intent of officials.' Below the text is a list of 14 templates, each with a document icon and a title: 'Liability Waiver Template', 'C/E Briefing Template', 'C/E Debriefing Template', 'Senior Leader Brief Template', 'Actor Brief Template', 'Name Badge', 'Participant Feedback Form', 'Table Tents', 'Observer Briefing', 'Photo Consent Form Template', 'Player Briefing Template', 'Symptomatology Card', 'TTX Exercise Briefing', and 'Weapons Safety Policy'.

**FEMA | Preparedness Toolkit**

About HSEEP Policy & Guidance Program Management Design and Development **Conduct** Evaluation

Preparedness Toolkit > Validating Capabilities > HSEEP Resources > Conduct

## Conduct Templates

Exercise conduct involves activities essential to conducting exercises such as preparing for exercise play, managing exercise play, and conducting immediate exercise wrap-up activities. Throughout these efforts, the engagement of elected and appointed officials by practitioners will ensure that the exercise is addressing the guidance and intent of officials.

- [Liability Waiver Template](#)
- [C/E Briefing Template](#)
- [C/E Debriefing Template](#)
- [Senior Leader Brief Template](#)
- [Actor Brief Template](#)
- [Name Badge](#)
- [Participant Feedback Form](#)
- [Table Tents](#)
- [Observer Briefing](#)
- [Photo Consent Form Template](#)
- [Player Briefing Template](#)
- [Symptomatology Card](#)
- [TTX Exercise Briefing](#)
- [Weapons Safety Policy](#)

# Plan for Exercise Conduct

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- How is the exercise being conducted?
  - On-site?
  - Virtual?
- Location and Time
  - Consider Staff Schedules to allow for participation
  - Remember, Appendix Z states you must test all shifts over time
- Food/Snacks\*
  - Higher rates of participation, or a 'this is a requirement' from Admin
  - \*MAKE SURE THIS IS AN ALLOWABLE EXPENSE PER YOUR PREPAREDNESS CONTRACT/GRANT
- Who is playing?
  - This can be either pre-determined OR allow your early 'players' determine who else should be involved.
  - Be sure to consider inviting community partners
- Who is facilitating? Are multiple facilitators needed?



# Key Roles\*

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## Exercise Facilitator:

Provides situation updates and moderate discussions. They also provide additional information or resolve questions as required.

## Exercise Safety Officer:

The safety officer monitors operations during an exercise and is advising the Controller on all matters relating to operational safety including the health and safety of exercise participants.

## Exercise Controller:

Is responsible for ensuring the continuity of the scenario and maintaining safety and security during an emergency exercise. They provide direction and control of the exercise, monitor the sequence of events as they unfold, and are responsible for exercise safety within their span of control.

\*As with Incident Command roles, you may need to combine positions due to lack of personnel.





# Plan for Exercise Evaluation

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## Two parts:

### 1. Identify Evaluators for exercise conduct

- Build EEG's (Exercise Evaluation Guides)
- Conduct Evaluator Briefing (Trusted Agent Meeting)

### 2. Materials for post-exercise conduct (We will discuss in Session #4)

- Prepare Participant Feedback Form
- Survey Monkey works great
- Determine who is responsible for the After-Action Report
- This person is responsible for gathering EEG's or Summaries/Improvement Plan from participating agencies



# Why do we have Evaluators?

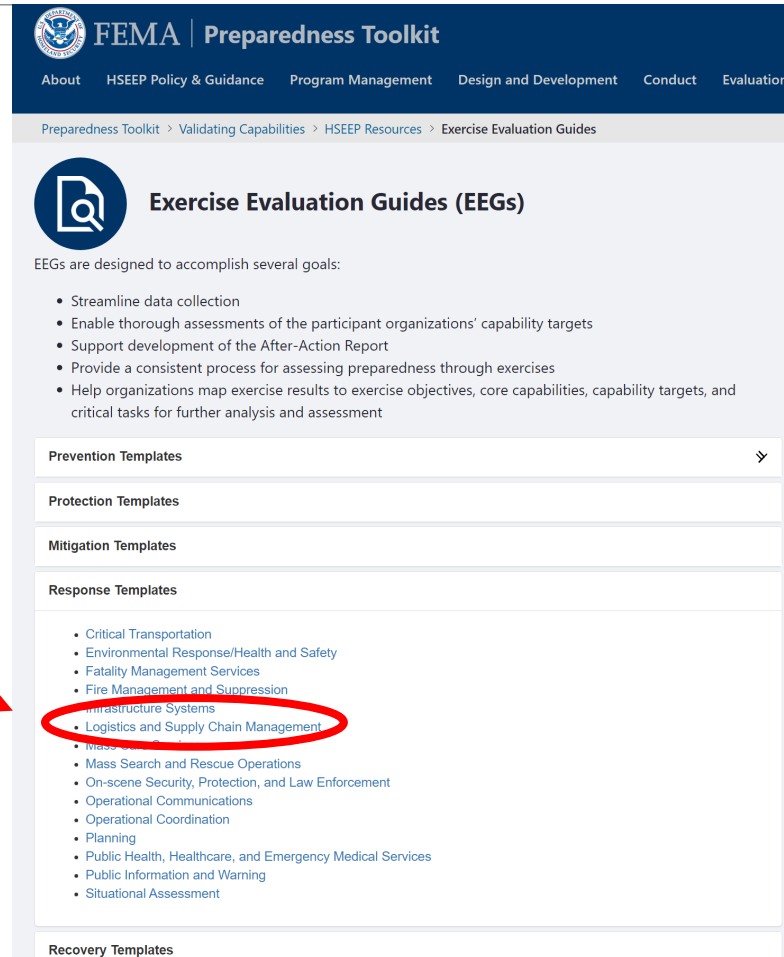
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- These are typically not “players” during the exercise. Their SOLE purpose is to observe the exercise play and take notes.
- They are given insight into what the exercise is testing through the Exercise Evaluation Guides (EEGs).
- Some evaluators will use these forms, others will just take notes and then transfer observations to the EEG forms after the exercise.
- The observations of the evaluator will be shared during the “Hotwash” portion of the exercise. This is the discussion at the very end of the exercise with all of the players and evaluators about what went well during the exercise and where there are areas of improvement.
- The EEGs may be collected and used to write the Executive Summary, Improvement Plan, and After Action Report.



# Exercise Evaluation Guides (EEG's)

[Exercise Evaluation Guides - HSEEP Resources - Preparedness Toolkit \(fema.gov\)](https://www.fema.gov/preparedness/toolkit/hseep-resources/exercise-evaluation-guides)



**FEMA | Preparedness Toolkit**

About HSEEP Policy & Guidance Program Management Design and Development Conduct Evaluation

Preparedness Toolkit > Validating Capabilities > HSEEP Resources > Exercise Evaluation Guides

## Exercise Evaluation Guides (EEGs)

EEGs are designed to accomplish several goals:

- Streamline data collection
- Enable thorough assessments of the participant organizations' capability targets
- Support development of the After-Action Report
- Provide a consistent process for assessing preparedness through exercises
- Help organizations map exercise results to exercise objectives, core capabilities, capability targets, and critical tasks for further analysis and assessment

**Prevention Templates**

**Protection Templates**

**Mitigation Templates**

**Response Templates**

- Critical Transportation
- Environmental Response/Health and Safety
- Fatality Management Services
- Fire Management and Suppression
- Infrastructure Systems
- **Logistics and Supply Chain Management**
- Mass Search and Rescue Operations
- Mass Search and Rescue Operations
- On-scene Security, Protection, and Law Enforcement
- Operational Communications
- Operational Coordination
- Planning
- Public Health, Healthcare, and Emergency Medical Services
- Public Information and Warning
- Situational Assessment

**Recovery Templates**



Exercise Name: [Insert Exercise Name]

Exercise Date: [Insert Exercise Date]

Jurisdiction/Organization: [Insert Jurisdiction or Organization]

Venue: [Insert Venue Name]

### Response

Exercise Objective: [Insert exercise objective]

#### Core Capability: Logistics and Supply Chain Management

Deliver essential commodities, equipment, and services in support of impacted communities and survivors, to include emergency power and fuel support, as well as the coordination of access to community staples. Synchronize logistics capabilities and enable the restoration of impacted supply chains.

#### Organizational Capability Target 1: [Insert customized target based on plans and assessments]

Critical Task: [Insert task from frameworks, plans, or Standard Operating Procedures (SOPs)]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Source(s): [Insert name of plan, policy, procedure, or reference]

#### Organizational Capability Target 2: [Insert customized target based on plans and assessments]

Critical Task: [Insert task from frameworks, plans, or Standard Operating Procedures (SOPs)]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Source(s): [Insert name of plan, policy, procedure, or reference]

#### Organizational Capability Target 3: [Insert customized target based on plans and assessments]

Critical Task: [Insert task from frameworks, plans, or Standard Operating Procedures (SOPs)]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Critical Task: [Insert task from frameworks, plans, or SOPs]

Source(s): [Insert name of plan, policy, procedure, or reference]

And here's what it looks like....



# More realistically...

## EXERCISE EVALUATION GUIDE

**Exercise Name:** CMS Virtual Exercise

**Exercise Date:** June 1, 2022

**Jurisdiction/Organization:** NWWIHERC

<b>Capability 3: Operational Communication</b>	
<b>Activity</b>	<b>Organizational Capability Target 1: Ensure situational awareness throughout simulated event by maintaining a common operating picture.</b>
<b>Tactics</b>	Critical Task: Discuss how to gather information regarding issues/concerns within the organization and how to share this information with Incident Command. Critical Task: Document ongoing actions, needs, and requests on ICS Quick Start Form. Source(s): Operational Emergency Operations Plan, Communication Plan
<b>Activity</b>	<b>Organizational Capability Target 2: Practice internal and external communication plan.</b>
<b>Tactics</b>	Critical Task: Activate the internal Communication Plan as outlined in your organizational Communication Plan(to staff, residents, visitors, volunteers, vendors). Critical Task: Activate the external Communication Plan as outlined in your organizational Communication Plan (to off-site staff, family/guardians of residents/patients/clients, vendors, visitors). Critical Task: Discuss how to manage calls from the media or worried family/guardians. Source(s): Operational Emergency Operations Plan, Communication Plan

Capability →

Activity →

Tactics {

Activity →

Tactics {

What tasks or steps are listed in your plan for this capability or objective?

This is what your evaluator is looking and listening for during the exercise.

If steps are missed, need to be changed or added, this will be reflected in the improvement plan.

EEGs are glorified “notes” pages



# Who should be an evaluator?

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## Typically:

- Not someone who would assume a leadership role in a real event-you want those people 'playing' in the exercise
- Anyone who can listen, observe, and take good notes

## Consider:

- Inviting someone from a sister-facility or neighboring facility
- Inviting an external partner (Emergency Manager, Health Department, Fire/EMS, Healthcare Coalition Coordinator, etc.)
- Having one evaluator per capability (if you have the luxury of people)



# Trusted Agent Meeting

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- Could be called the Controller/Evaluator Briefing
- Typically held within 1-2 weeks of the exercise conduct
- Helps everyone to “get on the same page” prior to the exercise
- Should not be shared broadly with other “players” in the exercise
- Provides an opportunity to ask and answer questions



# Communication during an Exercise

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Use the platform or tool you would use during a **real** event during the exercise (Functional Element)

- Mass notification system
- Text or calling trees
- PA systems
- Radios
- Social Media

Always begin and end communication with “This is a drill”

Consider stressing players in an exercise by limiting their ability to use their primary communication systems to test and build awareness of communication redundancy.

Communication is the number one failure of every exercise, so we need to continue to test it!!





# Tips to make your exercise run smoothly-1

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1. Remember why we are doing the exercise...not just to “check a box,” but to practice skills and actions in a no-fault, low-stress environment. If we don’t practice, how can we expect our staff and ourselves to know what to do when the adrenaline is pumping!
2. Don’t underestimate the time needed to design and develop the exercise. Be thoughtful about the capabilities and objectives that need to be tested and make sure they align with your greatest risks as identified in your hazard vulnerability or risk assessment.
3. Clearly articulate expectations of facilitators and players in the exercise. This list helps set the ground rules: The exercise is intended to be completed in a:
  - No-fault environment
  - Low stress experience
  - Not conducted in “real-time”
  - Don’t fight the scenario
  - Any real emergency has priority over exercise play



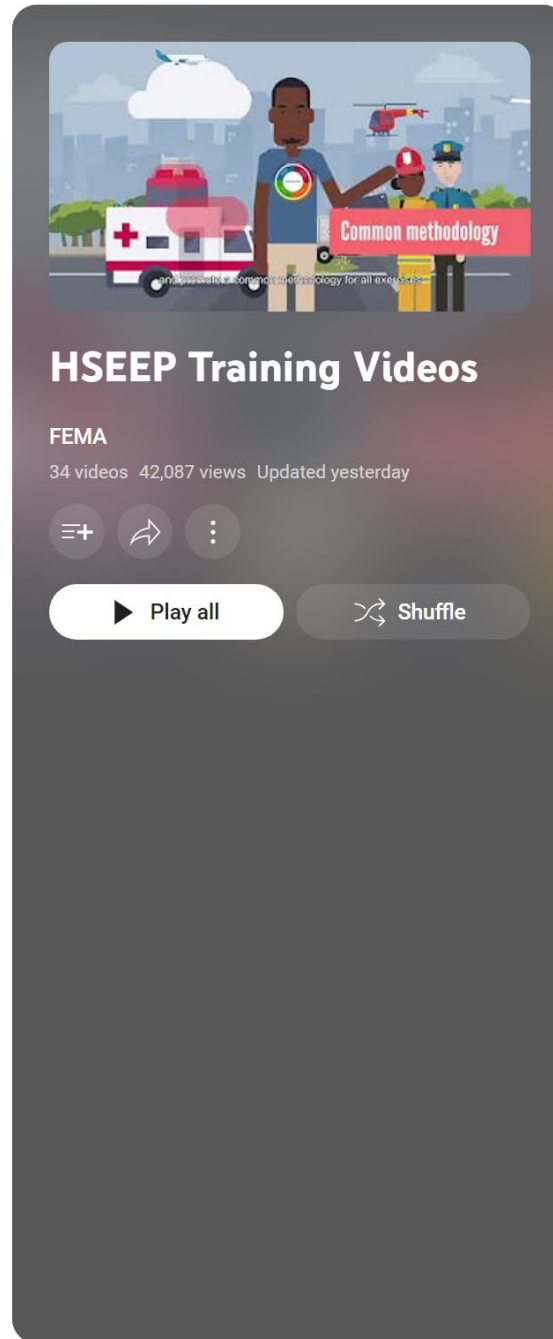
# Tips to make your exercise run smoothly-2

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4. Focus on clear communication. Avoid assumptions, include all levels of staff, internal and external partners.
5. It is always acceptable to take a “time-out” during an exercise to get back on track.
6. Prioritize exercise time and make it possible for staff to engage. Build the expectation of taking the exercise seriously. This is part of creating a culture of Emergency Preparedness.
7. Don’t rush through the process of evaluation. Take time to review the lessons learned from the exercise to improve your plans.
8. Close the loop! If you’ve identified areas of improvement, make sure to complete the actions identified in your improvement plan (much more on this in Session #4).











# HSEEP Training Videos – YouTube



**HSEEP Training Videos**

FEMA  
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# Part 4: Exercise Evaluation and Improvement Planning

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Please reach out to Aimee or Brian with any questions.

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[brian@optimaep.com](mailto:brian@optimaep.com)



# Superior Health: Emergency Preparedness Tabletop Exercises

- Virtual facilitated tabletop exercises September 2023 through September 2024.
  - Meet CMS requirements for full-scale community-based exercise.
  - Test functional elements of your Emergency Plan.
  - Complete the required documentation and receive an “After Action Report” from Optima EP.
- To register: [Meet the CMS Requirement: Virtually facilitated tabletop exercise \(mailchi.mp\)](https://mailchi.mp/Meet-the-CMS-Requirement-Virtually-facilitated-tabletop-exercise)
- Please contact Toni Kettner, [tkettner@metastar.com](mailto:tkettner@metastar.com) for questions.



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# SUPERIOR HEALTH

## Quality Alliance

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