Exercise Design 100

Alberta Emergency Management Agency

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What you will learn..... the Exercise Program!

Acknowledgements:

This guide was made possible by the collective and collaborative efforts of the National Emergency Management Training Committee (NEMTC) Exercise Design Working Group.

The goal of the Working Group was to produce a nationally recognized beginner's guide to Exercise Design. This guide introduces you to the principles, concepts, and terminology needed to be a participant in an emergency management exercise program – wherever you are across Canada, and, with few modifications for changes in legislation, etc, anywhere in the world.

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Why Exercise?

Imagine yourself and your colleagues going about your daily duties, when an emergency occurs. How prepared would your organization be? What would you do if you were faced with the real life situation described below?

Calgary was placed under a local state of emergency Saturday night after a rainstorm unlike any residents have seen hammered the city, prompting unprecedented evacuation plans for riverside communities. More than 2,000 people, from millionaires to rooming house residents were given three hours notice Saturday evening to abandon their homes and make for the safety of evacuation centres. The decision was made after a deluge of rain in the region caused the Glenmore dam to overflow, and for water in the Elbow and Bow rivers to spill over their swollen banks. Even moose at the zoo were evacuated.

Two hundred single-family homes, 27 low-rise apartments, three high-rise complexes and 218 townhomes were affected by the notice, which came after the Glenmore dam crested around 5:30 p.m. Even with thousands of sandbags placed strategically along the Elbow River, there was concern it wouldn't be enough to hold back the waters that were expected to continue rising. A registration centre was set up at the SAIT, which had space for 500 people. Hotels were also filling up as stranded people looked for places to stay the night.

Water caused problems across the city, from flooding homes and causing traffic snarls to blocking off roads. In other parts of Calgary, hundreds of basements were deluged by seepage or sewer backup caused by rain water rushing into the city's overtaxed wastewater system. Fire department and city crews were busy pumping out basements all day, with more than 600 water complaints by Saturday evening and the numbers expected to climb. In some cases, basements were filled with two metres of water.

Police also recorded dozens of collisions causing injuries, prompting them to warn drivers about poor road conditions. The pounding rain turned some streets into rivers, stranding motorists. The city warned residents to stay away from rivers -- even nearby pathways because of the rushing torrents.

Flooding of the Elbow River and Fish Creek also caused trouble on the Tsuu T'ina reserve, which prompted the chief and council to call a state of emergency. Two houses were hit with overland flooding, while the community's water wells had some contamination. The Tsuu T'ina council told residents to only use bottled water. Homes in nearby Redwood Meadows were also affected by flooding.

.....excerpt from "Calgary, southern Alberta towns declare State of Emergency"

Calgary Herald, June 19 2005

So, what is the goal of this course? To provide you with an awareness of emergency management exercise programs.

Several course objectives will help meet this goal. At the end of the course you will be able to:

- Demonstrate a basic knowledge of the context, core principles, concepts and processes related to the development and management of an exercise program in Canada
- Describe how to develop and manage a multi-year exercise program
- Describe how to establish the foundation of an exercise
- Outline the steps necessary to design and develop a series of exercises
- Describe how to conduct an exercise
- Outline how to evaluate an exercise
- Describe how to implement a Corrective Action Plan based on lessons-learned

As this is a self-study guide, we've organized it so that your learning experience is as uncomplicated and productive as possible.

In each part of this guide, you'll be introduced to some new terminology. The world of emergency management exercises has its own lingo, and we will try to make it as painless as possible for you to learn this new "language". The new language you'll be learning includes acronyms. Whether you like acronyms or not, be aware that they are used extensively in exercises. This guide gives you the term and acronym each time it occurs, but note that in a real exercise, you are likely to see only the acronym. There is a list of common acronyms towards the end of the guide, and it's a good idea to use it for your reference.

Layout of guide:

- Learning objectives- are in purple boxes
- Text – basic concepts are described.
- Definitions – you'll find all definitions in blue textured boxes. Very easy to find! A complete vocabulary list follows the last lesson.
- Highlights – are in yellow boxes
- Tips – to let you take advantage of the experience of your peers. We've put these in blue boxes so you can easily find them.
- Examples – that illustrate the concepts are put in **green boxes** so you can easily find them. Some of these examples are also in your toolkit.
- Exercise Tales – are drawn from real life comments made by Canadian participants in exercises, and are included here as they were originally written. In order to protect the identity of those making comments, we have not identified anyone by name or exercise. The comments are used to help illustrate the concepts described, and to help you start thinking about the concepts in an action oriented way. You'll find these tales in **grey boxes**.
- Did You Know and Reminders – are in **orange boxes.**
- Checklists and samples – give you ready to use tools. These are located at the end of this workbook. See the section entitled **"Toolkit".**
- References – a listing of further resources that can help you to learn more about exercise programming and about previous exercises is provided at the end of the workbook.

Memory aids:

- **Test yourself** – at the end of each Lesson is a short exercise that will help you to reinforce the concepts that were covered.
- **Vocabulary** – in each part of this workbook, we've listed the terms that will be described. Towards the end of the workbook you will find a detailed vocabulary list that lists all these terms, plus some others that you may encounter as you enter the world of exercises.
- **Acronym list** – is located at the end of this workbook, and lists some of the acronyms that are commonly used in exercises.

Exam:

- The exam format is multiple choice/true or false - a 70% grade is needed to pass and go on to the next level. The Canadian Emergency Management College, located in Ottawa, administers your exam. Upon successful completion of this course and a Basic Emergency Management course, you will receive a certificate.
- What is the process for writing the exam?

Next step:

- a second level course, giving you practical skills to work in an exercise program in your community/organization

Let's get started!

Introduction

Before you start your exploration into the world of exercises, it's important to understand why an exercise program is important as part of your ongoing emergency management preparedness activities.

In the Introduction to the course, you'll be introduced to:

- ***Lesson 1 - The National Exercise Framework and the 2 course levels within the curriculum, of which this workbook is the first course level***
- ***Lesson 2 - The context and importance of an exercise program within an emergency management program***
- ***Lesson 3 - Why it's essential to annually update your multi-year exercise program***
- ***Lesson 4 - The governance, exercise cycle, and annual review of an exercise program, as well as the competencies needed to develop, facilitate, and control an exercise***

Lesson 1 An Exercise Framework

In late fall 2006, work began by the National Emergency Management Training Committee to develop a national framework for an exercise design curriculum which would be available across Canada, and across all levels of government. **The goal in developing this curriculum is to promote consistency in the training received by anyone involved in emergency management.** If this goal is achieved, all of you who work in an emergency management exercise program will follow the same principles and use the same vocabulary.

This project began as a response to messages from across the country about the need for training in exercise design. We wanted to complement existing efforts in provinces and territories, and to help in creating greater consistency in the approach to exercise design training across the federal, provincial, territorial emergency management community. EMO Ontario volunteered to lead the development of the Exercise Framework. The guide you are studying is part 1.

How could exercise training be useful to you? Here's why:

- You'll be testing and validating your plans, policies, procedures, training, equipment, and inter-organizational agreements.
- You'll train personnel in roles and responsibilities – as supported by your plans and procedures.
- You'll improve inter-organizational coordination and communications.
- You'll identify gaps in resources and training, and identify areas for improvement.
- You'll improve individual and organizational performance through practice.

An exercise tale……

"**How many patients are expected?**" Hospitals need to be kept informed of on-site activity, not only for response planning, but to ensure appropriate recovery initiatives begin at the earliest opportunity. *Perhaps a list of resource assessment questions could be prepared to help both the hospital and emergency site responders. As part of the disaster notification, make an initial call to the senior administrator on-call at the hospital(s) so that mobilization of hospital resources as required can begin.*

Upon completion, a proposed **exercise design framework** is expected to have **2 course offerings**, taking you from a beginners' level through to a practical approach. The proposed courses are:

Not everyone involved in exercises needs to take both course levels. For the majority, **Exercise Design 100** is all you'll need.

Exercise Design 100, which gives you an introduction to the principles of exercise design, an awareness of some of the challenges and benefits, and an introduction to the vocabulary used. This course is is for anyone who will participate in an exercise, who will make the decision whether to have and fund an exercise, and as a prerequisite for the next course level.

Exercise Design 200, which gives you practical skills to work in an exercise program in your organization. This course is for those who are part of an Exercise Program team.

Lesson 1 Test Yourself

Canada's Exercise Framework

1. An exercise training program helps you and your organization in various ways. Choose all that apply.

A. ____ Test and validate plans, policies and procedures.

B. ____ Provide role-playing opportunities for personnel.

C. ____ Showcase your organization's new EOC and equipment.

D. ____ Improve inter-organizational coordination.

E. ____ Help identify training gaps.

2. What is the goal of Canada's Exercise Framework? Choose all that apply.

A. ____To regulate all exercise programs.

B. ____To provide an opportunity to exercise.

C._____To promote consistency in the training received by anyone involved in emergency management.

D. ____To determine the level of funding an exercise program should receive.

Lesson 2 Exercises & Emergency Management

New vocabulary for this lesson:

- **Exercise**
- **Due Diligence**
- **Exercise Program**

What is an exercise? An exercise is a simulated emergency, in which members of various agencies perform the tasks that would be expected of them in a real emergency.

In other words, an exercise should be a rehearsal for reality. Reality has a tendency to expose all weaknesses at a time when you can't afford to have any!

Exercises are so important in an emergency program that legislation and/or regulations govern the establishment of an exercise program. They are part of a due diligence program.

In Alberta, the Emergency Management Act governs emergency management programs at http://www.qp.alberta.ca/574.cfm?page=E06P8.cfm&leg_type=Acts&isbncln=9780779724857

What is Due Diligence? It is the level of judgment, care, prudence, determination, and activity that a person would reasonably be expected to do under particular circumstances. As applied to an emergency program, due diligence means that all reasonable precautions are taken to address public safety risks, including during response to an emergency. This duty also applies to situations that are not addressed elsewhere in the occupational health and safety legislation.

To exercise due diligence, a plan needs to identify possible hazards and carry out the appropriate corrective action. In an emergency program, this includes the training programs and exercises for employees and other persons who provide necessary services. Training tests the procedures to be followed in emergency response and recovery activities.

Due diligence is important as a legal defence. If charged, a defendant – who could be YOU! - may be found not guilty if he or she can prove that due diligence was exercised. In other words, a defendant needs to prove

that all precautions, reasonable under the circumstances, were taken to provide the necessary services and procedures in emergency response and recovery.

Let's take a look at an excerpt from *Emergency Management Act* from the Province of Alberta:

Municipal emergency organization

11 The local authority of each municipality

f) shall appoint a director of the municipal emergency management agency, who shall

(i) prepare and co-ordinate emergency plans and programs for the municipality,

(ii) act as director of emergency operations on behalf of the municipal emergency management agency,

(iii) co-ordinate all emergency services and other resources used in an emergency, and

(iv) perform other duties as prescribed by the local authority;

(g) shall prepare and approve emergency plans and programs;

(h) may enter into agreements with and make payments or grants, or both, to persons or organizations for the provision of services in the development or implementation of emergency plans or programs.

Why are exercises so important? **Exercises are an essential component of an emergency management program** and have three main functions:

- **VALIDATION** - To validate plans, protocols, and procedures and demonstrate resolve to prepare for emergencies
- **TRAINING** - To develop staff competencies, to give staff practice in carrying out their roles in the plans, and to assess and improve performance.

- **TESTING** - To test well-established procedures and reveal gaps that may exist.

DID YOU KNOW?

Exercises are part of the Preparedness function!

Do you remember the four functions of emergency management?

- **Mitigation/Prevention: activities performed in advance to lessen the severity and impact of an emergency.**
- **Preparedness: activities performed in advance to reduce or eliminate hazards.**
- **Response: activities performed during a crisis to save lives, protect property, and stabilize the situation.**
- **Recovery: activities performed after a crisis has been stabilized to return all systems to normal**.

No one wants to be caught unprepared when an emergency strikes. We all want to be "ready to go" at a moment's notice. Remember the old saying about how the only way to get to Carnegie Hall is through practice… practice….. practice…..? Testing your emergency plan, equipment, processes, and procedures uses the same principle. Exercises enhance teamwork and encourage the interaction and cooperation that is needed when a real emergency occurs.

But it's not enough to just "have an exercise". You need to determine what needs to be tested, in what way, and how often – always keeping in mind that there are time, budget, and other resource constraints. That's why you need a plan, or what we can call an **Exercise Program**.

Many exercises have a weakness as the problems created by the "emergency" are obvious. This is unrealistic as the impact of a real life emergency or disaster is not obvious. As an example, it took a long while for the impacts of the Ice Storm of 1998 to be understood, and to identify who was at risk and/or needed help. In real life there may be a slow adjustment to the realities of what may be unclear at first.

A well designed and executed Exercise Program of exercises can make you and your emergency management team "ready to go". At the same time, your emergency plan is tested to see if it works in a full scale disaster.

What is an Exercise Program? It's a risk-based process that includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction.

Let's look at an exercise program in practical terms. As you go through this guide, you'll find that it's a process for:

- **Programming exercises** that test elements of your emergency plan, including equipment and the functions of personnel.
- **Planning the best series of exercises** for your organization.
- **Conducting the exercises** that you have decided to run.
- **Evaluating each exercise** to see if it tested what you planned to test, and to analyze the results so that you are able to make any needed changes.
- **Reporting the evaluation results** to your emergency management committee members so that they are aware of what has been tested, why, what happened, and what your recommendations are.
- **Following up on exercises** to make sure that the recommendations proposed after the exercise analysis have been implemented, and then retested to see if they were the correct recommendations.

In the next lesson, we'll talk about why it is important to have an exercise program.

Lesson 2 Test Yourself

Exercises & Emergency Management

1. Which of these statements best describes an exercise program? Choose all that apply.

   A._____It demonstrates organizational resolve to prepare for emergencies, as part of due diligence.

   B. ____It is an instrument to validate plans and procedures, train for and practice prevention/mitigation, preparedness, response, and recovery capabilities.

   C. ____It can be used to assess and improve performance.

   D. ____It is a way to spend money on consultants.

2. Why do we implement an exercise program? Choose all that apply.

   A. _____Exercises demonstrate resolve to prepare for emergencies, as part of due diligence.

   B. _____ Exercises can be used to assess and improve performance.

   C._____ Exercises are used to validate plans and procedures, train for and practice prevention, mitigation, response, and recovery capabilities.

   D. ____ All of the above.

3. Complete the following statement: A simulated emergency during which players from a range of agencies perform tasks required during a real emergency is called a(n) _____.

Lesson 3 Multi-Year Exercise Program

Multiple, connected exercises that take place over time are called an exercise series. Coordinating a program's various exercises and exercise series is a crucial part of a Multi-Year Exercise Program.

Exercise coordination is done through the Multi-Year Exercise Schedule. This schedule lays out a long-term schedule of planned exercise dates.

Program managers use the Multi-Year Exercise Schedule to:

- Avoid duplicating their efforts
- Combine exercises and ensure the exercises don't conflict
- Optimize and combine funding where possible
- Prevent "over"training

Your multi-year exercise program is based on the need to prepare for emergencies or a disaster, and is part of your building block approach. The program is "function" driven, both in terms of emergency management functions and specific emergency response duties. For example, if mitigation practices have been identified as weak, what can you do? It's not enough to simply identify a problem.

To help develop a multi-year exercise program, the first step is to collect information that identifies specific potential or real problems. As we saw in previous lessons, this information comes from many sources, including:

- Past exercises
- Past events
- Skills that need practice
- Functions that seem weak
- Functions that are not exercised
- New facilities, personnel, or equipment
- Emergency Operations Plan (EOP) weaknesses or changes
- Need for role clarification
- Hazard analysis
- Recurring problems
- Threat & risk assessments

The next step is to prioritize the needs, with the most critical being first.

Example: Prioritizing Needs

If the list of needs included: lack of training for damage assessment, breakdown of alert/notification system, a change in the Emergency Operations Plan (EOP), a new Emergency Operations Center (EOC), and a new hazard, you could prioritize them as:

1. **A new hazard**
2. **A new EOC**
3. **Breakdown of alert/notification system**
4. **Change in the EOP**
5. **Lack of training for damage assessment**

Once you've prioritized your needs, you can plan how you will address each need by using exercise activities in a multi-year exercise program.

Sample Matrix – Exercises to meet needs

Workshop = W Drill = D Tabletop = TTX Functional = FL Full-scale = FS

NEED	1st Year	2nd Year	3rd Year	4th Year	5th Year
New Hazard	W	TTX	D	FL	FS
New EOC	W				
Breakdown of Alert/Notification	W	W	W	FL	FS
Breakdown of Alert/Notification	D	D	D		
Change in EOP	W	W	W	FL	FS
Lack of training for damage assessment	W	W	W	FL	FS
Lack of training for damage assessment	D	D	D		

Different exercises can be planned for one, several, or all the identified needs, depending on the urgency of the needs, and the time that you and your organization can commit to training. What is important is to plan your exercise program so that it meets the needs identified in the order in which they have prioritized.

What is meant by "functions" in the area of emergency response duties? Anyone responding to an emergency has a specific duty that helps in the overall response. In planning exercises, the focus is on functions rather than on types of emergencies. This is because preparedness in those functions is common to all emergencies. Here are a few examples of functions:

- ☐ Alert, notification, and warning
- ☐ Coordination
- ☐ Communications
- ☐ Damage assessment
- ☐ Individual & family assessment
- ☐ Resource management
- ☐ Financial management
- ☐ Emergency transportation
- ☐ Information and planning
- ☐ Hazardous materials
- ☐ Logistics
- ☐ Evacuation
- ☐ Mass care
- ☐ Disaster social services
- ☐ Emergency public information
- ☐ Health and medical
- ☐ Fire fighting
- ☐ Search and rescue
- ☐ Law enforcement
- ☐ Public works
- ☐ CBRNE
- ☐ Continuity of government

Your multi-year exercise plan will need to cover all functions that respond in a disaster or emergency.

An ***example*** of a multi-year municipal exercise plan might be:

- **Year 1** – Discussion-based exercises(s) (e.g. tabletop, seminar, workshop)
- **Year 2** – Discussion-based exercises(s) (e.g. tabletop, seminar, workshop)
- **Year 3** – Operations-based exercises- (e.g. drill, functional, small full-scale)
- **Year 4** – Operations-based full-scale exercise (where the municipal EOC (Emergency Operations Centre) is set up, the control group meets to make decisions, and there is a basic connection with the site)
- **Year 5** – Operations-based full-scale exercise with multi-jurisdictional, cross border, multi-organizational participation, as appropriate.

Example: Multi-Year Exercise Program Strategic Plan

Organization: _____

Purpose: **This matrix can be used as a tool to develop and implement a progressive exercise program.**
Procedure: **Conduct an assessment of current functional readiness and determine which exercise activities would be most beneficial for each function based on current capabilities.**
Summarize your assessment on the matrix below in the column for the current fiscal year.
Projecting activities for each function progressively allows exercising with the intent to reach full capability testing, at the highest level, within a multi-year time frame.

Each activity could be designated on the matrix in the following manner:

Workshop = W Drill = D Tabletop = TT Functional = FL Full-scale = FS

Functions	1st Year	2nd Year	3rd Year	4th Year	5th Year
Alert, notification, warning					
Coordination					
Communications					
Damage assessment					
Individual/family assessment					
Resource management					
Financial management					
Emergency transportation					
Info & planning					
HazMat					
Logistics					
Evacuation					
Mass care					
Emergency social services					
Emergency public information					
Health & medical					
Fire fighting					
Search & rescue					

While the example shows a progression of different types of exercises from a less complex exercise to those that are more complex, be aware that at any point in the multi-year cycle, you may have a need for seminars and workshops, and other less complex exercises.

Cycle, Mix, and Range of Exercises

As you've now learned, your multi-year exercise program needs to plan a cycle of exercise activity with various degrees of complexity. At the same time, your schedule for personnel training and equipment purchases needs to be taken into account in deciding upon your exercise priorities.

An effective exercise program uses a combination of exercise types to meet exercise-specific objectives and program goals. For example, a series of exercises may begin with an executive-level seminar, followed by a tabletop exercise (TTX) to discuss the strategic coordination of an event. The tabletop exercise (TTX) is followed by a period of refining emergency plans based on discussions and the exercise's After Action Report/Corrective Action Plan (AAR/CAP). Various organizations could then perform a series of drills with specific functions to validate each new plan. A final full-scale exercise (FSE) would incorporate all levels of your organization, including the Emergency Operations Centre (EOC), and other applicable emergency operations centres (EOC) from other organizations.

Updating Your Multi-year Plan

By now you may have realized that while your multi-year exercise cycle may run on a five year basis, you must continually update the schedule to take into account the lessons learned from previous exercises, to address changes in personnel, and to reflect changes in your organization's needs assessments. Every year, your Year 2 becomes your Year 1, and you add a new Year 5.

NEED	1ST YEAR	2ND YEAR	3RD YEAR	4TH YEAR	5th YEAR

A multi-year exercise program is not easy to manage and requires a governance structure. This is the topic of our next lesson.

Lesson 3 Test Yourself

Multi-Year Exercise Program

1. True or false? A multi-year exercise program is a cycle of exercise activity of varying degrees of complexity, using a combination of exercise types to meet exercise specific objectives and program goals.

A. ____True

B. ____False

2. True or false? The multi-year exercise program should be based on the needs of the organization preparing for emergencies. The program would clearly identify the specific issues that need to be addressed in order of priority, with the most critical being first.

A. ____True

B. ____False

3. While a multi year exercise cycle may run on a 5 year basis, you must continually update the schedule to take the following into account. Choose all that apply.

A. ____Lessons learned from previous exercises

B. ____Changes in personnel

C. ____Changes in an organization's risk assessments

D. ____All of the above

Lesson 4 Governance of an Exercise Program

New Vocabulary for this lesson:

- **Governance**

What is Governance? It refers to how an exercise program is run and controlled. It sets the processes that define expectations, verify performance, and is a mechanism to provide accountability.

As discussed in the previous lesson, your organization has responsibilities for developing an exercise program. It's also responsible for governance of this program. You will learn more about governance in a more in-depth course, but as a participant in an exercise program, we wanted you to have an awareness of the challenge that exercise program managers face. Just take a look below at the range of duties involved in managing an exercise program, and think of the skills required:

- Program management (***nothing happens in a vacuum!***)
- Develop a project management timeline (***what and when***)
- Establish milestones (***how, what and when***)
- Identify your planning team (***who***)
- Schedule planning conferences and meetings (***so all are in the loop!***)
- Budgeting (***you can never escape finances!***)
- Staffing resources (***you can't run an exercise by yourself!***)
- Funding allocation (***you aren't the only one wanting funding!***)
- Exercise planning (***it doesn't happen by magic!***)
- Exercise conduct (***OK, it's finally action day!***)
- Exercise evaluation (***did the exercise meet its objectives?***)
- Reporting (***here's what happened and what we learned***)
- Improvement tracking (***here's the tweaking we need to do!***)
- Expenditure tracking (***here's how we spent the money!***)

This is quite a range of duties, isn't it? How these duties are managed in an exercise program leads us into the concept of governance.

Governance of your organization's exercise program includes these responsibilities:

- **Develop the exercise program** framework, guidelines, recommended practices, templates and scenarios, etc.
- **Support stakeholders** in the development of their exercise programs and major exercise activities.
- **Support the development of exercise programs** and major exercise activities.
- **Coordinate** major discussion-based and/or operations-based **exercises** annually in conjunction with stakeholders.
- **Establish exercise program priorities** based on an all hazards approach.
- **Establish an exercise program** to make sure that the various joint emergency operations centres, staff, and their linkages with other organizations are adequately prepared.
- **Coordinate exercises** for senior officials and operational committees.
- If you are a province or territory, **coordinate requests for funding** for exercises under the Joint Emergency Preparedness Program (JEPP).
- **Obtain grants/funding**, as needed.
- **Identify roles and responsibilities** for program development.
- **Design, develop, implement, and evaluate exercises**.
- **Track improvements**.
- **Monitor** whether the exercises conducted are consistent with the national framework.
- **Designate a clearinghouse** for all exercises conducted within your area of responsibility.
- **Provide the plans**, procedures, and personnel to support the design, development, support, control, and evaluation of exercises.
- **Provide a Corrective Action Plan (CAP)/Improvement Plan (IP)** that is based on the recommendations made in the After Action Report (AAR) that is issued after an exercise is completed.

The Dream Team

Let's introduce you now to **the ideal skill sets needed to develop, facilitate, and control an exercise.** The challenges faced by an exercise program manager are varied and numerous. We've discussed the importance of involving the right mix of stakeholders in every part of your exercise program. Your own experience may give you some insight into the range of obstacles, both political as well as logistical, that you will encounter.

So what skill sets would a dream exercise program team bring to the table? Here are a few suggestions from lessons learned from previous exercises. You may have a few more, and we hope that you will share them with us.

- ✓ Negotiator
- ✓ Has a sense of humour
- ✓ Good communicator
- ✓ Flexible
- ✓ Ability to work in a stressful situation
- ✓ Decisive
- ✓ Tactful
- ✓ Inclusive
- ✓ Analytical thinker
- ✓ Facilitator
- ✓ Leader
- ✓ Thick skinned
- ✓ Thinks outside the box
- ✓ Good project planner
- ✓ Gets things done
- ✓ Organized
- ✓ Good net-worker
- ✓ Politically savvy

We've shown you a basic list above, which in turn can be turned into categories of skills. Take a look below….

Essential Skills - These are the personal skills needed for the foundation that your team needs:

1. Ability to Communicate

- Express oneself effectively in both individual and group settings.
- Communicate plans and activities in a way that supports strategies for employee involvement.
- Actively listen to others.
- Express written ideas clearly.
- Comprehend written material with little or no help.

2. Ability to Work as Part of a Team

- Use appropriate interpersonal style to guide team members towards the goal.
- Allocate decision making and other responsibilities to the appropriate individuals.
- Organize resources to complete tasks with maximum efficiency.

3. Creative Problem Solving Ability

- Identify and collect information relevant to the problem.
- Use brainstorming techniques to create a variety of choices.
- Select the best course of action by identifying all the alternatives and then making a logical assumption.

4. Ability to Get Along With Others

- Treat others with respect, trust, and dignity.
- Work well with others by being considerate of the needs and feelings of each individual.
- Promote a productive atmosphere by valuing individuals and their contributions.

5. Ability to Manage Stakeholder Relationships

- Work effectively with those inside and outside the organization.
- Gather and analyze stakeholder feedback to assist in decision making.

6. Ability to be Self-Directed

- Establish goals, work to be completed, timelines, and budgets with little or no motivation from superiors.

- Put together and lead teams to achieve established goals within deadlines.

7. Is Flexible

- Willing to change to meet organizational needs.
- Challenge established ways of doing things, and make hard, but correct decisions.
- Adapt to stressful situations.

8. Builder of Appropriate Relationships

- Network with peers and associates.
- Build constructive and supportive relationships.

9. Has a Professional Attitude

- Set the example.
- Stay current in terms of professional development.
- Contribute to and promote the development of an emergency exercise program through active participation in the organization.

10. Is Fiscally Responsible

- Do not waste resources.
- Look for methods to improve processes.

Leadership Skills - These are the special skills that separate leaders from bosses, and that are ideal characteristics for the management of an exercise program.

11. Ability to Lead

- Display attributes that make people glad to follow.
- Provide a feeling of trust.
- Build morale when the going gets tough.

12. Ability to Set Goals

- Apply effort to program exercises in areas needing the most improvement.
- Create and set goals.
- Gain commitment by influencing team to set objectives and agree to how the objectives will be met.

13. Ability to Create and Lead Teams

- Develop high-performance exercise program teams by establishing a spirit of cooperation for achieving goals.

14. Ability to Assess Situations Quickly and Accurately

- Take charge when the situation demands it.
- Make the right things happen on time.

15. Ability to Look for Win-Win Resolutions in Conflicts

- Effectively handle disagreements and conflicts.
- Settle disputes by focusing on solving the problems, without offending egos.
- Provide support and expertise to others with respect to managing people.

16. Ability to be a Good Project Manager

- Track critical steps in projects to ensure they are completed on time.
- Identify and react to outside events and pressures that might influence or alter the exercise program goals.
- Establish a course-of-action for exercises to meet a specific need or set of needs.
- Identify, evaluate, and put in place the procedures for current and future exercises.

17. Ability to Engage All Participants

- Develop ownership by including participants in the exercise program decision making and planning process.
- Develop procedures to help the exercise program team and participants to achieve the objectives of the planned exercises.

18. Ability to Coach and Mentor

- Recognize that learning happens at every exercise (in other words, treat mistakes as a learning event).
- Provide performance feedback, coaching, and career development to teams and individuals to increase the probability they will succeed.

Professional skills are needed for a successful emergency management exercise program team. These are the technical skills and experience needed to be effective in the field of emergency management exercises.

19. Ability to Keep abreast of new developments

- React in a positive manner to key developments in areas of expertise that may have an effect on emergency management exercises.
- Be able to link new technology and developments to the current way of working and find ways to incorporate these into the exercise program.
- Be politically astute.

20. Ability to have and maintain Technical Competency

- Understand the emergency management environment.
- Understand risk management and how to prepare a needs assessment.
- Understand how to build an exercise program and the five phases of an exercise.
- Complete tasks according to established standards.
- Understand and adhere to rules, regulations, and code of ethics.

You'll learn more about successfully managing an exercise program as you continue your exercise training program and experience.

Lesson 4 Test Yourself

Governance of an Exercise Program

1. True or false? Governance of an exercise program is the responsibility of the organization.

A. ____True

B. ____False

2. The challenges faced by an exercise program manager are varied and numerous. Specific skill sets are required to successfully develop, facilitate and control an exercise. These can be broken down into 3 categories: Essential, Leadership, and Professional. You are interviewing to select members of your team, and have a candidate you feel would be ideal.

You have been advised that all successful applicants need a **minimum** ranking as follows:

40% in Essential Skills

50% in Leadership Skills

10% in Professional Skills

Each individual skill has a ranking of 10. The candidate you like has been identified as having the following skills:

- Is flexible
- Solid relationship builder
- Has extensive fiscal knowledge
- Resolves conflicts effectively
- Has up to date knowledge
- Is a good mentor
- Has significant technical expertise
- Is a good problem solver
- Is a good team member
- Is self-directed

Given the ranking criteria above, should you select this person?

A. ____Yes

B. ____No

3. Funding has been refused for the renewal of an exercise program. Reasons for the refusal were given as follows:

- the exercise program plan does not include all appropriate jurisdictions
- similar deficiencies have been observed repeatedly in previous exercise cycles, indicating that corrective steps have not been taken
- previous exercise evaluations list observations of deficiencies and omissions, but are weak on analysis and corrective actions
- previous and planned exercises are focussed on a single hazard

What governance principles need to be strengthened as part of the reassessment of the exercise program so that funding could be re-applied for? Choose all that apply

A. ____Establish exercise program emergencies based on an all hazards approach

B. ____Monitor whether exercises conducted are consistent with the national framework

C. ____Provide an improvement plan based on recommendations from the After Action Report (AAR)

D. ____Make sure that various joint emergency operations centres, staff, and their linkages with other organizations are prepared

Recap .....

In the Introduction we briefly discussed:

- The National Exercise Framework and the 3 course levels within the curriculum, of which this guide is the first course level
- The context and importance of an exercise program within an emergency management program
- Why it's essential to annually update your multi-year exercise program
- The governance, exercise cycle, and annual review of an exercise program, as well as the competencies needed to develop, facilitate, and control an exercise

And we introduced you to these terms:

- Exercise
- Due Diligence
- Exercise Program
- Governance

Part 1 Why Does an Exercise Have Phases?

In the introductory lessons, we briefly discussed the context and importance of an exercise program within an emergency management program. Now we'll look at how an exercise is put together in the five phases of an exercise, and then take a look at the various roles and responsibilities that exercise participants have in these phases.

It may look like a lot of people are needed to run an exercise, and if you are from a small organization, or your exercise team is not large, you may think that it is too over-whelming. This is not true as one person may have several roles and responsibilities over the course of an exercise. In your everyday personal and work life, you wear several hats – you do not have separate people to cover each of your roles and responsibilities – there is only you. Even if one person will have many roles, it still is necessary to have an understanding of what those roles and responsibilities are, and where they fit into the exercise phases.

Your exercise vocabulary will grow as a number of new terms will be introduced in the following lessons.

In Part 1, you'll be introduced to:

- ***Lesson 5 - The core elements, key principles, terms, concepts, and phases of an exercise program***
- ***Lesson 6 – The key roles and responsibilities of exercise participants***

Lesson 5 Basics of an Exercise Program

New vocabulary for this lesson:

- **Discussion-based exercise**
- **Operations-based exercise**
- **After Action Report (AAR)**
- **Corrective Action Plan (CAP)**
- **Foundation**
- **Exercise Planning Team**
- **Design and Development**
- **Exercise Objectives**
- **Exercise Scenario**
- **Briefing**
- **Hot-Wash**
- **Cold-Wash**
- **Exercise Evaluation**
- **Improvement Plan**

Remember our definition of an Exercise?

An exercise is a simulated emergency, in which members of various agencies perform the tasks that would be expected of them in a real emergency.

You can also think of an exercise as a simulated emergency condition. This involves planning, preparation, and execution. An exercise is carried out to test, evaluate, plan, develop, train, and/or demonstrate emergency management systems and individual components and capabilities. It's also used to identify areas of strength and weakness for improvement of an emergency plan.

In Exercise Design, there are two basic types of exercises:

- **Discussion-based**
- **Operations-based**

Discussions-based Exercises familiarize participants with current plans, policies, agreements and procedures, or may be used to develop new plans, policies, agreements, and procedures. Let's briefly review these.

Types of Discussion-based Exercises include:

- ***Seminar***. A seminar is an informal discussion, designed to orient participants to new or updated plans, policies, or procedures (e.g., to review a new Evacuation Standard Operating Procedure).
- ***Workshop***. A workshop resembles a seminar, but is used to build specific products, such as a draft plan or policy (e.g., to develop a Multi-year Training and Exercise Plan).

- ***Tabletop Exercise (TTX)***. A tabletop exercise involves key personnel discussing simulated scenarios in an informal setting. TTXs can be used to assess plans, policies, and procedures.

- ***Games***. A game is a simulation of operations that often involves two or more competitive teams, using rules, data, and procedures designed to represent an actual or simulated real-life situation.

Operations-based Exercises are used to validate plans, policies, agreements and procedures, clarify roles and responsibilities, and identify resource gaps in an operational environment. Let's briefly review these. Types of Operations-based Exercises include:

- ***Drill***. A drill is a coordinated, supervised activity usually used to test a single, specific operation or function (e.g., a fire department conducts a decontamination drill).

- ***Functional Exercise (FE)***. A functional exercise examines and/or validates the coordination, command, and control between various multi-agency coordination centres (e.g., an emergency operation centre). A functional exercise does not involve any "boots on the ground" (i.e., first responders or emergency officials responding to an incident in real time).

Full-Scale Exercises (FSE). A full-scale exercise is a multi-agency, multi-jurisdictional, multi-disciplinary exercise involving functional (e.g., emergency operation centres) and "boots on the ground" response (e.g., firefighters decontaminating mock victims).

Exercise Design has its own unique terminology. We've introduced the types of exercises, shown you some examples of exercises, and given you a definition of an exercise. Here are a few more terms that you'll be seeing as you make your way through the world of exercises:

- **After Action Report (AAR)**
- **Corrective Action Plan (CAP)**

What is a Corrective Action Plan (CAP)? It's a process that follows an exercise to identify program shortfalls and necessary corrective actions to address those shortfalls. The Plan provides the techniques to manage the capabilities improvement process.

What is an After Action Report (AAR)? It's the formal written documentation analyzing the performance of assigned personnel after an exercise or an actual event. It is the final product of an exercise and captures observations and recommendations based on the exercise objectives as associated with the capabilities and tasks.

You'll learn more about these reports as we go through the guide. It's introduced now so that you can start to become familiar with this new language.

What is Included in an Exercise Program?

Remember our definition of an Exercise Program?

An exercise program is risk-based and includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction.

1) An Exercise Program is **risk-based** and reviewed annually to see if the risks and hazards of the community/organization have changed.
2) An Exercise Program is part of the **Preparedness** function of your Emergency Management Program. It supports the prevention of, mitigation of, response to, and recovery from, an emergency.
3) An Exercise Program is a **multi-year exercise plan**, such as a five year exercise plan. Your plan should note the requirements of your exercise program and include an exercise schedule that is updated annually.
4) An Exercise Program's multi-year exercise plan is a **cycle of activity with increasing levels of complexity** using discussion based and operations based exercises.
5) In an Exercise Program, **all** tabletop **exercises**, drills, functional exercises, and full-scale exercises **are evaluated** so you can see if they have achieved your identified goals and to measure performance.

6) In an Exercise Program, an **After Action Report (AAR) is prepared** following every exercise – no matter how big or small.

7) In an Exercise Program, a **Corrective Action Plan (CAP) is developed, and implemented**, to address the findings and recommendations that you identified in the After Action Report (AAR). Every one wants to see measures of success. For that reason, the most immediate improvements seen to be needed should be emphasized.

Any Exercise Program **will take into account jurisdiction wide exercises**. Perhaps your program will be part of these exercises, or your program will structure its exercises to test the same elements

Seven Key Principles of Developing a Program

Now that we have a basic idea of what an Exercise Program is, let's talk about the **seven key principles to use in developing your own Multi-Year Exercise Program**.

1) **Coordinate your exercise schedule with other jurisdictions**. For example, perhaps you want to test cross-border response.

2) **Link a full scale operations-based exercise with other jurisdictions**, as appropriate. For example, if you test evacuation procedures, you want to work with the jurisdiction you will evacuate to so that they, in turn, can test their response to receiving evacuees from another area.

3) **Coordinate major exercise activities** through a committee structure.

4) **Conduct an annual review** of the exercise program to make sure that the objectives are being met. Revise the exercise program as required after the review.

5) Include **both discussion-based and operations-based exercises** in your exercise program.

6) Prepare an **After Action Report (AAR)** after every exercise.

7) Develop and implement a **Corrective Action Plan (CAP)** to deal with the findings and recommendations identified in the After Action Report (AAR).

Five Phases of an Exercise

OK, we've talked about some of the types of exercises, identified some terminology, and discussed the components that make up an Exercise Program. Now let's take a look at an exercise itself. Did you know that there are **five phases to an exercise**? Based on what we've already discussed, can you figure out what they would be? To get you thinking in an exercise design frame of mind, here are the phases you go through in designing any exercise:

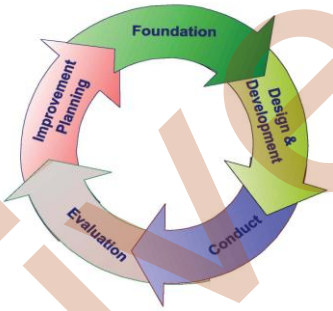
Phase 1 **Prepare the Foundation**

Phase 2 **Design and Develop the Exercise**

Phase 3 **Conduct the Exercise**

Phase 4 **Evaluate and Report on the Exercise**

Phase 5 **Improvement Planning**



What is involved in each of these phases? Let's discuss each phase in more detail.

Phase 1 Prepare the Foundation

Phases of An Exercise	
Phase 1	***Prepare the foundation***
Phase 2	**Design and Develop the Exercise**
Phase 3	**Conduct The Exercise**
Phase 4	**Evaluate And Report On The Exercise**
Phase 5	**Improvement Planning**

What is Foundation? This is the first stage in the exercise stage, focusing on developing a project management timeline, establishing milestones, identifying an *exercise planning team*, and scheduling planning conferences.

A good exercise program starts with a foundation. From the foundation the building blocks are added, renewed, and revised on a recurring basis. Preparing the foundation for a successful exercise requires project management skills and includes the following steps:

- Assess capability to conduct an exercise.
- Define the exercise scope.
- Develop an exercise planning timeline with milestones.
- Select participants for a planning team.
- Schedule planning conferences.
- Develop an exercise work plan.

Exercise Planning Team

The individuals who prepare the foundation are part of an Exercise Planning Team.

What is an Exercise Planning Team? This is a group of individuals with the overall responsibility for all phases of an exercise.

An exercise planning team is needed for each exercise. It's important that each participating agency nominate members onto this group. All agencies with a role to play in the exercise should be invited to take part.

The exercise planning team is responsible for designing, developing, conducting, and evaluating all aspects of an exercise. The planning team determines exercise design objectives, tailors the scenario to local needs, and develops the documentation used in exercise evaluation, control, and simulation. Planning team members may also assist with developing and distributing pre-exercise materials, conducting exercise briefings and training sessions.

The exercise planning team should be chaired, where possible, by an Exercise Coordinator who is nominated from the pre-determined lead organization for the exercise. The Exercise Coordinator works with the assistance of the planning team, and has overall charge of planning, exercising and debriefing. It falls to the Exercise Coordinator to control the exercise tempo, and ensure continuity from one phase to the next, including early termination for safety or other reasons.

Exercise Planning Timelines

The exercise planning team sets a timeline for the planning process. This timeline identifies key planning meetings, critical responsibilities and activities. Be aware that timelines vary, depending on the exercise scope and complexity.

TIP: The planning process may be easier if an exercise work plan is developed first.

Planning Conferences

During the process of developing your exercise, you'll find that the planning conferences/meetings that your team will schedule and attend fall into four categories:

- **Concept and Objectives Meeting**
- **Initial Planning Conference**
- **Mid Term Planning Conference**
- **Final Planning Conference**

Concept and Objectives Meeting

What is a Concept and Objectives Meeting (C&O Meeting)? It's the formal beginning of the exercise planning process, held to agree upon already-identified type, *scope*, *capabilities*, *objectives*, and *purpose* of the exercise.

This meeting is the formal beginning of the planning process. We say "formal" as likely there have been informal discussions prior to calling this meeting. The **goal of this meeting** is to identify:

- The type of exercise needed
- Scope of the exercise
- Objectives of the exercise
- Purpose of the exercise

Who would attend this meeting? Usually this meeting is attended by representatives of the sponsoring organization, the Lead Exercise Planner, and selected senior officials.

Decisions made in this meeting need to be written down in a briefing or concept paper. This paper is then used as a point of reference for future planning meetings and the exercise itself.

If your proposed exercise is not complex, and/or you have limited resources, this meeting may be conducted at the same time as the Initial Planning Conference.

Initial Planning Conference

What is an Initial Planning Conference (IPC)? It brings together the stakeholders and plan the upcoming year(s) of exercises. The IPC is typically the first step in the planning process and lays the *foundation* for the exercise (unless a *C&O Meeting* is held).

The foundation for the exercise development process is laid in the Initial Planning Conference. The **goal of the Initial Planning Conference** is to:

- Gain agreement and support from the exercise planning team on scope, design requirements, and conditions.
- Determine objectives, levels of participation, and scenario variables from each participating organization.

Before holding this meeting, some groundwork, such as a concept paper, would have been laid, based on the Concept and Objectives meeting. Additional preparation work prior to the Initial Planning Conference includes a briefing for the exercise planning team that gives an overview of the exercise and briefly explains: the purpose, goals, objective, and a narrative of the scenario contemplated.

If the initial work in the Concept and Objectives Meeting and the preparations for the Initial Planning Conference are done well, then you can expect the following to be accomplished:

- Clearly defined, obtainable, and measurable objectives.
- Exercise narrative.
- Identification of major events.
- Identification of scenario variables (such as the threat scenario, any victims, venue).
- Participation by appropriate organizations.
- Identification and recruitment of subject matter experts (SMEs) and facilitators.
- Assignment of responsibility for exercise document development and presentations/briefings.
- Where to get all source documents (including policies, plans, and procedures) needed to draft exercise documents and presentations.
- Identification and assignment of logistic responsibilities (such as invitations, badges, registration).

- Determining dates of completion for action items and tasks.
- A planning schedule.
- Identification of critical tasks for the next planning conference.
- Decision on the date, time, location of the next planning conference and the actual exercise.

That's a lot of work, isn't it? As you can imagine, there is some follow up work involved after the Initial Planning Conference. So that no one forgets what was discussed and the responsibilities that were assigned, meeting minutes should be prepared and sent out within a week of the meeting. You'll also want to encourage all members of the exercise planning team to stay in contact with each other.

Mid-Term Planning or Master Scenario Events List Conference

What is a Mid-Term Planning Conference (MPC)? This is an exercise planning conference, used to discuss exercise organization and staffing concepts; *scenario* and timeline development; and scheduling, logistics, and administrative requirements. It is also a session to review draft documentation.

What is a Master Scenario Events List Conference (MSEL Conference)? This conference may be held in preparation for more complex exercises, specifically to review the *scenario* timeline and focus on *MSEL* development.

Depending on the level of complexity of your exercises, all mid-term planning may be accomplished in one Mid-Term Planning Conference. However, for a more complex exercise, a Master Scenario Events List Conference may be needed to focus on the scenario and all of the events that will drive that scenario. A Mid-Term Planning Conference and/or a Master Scenario Events List Conference applies to both discussion-based and operations-based exercises and gives planners a chance to develop a chronological listing of events and injects that will drive the exercise play.

Final Planning Conference

What is a Final Planning Conference? It is the final forum for reviewing exercise processes and procedures before the exercise begins.

Prior to this conference, all members of the planning team should receive:

- An agenda.
- Minutes of the Initial Planning Conference.
- Final drafts of all exercise materials. At the Final Planning Conference, no major changes should be made to the design or scope of the exercise, nor of the supporting documentation.

As a general guideline, you may find that the Final Planning Conference is ½ day for a discussion-based exercise, and a full day for an operations based exercise. Given the purpose of the conference, it's a good idea to have the meeting close enough to the exercise site so that your team members can have a final site walk through.

The **purpose of the Final Planning Conference** is to:

- Work out any remaining issues related to exercise planning.
- Identify last minute concerns that may arise.
- Review all exercise logistical tasks (such as schedule, registration, attire, special needs, refreshments, room configuration and set up, audio visual equipment).
- Conduct a comprehensive final review of and approve all exercise documents and presentation materials.

Follow up work after the Final Planning Conference means you'll have to:

- Prepare and send out minutes to the exercise planning team members within a week of the conference conclusion
- Discuss any outstanding issues with the exercise planning team members, especially issues related to the logistics for conducting the exercise
- Check that the planning team finalizes all publications, prepares all supporting materials, rehearses presentations and briefings, and prepares to conduct the exercise

- Prior to the exercise, give information and documentation to personnel such as presenters, facilitators, controllers, evaluators, simulators

Phase 2 Design and Develop the Exercise

Phases of An Exercise	
Phase 1	**Prepare the foundation**
Phase 2	***Design and Develop the Exercise***
Phase 3	**Conduct The Exercise**
Phase 4	**Evaluate And Report On The Exercise**
Phase 5	**Improvement Planning**

What is Design and Development? Building on the exercise *foundation*, the design and development process consists of identifying *capabilities*, *tasks*, and *objectives*, designing the *scenario*, creating documentation, coordinating logistics, planning exercise conduct, and selecting an evaluation and improvement methodology.

Once a foundation is established, you can begin to design and develop your exercise. Planning a successful exercise requires coordination skills to help you work with participating agencies and officials. This phase includes the following steps:

- Managing the project.
- Convening a planning team.
- Conducting effective planning conferences.
- Identifying exercise design objectives.
- Developing the scenario and documentation, including major and minor events.
- Assigning logistical tasks.
- Coordinating the involvement of participating organizations and officials.
- Identifying the evaluation methodology.

The extent of work and time required for this phase depends on the complexity of the exercise planned.

Exercise Objectives

What are Exercise Objectives? These are established for every exercise. Well-defined objectives provide a framework for *scenario* development, guide individual organizations' objective development, and inform exercise *evaluation* criteria.

The first step of an exercise is to decide upon the goals. This helps to set clear objectives and outcomes to meet those goals. Having everyone agree on the goals, objectives, and outcomes will help to make sure that the appropriate type of exercise is selected. This in turn helps to decide how the exercise will be evaluated. For the first few exercises you run, keep the objectives simple, clear and limited in scope.

Exercises can occur within individual organizations or on an inter-organizational basis. When joint exercises are planned, the senior management of all participating organizations need to agree on the overall goal of the exercise. Specific objectives for each organization can be set individually but need to be consolidated so that that they don't conflict with those of another participating organization. Broad participation from all stakeholders is important for training and exercises if a wide range of preparedness needs will be met.

Exercise Scenario

What is an Exercise Scenario? It provides the backdrop and storyline that drive an exercise. For *discussion-based* exercises, a scenario provides the backdrop that drives *participant* discussion. For *operations-based* exercises, the scenario provides background information on the incident catalyst of the exercise.

A scenario is developed using the agreed goals, objectives and outcomes as guidelines. Scenarios enliven and focus an exercise. However, a scenario should not take over the exercise as it is just a means to an end. Any scenario selected should complement the main goal of the exercise. Avoid unlikely or unusual hypothetical incidents. Scenarios

which fit with local geography, and which could reasonably happen, add realism which, in turn, will add to the interest in, and credibility of, the exercise.

A scenario provides the backdrop and storyline that drives an exercise. The first step in designing the scenario is to determine which threat or hazard to use. Each type of hazard presents its own strengths and weaknesses to be used for evaluating different aspects of prevention, response, and recovery.

The next step is to determine the facility or site that the scenario will affect during the exercise. A balance needs to be struck between exercising in the area that the scenario problem is likely to affect, and letting the day-to-day activities carry on as normal. Exercises held outside of normal working hours have a number of advantages.

Exercise Timing

One key decision you'll have to make early on in your planning is whether the exercise is to run in real time, or whether the scenario will unfold in a series of vignettes corresponding to stages along a timeline. You'll also have to decide whether you'll call a stop at any point during the exercise to allow for review, or to consider alternative actions that might be taken due to variables such as weather, time of day or year.

An exercise tale……

"**Sorry…..we only work 9-5!"** To keep costs at a minimum by not entailing overtime costs, it was agreed that the exercise would be played during normal working hours at all locations and only on work days (ie not on weekends). This created a number of problems particularly with the maintenance of exercise momentum and reality with respect to the flow of information and resources. It also caused a restricted time overlap of only six hours between the participants in Ottawa and those of the Western Provinces."

Exercise Location

Whatever type of exercise is chosen, it's important to note that the planning team should visit the location – at a similar time and day as the exercise – to ensure that it is appropriate. Written permission to use a location may be needed, and any potential users will need to be notified that the location may not be available on a certain date.

An exercise tale……

"**Did you know a bridge has two ends?**" Only the east side of the bridge was initially secured by police. Inner perimeter barricades were not set up with a control entry point, which caused problems for police officers as they were unable to control pedestrians. The region had barricades available for the other side of the bridge, but they were not requested for use."

Phase 3 Conduct the Exercise

Phases of an Exercise	
Phase 1	**Prepare the foundation**
Phase 2	**Design and Develop the Exercise**
Phase 3	***Conduct The Exercise***
Phase 4	**Evaluate and Report on the Exercise**
Phase 5	**Improvement Planning**

After you've designed and developed the exercise, and arranged the logistical details, you're ready to begin your exercise! The day of the exercise is the result of all your team's planning.

Conducting a successful exercise requires facilitation and project management skills to ensure the exercise takes place and includes the following steps:

- Setup
- Briefings
- Facilitation/control/evaluation
- Wrap up activities

Exercise Control Centre

Is an exercise control centre necessary? This is an issue to be considered by the exercise planning team. Many times a control centre is needed only for live exercises. An exercise control centre should be in a suitable building close to the exercise site. It can be used as an assembly point, for briefings, and where victims, if used, can be prepared. Don't forget to consider car-parking facilities! If the exercise control centre is not within walking distance from the exercise location, then you'll need to figure out how to provide transport.

An exercise tale……

"**Is restricted parking a reality?**" It was mentioned by one of the media persons, on the scene, that in the event of a real disaster, no attention would be paid to the 'parking only' spots. Media would park their cars as near as possible to the site. What confusion would this cause?

Health & Safety

The safety of personnel during an exercise is important. All participants – including controllers, evaluators, volunteers and observers- need to be made aware of any hazards within the area and reminded of safety issues. You'll need to remember that exercise participants may not be familiar with the location, and control may be needed to make sure that they stay within the exercise area.

An exercise tale……

"**Watch out or the newscaster could be the news item!**" Location of the real Media Press Conference so close to the scene was inappropriate. *Press conferences should be conducted away from the scene in a controlled location such as a boardroom, or outside the secure perimeter, so as not to interfere with operations.*

It's a good idea to appoint a **Safety Officer** and carry out a risk assessment for every live exercise to test that structures are safe and no unseen dangers are present on the site. All participants need to be reminded to comply with safety requirements and not place themselves, or others, in danger. At complex exercises, or where conditions are

particularly hazardous, each participating agency may need its own safety officer. An exercise can't be seen as a reason not to comply with health and safety requirements. The Safety Officer must be easily identifiable and have the authority to intervene, as necessary, to ensure the health and safety of personnel.

An exercise tale……

"**Keep in mind the lay of the land!**" A triage and casualty collection area was established at 40 minutes into the exercise, but it was not used. It was the opinion of the evaluators that the location chosen was a poor one. The area was located on a small hill some distance from the crash scene. Because of the distance and elevation it possibly proved to be too much of a drain on the physical resources of the personnel carrying the stretchers.

First aid / Ambulance coverage is provided to deal with any health problems or injuries sustained during an exercise. For safety reasons, have an agreed procedure for interrupting the exercise, including stopping the exercise if necessary. The exercise planning team needs a codeword for this purpose and a way of relaying it to all participants.

Take care of your people

Don't forget to take care of your people during exercises. Their needs may vary depending on the type, timing and duration of the exercise. Personal care support such as providing refreshments, changing areas, washing and toilet facilities are important.

An exercise tale……

"**But I really have to go…**" The lack of a rest station, feeding facilities and limited washroom facilities would be a serious shortcoming in an extended 24/7 real life emergency.

The use of victims adds realism to exercises but their needs also have to be considered. For example, exercise victims should not be placed in or

near unsuitable conditions, e.g. cold, wet or hard surfaces, without appropriate care. Often the length of time planned for an activity turns out to be much longer. It's therefore important to have an area which is warm and dry.

An exercise tale……

"**Don't make the victims ill.**" It's a good idea to separate the walking wounded from the red tagged victims. These green and yellow casualties were sitting around the base of the deck & loading ramp. One side was sunny and the casualties were comfortable and warm. However, if you stuck your head around the corner, directly under the ramp, it was shady. The shade and cold wind lead to convection cooling, which left the casualties quite cold and agitated. This could lead then to either hypothermia or shock. Why create more work? First Aid is essentially common sense under pressure.

Identification

Exercise participants need identification that is similar to what would be used in a real emergency. To avoid confusion, all those who are not actively participating in the exercise scenario e.g. the lead exercise planner, exercise staff, evaluators, observers, should be easily distinguishable. It is important in all types of exercise to be able to identify which organization each person represents.

An exercise tale……

"**Who are you?**" Identification of major players was not sufficient, as was the case for Observers, Media, Casualties, etc. Issued tags were very small and hard to read from any distance. *One suggestion is to use coloured arm bands in addition to identification.*

Public Information

The exercise planning team needs to decide whether there should be any prior publicity. It may be a good idea to give prior public information to members of the public in the surrounding area of the exercise to prevent

any undue alarm, particularly for exercises at hazardous sites. All reasonable steps need to be taken to make sure that the public does not think that any live exercise is a real event.

What is a Briefing? It's a meeting held, before the exercise begins, to inform participants on the ground rules of conduct and their roles and responsibilities.

Briefing

A full briefing needs to be given to all exercise participants. Each organization should take responsibility for the briefing of their staff. The extent of the briefing varies with the type of exercise.

Exercises are given a code word (also sometimes called a code name). It's a good idea to give instructions that the code word be mandatory as a prefix to all messages – verbal or written – during the exercise. The use of code words helps make sure that everyone involved is aware that they are part of the exercise and not a real incident. Control rooms and operation centres of all participating organizations need to know about the codeword - before the exercise. A code word, which can be used to identify that a real incident has occurred, e.g. "No Duff" and is not part of the exercise, should also be decided, and given to all participants prior to the exercise.

Media

Dealing with the media is a significant part of any major incident, which means that you should take every opportunity to practice your media plan during an exercise. Exercise press conferences can test media skills and information management.

When planning any large exercise, expect the 'unplanned' arrival of the media to cover your exercise.

An exercise tale……

"**Why not use real media?**" Students playing the role of media created confusion for Public Affairs Officers who also had to deal with the legitimate media covering the exercise as a news event, not content to remain merely observers. *Student media are not required. Let the real media play their normal role.*

Debriefing, or "Hot-Wash"

Debriefing is a crucial stage of any exercise. If well done, it's an opportunity to evaluate efficiency, learn from the experience gained and determine how well the emergency management process went.

A 'Hot-Wash' that's held immediately after the exercise is a good way of capturing participants' instant reactions. A 'Cold-Wash' is held some time after the event and gives participants time to reflect on their experiences.

What is a Hot-Wash? It's an immediate debriefing session between players and members of the exercise planning team to discuss their preliminary observations. A hot-wash is done while events are fresh in everyone's minds. What went right; as well as what went wrong, is identified. Ideas about how to improve in the future are freely shared. The Exercise Controller must carefully avoid two dangers here: first, self-congratulatory accounts that mask important deficiencies and, second, the creation of an impression that someone or something is to blame. This information will inform the After Action Report.

What is a Cold-Wash? It's a post-exercise meeting that is held after a period of time, not immediately after the exercise. Preliminary observations and evaluations are discussed and participants have an opportunity to provide feedback that might have been missed in the hot-wash.

Debriefings need to occur both at an individual service level and at the inter-organizational level. The exercise coordinator and exercise team need to make sure that the necessary debriefing sessions take place. All participant organizations, including the voluntary sector and any private sector involvement, should be represented at an inter-organizational debriefing.

Phase 4 Evaluate and Report on the Exercise

Phases of an Exercise	
Phase 1	**Prepare the foundation**
Phase 2	**Design and Develop the Exercise**
Phase 3	**Conduct The Exercise**
Phase 4	***Evaluate and Report on the Exercise***
Phase 5	**Improvement Planning**

What is Exercise Evaluation? It's the act of observing and recording exercise activity or conduct, by comparing the behavior or actions against the exercise objectives, while noting strengths and weaknesses.

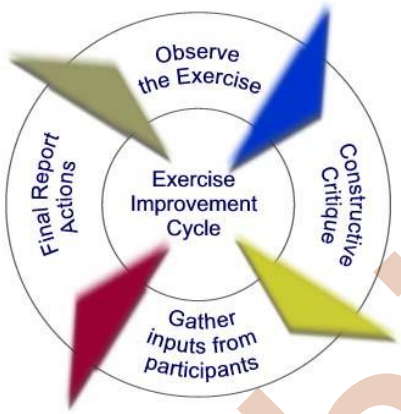
OK. You've designed, developed, and conducted an exercise. Your job isn't finished. Now you have to evaluate the results to see if your exercise objectives were met. **Evaluation is the cornerstone of exercises.** Exercises can be expensive and disruptive so you'll want to make sure that you get the maximum benefit for the effort involved. The quality of evaluation and identification of learning points is crucial.

Exercises that result in no improvements are, at best, limited to a good experience for the participants. Exercises are costly in time and resources and so the best possible use should be made of them. Lessons learned at one exercise should produce benefits for all stakeholders.

As an exercise is underway it's a great idea to put in place a process to observe the exercise and follow this up with a constructive critique of the events as they occurred. Your participants need a chance to comment on the exercise from their point of view. The results should be collated in a final report and communicated to all concerned.

Exercise evaluation is the process of

- Observing and recording exercise activities.
- Comparing the performance of the participants against the exercise objectives, and
- Identifying strengths and weaknesses as this information will be the backbone of the final report.



A good evaluation of an exercise can identify:

- Whether an exercise has achieved its objectives.
- Needed improvements in standard emergency procedures or guidelines.
- Needed improvements in the emergency management system.
- Training and staffing deficiencies.
- Needed operations equipment.
- Need for continued exercising of the plan and the emergency management functions.

Successful evaluation of and reporting on an exercise requires analytical and diplomatic skills if an exercise is to be of value. Evaluations need to record strengths, as well as opportunities for improvement, in an emergency management program. This phase includes the following steps:

8 Steps in the Evaluation Process

Step 1: Plan and organize the evaluation

Step 2: Observe the exercise and collect data

Step 3: Analyze data

Step 4: Develop the draft AAR

Step 5: Conduct an exercise debrief

Step 6: Identify improvements and corrective actions that need to be implemented

Step 7: Finalize and issue the AAR

Step 8: Track implementation

All the steps from the evaluation phase lead to the improvement planning phase.

Phase 5 Improvement Planning

Phases of an Exercise

Phase 1	**Prepare the foundation**
Phase 2	**Design and Develop the Exercise**
Phase 3	**Conduct the Exercise**
Phase 4	**Evaluate and Report on the Exercise**
Phase 5	***Improvement Planning***

Successful follow-up to an exercise requires analytical and practical skills in order to turn the lessons learned from an exercise into concrete, measurable steps that result in improved capabilities. Successful follow-up activities include the following steps:

- Corrective Action Plan (CAP)
- Improvement Plan (IP)

Remember our definition of a Corrective Action Plan?

It's a process that follows an exercise to identify program shortfalls and necessary corrective actions to address those shortfalls. The Plan provides the techniques to manage the capabilities improvement process.

Improvement Planning Process

The means for converting the recommendations from the After Action Report (AAR) into measurable steps that, when implemented, lead to improved response capabilities.

The Improvement Plan identifies:

- Actions to address each AAR recommendation
- Who will be responsible for taking each action
- A timeline for completion of those actions

Once recommendations and action items have been identified, organizations should ensure that each item is tracked to completion and improvements are implemented.

Evaluation and improvement planning are linked together. Improvement planning is a process where concrete actions that address the issues observed during an exercise are developed, assigned, implemented and tracked.

It's important for the Exercise Planning Team to make sure that all learning points and action items are agreed to by each of the participating organizations. The action items identified are documented in the final report, and a time frame agreed for implementation of the action items. This process is monitored by each of the organizations and the results validated during subsequent exercises.

It is through this cycle of continuous improvement that exercises can prepare organizations for all hazards. Without effective evaluation and improvement planning, this won't happen.

Here are some suggested questions to help you develop action items:

- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to each organizational structure to improve performance?
- What changes need to be made to leadership, coordination and management processes to improve performance?
- What training is needed to improve performance?
- What changes to equipment is needed to improve performance? Is additional equipment needed?
- What lessons can be learned that will help us to approach a similar problem in the future?

OK, we've talked about the different phases of an exercise, and some of the key tasks. Let's recap:

Any exercise program functions in a cyclical way, in that it starts with:
⇒ a foundation and a plan
⇒ moves into the design and development stage
⇒ moves on to exercise execution and then
⇒ completes a full cycle with an evaluation
⇒ then goes into the corrective action and improvement planning stages.

In the next lesson, let's take a look at the key roles played by the exercise participants and how they would fit into the phases.

Lesson 5 Test Yourself

Basics of an Exercise Program

1. Number the five major phases of an exercise in their proper sequence.

A. ___ Exercise Conduct

B. ___ Exercise Evaluation and Reporting

C. ___ Prepare the Foundation

D. ___ Improvement Planning

E. ___ Exercise Design and Development

2. A hot-wash occurs immediately following an exercise. Which of the following statements would apply to a hot-wash? Choose all that apply.

A. ____ Deficiencies will be publicised in order to motivate personnel.

B. ____ Any issues or concerns that occurred during the exercise, and proposed improvement items that can be identified.

C. _____The players' level of satisfaction with the exercise can be determined.

D. _____ Events can be captured while they remain fresh in the minds of the players.

3. True or false? Regional exercise scenarios should be developed to include participants from multiple agencies and jurisdictions as this would likely reflect actual response to a disaster.

A. ____True

B. ____False

4. True or false? The Safety Officer's primary responsibility is to analyze the entire exercise from a safety perspective in order to identify all possible safety hazards and resolve each one.

A. ____True

B. ____False

5. True or false? The Safety Officer does not have the authority to terminate an activity, or even the entire exercise, if a safety problem arises.

A. ____True

B. ____False

6. Which are the four types of planning conferences? Choose all that apply.

A. ____Evaluation conference

B. ____Final planning conference

C. ____Concept and objectives

D. ____Mid term planning conference

E. ____Initial planning conference

F. ____Time line conference

7. True or false? The purpose of the final planning conference is to gain agreement and support from the exercise planning team on scope, design requirements, and conditions.

A. ____True

B. ____False

Lesson 6 Key Roles and Responsibilities

New vocabulary for this lesson:

- **Exercise Coordinator**
- **Player**
- **Controller**
- **Evaluator**
- **Evaluation Team**
- **Lead Evaluator**
- **Simulator**
- **Actor**
- **Facilitator**
- **Observer**

Organizations have a direct responsibility for the training and exercising of their emergency management professionals. Your organization's Emergency Management Coordinator will support training and exercise activities for the organization, and any government, private sector, and international partners. As you'll see in this Lesson, responsibilities for these tasks are complementary. Collaboration by all parties is needed for a successfully managed exercise.

The key roles played by exercise participants are:

- Exercise Coordinator
- Exercise Planning Team
- Player
- Controller
- Evaluator
- Simulator
- Facilitator
- Observer

Now let's look at each role and the responsibilities of each....

Exercise Coordinator

Key Exercise Participant Roles

- ***Exercise Coordinator***
- **Exercise Planning Team**
- **Player**
- **Controller**
- **Evaluator**
- **Simulator**
- **Facilitator**
- **Observer**

What is an Exercise Coordinator? This person has the responsibility for and authority to properly plan and deliver an exercise.

The Exercise Coordinator is the person in overall charge of planning, exercising, debriefing and producing the final report. It falls to the Exercise Coordinator to control the exercise tempo and make sure there is continuity from one phase to the next, including early termination for safety or other reasons, such as a major incident requiring real action by participants.

Key tasks of an Exercise Coordinator include:

- ☑ Review risk, vulnerability, and needs assessments.
- ☑ Prepare the exercise needs portion of the strategy.
- ☑ Prepare a schedule of major exercise activities and regular updates on changes to the plan and schedule.
- ☑ Coordinate the development and implementation of a multi-year exercise program for the approval of the emergency management committee.
- ☑ Support the planning, conduct, and evaluation of exercises in accordance with the principles and guidance defined in legislation, such as the Emergency Management Act, and regulations.
- ☑ Ensure that the After Action Report (AAR) and Corrective Action Plan (CAP)/Improvement Plan (IP) are prepared.
- ☑ Establish a procedure for tracking the implementation of the Corrective Action Plan (CAP)/Improvement Plan (IP)

☑ Incorporate lessons learned, and prevention and response needs identified through exercises, into strategy planning and evaluation.

Exercise Planning Team

Key Exercise Participant Roles

- **Exercise Coordinator**
- ***Exercise Planning Team***
- **Player**
- **Controller**
- **Evaluator**
- **Simulator**
- **Facilitator**
- **Observer**

Remember our definition of Exercise Planning Team?

This group of individuals has the overall responsibility for all phases of an exercise.

The exercise planning team is responsible for the successful handling of all aspects of an exercise, including exercise planning, conduct, and evaluation. You'll find that planning an exercise is not easy. There are many tasks, ranging from designing the exercise to arranging detailed administrative matters. The complex tasks involved in developing exercise content and procedures require the efforts of a dedicated team.

It's a good idea to select team members from varied backgrounds as this helps with coordination. It also stimulates creativity. Don't forget that you'll need technical and administrative support for word processing, printing, and other tasks involved in materials preparation. While each exercise has its own planning team, the team members may carry over from one exercise to the next, and your organization may find it advantageous to include team members with previous exercise planning experience. And don't forget… the membership of an exercise planning team can be adjusted to fit the type or scope of an exercise.

Key tasks of an exercise planning team include:

- ☑ Determine exercise objectives.
- ☑ Tailor the scenario to any jurisdictional needs.
- ☑ Develop the documents used in exercise simulation, control, and evaluation.

An exercise tale……

"**Planning meetings are problematic.**" Problems began in the planning process. Each organization had time and financial limitations to their involvement. As well, because it was organized over several months, it was difficult to have everyone attend all the meetings. It was found that if someone missed one meeting, it had the potential of interfering with their planned participation and goals. One lesson learned was that when someone starts out as a planner, they should continue to work with the planning committee throughout the whole process, thereby lessening the confusion of people coming into the process half way through.

Planning team members help develop and distribute pre-exercise materials. They also conduct exercise briefings and training sessions. This makes them ideal selections for controller and evaluator positions during the exercise.

Because planning team members have advanced scenario and events knowledge about an exercise, they are ineligible to participate in the exercise as players.

***Tip*: Include representatives from each major participating jurisdiction and agency on your exercise planning team, but keep the team to a manageable size.**

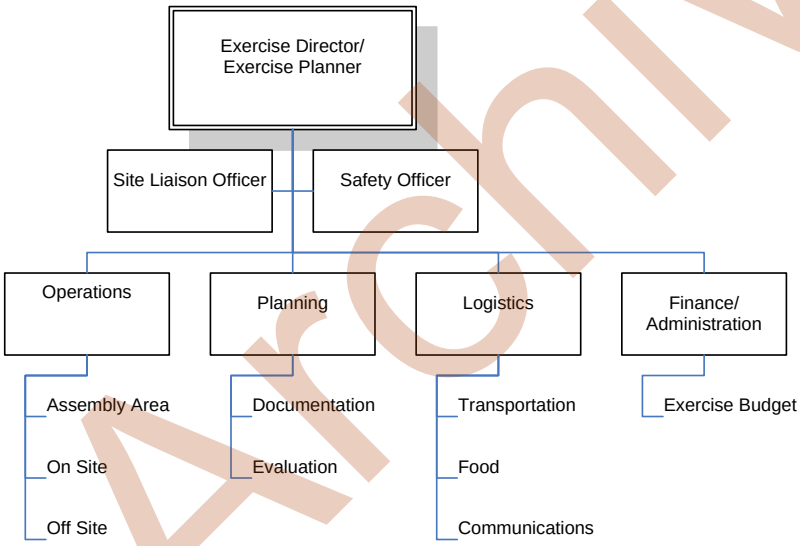
Planning Team Organization

Task assignments can be based on the following functions:

- Command
- Operations
- Planning
- Logistics
- Finance/Administration

These functions form the core of Incident Command System (ICS) – a standardized method for managing incidents and events. Planners can use the ICS structure because it creates a distinct chain of command and accountability that ends with the Exercise Planner.

Here's an example of how an exercise planning team can be structured:



Player

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- ***Player***
- **Controller**
- **Evaluator**
- **Simulator**
- **Facilitator**
- **Observer**

What is a Player? This exercise participant is responsible for taking whatever actions are necessary to respond to a simulated emergency.

Players, also called Exercise Participants, respond to events according to the Exercise scenario. Players have an active role in responding to an incident by either discussing (in a discussion-based exercise) or performing (in an operations-based exercise) their regular roles and responsibilities.

An exercise tale……

"**Don't hide from the action.**" A team of eight employees was assembled into an ID team. When the ID team was requested, all team members immediately left the terminal with their equipment and equal groups of 4 were deployed to the upper and lower decks of the ship. Within an hour of being requested the passenger list was being compiled based on the travel verification documents utilized. I noted during a walk that few casualties were on one deck, yet the 4 employees deployed to that site remained there, essentially allowing the other 4 at another deck to cope with a large percentage of the passengers.

Controller

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- **Player**
- ***Controller***
- **Evaluator**
- **Simulator**
- **Facilitator**
- **Observer**

What is a Controller? This is a person whose role is to ensure the objectives are sufficiently exercised, the level of activity keeps players occupied and challenged, and the pace (flow) of the exercise proceeds according to the scenario.

The key responsibility of the controller is to make sure that the exercise is conducted in accordance with the objectives, the scenario, and the problems identified in the scenario. It is the controller who leads the participants through the exercise and is responsible for the development of a Control/Simulation Plan.

A Control/Simulation plan includes, but is not limited to, the following:

- Exercise control and simulation activity management.
- Provisions for controller/simulator training and briefing.
- Procedures for monitoring and reporting of exercise activities to include the flow and pace of the exercise.
- Procedures to track the accomplishment of exercise objectives.
- Procedures to record the responses of players
- Procedures to include the development of ad hoc messages to support exercise objectives in the message injects.
- A list of required exercise forms, as well as instructions for their use and preparation.
- Preparation for the critique.

An exercise tale……

"**Information Needs To Be Managed.**" On several occasions more than one staff officer was making arrangements on the same action. Information was often late arriving where it was required for decision. Direction was often given, but no confirmation of action was received or logged. The control group was often reduced in membership with only one or two members present. There were frequent public address announcements which disrupted the action of staff officers. There were frequent discussions in the operations room. The control group members were frequently leaving their posts to seek information from personnel in the operations rooms. The purpose of an operations centre is to collect, collate, distribute, and display information so that it is complete, accurate, and timely, thus enhancing decision making.

Evaluator

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- **Player**
- **Controller**
- ***Evaluator***
- **Simulator**
- **Facilitator**
- **Observer**

What is an Evaluator? This is an individual assigned to one or more exercise functions or locations to document and evaluate individual, team, and organizational performance based on the exercise objectives and performance criteria.

The key responsibilities of the evaluator are to:

- Observe the exercise.
- Report afterwards on what went well and what went poorly.

- Monitor decisions made in the exercise and then report on them.

Depending on the size and scope of the exercise, there may be one or several evaluators.

What is an Evaluation Team? The team consists of evaluators trained to observe and record *participant* actions. These individuals should be familiar with the exercising jurisdiction's plans, policies, procedures, and agreements.

Duties of an Evaluation Team

To get you started in thinking about being an evaluator, here are some of the responsibilities of the evaluation team:

☑ Participate in the exercise design team (this is done by the lead evaluator).

☑ Analyze and assess the exercise plan to determine an appropriate evaluation strategy (locations of evaluators, number of evaluators required, roles and responsibilities, etc.).

☑ Develop and send out the exercise evaluation plan.

☑ Establish a communications system for the evaluators and information support mechanisms.

☑ Design and develop the evaluation organization and chain of command.

☑ Define the roles and responsibilities of the exercise evaluation team, including evaluation team chiefs and evaluators.

☑ Develop policies, guidelines, and procedures for implementing the exercise evaluation plan.

☑ Develop the administrative and logistic systems needed for reporting observations, problem resolution, and safety and site preparation for participating organizations and evaluation organizations.

An exercise tale.....

"**What are you evaluating?**" Some evaluation reports were received in the checklist format without narrative explanations as to the pro or con of a particular check mark. In these cases it was impossible to derive any idea of the positive or negative aspects of the exercise evaluation report.

Duties of a Lead Evaluator

What is a Lead Evaluator? This is the person with overall responsibility for directing the documentation and evaluation of drills and exercises.

The Lead Evaluator has additional responsibilities, as follows:

- ☑ Determine the qualifications and experience level of evaluators needed and identify ways to find these evaluators.
- ☑ Design and develop training for the exercise evaluators.
- ☑ Develop procedures for debriefing of players and exercise evaluation team.
- ☑ During the exercise, manage and coordinate activities of the exercise evaluator team so that everyone can make sure that exercise play achieves the exercise objectives.
- ☑ Monitor exercise progress and make decisions regarding any deviations or significant changes to the scenario caused by unexpected developments in the course of play.
- ☑ Coordinate any required modifications to the Master Scenario Events List (MSEL).
- ☑ Conduct debriefing of exercise evaluation team.
- ☑ Provide observations for input to the exercise evaluation using the key player observation and comment form.
- ☑ Complete routine reports to log exercise events and any special reports, as necessary.

- ☑ Conduct control and simulation debriefings for subordinate controllers/simulators.
- ☑ Chair the post-exercise critique session.
- ☑ Attend evaluation team debriefings.

What are the duties of an Individual Evaluator?

An evaluation team is made up of one or many more evaluators, depending on the type and size of the exercise. Each evaluator is responsible to the Lead Evaluator at his/her assigned location to assist in monitoring and facilitating exercise play.

Specifically, individual evaluator responsibilities include:

- ☑ Review evaluation plan and control plan materials and attend evaluator training.
- ☑ Perform duties under the management of the evaluation team leader at the assigned location.
- ☑ Observe assigned objectives.
- ☑ Monitor player actions and assist the Lead Evaluator and other exercise control team members in tracking exercise events.
- ☑ Report to the Lead Evaluator any problems or issues that may arise. Examples of these include: who's in control, deviations from the scenario, or exercise artificialities that may interfere with exercise realism or exercise progress. Any problems or issues need to be recorded in an evaluator log.
- ☑ Provide observations using the key player observation and comment form for input to the exercise evaluation.
- ☑ Attend the end-of-exercise participant debriefings/critiques, and any evaluator debriefings as instructed by Lead Evaluator.
- ☑ Review simulator materials and attend training.
- ☑ Perform duties under the management of *[identify title of person]* at the assigned location.
- ☑ Answer (if allowed) inquiries from players and individuals for general information or information concerning Master Scenario Events List (MSEL) events already injected into play and record each of these inquiries on a log.

- ☑ Record actions and/or decisions on tactical maps, situation status boards, resource status boards, and logs.
- ☑ Assist controllers in monitoring the flow of the exercise and completion of Master Scenario Events List (MSEL) events.
- ☑ Inform Lead Evaluator of possible deviations from the Master Scenario Events List (MSEL) and expected actions.
- ☑ Record observations using the evaluator checklists and points or review.
- ☑ Complete summary forms for input to the exercise evaluation report.

What Does An Evaluator Need To Know?

Evaluators may need additional training, such as Emergency Operations Centre (EOC) operations, the Incident Command System, and all exercise control plan elements. It's best for training to emphasize the roles and responsibilities of both the control and evaluation teams, as well as how the two teams work together.

Training and prior work experience will give evaluators the tools they need to quickly understand the following:

- Purpose and objectives of the exercise they will be evaluating.
- Master Scenario Events List (MSEL) and scenario timeline.
- Message forms and flow of information.
- Content of exercise messages.
- Requirements for coordination with controllers and other personnel.
- Procedures for monitoring and tracking player actions.
- Procedures for recording observation of player actions.
- Procedures for reacting to player inquiries.
- Procedures for notifying the Lead Evaluator or lead controller of problems and exercise deviations.

As you can see, evaluators need a lot of prior knowledge if they are going to do well in evaluating an exercise.

Simulator

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- **Player**
- **Controller**
- **Evaluator**
- ***Simulator***
- **Facilitator**
- **Observer**

What is a Simulator? This is an individual assigned the responsibility to artificially duplicate (role play) the response activities of personnel and groups not participating in the exercise.

The key responsibility of the simulator is to create an artificial reality by using visual aids and pre-scripted messages. The simulator wants each player to react in a similar (but hopefully lower-keyed) manner to the way in which the player would react in a real emergency.

One type of simulator is an actor.

What is an Actor? Actors are volunteer victims who simulate specific roles, including injuries from a disaster, to add realism to an exercise. Simulators act on behalf of an agency or organization that is not participating in the exercise.

Facilitator

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- **Player**
- **Controller**
- **Evaluator**
- **Simulator**
- ***Facilitator***
- **Observer**

What is a Facilitator? This is a specially trained individual assigned responsibility for guiding participant discussions during tabletop exercises to ensure key issues are addressed.

The Exercise Facilitator is responsible for making sure that progress is being made during the exercise. The facilitator works with the Exercise Planning Team and players to solve problems that may hamper progress, particularly those problems caused by the artificial nature of the exercise.

The exercise Controller may assign the Facilitator to a specific exercise response area, function or team. In some cases, the Controller may also perform the role of the Facilitator.

The key tasks of the Facilitator are to:

☑ Provide briefings and debriefings for all exercise players.

☑ Provide exercise inputs in line with the Master Scenario Events List (MSEL).

☑ Monitor progress of the exercise.

☑ Ensure that expected actions from exercise inputs are completed.

☑ Ensure effective exercise responses by coaching exercise participants as required.

☑ Report to the Exercise Planning Team.

☑ Resolve problems and/or issues if the exercise goes off track, seeking advice from Exercise Planning Team as required.

An exercise tale……

"**Keep track of the bodies.**" Some casualties walked off the ship and wandered back on board the ship. These casualties or passengers were not immediately secured in the holding area, therefore allowing a passenger who might have been injured a chance to slip away and not be accounted for.

Observer

Key Exercise Participant Roles

- **Exercise Coordinator**
- **Exercise Planning Team**
- **Player**
- **Controller**
- **Evaluator**
- **Simulator**
- **Facilitator**
- ***Observer***

What is an Observer? This is someone who has no role to play in the exercise but is witnessing events either to assess the preparations of the organization or individuals within it, or to learn lessons.

An Observer is someone who plays no role in the exercise, but is auditing the events either to assess the preparations of the organization or its individuals, or to learn lessons. While it's a good idea to let each organization be responsible for inviting its own observers, you may want to limit the numbers of observers if you are planning a large inter-organizational exercise.

A few tips for you to consider in managing observers:

- Establish a viewing area. This will also help to ensure their safety.
- Give a quality briefing to your observers before and during the exercise.
- Have staff available to explain events and procedures as the exercise unfolds.
- Seek the views of your observers, perhaps through the use of exercise evaluation forms or requesting written comments.

Is it useful to ask for Public/Private Sector Cooperation?

If you are from a private sector organization, then you already are aware of the usefulness of your organization during an emergency. For those of you from government, this section is directed at you. Did you know that there are benefits to asking for private sector cooperation in your exercise? Exercise scenarios are designed to mimic the actual response to the greatest extent possible, and this is one reason why it's a good idea to involve the private sector. Think of the possibilities for adding value to your exercise! The private sector includes commercial, business, and industrial facilities, tourist attractions, and organizers of special events.

The private sector has emergency management response capabilities that can increase local response capabilities and remove a significant burden from limited local resources. In a real incident, these resources and activities may be available, and so they should be exercised as such. Do you remember Hurricane Katrina in the New Orleans area in 2005? The emergency response came from many organizations, including airlines, department stores, and operators of sports stadiums.

An exercise tale……

"**We don't have enough equipment for our patients, let alone for an exercise.**" There was a varying degree of participation by hospitals, and apparent conflict in the profile that emergency preparedness has with acute care institutions. Difficulty was experienced making contact with the appropriate person at the facility during planning phases. Delays in the release of non-disposable equipment used to render patient care at hospitals were longer than expected. *Given the strain on resources to provide patient care, an exercise can be seen as less important. There may be a case to provide a "training float" of equipment for exercises, given that hospitals haven't enough funds for equipment they use every day.*

Lesson 6 Test Yourself

Key Roles and Responsibilities

1. True or false? A Controller's primary responsibility is to lead the participants through the exercise and to develop the Control/Simulation Plan.

A. ____True

B. ____False

2. True or false? The Simulator is the person responsible for guiding discussion by participants during an exercise, and making sure that key issues are addressed.

A. ____True

B. ____False

3. Match the exercise positions with their descriptions.

A. _____ Player	1. Manage exercise play, set up and operate the exercise incident site, and possibly take the roles of responders (individuals and agencies) not actually participating in the exercise.
B._____ Controller	2. Keep participant discussions on track with the exercise objectives, and make sure all issues and objectives are explored as thoroughly as possible despite operating under time constraints.
C. _____ Evaluator	3. Act on behalf of an agency or organization that is not participating in the exercise.
D._____ Simulator	4. Respond to an incident by either discussing (in a discussion-based exercise) or performing (in an operations-based exercise) their regular roles and responsibilities.
E. _____ Facilitator	5. Note the actions and/or decisions of players.

4. What is a benefit of public-private sector cooperation in exercises? Choose all that apply.

A. ____Response to an actual event requires government agencies to be aware of, and possibly support private sector plans

B. ____Private sector emergency management activities often mirror those of the surrounding communities

C. ____Private response capabilities can enhance local response capabilities and remove a significant burden from limited local resources during critical situations

D. ____In a real incident, these resources and activities are available for mutual aid

E. ____All of the above

5. Which of the following is a key responsibility of an evaluator? Choose all that apply.

A. ____Observe the exercise

B. ____Review risk, vulnerability, and needs assessments.

C. ____Report on what went well and what went poorly after the exercise is over.

D. ____Monitor decisions made in the exercise and then report on them.

E. ____Provide briefings and debriefings for all exercise participants.

6. Whose responsibility is it to control the exercise tempo and to make sure there is consistency from one phase to the next?

A. ____ Facilitator

B. ____ Exercise Coordinator

C. ____ Evaluator

Recap:

In Part 1 we introduced you to:

- The core elements, key principles, terms, concepts, and phases of an exercise program
- The key roles and responsibilities of exercise participants

And we introduced you to these terms:

- Discussion-based exercise
- Operations-based exercise
- After Action Report (AAR)
- Corrective Action Plan (CAP)
- Foundation
- Exercise Planning Team
- Design and Development
- Exercise Objectives
- Exercise Scenario
- Briefing
- Hot-Wash
- Cold-Wash
- Exercise Evaluation
- Improvement Plan
- Exercise Coordinator
- Player
- Controller
- Evaluator
- Evaluation Team
- Lead Evaluator
- Simulator
- Actor
- Facilitator
- Observer

Part 2 Why a Building Block Approach?

In the previous lessons, we briefly discussed the context and importance of an exercise program within an emergency management program, and introduced you to the five phases of an exercise, and the key roles and responsibilities of exercise participants.

Now we're going to take a look at how an exercise program can be put together using a building block approach, and then go on to discuss the two types of exercises: discussion-based and operations-based. We'll briefly talk about what kind of exercises go in each of these types, and give you a few examples of how they would be conducted. Finally we'll talk about some of the elements of an exercise that are common to both discussion-based and operations-based exercise, elements such as communications, media participation, briefings, debriefings, and codewords.

You'll be using the vocabulary you've been already introduced to, and learning more terms.

In Part 2, you'll be introduced to:

- ***Lesson 7 - The Building Block Approach to an exercise program***
- ***Lesson 8– Discussion-based exercises and how to conduct them***
- ***Lesson 9- Operations-based exercises and how to conduct them***
- ***Lesson 10 - Common exercise elements such as media participation, communications, briefings, and debriefings***

Lesson 7 Building Block Approach

New vocabulary for this lesson:

- **Building Block Approach**
- **Prevention**
- **Mitigation**
- **Preparedness**
- **Response**
- **Recovery**

Most organizations design exercises based on how they would respond to an emergency, forgetting that response is only one part of an emergency management program. A good exercise program incorporates all of the emergency management elements: mitigation/prevention, preparedness, and recovery, in addition to response. But of course you can't run before you can walk!

What is a Building Block Approach? There is a focus on exposing participants to a cycle of training and exercises that escalates in complexity, with each exercise designed to build upon the last, in terms of scale and subject matter. For example, a building-block series of exercises may include a *seminar*, which leads to a *tabletop exercise (TTX)*, which leads to a *full-scale exercise (FSE)*.

One recommendation is to take a building block approach, which recognizes that an exercise program is progressive. What do we mean by a building block approach? It means that you start with basic exercises to test specific elements and then go on to occasionally use exercises that take greater resources and time, and are more complex.

The building block approach to exercising includes:

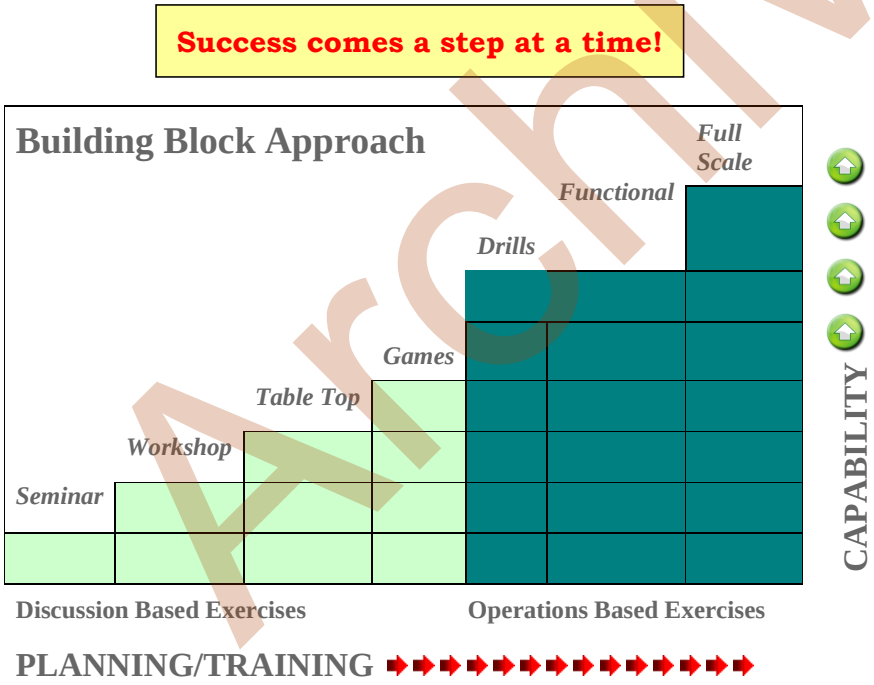
1. **Discussion-based exercises:**
   - Seminars
   - Workshops
   - Table Top Exercises
   - Games
2. **Operations-based exercises:**
   - Drills
   - Functional Exercise
   - Full Scale Exercise

We'll discuss Discussion-based and Operations-based exercises in more detail in the next three lessons. It's important to become familiar with the different exercises as a building block approach can provide your organization with an exercise program that helps you build your preparedness capacity in exercising. As each step is completed in the

building block approach, lessons learned from the previous exercise activity are incorporated into plans and procedures.

Take a look at the chart that follows. It helps illustrate the trap that you can easily fall into as your organization begins work on an exercise program. The temptation to start with a big exercise, involving a lot of players, is understandable. It gets everyone's interest, and you feel like you're getting the biggest number of participants for your training dollars. But this is why it's a trap. Unless you've begun in a modest way, with each of your players understanding their roles, responsibilities and duties in an emergency, understand your emergency plan, and your partners in an emergency and their roles, you'll find that your large scale exercise may be a failure.

Another trap you can fall into is in thinking that once you've done a seminar or a drill, you should only do operations-based exercises. An exercise should be chosen to suit what is being tested. No matter how experienced your organization gets, don't underestimate the value of a simple drill exercises, or a table-top discussion, or a seminar.



Before we get into an in-depth discussion of the various exercises, let's look at a few examples of where they might fit into your exercise and emergency management program. For example, if you have identified a need to train new personnel, a drill may be the most appropriate exercise type, depending on what needs to be trained. Take a look at the chart below for more ideas.

Reasons To Conduct Exercises			
Seminars and Workshops	***Drills***	***Tabletop Exercises and Games***	***Functional, Full Scale & Live Exercises***
No previous exercises	**Assess equipment capabilities**	**Practice group problem solving**	**Assess and improve information analysis**
No recent major Emergencies	**Test response time**	**Promote familiarity with your Emergency Plan**	**Assess & improve interagency coordination and cooperation**
New Plan	**Personnel training**	**Assess plan coverage for a specific risk**	**Support policy formulation**
New Procedures	**Assess interagency cooperation**	**Assess interagency & interdepartmental coordination**	**Test resource and personnel allocation**
New Staff, Leadership	**Verify staff and resource capabilities**	**Observe information sharing**	**Assess personnel and equipment**
New Facility, Risk or Threat		**Test group message interpretation**	**Assess Media Management**
New mutual aid agreement		**Test familiarity with roles in plan**	
Specific case study		**Improve agency contacts**	
Executive familiarity			
Note: Any category to the right includes all components of those to the left.			

As you saw from the chart above, once your organization understands what it needs to test, the next challenge is deciding which exercise or combination of exercises is best. Before we go further into the lessons on Discussion-based and Operations-based exercises, let's take a look at how exercises test emergency management functions.

How exercises test emergency management functions

We've briefly discussed the two types of exercises and, at the beginning of this guide; we mentioned the functions of emergency management. Have you been wondering what kinds of exercises would test each of the emergency management functions?

We explained earlier that exercises fall under the Preparedness function, but what about the other three functions? Here are a few examples:

Mitigation/Prevention: A mitigation/prevention exercise focuses on the review and identification of existing hazards and the **steps and resources needed to reduce the potential impact** of those hazards if an emergency or disaster occurs.

Preparedness: All exercises prepare you and your organization for an emergency.

Response: A response exercise focuses on those **critical and immediate** measures necessary to save lives and protect property during an emergency. Examples of such measures can include emergency medical services, fire, law enforcement, public works, search and rescue, debris removal, restoration of utilities, evacuation and shelter, public information, and other critical functions and public services.

Recovery: A recovery exercise focuses on the **non-critical, longer term** activities needed to return the disaster area as closely as possible to its original condition. Recovery differs from response in that response activities concentrate on immediate, critical functions to save lives and property, while recovery activities take days, weeks, months, or even years to complete. Examples of recovery activities include restoration of public facilities, streets, roads, bridges, debris removal and disposal from public and private lands.

You now have an idea of the building block approach to an exercise program, have seen some of the reasons to conduct an exercise, and how exercises test various emergency management functions. In the next two lessons, we'll learn more about Discussion-based and Operations-based exercises, and how they are conducted.

Lesson 7 Test Yourself

Building Block Approach

1. Which Emergency Management functions best describe the following exercise descriptions? Fill in the blanks.

A. A _____ exercise focuses on the review and identification of existing hazards and the **steps and resources needed to reduce the potential impact** of those hazards should an emergency or disaster occur.

B. A _____ exercise focuses on those **critical and immediate** measures required to save lives and protect property during an emergency.

C. A _____ exercise focuses on those **non-critical, longer term** activities required to return a disaster area as closely as possible to its original condition.

D. A _____ exercise focuses on preparing you and your organization for an emergency. All exercises therefore fall under this function.

2. An exercise program can be progressive, where, for example, an organization can start with basic exercises to test specific elements and then go on to occasionally use exercises that take greater resources and time, and are more complex. What do we call this approach?

A. _____ Building Block Approach

B. _____ All Hazards Approach

C. _____ Discussion-based

D. _____ Operations-based

Lesson 8 Discussion Based Exercises

New vocabulary for this lesson:

- **Seminar**
- **Workshop**
- **Tabletop Exercise**
- **Game**

Building Block Approach

Discussion-based exercises:

- **Seminars**
- **Workshops**
- **Tabletop Exercises**
- **Games**

Operations-based exercises:

- **Drills**
- **Functional Exercise**
- **Full Scale Exercise**

Remember our definition of Discussion-Based Exercises?

These are exercises that familiarize participants with current plans, policies, agreements and procedures. They are also used to develop new plans, policies, agreements, and procedures.

Discussion-based exercises include seminars, workshops, tabletop exercises (TTX), and games. In the building block approach to an exercise program, they are the starting point. **But they have a place at any point in your exercise cycle.**

What would you use a discussion-based exercise for? **Discussion-based exercises focus on strategic, policy-oriented issues.** For example, you could use such an exercise to highlight existing plans, policies, mutual aid and assistance agreements, and procedures. For these uses, discussion-based exercises are exceptional tools for familiarizing organizations and personnel with current or expected capabilities. Facilitators and/or presenters lead the discussion, keeping participants focused on meeting the objectives of the exercise.

Seminars

Building Block Approach

Discussion-based exercises:
- ***Seminars***
- **Workshops**
- **Tabletop Exercises**
- **Games**

Operations-based exercises:
- **Drills**
- **Functional Exercise**
- **Full Scale Exercise**

What is a Seminar? This is an informal discussion exercise, designed to orient the participants to new or updated plans, policies, or procedures.

Seminars are used for orientation or discussion purposes. They can help orient participants to, or provide an overview of, authorities, strategies, plans, policies, procedures, protocols, response resources, concepts and ideas. **Seminars provide a good starting point for organizations that are developing or making major changes to their plans and procedures.**

Some characteristics of seminars are:

- They are less expensive to run than other types of exercises.
- They are a low-stress environment using a number of instruction techniques such as lectures, multimedia presentations, panel discussions, case study discussions, expert testimony, and decision support tools.
- They are informal discussions led by a seminar leader.
- There are fewer time constraints than in a real-time portrayal of events.
- They can be effective with both small and large groups.

Building Block Approach

Discussion-based exercises:
- **Seminars**
- ***Workshops***
- **Tabletop Exercises**
- **Games**

Operations-based exercises:
- **Drills**
- **Functional Exercise**
- **Full Scale Exercise**

What is a Workshop? It's an exercise that resembles a seminar, but is used to build specific products, such as a draft plan or policy.

Workshops

Workshops differ from seminars in two important aspects:

1. Participant interaction is increased.
2. The focus is on achieving or building a product (such as a plan or a policy).

Workshops are an ideal way to:

- Collect or share information.
- Get new or different perspectives.
- Evaluate new ideas, processes, or procedures.
- Train groups in coordinated activities.
- Problem solving of complex issues.
- Obtain consensus.
- Team building.
- Produce new emergency procedures.
- Produce mutual aid and assistance agreements.
- Develop multi-year exercise programs.
- Develop a Corrective Action Plan (CAP)/Improvement Plan (IP).

***Tip*: You can also use a workshop for helping to develop your exercise program by focusing on specific components of exercise design such as:**

- **Determining your program or exercise objectives.**
- **Developing your exercise scenario and key events listings.**
- **Determining evaluation elements and standards of performance.**

Some characteristics of workshops are:

- It's a low-stress environment.
- It's a no-fault forum (or should be!).
- Information is provided by using various instructional techniques.
- A workshop is facilitated, with breakout sessions.
- Full group discussions are led by a workshop leader.
- Goals are oriented toward an identifiable product.
- It's effective with both small and large groups.

***TIP:* To be effective, workshops must be highly focused on a specific issue and the desired outcome or goal clearly defined.**

Tabletop Exercises (TTX)

Building Block Approach

Discussion-based exercises:
- **Seminars**
- **Workshops**
- ***Tabletop Exercises***
- **Games**

Operations-based exercises:
- **Drills**
- **Functional Exercise**
- **Full Scale Exercise**

What is a Tabletop Exercise? It's an activity in which key staff or other emergency management personnel are gathered together informally and without time constraints, usually in a conference room setting, to discuss various simulated emergency situations. The focus is on examination and discussion of problems with resolution.

Tabletop exercises are used for validation, especially in testing for weaknesses in procedures. Tabletop exercises (TTX) use simulations, and, in case you are wondering, are not necessarily around a table top. A tabletop exercise uses a realistic scenario and a time line, which may be real time or may use a timeline that is fast forwarded. Usually, tabletops are run in a single room, or in a series of rooms to simulate the divisions between those responders who need to communicate and those who need to be coordinated. For example, if you are a player testing an emergency plan, you would be expected to know the emergency plan before the tabletop begins, so that you can test how the plan works as the scenario you are given unfolds.

Tabletop exercises can involve senior staff, elected or appointed officials, or other key personnel in an informal setting, discussing simulated situations. This type of exercise is intended to stimulate discussion of various issues regarding a hypothetical situation.

A tabletop exercise may last from 2 – 4 hours or longer, depending on the issues to be discussed.

Some characteristics of Tabletop exercises are:

- They are relatively cheap to run, if you don't count staff time.
- They demand careful preparation.
- They allow you to practice group problem solving.
- They familiarize senior officials with a situation.
- They can be used to conduct a specific case study.
- They can be used to examine personnel contingencies (for example, think of a pandemic planning scenario: how many people can keep your organization going and for how long?).
- They can be used to test group message interpretation.
- They help you and your group to participate in information sharing.
- They help in assessing inter-organizational coordination.
- They can be used to achieve limited or specific objectives.
- They can be used to assess plans, policies, and procedures, or to assess the type of systems needed to guide the prevention of, mitigation of, response to, and recovery from a defined event.

- They help to understand concepts, identify strengths and shortfalls, and sometimes are used to help change attitudes.
- They help you and your group to discuss issues in depth.

Games

Building Block Approach

Discussion-based exercises:
- **Seminars**
- **Workshops**
- **Tabletop Exercises**
- ***Games***

Operations-based exercises:
- **Drills**
- **Functional Exercise**
- **Full Scale Exercise**

What is a Game? It's an exercise that explores the way decisions are made, and the consequences of those decisions in a simulated situation. In a game, the same situation can be examined from various angles by changing the variables that guide participants' actions. It often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real-life situation.

Did you ever play video games? Board games? Active games like hide and seek? If so, then you may have an idea of what games are! They have a role in emergency management training as well.

A game is a simulation of operations that often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real-life situation.

Games don't use actual resources, and the sequence of events is affected by the decisions made by the players. How does it work? Participants are commonly presented with scenarios and asked to perform a task related to the scenario episode. As each episode moves to the next level of complexity, it takes into account participants' earlier decisions. In other words, the decisions that participants make will determine the flow of the game.

A game explores the way decisions are made, and the consequences of those decisions. In a game, the same situation can be examined from various angles by changing the variables that guide participants' actions.

Computer-generated scenarios and simulations can provide more realistic and time-sensitive ways of introducing situations to analyze. Decisions made can be entered into the computer to show the effects of those decisions.

Distributed games (available via the Internet) can save participants' time and travel away from their workplace. A distributed game is a game that can be run on different computers, but which can communicate with each other so that two or more players at different computers can play together.

Games are excellent for:

- Gaining policy or process consensus.
- Conducting "what-if" analyses of existing plans.
- Developing new plans.

Conducting Discussion-Based Exercises

Now let's take a look at seminars, workshops, and tabletops, with suggestions on how to: begin the activity, conduct, and sustain action.

Conducting Seminars and Workshops

Beginning a seminar or workshop is like any other regularly scheduled meeting: attendees arrive and introductory comments on the purpose and expected actions are made.

Methods vary widely for familiarizing participants to a plan, procedure, or idea. Let's look at a few examples:

- A **lecture**, if given by the plan developer, an official, or an industrial expert, can effectively get the message across.
- **Films, slides, or videotapes** may be available from various organizations. Some organizations have videotaped past experiences that might be useful to review.
- Well-planned **panel discussions** with diverse viewpoints are effective and stimulating.
- A **Talk-through** is a chronological discussion of roles and responsibilities in a plan, or set of procedures. Personnel from the organization with a part to play in the plan or procedure are brought together. Then, with the plan in front of them, the talk-through begins with the initiation of the plan.

  One by one, participants describe a) the steps they take to implement the plan, and b) the organizations they contact during implementation. Other participants follow along and interject comments, for example, when they feel they should have been contacted, or when they have a resource that is useful. From beginning to end, a talk-through offers the chance to identify gaps, overlaps, and inconsistencies while developing some personal familiarity among the participants.
- **Brainstorming** is similar to the techniques used in problem resolution. Brainstorming requires everyone to enter into "idea getting" rather than "idea evaluating." The purpose is to come up with a solution in a free thinking format of total involvement by all participants. The process requires everyone to join in by suggesting any idea related to solving the problem. Any judgment about the value of the idea is suspended. If it is a good idea, others will "hitchhike," adding to it and expanding it. If it's an inappropriate suggestion, the group simply doesn't follow up. There is no criticism. There is no justification or explanation.

The problem passes from one participant to another with everyone throwing out ideas that are new, or additions to previous ideas. The goal is to explore all possible alternatives, rather than restrict the focus by expanding on any single idea or direction.

- A **case study** discussion differs from brainstorming and talk-throughs as it deals with an actual emergency incident. The purpose is to seek lessons learned applicable to the organization. The case is reviewed by a moderator or read individually by participants. Questions are then raised for discussion about the actions taken in the case, or perhaps the actions participants would take if faced with a similar incident.

  Cases are available from many sources, ranging from those you could construct from newspaper accounts to after-action reports of organizations.

Sustaining action is largely the responsibility of the leader or moderator.

- In a lecture, the leader needs to keep the lecturer from going on too long.
- In a panel, the moderator needs to keep things crisp and to the point.
- Films or slides need to be reviewed and used selectively if parts are inappropriate.
- Variety is also useful in sustaining action. Visual aids provide variety, as do question and answer periods.
- Combining lecture and panel discussion also results in a varied and stimulating format.

Conducting Tabletop Exercises

It's useful to begin a tabletop exercise with an exercise briefing period to let the participants become familiar with the exercise. One way to do this is to give participants a player handbook, which would include the purpose of the exercise, a summary of the **general** objectives, ground rules, expectations, forms or documents and their use. The scenario narrative, prepared by the exercise design team, may be in the player handbook or presented by the exercise controller.

The exercise controller begins the exercise by introducing the first problem to the participants.

There are two types of tabletops: **basic** and **advanced**. Basic tabletops seek to solve problems in a group. Advanced tabletops introduce messages.

In a **basic tabletop** to solve problems, the scene set by the scenario materials describes an event or emergency incident, and brings the participants up to the simulated present time. The materials either

provide all the details about the imaginary organization involved or allow participants to use their knowledge of local resources as the context. Participants then apply their knowledge and skills to a list of problems that appear either at the end of the narrative, or that are verbally presented one at a time by the seminar leader. Problems can be discussed as a group and resolution generally agreed on and summarized by the leader.

In the **advanced tabletop** exercise, play revolves around delivery of pre-scripted messages to participants. There are two variations of advanced tabletop exercises.

Variation 1: All participants evaluate the same message and announce their actions or decisions at the conclusion of a "round." Discussion might then take place or another message could be given.

Variation 2: A second technique treats participants individually. Each gets the messages intended for the organization he or she represents and makes a decision. When a decision is made, another message is handled. Participants are left alone to individually seek out information and coordinate decisions with other participants.

The exercise controller introduces problems one at a time in the form of a written message. Participants discuss the issues raised by the problem, using the appropriate plan for guidance and direction. Participants then take action on the problem. Action can be in the form of a written directive or an indication to the controller that the appropriate organizational plan does not supply adequate guidance or direction for them to follow in resolving the problem.

The controller monitors the participant discussion and assists in guiding the discussion, if necessary. Each problem has a recommended time frame for participant action. If the controller sees excessive time is being used on a problem situation, discussion may be terminated and the participants move on to another problem. Alternatively, the exercise controller may determine that time should be extended.

At the completion of participant action on a given problem (or while participants await a response on an inquiry to a previous problem), the controller introduces another problem. A good suggestion is to let participants work on only one problem at a time. The controller and simulators (if used) will make appropriate notations concerning the participant actions, the adequacy of the plan to provide participants with guidance and direction, and any other problems which come up during the exercise.

A tabletop exercise is better suited to exercising single emergency management functions or very few functions. Training in decision-making and resource allocation are good uses of the tabletop.

Sustaining action is important – or people get bored and distracted. The tabletop is basically low-stress, with emphasis on discussion and controlling action. It is low-key training, not testing. Here are a few ideas:

- The scenario narrative or case can be developed in event stages. For example, the initial narrative may involve a warning. A later one could deal with search and rescue. In this way, more than one narrative is used to sustain action.
- The progression of problems that participants deal with is a natural way to modify or improve the flow of action in the seminar. Problems can be added or deleted to alter the speed in which "events" happen.

Sustaining action in a basic tabletop is an important function of the leader or moderator. In an advanced tabletop exercise, it gets a bit more complicated. While the moderator continues to play an important role, sustaining action in a basic tabletop is an important function of the leader or moderator largely depends on message flow. Sending multiple messages can increase the pace, while delaying messages decreases the pace. In general, spontaneous messages are used in a tabletop when free play results in events or actions developing in the exercise that were not anticipated by the designers. You must be careful to control free play so that it supports the objectives of the exercise. Do not hesitate to control the exercise tightly.

Knowing when to suspend action is as useful as knowing how to sustain action. The controller or leader needs to watch carefully for signs of frustration among participants. If difficulty arises, messages back up, or a problem causes conflict among players, stop the exercise. The controller then lets players talk about their situation, encouraging them to solve the problems.

If possible, using an Emergency Operations Centre (EOC) for exercises is useful because it provides a realistic setting. The various plans, displays, and maps are available on the premises. However, any conference facility that comfortably accommodates the participants in a face-to-face setting is adequate.

Copies of the appropriate emergency plan(s) must be available for reference, as should maps and other displays that would typically be available in the Emergency Operations Centre (EOC) and that may be necessary for reference during discussion periods. An evaluator should be present to document the actions taken by the participants. These recorded actions will serve as a reference for the exercise evaluation.

In the next lesson we'll take a look at Operations-Based exercises, and following that, we'll briefly discuss some of the other aspects of an exercise that are common to both Discussion-Based and Operations-Based exercises.

Lesson 8 Test Yourself

Conducting Discussion-Based Exercises

1. True or false? A seminar is an excellent way to orient first time exercise participants to the emergency plan and their specific roles and responsibilities under the plan. This session may help make them feel at ease and reduce their stress level prior to the exercise.

A. ____True

B. ____False

2. Which exercise is NOT a discussion-based exercise?

A. ____Game

B. ____Workshop

C. ____Tabletop

D. ____Drill

E. ____Seminar

3. True or false? Discussion-based exercises focus on strategic, policy-oriented issues.

A. ____True

B. ____False

4. How do workshops differ from seminars? Choose all that apply.

A. ____There are more participants in a workshop.

B. ____The focus is on achieving or building a product in a workshop.

C. ____Workshops concentrate on "what-if" analyses of existing plans.

D. ____Participant interaction is increased in a workshop.

E. ____There is no difference. Both workshops and seminars are the same.

5. What document must be available as reference for any emergency management exercise? Choose the best answer.

A. ____ Emergency plan of the organization

B. ____ Agenda for the day

C. ____ List of participants

D. ____ Sustaining action guidelines

E. ____ Guidelines on how to write memos and briefing notes for emergency situations

6. Which exercise explores the way that decisions are made, the consequences of those decisions, and lets you examine the same situation from various angles by changing some of the variables that would guide a participant's actions?

A. ____Discussion-based

B. ____Workshop

C. ____Tabletop

D. ____Game

E. ____Seminar

7. Which exercise is used for validation, especially in testing for weaknesses in procedures?

A. ____Discussion-based

B. ____Workshop

C. ____Tabletop

D. ____Game

E. ____Seminar

8. Why is sustaining action important?

A. ____To keep the moderator on his or her toes.

B. ____To keep people from getting bored or distracted.

C. ____To increase the pace of activities during an exercise.

D. ____To make the exercise more fun.

E. ____To make sure the exercise ends on time.

Lesson 9 Operations-Based Exercises

New vocabulary for this lesson:

- **Drill**
- **Functional Exercise**
- **Full Scale Exercise**

Building Block Approach

Discussion-based exercises:	***Operations-based exercises:***
• **Seminars**	• **Drills**
• **Workshops**	• **Functional Exercise**
• **Tabletop Exercises**	• **Full Scale Exercise**
• **Games**	

Operations-based exercises are more complex. Here, the participants must resolve the scenario by actually acting out their responses, as opposed to talking about how they would respond. For example, simulated wounds are treated, personal protective equipment is donned, medical casualties are placed on stretchers, ambulances arrive at participating hospitals, and security teams apprehend and detain perpetrators – just like would happen in a real life emergency.

Operations-based exercises are used to validate the plans, policies, agreements, and procedures you've tested in discussion-based exercises. Examples of operations-based exercises are:

- Drills
- Functional exercises (FE)
- Full-scale exercises (FSE)

What can Operations-based exercises test? They can:

- Clarify roles and responsibilities.
- Identify gaps in resources needed to implement plans and procedures.
- Improve individual and team performance.

An exercise tale……

"**Don't try to do it yourself!**" The Emergency Coordination Centre (ECC) was staffed by only the Airport Manager and two scribes/helpers. No police or airline representatives were located in the ECC except for a very short period at the start of the exercise.

Some characteristics of Operations-based exercises are:

- Actual response.
- Use of equipment and resources.
- Commitment of personnel, usually over an extended period of time.

Drills

Building Block Approach

Discussion-based exercises:	***Operations-based exercises:***
• **Seminars**	• ***Drills***
• **Workshops**	• **Functional Exercise**
• **Tabletop Exercises**	• **Full Scale Exercise**
• **Games**	

What is a Drill? It's a coordinated, supervised activity and is usually used to test a single, specific operation or function within a single entity.

Drills are used to provide training on new equipment, to develop or test new policies or procedures, and to practice and maintain current skills. Don't discount the value of drills! Many errors and delays occur in an emergency due to lack of familiarity with a piece of equipment, a policy, or procedure.

Characteristics of drills include:

- They have a narrow focus, measured against established standards.
- Instant feedback is provided.
- Testing is done in a realistic environment.
- Can be performed separately from other tasks.

Functional Exercises

Building Block Approach

Discussion-based exercises:
- **Seminars**
- **Workshops**
- **Tabletop Exercises**
- **Games**

Operations-based exercises:
- **Drills**
- ***Functional Exercise***
- **Full Scale Exercise**

What is a Functional Exercise? It's an exercise designed to test or evaluate the capability of individual or multiple emergency functions, with time constraints, and normally in the emergency operations centre.

A Functional exercise is designed to test and evaluate, in a simulated real time environment:

- Capabilities.
- Multiple functions or activities within a function.
- Interdependent groups of functions.

This exercise involves:

- Emergency Operations Centre (EOC) personnel who carry out actions and provide coordination as though the incident were real.
- A team of controllers and simulators who track exercise events and assessments by evaluators and simulate the responders who are not actually participating in the exercise.
- A team of evaluators who assess operational capabilities based on the criteria identified for successful performance, which in turn is based on the emergency management plan.

Functional Exercises tend to be focused on exercising plans, policies, procedures, and the staff that would be involved in your incident management system (IMS). They help participants to simulate a response to a scenario, including decision-making skills, and usually in a time-sensitive environment.

How does a functional exercise work? Generally, during an exercise scenario, events drive activity to the management level. Movement of personnel and equipment is simulated. The scenario gives complex and realistic problems that require rapid and effective responses by trained

personnel in a highly stressful environment. The more realistic the scenario, the more realistic the response tends to be.

Here are some examples of what a functional exercise can be used for:

- To evaluate functions.
- To evaluate Emergency Operations Centres (EOC), headquarters, and staff working in both areas.
- To reinforce established policies and procedures.
- To measure adequacy of resources available.
- To examine inter-jurisdictional relationships.

A functional exercise can last 2 – 8 hours, or longer, depending on the objectives and functions to be tested.

An exercise tale.....

"**Proactive vs. reactive.**" The federal and provincial operations centres did not pro-actively consult, but rather responded to each other's request for information. There was no joint planning and no concerted effort to co-ordinate emergency response activities. Although very responsive to provincial requests for assistance, the federal operations centre was exclusively reactive, and did not attempt to anticipate provincial requests.

Full Scale Exercises

Building Block Approach

Discussion-based exercises:
- **Seminars**
- **Workshops**
- **Tabletop Exercises**
- **Games**

Operations-based exercises:
- **Drills**
- **Functional Exercise**
- ***Full Scale Exercise***

What is a Full-Scale Exercise? It's an exercise that evaluates the capability of emergency management systems over a period of time, by testing the major portions of an emergency operations plan and the organization itself, while under the stress of an emergency.

The Full-Scale Exercise (FSE) is the most complex and expensive step in the exercise cycle, and not for the faint of heart! Full-scale exercises are multi-organizational, multi-jurisdictional exercises that test and evaluate many parts of emergency response and recovery in an interactive manner. This includes many emergency responders that work under one or more incident management system (IMS) to effectively and efficiently respond to, and recover from, an incident.

The focus of a full scale exercise is on implementing and analyzing the plans, policies, and procedures developed in discussion-based exercises and tested in previous, smaller, operations-based exercises. Events unfold in a scripted exercise scenario that has enough built-in flexibility to let updates drive activity. The exercise occurs in a real-time, stressful environment that closely mirrors a real event. First responders and resources are mobilized and deployed to the scene where they conduct their actions as if a real incident had occurred (with minor exceptions).

A full scale exercise presents complex and realistic problems that require critical thinking, rapid problem solving, and effective responses, by trained personnel in a highly stressful environment. You can test how well your plans, procedures, and cooperative (such as mutual aid and assistance) agreements work in response to a simulated live "emergency".

A full scale exercise allows you to:

- Assess organizational and individual performance.
- Demonstrate inter-organizational cooperation.
- Allocate resources and personnel.

- Assess equipment capabilities.
- Activate personnel and equipment.
- Assess inter-jurisdictional cooperation.
- Exercise emergency information systems.
- Test communications, telecommunications systems and evaluate procedures.
- Analyze memorandums of understanding (MOU), plans, policies, and procedures.

The level of support you'll need to conduct a full scale exercise is greater than needed during other types of exercises. The exercise site is usually extensive with complex site logistics. Food and water are needed for participants and volunteers. Safety issues, including those concerning the use of props and special effects, are monitored. A full scale exercise will last from 2 – 8 hours, or longer.

To get a flavour of the complexity of this type of exercise, take a look at the Exercise Tale below and take note of some of the issues that have come up in full scale exercises:

An exercise tale……

"**Emergency responses can run 24/7.**" There were insufficient personnel- principally support personnel- for even a single shift, working hours only operation. *Finding enough personnel of all types to meet the challenges of what would necessarily be a 24/7 operation is not easy.*

Controllers in a functional exercise are responsible for ensuring that the way participants behave stays within predefined limits. Simulation Cell (SIMCELL) controllers continuously inject scenario inputs to simulate real events. Meanwhile, evaluators observe behaviour and compare them against established plans, policies, procedures, and standard practices (if applicable). Safety officers make sure that all activity occurs in a safe environment. And, don't forget that although the exercise on site may be completed, other elements of the exercise may need to continue for some time, e.g. control rooms, reception centres, emergency rooms, media etc.

A summary of the key tasks for running a full scale exercise includes:

- Brief participants prior to the exercise.
- Set the scene with victims, if applicable.
- Brief your observers, have them in position, and readily identifiable.

- Brief your exercise controllers and facilitators, have them in position, and readily identifiable.
- Have the first aid support (if necessary) in place and clearly identifiable.
- Brief your outside organizations and have them in place.
- Have arrangements in place for food, refreshments, and temporary toilets.
- Make media arrangements.
- Complete communication checks.
- Have a guarantee that the focus for the exercise is available for participation - e.g. a ship, building, and highway - and prepare an alternative scenario, just in case you need one.

TIP: **Don't forget to get agreement on: how the exercise will start, who will start it, and how the exercise will progress to different phases, if relevant. And also get agreement on how you will end the exercise.**

Conducting Operations-Based Exercises

How you begin an operations-based exercise will depend on its objectives. As an example, if your objective is to test the notification system, then that needs to be established for that part of the exercise.

The success of an operations-based exercise depends largely on the participants having a clear and consistent understanding of what is expected of them. As with the tabletop exercises, a player handbook is an essential tool for the functional exercise.

Many exercises fail because the ground rules or simulation techniques to be used during the exercise are inadequately explained. Don't fall into that trap. Make sure participants are briefed before the start of the exercise to ensure that all exercise objectives and procedures are understood. Let's look at an example of how to conduct a drill.

Conducting Drills

Drills are repetitive actions designed to train participants to act or respond in a certain way. Beginning a drill will depend on the type of drill being conducted. For example, a command post drill would require the personnel of the emergency service that are participants in the drill to report to the designated drill site. There, a "visual narrative" is displayed before them in the form of a mock emergency to which they would respond. Command post equipment such as vans, command boards, and other needed supplies should be available.

Methods vary widely from the practice of simple operational procedures to more elaborate communication and command post drills. The drill designer would:

- Give a general briefing.
- Set the scene.
- Review the purpose and objectives of the drill.
- Review operational procedures if they are to be tested.
- Consider safety precautions and review with the participants.

In some drills, the scene is set using films or slides. Sustaining action includes both planned and spontaneous messages based on the actions of the participants. In most cases, such as when procedures are being tested, little or no communication from the drill designers is needed. In more advanced drills, interaction between the drill designers and the participants may be necessary.

TIP: **In designing how an exercise will be conducted, ask at every opportunity: "Will this distract from the atmosphere of a real emergency?" Avoid everything that does.**

Methods that you use in an operations-based exercise are exclusively those of delivery and reaction to simulated messages that represent the emergency created by the exercise designers. Messages can arrive in a number of ways, including on paper, by email, by telephone, radio, fax, written, or verbally. They are directed specifically to the individuals or organizations responsible for coordinating any responses with other participants.

How valuable your exercise is depends on how successful the participants are in carrying out their functions as if the exercise was a real emergency. Encourage exercise participants to think of each message inject as an actual event, and act accordingly.

Participants should be encouraged to treat simulated communication outages, damages, failure of equipment, logistical limitations, and personnel losses as if they were actually occurring. These types of situations, which cause a degraded environment, have a particular value because they place added stress on the system and will more effectively test its ability to cope in times of emergencies.

Operations-based exercises use two methods of message delivery: pre-scripted and spontaneous messages, developed by simulators or controllers. Where applicable, a simulation room has a considerable advantage over a tabletop exercise as messages can be dynamically modified to suit the evolving nature of the exercise. In a tabletop, with few or no simulators and limited control manpower, this is not possible. But with several simulators, this method becomes an exciting way to constantly modify the exercise to suit the needs and skills of the participants.

The simulation controller is responsible for monitoring message traffic, by keeping track of what messages are delivered to players. He/she may choose to keep track of messages by listing the numbers on a board (dry erase or chalkboard) and checking them off (example: messages 1-5 & 7, 9, & 11 are in, and other messages will then be checked off as they are entered.) He/she may also develop a message board by functional area, again using the message numbers noted under each functional area. (***Example: Fire = 1, 3; Police = 2, 4, 6; EMS = 5, 7; etc.***)

The simulation controller will quickly see the gaps and overloads in the message flow.

Conducting Full-Scale Exercises

A full-scale exercise begins exactly as it does in an operations-based exercise. A player briefing for Emergency Operations Centre (EOC) personnel, using the player handbook, should be done. In addition, however, the personnel of the emergency organizations that are conducting the field component proceed to the assigned location. There, a "visual narrative" is displayed before them in the form of a mock scene to which they respond.

Methods used for a full-scale exercise include all those occurring at the Emergency Operations Centre (EOC) or emergency site command centre. Added to these are:

- On-scene mock emergency use of simulated "victims".
- Search and rescue requirements.
- Equipment deployment.
- Actual resource allocation.

In general, the resources used at the scene relate to the simulation taking place at the Emergency Operations Centre (EOC). Keep in mind, however, that medical plans, hospitals, emergency medical systems, fire service deployment, and other localized emergency operations usually require centralized incident management, with a link to the Emergency Operations Centre (EOC) and require coordination with officials at the command centre.

Emergency Call-Off Procedures

In any exercise, a real emergency might occur. Especially in a full-scale exercise, you must always keep in reserve sufficient personnel to handle routine problems—from a fire to ordinary telephone calls to the emergency office. **As well, every exercise should have a planned call-off procedure that will result in the prompt return of personnel and equipment to full duty status.** This procedure should consist of a codeword e.g. **No Duff,** from the exercise controller that the exercise has been terminated and that personnel should report to their regular duty positions. All radio traffic, as well, will return to normal. These procedures should also be tested.

An Exercise Tale.....

"When is it over?" There was no STAND DOWN announcement, keeping the exercise going longer than necessary.

In the next lesson, we'll discuss some of the common elements of both discussion-based and operations-based exercises. These include communications, media participation, briefings, and debriefings.

Lesson 9 Test Yourself

Operations-Based Exercises

1. True or false? In setting up an Operations-based exercise, planners must consider the assembly area, response route, response operations area, parking, registration, observer/media accommodations, and a possible Simulation Cell (SIMCELL) facility.

A. ____True

B. ____False

2. True or false? Types of situations such as communication outages, equipment failures, and logistical limitations put stress on everyone and add little value to an exercise.

A. ____True

B. ____False

3. Which exercise is NOT an operations-based exercise?

A. ____Game

B. ____Full Scale exercise

C. ____Functional exercise

D. ____Drill

4. How is an operations-based exercise different from a discussion-based exercise?

A. ____An operations-based exercise is multi-organizational and multi-jurisdictional.

B. ____There is no difference in how the exercise works. Only the number of participants increases in an operations-based exercise.

C. ____In an operations-based exercise, participants must resolve a scenario by actually acting out their responses, as opposed to talking about how they would respond.

D. ____An operations-based exercise is informal, designed to orient participants to new or updated plans, policies, or procedures.

E. ____An operations-based exercise is an activity where key staff members are gathered together to discuss various simulated emergency situations.

Lesson 10 Common Exercise Elements

New vocabulary for this lesson:

- **Situation Reports (Sit Reps)**

In Lessons 7, 8 and 9, we introduced you to the Building Block Approach to an Exercise Program, the types of exercises and their key characteristics, and how to conduct these exercises. But, we did not yet discuss some other elements to think about when you plan and run an exercise. Some of these elements are more relevant to complex exercises - whether discussion-based or operations-based. Others are common to all, from the simplest to the most complex. We introduce them here so that you can think for yourself how they might apply to an exercise.

Public Information

The exercise planning group will need to decide whether there should be any prior publicity. It may be a good idea to issue prior public information to members of the public in the vicinity of the exercise to prevent any undue alarm, particularly for exercises at hazardous sites. However, since this may attract a crowd of uninvited spectators, "Exercise in progress" signs may be strategically positioned. This can detract from the realism but reassures the public or uninvolved organizations. While public information is more likely to be a consideration in Operations-based Exercises, it can also be necessary in high-profile Discussion-based exercises, such as for an advanced tabletop exercises.

A caution for you to consider: If public information is issued, the participants may also find out about the exercise and this could affect realism. The planning team may consider issuing information by letter, to the public on the day of the exercise. Details for the media could be held until the day of the exercise.

Communications

Communications - both equipment and process - plays a key role in the success of exercises. An agreed channel of communication needs to be set up between controllers, simulators, and evaluators so that they can be kept aware of any developments or changes. As an example, in live exercises, the agreed communications used by controllers, simulators, and evaluators must be separate to those being used by players.

One element of your exercise may be to test inter-organizational communications. Don't forget to prefix all your messages with an agreed codeword so that everyone involved is aware that they relate to the exercise and not to a real incident. All control rooms need to be aware in advance of the agreed codewords.

It's seems redundant to mention it, but since this is a problem in many exercises, it's important to stress this. **To be sure that communications equipment works during an exercise, test it before the exercise.** Communications need to be in place in case the exercise needs to be stopped due to a real incident occurring.

An Exercise Tale.....

"**Don't just rely on old communications technology.**" The exercise media network took far too long to transmit news releases to media outlets. It altered the chronology of news releases – release #5 was released prior to #3. Attempts to bypass the media network using fax machines were hampered by busy signals at some key locations. *Some of these difficulties could be offset by using portable media.*

An Exercise Tale.....

"**Sorry, wrong number?**" All groups experienced problems in the transfer of message by telephone due to incorrect phone numbers. Incoming phone calls were often misdirected within the organization.

Media Participation

Dealing with the media is a major part of responding to any incident and for that reason should be practiced as often as possible. While exercise planners could use student journalists or reporters from local papers to test the different organizations' response to the media, for major exercises, a representative from the national media should be invited to attend. Exercise press conferences and interviews can be used to test the knowledge of the combined response.

An Exercise Tale.....

"**Let the media help you.**" The members of the Operations Control Group often neglected the contributions of the media to the situation, particularly in the evacuation phase. *Tip: Continually update the Media Coordinator, as the press usually obtain the information simultaneously from their representative at the site.*

Media Coverage

The media might arrive – unplanned - to cover the exercise and arrangements need to be in place for this possibility. Public relations staff should be allocated to keep the media informed during the exercise. Designate a good viewing point and useful locations for photo-opportunities.

An Exercise Tale.....

"**Anticipate questions.**" The information officers did not anticipate media questions. This is something one should always keep in mind when dealing with them.

Logging and Recording

Logging and recording activities are important parts of conducting an exercise. There is a fine line between too much and too little information, and what type of information needs to be recorded. While documentation is the subject of a subsequent lesson, we note in this lesson that records and logs are an important means of communication, particularly after a real incident. These can be vital at subsequent public enquiries. In an exercise, those taking part need to understand the importance of keeping an accurate log of actions and decisions. Don't assume that participants will bring their organizations' logging practices to the event.

What is a Situation Report (Sit Rep)? This is a report on the current situation in a simulated emergency during an exercise.

Situation Reports

In a real life situation, frequent updates are needed. This gives the coordination team members a chance to pool their information and see if they are making decisions based on current data. One method for giving updates is through a Situation Report, or Sit Rep. This report is informal and gives a snapshot of the current situation.

One of the difficulties you'll find with a Situation Report as you encounter it in either real life or in an exercise is a lack of understanding that the report should:

- Note the current situation.
- Be concise.
- Be clear.
- Be timely.

- Be informal.
- State the facts and decisions taken without any embellishments.

A Situation Report does not need to be given on a particular type of report, with a specific font, and does not need to be signed by everyone from the Deputy Minister or Chairman of the Board down before being reported on. **The nature of an emergency is that it is fluid and withholding a report until all facts are "verified" can mean that important information is withheld until it is too late**.

As well, providing a Situation Report that includes all **previous** facts and decisions is counter productive. In a real life emergency, an update on the current situation is needed, not past history – the previous Situation Reports are available for reference.

An exercise tale……

"**Don't waste everyone's time with a rehash.**" The briefings were unfocused and rambling. New and significant information was often lost in a rehash of old information.

Situation Reports should be written clearly and concisely, noting names and the corresponding functions, events, dates and times, decisions made, actions taken, and be acronym and abbreviation free. Situation Reports are used as evidence of events and decisions in after action reports, and in public inquiries.

An Exercise Tale……

"**Secret language…**" The use of acronyms in situation reports and other correspondence creates misunderstandings and delays. Acronyms should be avoided wherever possible.

Briefings

Briefings are common to all types of exercises. A briefing should be held immediately before the start time of the exercise and include:

- A statement and discussion of the general exercise objectives.
- The time period in which the exercise is to be conducted.
- A description of the environment.
- Recording requirements.
- An outline of the procedures and ground rules to be used. The outline of procedures should clearly specify the participating

organizations, and the internal and external non-participating organizations.

The type of briefings you need to use will depend on the exercise's goal. As a general principle it's a good idea for each organization's representative on the exercise planning group to take responsibility for briefing his/her staff who are involved in the exercise. Further briefing may be required on arrival at the place the exercise takes place. Particular attention needs to be paid to volunteers.

Further briefings are needed for additional exercise controllers, evaluators, simulators, and observers. Don't forget to give these briefings before the exercise begins.

Here are a few real life stories of what can happen when you aren't properly prepared…

An Exercise Tale……

"**Don't let the coroner arrive unprepared!**" No information on the nature of or extent of the disaster was relayed to the Coroner's Office when the request to attend was made. Coroners arrived on the scene "cold". *Information on the nature and extent of a disaster is important so that attending coroner can prepare a mindset, and for the Coroner's Office to estimate how many coroners may be needed.*

An exercise tale……

"**A map is always helpful.**" Towards the end of the day someone thought to take a map into the media briefing room. It should have been one of the first things to think of, and to mark the affected areas clearly.

Debriefing

After an exercise, a review of the responses to the exercise by participants and responding organizations is essential. This is an opportunity to evaluate efficiency, to learn from experience gained and offers a source of information to assist in future planning, training and exercising.

This is best achieved by a series of debriefings at all levels within all organizations involved and concluding with a multi-organization debrief. **Hot-washes** (those which take place immediately after the event) are a

useful way of capturing instant reaction which may not be revealed by the **cold-wash** (that which takes place after an interval). All actions identified in the debrief should be taken forward by a nominated person/organization and put into an After Action Report (AAR).

Organizations may want to appoint a neutral debrief coordinator. It's important to create a non-threatening atmosphere so that people are not afraid of being honest about their experiences and problems.

Single Organization Debriefing

The methods of debriefing personnel involved in an exercise may vary within each individual organization. It will, however, be beneficial to the debriefing if the following occurs:

- Debrief as soon after the exercise as is practicable.
- Everyone involved, including personnel remote from the area of operations (such as control room staff) is given an opportunity to contribute to debriefing at some stage.
- Have additional debriefing sessions for personnel involved in specific or specialist operations.

Recordings made at the exercise, particularly video recordings and photographs, along with written reports can be useful in debriefings.

An Exercise Tale……

"**It's like herding cats!**" Responders tended to disperse after the exercise, for lack of anything better to do. *Arrange a final roundup so responders can meet and unwind.*

Multi-Organizational Debriefing

The debriefing process should end in a multi-organizational forum which includes all organizations which may have been involved in the exercise. It's important that each organization is represented by personnel actually involved in the exercise, as it will be necessary to give first hand accounts of events.

Facts emerging from the debriefings should be documented and problems identified. Lessons learned should be shared with all who may be required to respond to major incidents even if they did not participate. Training needs - individual, organizational and multi-organizational- should be identified.

Codewords

Codewords have their place in the language of exercises. Just as you would have a codeword that lets participants know that a real situation has occurred and the exercise play has stopped, you'll find that codewords are useful in other parts of the exercise.

Each exercise needs a codename which is then mandatory as a prefix to all messages - verbal or written - during the exercise. The codeword chosen must:

- Be phonetically distinct from other key words that are used in communications, and
- Not be used for other purposes in emergency response operations.

Using codewords lets everyone involved in an exercise know that they are part of the exercise and not in a real incident. Control Rooms and Emergency Operations Centres (EOCs) of all participating organizations need to know the codename, before the exercise begins.

A codeword, which can be used to identify that a real incident has occurred and is not part of the exercise, should also be selected and circulated to all participants prior to the event. This could also be used if there are real casualties during the exercise.

We've now discussed briefly the common elements in an exercise, and in previous lessons we've discussed the five phases of an exercise. By now, you are probably wondering just what is involved in the actual design of an exercise. That's the subject of our next lesson - the eight steps in exercise design.

Lesson 10 Test Yourself

Common Exercise Elements

1. Choose the best situation report input, A or B.

A. ____Press releases were distributed to the following radio and TV stations:

- CBC
- CTV
- Global
- Radio Canada
- CNN

B. ____Press releases were distributed to radio and television stations and were given airtime during the morning drive period. Community Relations was contacted and is reporting that the majority of citizens contacted heard these releases and obtained the registration number and information through them.

2. Choose the best situation report input, A or B.

A. ____William Jones from our fine staff held a breakfast meeting at the local Rotary Club meeting to discuss disaster relief efforts. Breakfast consisted of eggs, sausage, toast and beverage.

B. ____Community Relations attended a local meeting of citizens to discuss disaster recovery efforts. Attendance consisted primarily of local politicians and business leaders and all evaluations of our efforts to date are very favourable.

3. Choose the best situation report input, A or B.

A. ____A large delivery of water arrived yesterday. This is in addition to a delivery of 50,000 litres of water from the donations center.

B. ____A delivery of 200,000 litres of water arrived yesterday. This is in addition to a delivery of 50,000 litres of water from the donations center. A three days supply of water is now on hand or enough water for 62,500 people at the current delivery rate.

4. Choose the best situation report input, A or B, which would be given by a Medical Officer of Health.

A. ____An outbreak of *Malarkey Fever* was reported in the municipal area on 8/17/2007. Infectious disease experts report that the outbreak, which is caused by mosquito bites, has been contained and can be easily treated by common prescription drugs. Aerial spraying has begun to deal with the mosquito problem.

B. ____An outbreak of *Malarkus Persnicitus Hyperthermia* was reported in your municipality and surrounding areas. Epidemiologists report that the calamity, which is caused by the species *Buggusbiteusinthebuttus,* has been contained and can be treated by taking Doxicycline Pentaborate Humongotablis B.I.D. An airborne decimation program using aerosolized chemical vector eradicants based on organic toxicants has been initiated.

5. Which of the following statements best describe an exercise debriefing? Choose all that apply.

A. ____It allows planners, facilitators, controllers and evaluators to review and provide feedback on the exercise.

B. ____Is held at regular intervals during the exercise to assess whether objectives are being met.

C. ____Allows each planner, facilitator, controller and evaluator an opportunity to provide an overview of the functional area they observed and document both strengths and areas for improvement.

6. True or false? Once the designated code word to stop an exercise has been transmitted and confirmed, it indicates that the exercise has been terminated.

A. ____True

B. ____False

Recap .....

In Part 2 we introduced you to:

- The Building Block Approach to an exercise program
- Discussion-based exercises and how they are conducted
- Operations-based exercises and how they are conducted
- Common exercise elements such as communications, media participation, briefings, debriefings, and codewords

And we introduced you to these terms:

- Building Block Approach
- Prevention
- Mitigation
- Preparedness
- Response
- Recovery
- Seminar
- Workshop
- Tabletop Exercise
- Game
- Drill
- Functional Exercise
- Full Scale Exercise
- Situation Report (Sit Reps)

In the next two lessons, we'll introduce you to the eight steps of exercise design, and talk about the types of documentation to use when participating in an exercise.

Part 3 How Is An Exercise Designed & Developed?

Over the past lessons we've talked about the five phases of an exercise, the building block approach, the types of exercises and how they are conducted, and common elements. In this section, we'll introduce you to the eight steps of exercise design, and talk about the types of documentation to use when participating in an exercise.

In Part 3, you'll be introduced to:

- ***Lesson 10 - The eight steps in exercise design***
- ***Lesson 11 - Exercise documentation***

Lesson 11 Eight Steps to Exercise Design

New vocabulary for this lesson:

- **Needs assessment**

We've talked about exercises, you've seen some examples, and now it's time to talk about the **eight steps to exercise design**. Many people confuse the eight steps in designing an exercise with the five exercise phases. The five phases of an exercise deal with the whole cycle of an exercise. The eight steps to exercise design focus only on how to design an exercise – it does not deal with running an exercise or evaluating it.

Step 1 – Assess Needs

8 Steps To Exercise Design	
Step 1	***Assess needs.***
Step 2	**Define the scope.**
Step 3	**Write a statement of purpose.**
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	**List expected actions.**
Step 8	**Prepare messages.**

What is a Needs Assessment? It's is a process of defining an organization's inventory of problems or needs.

You won't be surprised to learn that **the first step in designing any exercise is to assess your organization's needs**. This gives you valid reasons to do an exercise, helps you define problems you hope to solve, and identifies the functions to be exercised. If your organization has previously done exercises, then an evaluation of any past events or exercises are good primary sources of information.

One of the first steps in exercise program management is the needs assessment. A needs assessment has three basic steps:

1. Define problems.
2. Establish the reasons to do an exercise.
3. Identify the functions to be exercised.

After you've completed a needs assessment, it's time to review your emergency management plan. The base document for all emergency management exercises is your current emergency operations plan.

Next, it's time to review planned responses, resources available, personnel available, and procedures. If you're in a landlocked area with one road running in or out of town, a chemical plant on one end of town, and your road is a busy one with heavy transport trucks carrying goods and chemicals back and forth from one urban centre to another, then your needs assessment is going to be very different from an organization located in a large city built on a floodplain, surrounded by two rivers that tend to flood each year, and with a large viral research lab that's come to the public's attention due to contamination from labs in another country.

Step 2 Define the Scope

8 Steps To Exercise Design	
Step 1	**Assess needs.**
Step 2	***Define the scope.***
Step 3	**Write a statement of purpose.**
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	**List expected actions.**
Step 8	**Prepare messages.**

"Defining the scope" means to put realistic limits on the areas addressed in the needs assessment. **Not all hazards can be tested, not all exercise types used, and not all resources will be available**. Your scope needs to be clear and defined. The following five categories make up the scope:

a. **Hazards**—normally, one main hazard is identified in the scenario of the exercise, even though others may develop.

b. **Geographic area**—a defined location of the event is identified, such as an address, or specific site.

c. **Functions**— identify what emergency management functions will be tested, based on need.

d. **Organizations and personnel**—identify what organizations will be involved, and at what staffing levels.

e. **Exercise type**— identify what type of exercise is needed or authorized.

Step 3 Write a Statement of Purpose

8 Steps To Exercise Design	
Step 1	**Assess needs.**
Step 2	**Define the scope.**
Step 3	***Write a statement of purpose.***
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	**List expected actions.**
Step 8	**Prepare messages.**

A statement of purpose is a general statement about an upcoming exercise activity. Using this statement, your emergency management program can communicate the plan to exercise, the purpose of the exercise, and the exercise scope to all interested parties.

Example of a Statement of Purpose

The purpose of the proposed emergency management exercise is to improve the following emergency operations:

a. Flood stage monitoring
b. Evacuation warning
c. Relocation of school children and senior citizen home
d. ***Reception centre management***

by involving the following agencies and personnel:

a. EMO
b. Fire Department
c. Public Works
d. Health Department
e. Red Cross and Salvation Army
f. Area Schools
g. Senior Citizen Homes in area

in a ***functional*** **exercise simulating a**
flood caused by riverbank overflowing
at Queensway Bridge to Hwy 417 on October 20.

Step 4 Define Objectives

8 Steps To Exercise Design

Step 1	**Assess needs.**
Step 2	**Define the scope.**
Step 3	**Write a statement of purpose.**
Step 4	***Define objectives.***
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	**List expected actions.**
Step 8	**Prepare messages.**

Objectives can be classified into "general objectives" or "functional or specific" objectives.

General objectives are used to provide a general overall exercise objective of the organization. (***Example: The town of "X" will respond to and recover from a train derailment event.***)

Functional or specific objectives are the focal point of any exercise activity. They add to the purpose statement for the exercise, by

describing the expected outcomes (performance) of the emergency management functions being tested.

The objectives for any exercise activity should provide a statement of the following:

a. Who is to perform the action? (***Example: public information officer***.)

b. What are they to do? (***Example: distribute a press release to local media***.)

c. Under what conditions? (***Example: distribute the press release during the first phase of the evacuation***.)

d. According to what standard? (***Example: distribute within 15 minutes of the decision to evacuate the area***.)

The number of objectives needed for an exercise activity will vary. An orientation exercise activity may only need two or three objectives, while a full-scale exercise may have several for each function involved in the exercise.

Good objectives need to be simple, measurable, achievable, realistic and task oriented (SMART) and use action words or verbs.

Simple	Avoid making broad complex objectives. If an objective gets complex try to break it into two objectives.
Measurable	Ensure evaluators can determine whether the objective was achieved. This is sometimes accomplished by adding a quantitative element such as "within 30 minutes of arrival on scene."
Achievable	The objective should be achievable for the players within the scope and constraints of the exercise.
Realistic	The objective should present a realistic expectation.
Task Oriented	The objective should relate back to a task or procedure that can be evaluated.

Good Examples of Objectives

1. At the time the evacuation notice is received, the EOC policy and coordination groups will examine the needs of schools and other special facilities, and organize notification according to standard operating procedures.
2. The EOC will identify and activate an alternate communication system within 30 minutes of the primary communication failure, as described in the emergency management plan.

Bad Examples of Objectives

1. To test the volunteer organizations.
2. To get agencies to improve their disaster operations.

Level of Play Matrix

Sometimes organizations would like to participate in an exercise, but when they review the scope and objectives they realize that they are unable to commit to full participation. A **Level of Play Matrix** lets organizations agree early on in the exercise planning process to a specified level of play.

Level Of Play Matrix		
LEVEL OF PLAY	**DESCRIPTION**	**AVAILABILITY**
1	Full organizational participation	24/7
2	Full headquarters or EOC participation	24/7
3	Response cell participation	24/7
4	Partial response cell participation	a) Normal work hours (xx am to xx pm) b) Normal work days (Mon-Fri)
5	Liaison only participation	
6	Observer	
7	Simulated	
8	Subject matter expert (SME)	

Step 5 Compose a Narrative

8 Steps To Exercise Design

Step 1 **Assess needs.**

Step 2 **Define the scope.**

Step 3 **Write a statement of purpose.**

Step 4 **Define objectives.**

Step 5 ***Compose a narrative.***

Step 6 **Write major and detailed events.**

Step 7 **List expected actions.**

Step 8 **Prepare messages.**

An exercise's scenario narrative describes the events leading up to the time the exercise begins. It sets the scene for later events and also captures the attention of the participants. A scenario narrative is normally one to five paragraphs long, with short sentences and specific information. It gives answers to questions like these:

- What is the event?
- How fast, strong, deep, or dangerous is the emergency?
- How was the information relayed?
- What response has already been made?
- What damages have been reported?
- What is the sequence of events?
- What time did it happen?
- Was there any advanced warning?
- Where does the event take place?
- What are the weather conditions?
- What other factors would influence emergency procedures?
- What is predicted for the future?

The scenario narrative can be presented to the participants by reading it aloud, giving it in written form, or by pre-scripting a type of news video or radio news broadcast.

Sample Scenario Narrative: Air Crash

A Boeing 747, en route from Amsterdam to Toronto, is experiencing in-flight engine problems and will have to make an emergency landing. Plans have been made to land at Ottawa Airport.

However, the latest communications with the pilot indicates that the plane has lost engine power and is losing altitude too quickly to reach the airport in Ottawa. Instead, the plane will attempt to land at YOUR airport.

Conditions at your airport are clear, and the surrounding area is dry. Winds are from the north, steady, at 25 km per hour. The main runway lies along a relatively unpopulated suburban area, but it is not designed for a 747. Therefore, there is concern as to how successful the pilot will be in landing the plane. The approach will pass over populated housing developments.

The airport control tower has alerted the airport's Crash/Fire Rescue units and is requesting local emergency services to provide backup assistance in fire, medical, police, search and rescue, and welfare.

It's now 9 a.m. (The exercise begins.)

Step 6 Write Major and Detailed Events

8 Steps To Exercise Design	
Step 1	**Assess needs.**
Step 2	**Define the scope.**
Step 3	**Write a statement of purpose.**
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	***Write major and detailed events.***
Step 7	**List expected actions.**
Step 8	**Prepare messages.**

These events take place after, and as a result of, the disaster described in the narrative. **Major events are problems that are likely to occur based on past events.** Normally, there will be several of these directly related to the narrative. They require certain emergency, management, and/or government related functions to be addressed. Let's look at an example of **major events**, which are based on the previous narrative:

- Fuselage breaks apart as it hits buildings on approach.
- Debris and fuel ignite several fires to homes.
- About 60 survivors are thought to be trapped in the front section of the plane.
- Several bystanders on the ground are injured.
- A crowd convenes around the crash site.
- Family members of victims begin to gather at the crash site, as well as foreign embassy representatives who have been dispatched by their governments to find out information on behalf of family members in their countries.
- Estimates of fatalities are 200-300.
- News media are providing instant coverage, as well as speculating on causes of the crash.

The first event should trigger the damage assessment function, while the second calls for action from the fire department. The third and fourth events trigger fire, search and rescue, and paramedic and ambulance services. The fifth and sixth events deal with scene security, and the last event deals with mass fatality response.

In addition, Canada Border Services (CBSA), Canadian Immigration (CIC), Foreign Affairs (DFAIT) and RCMP are involved as this is an international flight, with family of passengers and crew, and foreign missions anticipated to be making inquiries. Canadian Transportation Safety Board (CTSB) and Transport Canada (TC) are involved as this is a transportation related incident. There is also the possibility that the event is not caused by mechanical failure, but by terrorism. News crews have converged on the scene. Bystanders have already phoned in reports of a plane that is in trouble, and cell phone photo footage is being emailed to news organizations around the world.

Detailed or minor events are smaller problems of each major event that will still require action to be taken. They are designed to prompt expected actions by the participants. Let's continue on with our example:

Major Event

- About 60 survivors trapped in the front section of the plane.

Detailed Events

- Rescuers find survivors entangled in the wreckage.
- Many of the trapped victims are found severely injured.
- Passengers and/or onlookers get in the way of rescue efforts.
- Government representatives begin their work, sometimes in apparent conflict of rescue operations.
- News crews demand instant updates and cause of crash.

Step 7 List Expected actions

8 Steps To Exercise Design	
Step 1	**Assess needs.**
Step 2	**Define the scope.**
Step 3	**Write a statement of purpose.**
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	***List expected actions.***
Step 8	**Prepare messages.**

These are the desired actions or decisions the players are expected to make. For each major or detailed event, exercise coordinators and planners anticipate that the players will perform actions that follow the emergency management plan, including Standard Operating Procedures (SOPs) and other applicable procedures.

Example: Objective and Expected Actions

Function: **Coordination and communication among the airport and the jurisdiction's emergency systems.**

Objective**: Upon notification that a crash is imminent, response units will stage within 3 minutes, according to SOPs.**

Event: **Landing of disabled aircraft is imminent.**

Expected Actions:

Airport Control Tower:

- **Notify local police agency, fire, ambulance, medical personnel to proceed to airport.**
- **Alert hospitals of potential mass casualty incident.**

Dispatch Centre:

- **Alert police, fire, and medical supervisors.**

Hospital:

- **Notify other medical facilities as appropriate.**

Crash/Fire Rescue:

- **Initiate incident management system.**
- **Notify dispatch of command post and staging locations.**

As an example from the detailed events above:

- **Survivors entangled in wreckage—expected action: special extrication equipment brought in.**
- **Trapped people found severely injured—expected action: paramedics establish emergency medical services branch within the incident management system structure being used.**
- **Onlookers get in the way—expected action: law enforcement sets up perimeter and security.**

Expected actions include:

- Verify (information gathering).
- Consider (discuss, negotiate, consult).
- Defer (put action on priority list).
- Decisions (deploy or deny resources).

Step 8 Prepare Messages

8 Steps To Exercise Design	
Step 1	**Assess needs.**
Step 2	**Define the scope.**
Step 3	**Write a statement of purpose.**
Step 4	**Define objectives.**
Step 5	**Compose a narrative.**
Step 6	**Write major and detailed events.**
Step 7	**List expected actions.**
Step 8	***Prepare messages.***

Messages are the means by which the expected actions are brought about. They are communicated to the players by:

- Telephone
- Email
- Radio
- Delivered by hand
- Whispered
- Transmitted by fax

There are two kinds of messages: **pre-scripted** (developed prior to the exercise), and **spontaneous** (developed when players react in different ways). Spontaneous messages can also be "free play", entered into the exercise by the controller or simulator to induce, create, or steer players to react.

Messages must come from a credible source, as if it actually happened, and be delivered to the proper parties. For example, a member of the public would not be able to report anything directly to the Emergency Operations Centre (EOC), but he or she could make a report, through the communications system, a toll free information line, or by calling 911. This then would become a message into the Emergency Operations Centre (EOC) from the dispatcher.

The standard message form used has several components:

- Source: ***is it credible?***
- Method sent: ***phone, radio, fax, email, verbally.***
- Content: ***is there enough information being sent?***
- Recipient: ***who receives the message, and do they have the authority to act?***
- Contact Number: ***recorded by message controller.***
- Time: ***message was taken***.
- Action taken: ***summarized response of the player to the message (more detailed information may go on a situation log).***

SAMPLE MESSAGE FORM:
Emergency Management Exercise _____ **MESSAGE**
TO: **METHOD:** **FROM:**
Contact Number: **TIME:**
CONTENT:
ACTION TAKEN:

In our next lesson we'll briefly discuss some of the documentation used in an exercise.

Lesson 11 Test Yourself

Eight Steps to Exercise Design

1. Number, **in order**, the eight steps to designing and developing an exercise.

A. ___ Compose a narrative

B. ___ Define objectives

C. ___ List expected actions

D. ___ Write a statement of purpose

E. ____Assess needs

F. ____Write major and detailed events

G. ____Prepare messages

H. ____Define the scope

2. A needs assessment has 3 basic steps. Select the 3 that apply:

A. _____ Define problems

B. _____ Identify the functions to be exercised

C. _____ Get full organizational participation

D. _____ Find Subject Matter Experts (SME)

E. _____ Establish the reasons to do an exercise

3. True or false? By using LEVEL OF PLAY MATRIX, organizations can commit early on in the exercise planning process to a specified level of play after they have reviewed the planned exercise scope and objectives.

A. ____True

B. ____False

4. 5 categories make up the scope of an exercise? Which one of the answers below is NOT one of the categories?

A. _____ Hazards

B. _____ Organizations and personnel

C. _____ Geographic area

D. _____ Availability of Subject Matter Experts (SME)

E. _____ Functions

F. _____ Exercise type

5. What is a statement of purpose?

A. _____ A detailed explanation of the planned exercise.

B. _____ A list of resources to be used in an exercise.

C. _____ A statement of intent to begin an exercise program.

D. _____ A statement that identifies who will be involved in an exercise.

E. _____ A general statement about an upcoming exercise activity.

6. Major and detailed events are related in that detailed events are smaller problems of each major event, while major events are the big problems arising from an emergency. In the statements below, one is a major event, while the others are detailed events for the major event. Identify the major event taken from the events in an air crash scenario.

A. _____ Local hospitals lack specialized facilities and personnel to treat large numbers of severe burn victims.

B. _____ The Canadian Red Cross has agreed to set up a family information center to link victims and their families.

C. _____ Estimates of passenger victims rise between 200 and 220 deaths and at least 70 severe burn victims.

D. _____ The mortuary is unable to accept the large numbers of remains resulting from the crash.

Lesson 12 Exercise Documentation*

New vocabulary for this lesson:

- **Situation Manual (SITMAN)**
- **Exercise Plan (EXPLAN)**
- **Controller and Evaluator Handbook (C/E Handbook)**
- **Master Scenario Events List (MSEL)**
- **Procedural Flow**
- **Exercise Evaluation Guides (EEGs)**
- **Exercise Evaluation Plan (EVALPLAN)**

No matter what kind of exercise you run, you'll need documents to help guide you and your exercise participants. Let's briefly discuss some typical exercise documentation needs:

Situation Manual (SITMAN)

What is a Situation Manual (SITMAN)? It's a handbook provided to all *participants* in *discussion-based* exercises, particularly *TTXs*. The SitMan provides background information on the exercise *scope*, schedule, and *objectives*. It also presents the *scenario* narrative that will drive participant discussions during the exercise.

This is a guide to the exercise that is handed out to participants. While it doesn't need to be more than a few pages, **it gives background information on the exercise scope, schedule, and objectives.** It also **presents the scenario narrative** that participants will use during the exercise. The SITMAN should mirror any multimedia briefing, supporting the scenario narrative and allowing participants to read along while watching events unfold.

**Much of the documentation referenced in this lesson can be found at the Homeland Security Exercise and Evaluation website at https://hseep.dhs.gov/pages/1001_HSEEP7.aspx*

Exercise Plan (EXPLAN)

What is an Exercise Plan (EXPLAN)? This is a general information document that helps *operations-based* exercises run smoothly. It is published and distributed prior to the start of exercise and provides a synopsis of the exercise.

An Exercise Plan (EXPLAN) is typically used for operations-based exercises. It **provides a summary of the exercise** and is distributed before the exercise starts. It **discusses the exercise objectives and scope, and assigns tasks and responsibilities**. The EXPLAN doesn't contain detailed scenario information and is generally intended for **exercise participants and observers**.

What's included in an Exercise Plan?

- **Purpose of the exercise**
- **General objectives**
- **Overall exercise strategy**
- **Exercise Planning Group structure**
- **Agencies involved - tasks and responsibilities**
- **Safety and security (in general terms)**
- **Exercise type and basic information**
- **Basic administrative and/or logistical support**

Information in the Situation Manual and the Exercise Plan is sometimes combined into a Player Handbook.

Player Handbook

A Player Handbook **contains a list of instructions for players, as well as information about player responsibilities and functions to be performed during the exercise**. It helps the players in understanding the ground rules, the overall objectives and scope of the exercise, limits of play, simulation plans, and the debriefing process.

The player handbook should include a section on Administrative Notes and include information such as:

- Location of restrooms.
- Lunch time.
- Parking locations.

If you don't include it, you can be certain participants will be asking for

this information!

What's In a Player Handbook?

- **A Schedule of player exercise briefings**
- **Provisions to review emergency management plans, policies, procedures**
- **Scenario overview**
- **A list of exercise objectives**
- **Procedures for preparation of exercise generated messages, logs and reports**
- **Emergency Operating Centre (EOC)_procedures**
- **Expected player actions**
- **Administrative requirements**
- **Recommended pre-exercise training events**

Exercise Control Plan

What is an Exercise Control Plan? This plan provides exercise controllers and simulators with guidance concerning procedures and responsibilities for exercise control, simulation, and support. It explains the exercise concept as it relates to controllers and simulators, establishes the basis for control and simulation of the exercise, and establishes and defines the communications, logistics, and administration structure needed to support control and simulation during the exercise.

This document **contains more detailed information about the exercise scenario and describes the controller staff roles and responsibilities**. As the controller staff notes contain information on the scenario and exercise administration, it's best to only distribute the Exercise Control Plan to those individuals specifically designated as controllers and evaluators.

What's In an Exercise Control Plan?

- **General objectives**
- **Concept of play (exercise scope, scenario narrative, location of players)**
- **Specific functional objectives**
- **Procedures, responsibilities, assignments and support**
- **Exercise Planning Group structure**
- **Exercise timelines (including pre- and post exercise activities)**
- **Emergency call-off procedures, safety and security**
- **Artificialities, assumptions and simulations**
- **Master scenario events list (MSEL) for the exercise**
- **Communications capabilities, structure and procedures**
- **Checklists or any other job aids needed (including maps, reference etc)**

Controller and Evaluator (C/E) Handbook

What is a Controller and Evaluator Handbook (C/E Handbook)? It's an exercise overview and instructional manual for *controllers* and *evaluators*. A supplement to the *Exercise Plan* (*ExPlan*), it contains more detailed information about the *scenario*, and describes controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it should be distributed only to those individuals specifically designated as controllers or evaluators.

This document supplements the EXPLAN. It **contains more detailed information about the exercise scenario, and describes the roles and responsibilities of exercise controllers' and evaluators**. Because the C/E Handbook contains information on the scenario and exercise administration, it goes only to controllers and evaluators.

Master Scenario Events List (MSEL)

What is a Master Scenario Events List (MSEL)? It's a chronological timeline of expected actions and scripted events to be injected into exercise play by *controllers* to generate or prompt *player* activity. It ensures necessary events happen so that all *objectives* are met, and provides guidance for controllers and/or simulators in keeping the exercise on schedule.

The Master Scenario Events List (MSEL) links simulation to action, makes the exercise experience relevant for players, and uses an incident or activity that is intended to prompt ***players*** to action. Each Master Scenario Events List (MSEL) record contains a designated ***scenario*** time, an ***event*** synopsis, the name of the ***controller*** responsible for delivering a particular inject and any special delivery instructions, the ***task*** and ***objective*** to be demonstrated, the expected action, the intended player, and a note-taking section.

It's important that messages are entered in their proper sequence so the exercise will maintain "flow" and controllers can monitor the tracking of the messages.

Let's take a look at a sample Master Scenario Events List (MSEL), and see what information can go in it.

Sample Master Scenario Events List		
TIME	**EVENT**	**EXPECTED ACTIONS**
7:35 am	**Plane radios tower: losing engine power and altitude**	**1. Tower notifies dispatch centre. 2. Dispatcher alerts police, fire, medical services to proceed to airport.**
7:40–7:50 am	**Pilot reports major vibrations/noise. Requests runway designation.**	**1. Tower designates runway; notifies dispatcher of runway and potential for mass casualty incident. 2. Dispatcher relays runway info to police, fire, medical. 3. Dispatcher notifies hospitals. 4. Crash/Fire Rescue initiates ICS; notifies Dispatcher of Crash Position and staging locations. 5. Dispatcher relays Crash Position and staging locations to police, fire, medical.**
7:55 a.m.	**Hospital calls dispatcher requesting more information**	**1. Dispatcher gets potential number of casualties and relays info to hospital.**

		2. Hospital notifies other medical facilities.
8 a.m.	**Media calls dispatcher requesting information**	**(etc.)**

Exercise Evaluation Guides (EEG)

What are Exercise Evaluation Guides (EEG)? These documents support the exercise *evaluation* process by providing evaluators with consistent standards for observation, *analysis*, and *After Action Report* (*AAR)* development.

Exercise Evaluation Guides (EEG's) are **developed to help with exercise evaluation, incorporating the critical tasks to be completed in an exercise**. These are developed by the controllers and evaluators to evaluate the exercise and to produce a final exercise report.

The main point that an exercise report needs to focus on is whether the main aim of the exercise was met. Developers of Exercise Evaluation Guides (EEGs) are either experienced exercise evaluators, and/or practitioners who are subject matter experts but may have little or no exercise evaluation experience.

Exercise Evaluation Guides (EEGs) provide evaluators with information on what they should expect to see during an exercise, space to record observations, and questions to address after the exercise as a first step in the analysis process.

Exercise Evaluation Plan (EVALPLAN)

What is an Exercise Evaluation Plan (EVALPLAN)? It's typically used for *operations-based* exercises of a large *scope* and scale. This document provides specific guidance to exercise *evaluators*. It's designed to help exercise evaluators understand their roles and responsibilities in exercise data collection and evaluation in order to conduct an effective *analysis* of the exercise and produce a comprehensive *After Action Report* (*AAR)/ Improvement Plan (IP).*

The evaluation process for exercises includes a formal exercise evaluation, integrated analysis, and an After Action Report/Corrective Action Plan (AAR/CAP). This process begins during exercise planning and ends when improvements have been implemented and validated in

future exercises.

8 Steps in the Evaluation Process

Step 1: Plan and organize the evaluation

Step 2: Observe the exercise and collect data

Step 3: Analyze data

Step 4: Conduct an exercise debrief

Step 5: Develop the draft AAR

Step 6: Identify improvements and corrective actions that need to be implemented

Step 7: Finalize and issue the AAR

Step 8: Track implementation

What's in an Evaluation Plan?

- **Purpose of the handbook**
- **General objectives**
- **Concept of play (scope, scenario narrative, location of players)**
- **Specific functional objectives**
- **Timelines (including pre- and post-exercise activities)**
- **Emergency call off procedures**
- **Artificialities, assumptions, and simulations**
- **Evaluation management & structure**
- **Evaluation team training**
- **Evaluation team responsibilities and procedures**
- **Evaluation reporting and documentation**
- **Administrative and logistical support**
- **Communications procedures and support**

Final Exercise Report

A major multi-agency exercise can be both costly and time consuming to arrange and undertake. A final exercise report should be compiled as soon as is practical after the debrief in order to provide feedback to participating organizations on their performance during the exercise. The report should **contain the goals, objectives and planned outcomes of the exercise, along with an outline of the scenario and the planning process**. The report should also **contain an evaluation section in which positive and negative observations are recorded** and recommendations made. Needed improvements that have been agreed to are noted to help in converting lessons learned from the exercise into concrete, measurable steps that result in improved capabilities. This report is used as a basis for the revision of plans and procedures, and in determining future training needs.

Lesson 12 Test Yourself
Exercise Documentation

1. What exercise documentation is recommended for all exercises? Choose all that apply.

A. _____Master scenario events list

B. _____Exercise evaluation guides

C. _____Player handbook

D. _____Exercise control plan

E. _____Evaluation plan

F. _____All of the above

2. Match the documentation with its purpose.

A. ____ C/E handbook	1. Contains a list of instructions for players as well as information about players' responsibilities and functions
B. ____ Exercise control plan	2. Handbook provided to all participants in a discussion-based exercise, particularly TTXs.
C. ____ Player handbook	3. Contains detailed information about the scenario and describes roles and responsibilities of controllers and evaluators
D. ____ Situation manual	4. Given only to directing staff and evaluators, describes their roles and responsibilities

3. Fill in the blank:

A general information document that provides a synopsis of operations based exercises and helps them to run smoothly is a _____.

4. Place the 8 step evaluation process in the correct order.

Step 1 _____	A. Analyze data
Step 2 _____	B. Observe the exercise and collect data
Step 3 _____	C. Finalize and issue the AAR
Step 4 _____	D. Track implementation
Step 5 _____	E. Plan and organize the evaluation
Step 6 _____	F. Develop the draft AAR
Step 7 _____	G. Identify improvements and corrective actions that need to be implemented
Step 8 _____	H. Conduct an exercise debrief

5. A situation manual gives background information on the exercise scope, schedule, and objectives. Would it also include the scenario narrative that participants would use during an exercise?

   A._____Yes

   B._____No

6. Who is the exercise plan (EXPLAN) intended for?

   A. _____Controllers

   B. _____Victims

   C. _____Exercise participants and observers

   D. _____Observers

   E. _____Evaluators

Recap .....

In Part 3 we introduced you to:

- The eight steps in exercise design
- Exercise documentation

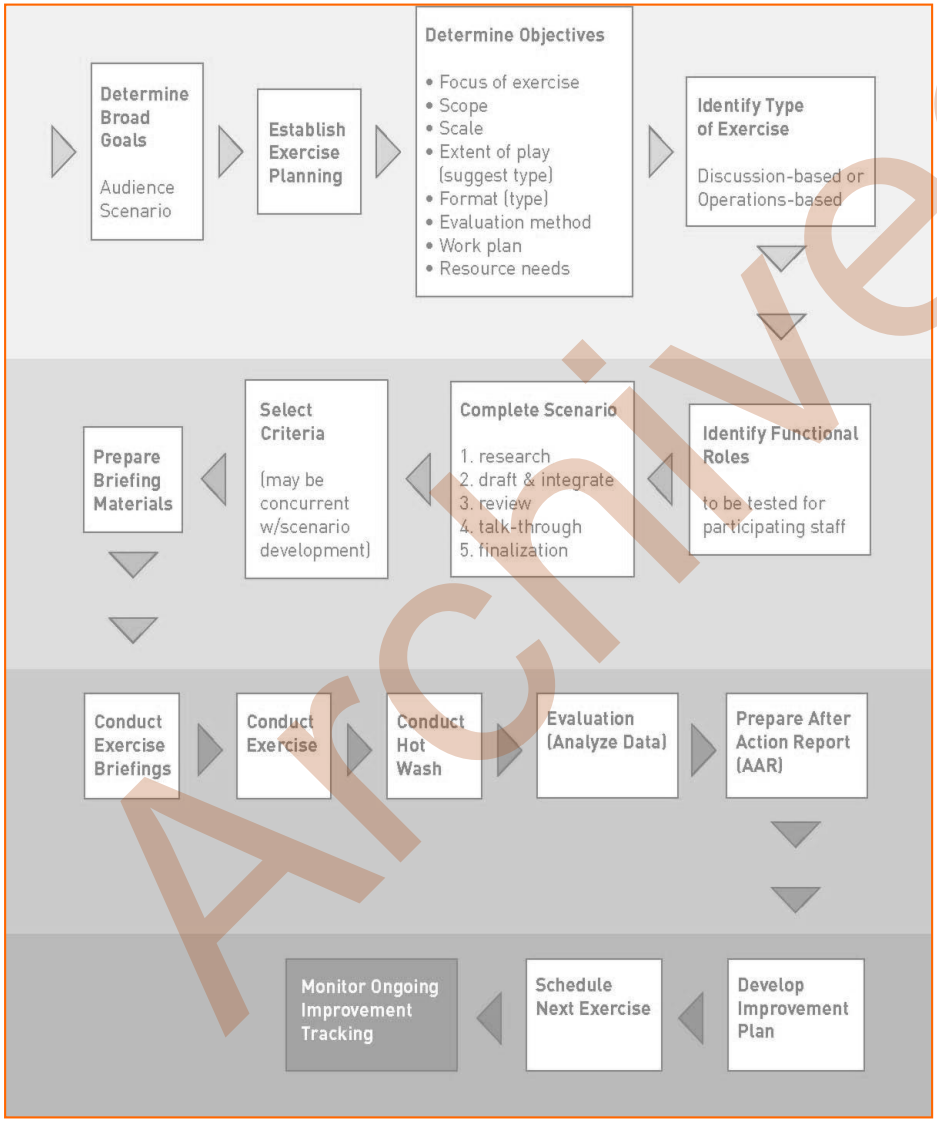
And we introduced you to these terms:

- Needs Assessment
- Situation Manual (SITMAN)
- Exercise Plan (EXPLAN)
- Controller and Evaluator Handbook (C/E Handbook)
- Master Scenario Events List (MSEL)
- Procedural Flow
- Exercise Evaluation Guides (EEGs)
- Exercise Evaluation Plan (EVALPLAN)

This concludes our course. Take a look at the performance check on the next page and see if you need to refer back to any of the previous lessons before going on to write your final exam.

Part 4 Your Performance Check

OK, we've taken you through a whirlwind tour of the steps involved in an exercise program. Before you write your test, let's briefly review what you've learned by taking a look at this chart. Study the chart carefully. If something doesn't seem familiar to you, it's time to go back and take another look at previous Lessons.



Vocabulary

Actor – is someone who acts as a patient or victim during an exercise.

Actual Event – is a "real life" occurrence of a natural or man-made hazard requiring the mobilization of emergency response personnel.

After Action Report (AAR) – refers to the formal written documentation analyzing the performance of assigned personnel after an exercise or actual event. It is the final product of an exercise and captures observations and recommendations based on the exercise objectives as associated with the capabilities and tasks.

Agenda – refers to the format for participants to follow that lists the topic areas, time allowed, and presenters for an activity.

Artificialities – are the conditions created by the design of an exercise that do not simulate or mirror actual conditions. The use of artificialities may interfere with the participant's ability to respond realistically.

Briefing – is a meeting held, before the exercise begins, to inform participants on the ground rules of conduct and their roles and responsibilities. A briefing covers the exercise objectives and scope, the parameters and limits of play, simulations, and how and when the debriefing process will occur. Actors, players, observers, and controllers/evaluators, usually attend separate briefings.

Building Block Approach - is a focus on exposing participants to a cycle of training and exercises that escalates in complexity, with each exercise designed to build upon the last, in terms of scale and subject matter. For example, a building-block series of exercises may include a *seminar*, which leads to a *tabletop exercise (TTX)*, which leads to a *full-scale exercise (FSE)*.

Capability – refers to the ability to perform with skill or knowledge, or provide a resource to meet specific requirement.

Checklist – is a written list of items intended to aid memory that describes the actions that need to be taken by an assigned individual or an organization.

Cold-Wash – is a post-exercise meeting that is held after a period of time, not immediately after the exercise. Preliminary observations and evaluations are discussed and participants have an opportunity to provide feedback that might have been missed in the hot-wash.

Concept & Objectives Meeting (C&O Meeting) - is the formal beginning of the exercise planning process. It is held to agree upon already-identified *type*, *scope*, *capabilities*, *objectives*, and *purpose* of the exercise. For less complex exercises and for organizations with limited resources, the C&O Meeting can be conducted in conjunction with the *Initial Planning Conference (IPC)*. However, when the exercise scope dictates, the C&O Meeting is held first. Representatives from the sponsoring organization, the *lead exercise planner*, and senior officials typically attend the C&O Meeting to identify an overall exercise goal, develop rough drafts of exercise capabilities and objectives, and identify *exercise planning team* members.

Contingency Messages – are injects that are prepared in case participants do not take the anticipated action that is to be driven by that key event in a timely manner. They redirect play so exercise goals can be met.

Control Cell – is a location away from exercise participants that provides a facility for control and management of an exercise.

Controller – is a person whose role is to ensure the objectives are sufficiently exercised, the level of activity keeps participants occupied and challenged, and the pace (flow) of the exercise proceeds according to the scenario.

Controller and Evaluator (C/E) Handbook - supplements the Exercise Plan (ExPlan) for operations-based exercises, containing more detailed information about the exercise scenario and describing exercise controllers' and evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it is distributed only to those individuals specifically designated as controllers or evaluators.

Controller Inject – refers to the introduction of events, data, and information into exercises by a controller to drive the demonstration of the objectives.

Corrective Action Plan (CAP)– is a process that follows an exercise to identify program shortfalls and necessary corrective actions to address those shortfalls.

Critical Infrastructure – in Canada this is defined as those physical and information technology facilities, networks, services and assets which, if disrupted or destroyed, would have a serious impact on the health, safety, security or economic well-being of Canadians or the effective functioning of governments in Canada.

Critique – is also called a **Debriefing** or **Hot-wash**. It refers to a meeting of participants, facilitators and/or controllers, and evaluators following the conclusion of the exercise activity to provide essential comments on operations and performance during exercise play.

Damage Assessment – is the process used to appraise or determine the number of injuries and deaths, damage to public and private property, and the status of key facilities and services such as hospitals, health care facilities, fire and police facilities, communication networks, water and sanitation systems, utilities, and transportation networks, all resulting from a man-made or natural disaster.

Debriefing – see **Critique**. This term may also be called a **Hot-wash**.

Design and Development - builds on the exercise *foundation.* The design and development process consists of identifying *capabilities*, *tasks*, and *objectives*, designing the *scenario*, creating documentation, coordinating logistics, planning exercise conduct, and selecting an evaluation and improvement methodology.

Detailed (Minor) Events – refers to problems within major events that are specific in nature and normally require an operational response.

Disaster – is an occurrence of a natural catastrophe, technological accident, or human caused event that has resulted in severe property damage, deaths, and/or multiple injuries.

Discussion-based Exercises – are exercises that familiarize participants with current plans, policies, agreements and procedures. They are also used to develop new plans, policies, agreements, and procedures.

Drill – is an event involving organizational responses to a simulated accident or emergency exercise activity to develop, test, and monitor specialized emergency skills that constitute one or more components (functions) of an emergency operations plan and procedure. It is a coordinated, supervised activity and is usually used to test a single, specific operation or function within a single entity (e.g., a fire department conducts a decontamination drill).

Due Diligence - is the level of judgment, care, prudence, determination, and activity that a person would reasonably be expected to do under particular circumstances. As applied to an emergency program, due diligence means that all reasonable precautions are taken to address public safety risks, including during response to an emergency. This duty also applies to situations that are not addressed elsewhere in the occupational health and safety legislation.

Emergency – is a situation or an impending situation caused by the forces of nature, an accident, and an intentional act or otherwise that constitutes a danger of major proportions to life or property. These situations could threaten public safety, public health, the environment, property, critical infrastructure and economic stability. Three categories of emergencies: *Human-Caused, Natural and Technological.*

Emergency Area – is a geographic area within which an emergency has occurred or is about to occur, and which has been identified, delineated and designated to receive emergency response actions.

Emergency Information – refers to information about an emergency, which is communicated broadly to the community and other stakeholders.

Emergency Management – refers to the organized and comprehensive programs and activities undertaken to deal with actual or potential emergencies or disasters. These include prevention of, mitigation against, preparedness for, response to and recovery from emergencies or disasters.

Emergency Operations Center (EOC) – is a facility where the Control Group assembles to manage an emergency. In a real emergency, the EOC is a protected site where officials coordinate, monitor, and direct response and recovery activities.

Emergency Operations Plan (EOP) – is a document that describes how people and property will be protected during a threat or actual emergency/disaster, detailing who is responsible for carrying out specific actions. It identifies the personnel, equipment, facilities, supplies, and other resources available for use in the emergency/disaster, and outlines how all the actions will be coordinated.

Emergency Response Plan (ERP) – is a risk-based plan developed and maintained to respond to an emergency.

Emergency Response Organization – is a group or organization (public, private or volunteer) with emergency response trained staff that are prepared and may be called upon to respond as part of the coordinated response to an emergency situation.

Evacuation – refers to the organized, phased, and supervised dispersal of people from dangerous or potentially dangerous areas.

Evaluation – is the process of observing and recording exercise activities, comparing performance of participants against exercise objectives, and noting strengths and deficiencies.

Evaluation Methodology – refers to the procedures and strategy used to evaluate an exercise. This would include the structure of the evaluation team, objectives, and the evaluation packet.

Evaluation Plan (EvalPlan) - is typically used for *operations-based* exercises of a large *scope* and scale. This document provides specific guidance to exercise *evaluators*. It's designed to help exercise evaluators understand their roles and responsibilities in exercise data collection and evaluation in order to conduct an effective *analysis* of the exercise and produce a comprehensive *AAR/IP*.

Evaluation Team - consists of evaluators trained to observe and record *participant* actions. These individuals should be familiar with the exercising organization's plans, policies, procedures, and agreements.

Evaluator – is an individual assigned to one or more exercise functions or locations to document and evaluate individual, team, and organizational performance based on the exercise objectives and performance criteria.

Evaluators Critique – refers to a meeting of evaluators to collect and analyze exercise performance in preparation for completing an evaluation report.

Exercise – is a simulated emergency, in which members of various agencies perform the tasks that would be expected of them in a real emergency.

Exercise Activity – is an activity that provides an opportunity for participants to train in and practice emergency and crisis management

skills. Exercise activities provide a method of evaluating participants' ability to meet emergency and crisis management requirements and responsibilities.

Exercise Control Plan - provides exercise controllers and simulators with guidance concerning procedures and responsibilities for exercise control, simulation, and support. It explains the exercise concept as it relates to controllers and simulators, establishes the basis for control and simulation of the exercise, and establishes and defines the communications, logistics, and administration structure needed to support control and simulation during the exercise.

Exercise Coordinator – is the person given the responsibility for and authority to properly plan an exercise.

Exercise Directive – is a letter or memo sent to organizations invited to play in an exercise. The directive is one means of gaining support from those who should participate in the exercise.

Exercise Director - The exercise director oversees all exercise functions during exercise conduct; oversees and remains in contact with *controllers* and *evaluators*; *debriefs* controllers and evaluators following the exercise; and oversees setup and cleanup of exercise and positioning of controllers and evaluators.

Exercise Documentation – refers to all information that is formulated and collected, from the initial design planning of the exercise to the final After Action Report (AAR).

Exercise Enhancements – is a list of resources that can be gathered to add "realism" to the exercise. This would include communications equipment, visuals, charts, computers, video, props, special equipment, and people.

Exercise Evaluation - the act of observing and recording exercise activity or conduct, by comparing the behaviour or actions against the exercise objectives, while noting strengths and weaknesses.

Exercise Evaluation Guide (EEG) – is a guide that helps evaluators collect and interpret relevant exercise observations. EEGs provide evaluators with information on what tasks they should expect to see accomplished during an exercise, space to record observations, and questions to address after the exercise as a first step in the analysis process.

Exercise Objectives - are established for every exercise. Well-defined objectives provide a framework for *scenario* development, guide individual organizations' objective development, and inform exercise *evaluation* criteria. Organizations should frame exercise objectives with the aim of attaining *capabilities* established as priorities in the *Multi-Year Training and Exercise Plan* and schedule. Objectives should reflect

specific capabilities that the exercising organization establishes as priorities, and the *tasks* associated with those capabilities. Objectives should be *simple, measurable, achievable, realistic, and task-oriented* (*SMART*). Planners should limit the number of exercise objectives to enable timely execution and to facilitate design of a realistic scenario.

Exercise Phase – refers to the periods before, during, and after the exercise, as exercise tasks are organized.

Exercise Plan (ExPlan) – is a plan typically used for operations-based exercises. It provides a synopsis of the exercise and is published and distributed to participants and observers prior to the start of the exercise. The ExPlan includes the exercise objectives and scope, safety procedures, and logistical considerations such as an exercise schedule.

The ExPlan enables *participants* to understand their roles and responsibilities in *exercise planning*, execution, and *evaluation*. It's intended for use by exercise *players* and *observers*—therefore, it does not contain detailed *scenario* information that may reduce the realism of the *tasks* to be performed. Players and observers should review all elements of the ExPlan prior to exercise participation.

Exercise Planning Team – a group of individuals with the overall responsibility for all phases of an exercise.

Exercise Play – refers to the actual conduct of an exercise from initiation to termination.

Exercise Program – refers to an exercise program that is risk-based and includes a cycle, mix, and range of exercise activities of varying degrees of complexity and interaction.

Exercise Reporting Form – is a document that is used to record specific information on drills, and tabletop, functional, and full-scale exercises.

Exercise Scenario - provides the backdrop and storyline that drive an exercise. The first step in designing a scenario is determining the type of threat/hazard to be used in an exercise. The hazards selected for an exercise should realistically stress the capabilities an organization is attempting to improve through its exercise programs. A hazard should also be a realistic representation of potential threats faced by the exercising jurisdiction. For *discussion-based* exercises, a scenario provides the backdrop that drives *participant* discussion. For *operations-based* exercises, the scenario should provide background information on the incident catalyst of the exercise.

Exercise Scope – refers to the process of determining realistic limits on the personnel, organizations, and resources required to conduct an exercise activity, based on the needs assessment. This includes hazards, geographical area, functions, agencies and personnel, and exercise type.

Expected Actions – refers to the actions or decisions that are expected of the participants in order to demonstrate competence, based on the objectives of the exercise.

Facilitator – is a specially trained individual assigned responsibility for guiding participant discussions during tabletop exercises to ensure key issues are addressed.

Final Planning Conference (FPC) - is the final forum for reviewing exercise processes and procedures before the exercise begins. It's the forum for the *exercise planning team* to review the process and procedures for exercise conduct, final drafts of all exercise materials, and all logistical requirements. There should be no major changes made to either the design or the *scope* of the exercise, nor to any supporting documentation, at the FPC. The FPC ensures all logistical requirements have been arranged, all outstanding issues have been identified and resolved, and all exercise products are ready for printing.

Follow-up Activity – refers to a post-exercise process. After the evaluation of an exercise has been completed, certain items or issues will remain to be addressed. Normally, persons or committees will be assigned this task.

Foundation - is the first phase in the exercise process, focusing on developing a project management timeline, establishing milestones, identifying an *exercise planning team*, and scheduling planning conferences.

Free-play – is a spontaneous message injected by a simulator or controller, prompted by the performance or non-performance of the players.

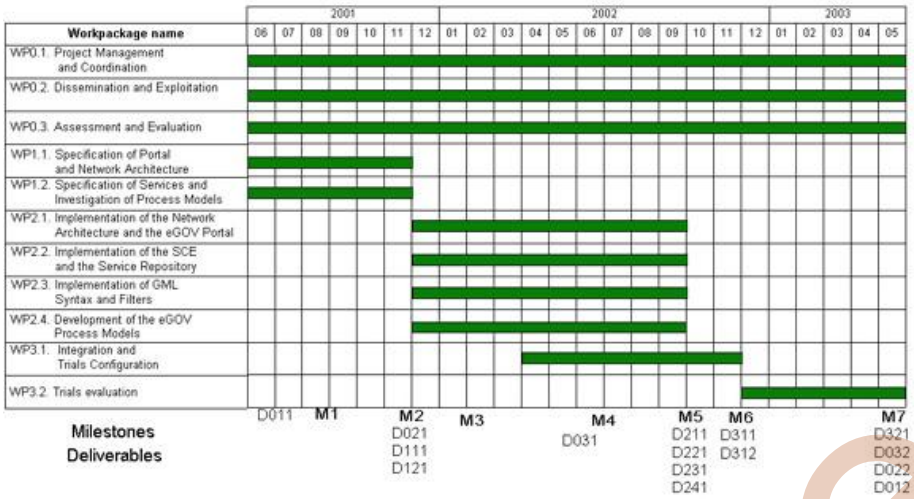
Full-scale Exercise – is an activity intended to evaluate the capability of emergency management systems over a period of time by testing the major portions of an emergency operations plan and organizations, under a stressful environment. (This will include the mobilization of personnel, equipment, and resources, their actual movement, and testing the coordination and response capability.) It is a multi-organizational, multi-jurisdictional, multi-discipline exercise involving functional (e.g., joint field office, emergency operation centers, etc.) and "boots on the ground" response (e.g., firefighters decontaminating mock victims).

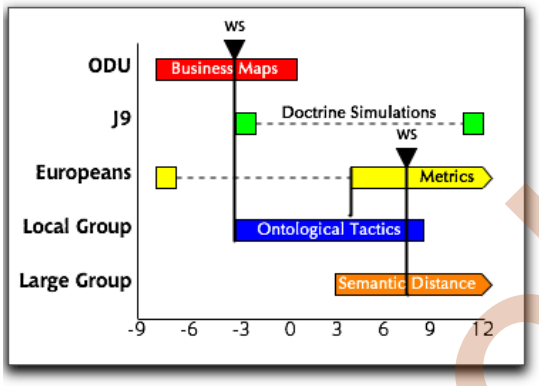
Function – refers to actions or operations required in emergency response or recovery, such as alert notification, communications, and coordination/control.

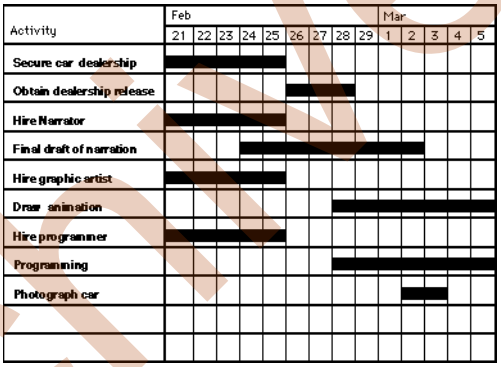
Functional Exercise – refers to activities designed to test or evaluate the capability of individual or multiple emergency functions, with time constraints, and normally in the emergency operations center (EOC). This activity, based on a scenario event, provides practice for participants without movement of personnel or equipment. It examines and/or validates the coordination, command, and control between various multi-agency coordination centers (e.g., emergency operation center, joint field office, etc.). A functional exercise does not involve any "boots on the ground" (i.e., first responders or emergency officials responding to an incident in real time).

Game – is an exercise that explores the way decisions are made, and the consequences of those decisions in a simulated situation. In a game, the same situation can be examined from various angles by changing the variables that guide participants' actions. It often involves two or more teams, usually in a competitive environment, using rules, data, and procedures designed to depict an actual or assumed real-life situation.

Gantt Chart – refers to a chart displaying the time and task schedule for exercise development. See examples below.







Goal of an Exercise – refers to the purpose of conducting an exercise activity and what is to be accomplished.

Governance - refers to how an exercise program is run and controlled. It sets the processes that define expectations, verify performance, and is a mechanism to provide accountability.

Hazard – is any dangerous event or circumstance that has the potential to lead to an emergency or disaster.

Hot-Wash – is an immediate debriefing session between participants and members of the exercise planning team to discuss their preliminary observations. A hot-wash is done while events are fresh in everyone's minds. What went right, as well as what went wrong, is identified. Ideas about how to improve in the future are freely shared. The Exercise Controller must carefully avoid two dangers here: first, self-congratulatory accounts that mask important deficiencies and, second, the creation of an impression that someone or something is to blame. This information will be used in writing the After Action Report (AAR). (See also **Critique**. This term may also be called a **Debriefing**.)

Improvement Plan (IP) – is a plan that builds on the After Action Report (AAR) by identifying specific corrective actions, assigning these actions to responsible parties, and establishing targets for their completion. For each task, the Improvement Plan (IP) lists the corrective actions that will be taken, the responsible party or agency, and the expected completion date. The Improvement Plan (IP) is included at the end of the After Action Report (AAR).

Incident Management System (IMS) – refers to the organizational structure used to coordinate the resources and personnel that have responded to the scene of an emergency or disaster.

Initial Planning Conference (IPC) – is an activity to bring together the stakeholders and plan the upcoming year(s) of exercises. The Initial Planning Conference (IPC) is typically the first step in the planning process and lays the *foundation* for the exercise (unless a Concept & Objectives (*C&O) Meeting* is held). Its purpose is to gather input from the exercise planning team on the *scope;* design requirements and conditions (such as assumptions and artificialities); *objectives*; level of participation; and *scenario* variables (e.g., location, threat/hazard selection), and Master Scenario Events List (*MSEL).* During the Initial Planning Conference (IPC), the exercise planning team decides on exercise location, schedule, duration, and other details required to develop exercise documentation. Planning team members should be assigned responsibility for the *tasks* outlined in the conference.

Inject – is an instruction to controllers to insert information and/or begin simulations, actions, and contingency messages. The terms "inject" and "messages" are used interchangeably and sometimes together. They are associated with the Master Scenario Events List (MSEL) and link simulation to action and enhance the exercise. They are formatted and presented to reflect the data that would be observed in a real event. **Contingency messages** are injects that are used when

expected response actions do not occur. They redirect play so exercise goals can be met.

Job Aids – is a mechanism to provide short-term training for procedures, processes, and functions. This could include checklists, procedure lists, decision guides, forms and worksheets, and reference sources.

Joint Information Center /Joint Public Information Center – is a central point of contact for all news media near the scene of a large-scale disaster or exercise.

Lead Controller – is the person with overall responsibility for exercise management and information flow during drills and exercises. Decisions on deviations from pre-scripted scenario or exercise terminations are coordinated through this position.

Lead Evaluator – is the person with overall responsibility for directing the documentation and evaluation of drills and exercises. The lead evaluator participates fully as a member of the *exercise planning team*, and is a senior-level individual familiar with: *prevention*, *protection*, *response*, and/or *recovery* issues associated with the exercise; Plans, policies, and procedures of the exercising organization; Incident Management and decision-making processes of the exercising organization; and inter-organizational and/or inter-jurisdictional coordination issues relevant to the exercise. The lead evaluator needs to have the management skills needed to oversee a team of *evaluators* over an extended process, as well as the knowledge and analytical skills to undertake a thorough and accurate *analysis* of all *capabilities* being tested during an exercise.

Lead Exercise Planner - oversees the *exercise planning team*; develops the exercise *project management timeline* and the exercise project management assignment list; assigns exercise responsibilities; provides overall guidance; and monitors the development process.

Major Events – is a list of likely problems resulting from a disaster scenario which are expected events (based on case studies or operational plans), as it coincides with the exercise objectives.

Master Scenario Events List (MSEL) – is a chronological timeline of expected actions and scripted events (i.e., injects) to be inserted into operations-based exercise play by controllers in order to generate or prompt player activity. It ensures necessary events happen so that all exercise objectives are met.

Master Scenario Events List Conference (MSEL Conference) - may be held in preparation for more complex, *operations-based* exercises, specifically to review the *scenario* timeline and focus on *MSEL* development.

Master Sequence of Events – as a part of the exercise design package, this list provides all the events that are likely to happen. This will include major events, with minor events for each major event.

Message – is an instruction to controllers to insert information and/or begin simulations, actions, and contingency messages. Messages are disseminated by the exercise simulators, and may be verbal, written or in the form of a visual display. They are formatted and presented to reflect the data that would be observed in a real event. The terms inject and messages are used interchangeably and sometimes together

Message Controller – is a person assigned to document the flow of messages into and out of the exercise playing area and designate each to the proper destinations.

Mid Term Planning Conference (MPC) – is an *operations-based* exercise planning conference, used to discuss exercise organization and staffing concepts; *scenario* and timeline development; and scheduling, logistics, and administrative requirements. It is also a session to review draft documentation (e.g., scenario, *ExPlan*, *C/E Handbook*, *MSEL*). (Note: A *MSEL Conference* can be held in conjunction with or separate from the MPC to review the scenario timeline for the exercise.)

Mitigation – refers to the sustained actions taken to eliminate or reduce risks and impacts posed by hazards well before an emergency or disaster occurs. Mitigation activities may be included as part of prevention.

Mitigation Plan – is based on a risk assessment, and indicates that each organization should implement a strategy and plan to eliminate the impact of hazards or mitigate the effects of hazards that cannot be eliminated. A mitigation plan should contain details on activities planned to eliminate or reduce the degree of risk to life, property, and environment from the identified hazards.

Multi-Year Exercise Plan – is a document that describes exercise activities over several years, based on the needs of an organization. It is the *foundational* document guiding a successful exercise program. The multi-year plan provides a mechanism for long-term coordination of training and exercise activities toward an organization's *preparedness* goals. This plan describes the program's training and exercise priorities and associated *capabilities*, and aids in employing the *building-block approach* for training and exercise activities.

Mutual Aid Agreement – is an agreement developed between two or more emergency services to render aid to the parties of the agreement. These types of agreements can include private sector emergency services when appropriate.

Mutual Assistance Agreement – is an agreement developed between two or more organizations or jurisdictions to render assistance to the parties of the agreement. Jurisdictions could include neighbouring, cities, regions, provinces or nations.

Narrative Summary – is a short overview of the exercise scenario written in paragraph form, outlining major events.

Needs Assessment – is a process of defining an organization's inventory of problems or needs.

Objectives – are the stated goals of exercise activities. Objectives define the level of skill and specific capabilities to be demonstrated by players during the exercise. Exercise objectives are used as the basis of evaluation of exercise performance or assessment of training effectiveness.

Observer - is someone who has no role to play in the exercise but is witnessing events either to assess the preparations of the organization or individuals within it, or to learn lessons.

Operations-based Exercises – are exercises that validate plans, policies, agreements and procedures, clarify roles and responsibilities, and identify resource gaps in an operational environment.

Orientation – is an exercise activity that involves bringing together those with a role or interest in a plan, problem, or procedure. Participants are provided information through the use of lecture, film, slides or other visuals, or panel discussion. It is considered to be the foundation for emergency management exercises.

Participant – refers to a person involved in carrying out the exercise. The term includes actors, controllers, data collectors/evaluators, facilitators, and players. It does not include observers.

Performance Requirements – are those response activities required or expected of the governments, organizations, teams, or individuals, established by regulatory mandate, industry standard or policy.

Performance Standards – are the criteria by which operational and management functions can be measured to evaluate the degree to which those functions have achieved a minimum level of quality.

Player – is an exercise participant who is responsible for taking whatever actions are necessary to respond to a simulated emergency.

Player Critique – is an open meeting or format for receiving feedback from players of an exercise, and discussing player performance and exercise experience.

Player Handout - is a 1-2 page document, usually handed out the morning of an exercise, which provides a quick reference for exercise players on safety procedures, logistical considerations, exercise schedule, and other key factors and information.

Points of Review – refers to the specific activities that must occur to achieve an exercise objective. They are highlighted on an evaluation form to assist evaluators.

Preparedness – refers to the actions taken prior to an emergency or disaster to ensure an effective response. These actions include the formulation of an emergency response plan, a business continuity/continuity of operations plan, training, exercises, and public awareness and education.

Prevention – refers to actions taken to avoid the occurrence of negative consequences associated with a given threat. Prevention activities may be included as part of mitigation.

Private Sector – refers to a business or industry not owned or managed by any level of government.

Prompt – refers to the act of a controller providing information to a player that he/she did not "earn", or take initiative on his/her own to obtain through normal channels methods.

Public Awareness Program – is a program that provides generic information to the broader public to raise awareness about emergency management and suggests ways to reduce the risk of loss of life and property damage in the event of an emergency.

Public Sector – is a particular element or component of government, i.e. police, fire, public works, of a municipal, provincial/territorial or federal government.

Purpose Statement – is a broad statement of the exercise goal used to communicate why the exercise is being conducted.

Real Time – refers to when actual time is used for the simulated events to take place.

Reception Centre –is a place to which evacuees can go to register, receive assistance for basic needs, information and referral to a shelter if required. It is usually located outside the impact zone of the emergency.

Recovery – refers to the actions taken to recover from an emergency or disaster. It also means attempting to return as close to normal as possible, during and immediately following an emergency or disaster. Short-term recovery involves re-instituting immediate needs of victims (food, power, sanitation, water, communications, shelter, etc.). Long-term recovery is activities or projects that will take considerable time to resolve (relocation of flood prone residents, rebuilding of a public facility, counselling programs, etc.).

Recovery Plan – is a risk-based emergency plan that is developed and maintained to recover from an emergency or disaster.

Response – refers to the actions taken to respond to an emergency or disaster. These are the activities that occur during and immediately following an emergency or disaster that are designed to provide emergency assistance to the victims and reduce the likelihood of secondary damage.

Risk – refers to a chance or possibility of danger, loss, injury, or other adverse consequences.

Risk Assessment – refers to the identification of risks to public safety, public health, the environment, property, critical infrastructure and economic stability from natural, human-caused and technological sources/activities, and evaluation of the importance of the activity to continued operations. Vulnerability of an organization to each activity should also be evaluated.

Rules of Play – refers to the exercise instructions for participants that provide an orientation covering the extent of play, administrative and logistical matters, safety procedures, and other concerns of the exercise.

Scenario – is a sequential account of a simulated emergency or disaster providing the catalyst for the exercise. It introduces situations that solicit responses and allows demonstration of exercise objectives. It is a hypothetical situation or chain of events that depicts an incident, emergency, or crisis and all the associated consequences. It is then used to guide simulation during a drill or exercise.

Scenario Time – is expressed in terms of time elapsed since the initiating event.

Scenario Narrative – is the part of the scenario that sets the scene for an exercise to begin, consisting of a hypothetical emergency or disaster situation, creating the need for emergency response.

Scope and Extent of Play – refers to the parameters within which the exercise activity will be conducted. It defines the duration, participants' involvement, level of detail and simulation, and extent of mobilization. It also indicates whether exercise time and date will be announced or unannounced.

Seminar - is an informal discussion exercise, designed to orient the participants to new or updated plans, policies, or procedures (e.g., a seminar to review a new Evacuation Standard Operating Procedure).

Shall – indicates a mandatory requirement.

Should – indicates a recommendation or that which is advised but not required.

Simulation – refers to the creation of a perception of a situation, event, or environment, which will evoke responses similar to those of a real emergency.

Simulation Cell – refers to the exercise control personnel who portray roles for organizations or personnel outside the exercise environment. The cell is responsible for artificially duplicating or role playing response activities.

Simulator – is an individual assigned the responsibility to artificially duplicate (role play) the response activities of personnel and groups not participating in the exercise.

Situation Manual (SitMan) - is a participant handbook for discussion-based exercises, particularly tabletops (TTXs). It provides background information on exercise scope, schedule, and objectives. It also presents the scenario narrative that will drive participant discussions during the exercise.

Situation Report (Sit Rep) – is a report on the current situation in a simulated emergency during an exercise.

Standard – refers to the common criteria used to measure performance.

Standard Operating Procedures (SOPs) – refers to a set of instructions constituting a directive, covering those features of operations which lend themselves to a definite step-by-step process of accomplishment.

Tabletop Exercise – is an activity in which key staff or other emergency management personnel are gathered together informally and without time constraints, usually in a conference room setting, to discuss various simulated emergency situations. The focus is on examination and discussion of problems with resolution.

Telecommunications – is the transmission or reception of signs, images, sound or intelligence of any kind over, wires, by radio waves or other technical systems.

Threat – refers to a person, thing or event regarded as a likely cause of harm or damage.

Time-jump – refers to a mechanism by which scenario events may be artificially accelerated in order to place participants in situations that would occur at a future point in time. Time jumps require exercise play to be stopped and then to resume at some future point in time. Time jumps are done to include events that otherwise would not occur in the limited amount of time allowed for an exercise.

Time-keeper/Recorder – is a person who notes critical events and times during an exercise.

Timeline – is a sequential listing of the times and key events in a scenario that drive participant response.

Training – refers to activities undertaken to educate personnel assigned to emergency response and crisis management roles and responsibilities. Training is designed to provide an opportunity to practice crisis and emergency management skills, ensuring that they are adequately prepared to fulfill these roles in the event of an incident, emergency, or crisis.

Trusted Agent – refers to individuals with unique or specialized expertise who are confidentially included in the scenario development to ensure realistic events are postulated and appropriate responses are anticipated. Generally, trusted agents will not participate as players during an exercise, as they have inside knowledge of the scenario and timelines.

Vulnerability – refers to the degree of susceptibility and resilience of the organization and environment to hazards, the characteristics of a system in terms of its capacity to anticipate, cope with and recover from events.

Widespread Emergency – refers to an emergency that impacts a large geographic area and affects a large number of jurisdictions simultaneously.

Work Plan – is a brief narrative describing what will be accomplished within a period of time.

Workshop – is an exercise that resembles a seminar, but is used to build specific products, such as a draft plan or policy (e.g., a Training and Exercise Plan Workshop is used to develop a Multi-year Training and Exercise Plan).

Acronyms

AAR	After Action Report
CAP	Corrective Action Plan
C & 0	Concept and Objectives
C&O Meeting	Concept and Objectives Meeting
CCG	Community Control Group
C/E Handbook	Controller and Evaluator Handbook
CEC	Comprehensive Exercise Curriculum
CBRNE	Chemical, Biological, Radiological, Nuclear or Explosive
CISM	Critical Incident Stress Management
CNSC	Canadian Nuclear Safety Commission
COOP	Continuity of Operations Plan
COSIN	Control Staff Instructions
CP	Command Post
CPX	Command Post Exercise
EEG	Exercise Evaluation Guide
EER	Exercise Evaluation Report
EI	Emergency Information
EIO	Emergency Information Officer
EMO	Emergency Management Office
EOC	Emergency Operations Centre
EOP	Emergency Operating Plan or Procedure
EP	Exercise Program
EPW	Exercise Plan Workshop
EVALPLAN	Evaluation Plan
EXPLAN	Exercise Plan

FE	Functional Exercise
FPC	Final Planning Conference
FSE	Full-Scale Exercise
FY	Fiscal Year
HAZMAT	Hazardous Materials
HUSAR	Heavy Urban Search and Rescue
IC	Incident Command
ICP	Incident Command Post
ICS	Incident Command System
IMS	Incident Management System
IP	Improvement Plan
IPC	Initial Planning Conference
JEOC	Joint Emergency Operations Centre
JIC	Joint Information Centre
JPIC	Joint Public Information Centre
LLIS	Lessons Learned Information Sharing
MEPP	Master Exercise Practitioner Program
MOU	Memorandum of Understanding
MPC	Mid-Term Planning Conference
MSEL	Master Scenario Events List
MSEL Conference	Master Scenario Events List Conference
NEMTC	National Emergency Management Training Committee
PIO	Public Information Officer
POC	Point of Contact
PPE	Personal Protective Equipment
PROFLOW	Procedural Flow

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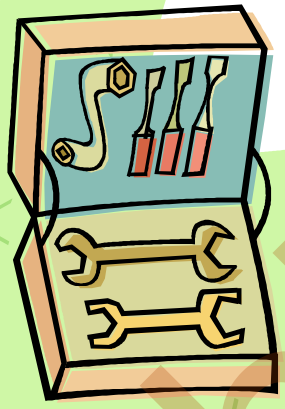
PS	Public Safety Canada
RCMP	Royal Canadian Mounted Police
SIMCELL	Simulation Cell
SITMAN	Situation Manual
SMART	Simple, Measurable, Achievable, Results-oriented, Task-oriented
SME	Subject Matter Expert
SOE	Senior Officials Exercise
SOG	Standard Operating Guidelines
SOREM	Senior Officials Responsible For Emergency Management
SOP	Standard Operating Procedure
TTX	Tabletop Exercise
UC	Unified Command
VIP	Very Important Person

TOOLKIT



SAMPLE: Full Exercise Checklist

☐ Agree upon the scenario, extent and aim of the exercise with senior management.

☐ Assemble a multi-disciplinary exercise planning team and agree on the objectives for each area to be exercised.

☐ Sketch out and then develop the main events of the exercise and associated timetables.

☐ Determine and confirm the availability of outside organizations to be involved, such as the media or voluntary agencies.

☐ List the facilities required for the exercise and confirm their availability e.g. transportation, buildings and equipment

☐ Ensure that all communications to be used during the exercise have been tested, and in the locations in which they will be used as near to the date of the exercise as possible.

☐ Check that evaluators for each stage of the exercise are clearly identified and properly briefed.

☐ Ensure that directing staff are clearly identified and properly briefed, and have good independent communications with 'exercise control' throughout the exercise.

☐ If the exercise links a number of activities or functions which are dependent on each other, confirm that each has been individually tested beforehand.

☐ Ensure that all participants have been briefed.

☐ Ensure that all participants are aware of the procedures to be followed if a real emergency occurs during the exercise.

☐ If observers are to be invited, including the media, ensure that they are clearly identified and properly looked after, and arrange for them to be kept informed of the progress of the exercise. Ensure their safety.

☐ If necessary, such as for a longer exercise, arrange catering and toilet facilities.

☐ Ensure that where appropriate outside agencies are indemnified in the event of exercise accident.

SAMPLE: Exercise Checklist *continued*

☐ Warn the local media, emergency services switchboards/controls and any neighbours who might be worried or affected by the exercise. Position "Exercise in Progress" signs if appropriate.

☐ Ensure that senior management, controllers and evaluators, and key participants are aware of the time and location for the “hot-wash”, and circulate a timetable for a full debrief.

☐ Agree upon and prepare a detailed set of recommendations, each one accompanied by an action addressee and timescale.

☐ Prepare a clear and concise summary report of the exercise to distribute to all organizations and groups which took part, together with major recommendations.

☐ Discuss with senior management the outcome of the exercise and agree the future exercise program.

☐ Thank all personnel and outside agencies which took part.

SAMPLE: Guidelines for Briefing Exercise Participants

These Guidelines can help you prepare for a pre-exercise briefing by adapting them for their own use. You need to include additional points relevant only to your organization and personnel.

It's essential that all persons who will or could take part in an exercise are fully briefed. Failure to do so could lead to the possibility of litigation should someone who has taken part in the exercise suffer physical or mental injury, citing poor advanced preparation by the organizers as a contributory factor.

Your briefing must be fairly close to the exercise date (i.e. not more than one month beforehand). The degree to which participants are briefed will vary according to the type of exercise being held. For example, it's unlikely that the same depth of briefing will be required for a table top exercise as for a live exercise.

Essential Briefing Points

A verbal and written list of all participants in the exercise should be presented at the beginning of the briefing. You'll want to include the following in your main briefing:

The exercise will take place between the following dates _____and/or the following times _____/_____. The approximate duration of the exercise is_____

The exercise code name is _____ (e.g. "Exercise Canada Prepare"). The exercise code name should be used as a prefix on all written, radio, TV, and telephone messages relating to the exercise.

This is/is not a multi-organizational exercise. The other organizations involved are _____
_____.

The exercise scenario will/will not involve the following:

1. Simulated casualties
2. Hazardous substances
3. Simulated hazardous substances
4. Simulated fire/ smoke
5. Flood

SAMPLE: Guidelines For Briefing Exercise Participants *continued.....*

A Safety Officer will be present, identified by _____

Exercise directors will be present, identified by _____

Exercise observers will/will not be present identified by _____

Any concerns regarding personal health and safety or the health and safety of others during the exercise should be drawn to the attention of the safety officer or an exercise director immediately. An assessment will then be made as to whether the exercise can continue.

If a genuine injury is sustained (as opposed to a simulated injury), use and repeat the code word "_____" to attract attention - under no circumstances should these words be used by role playing casualties.

Notification of exercise suspension/abandonment / completion will be given by _____ (e.g. code words or audible signals.)

****A health and safety risk assessment has been undertaken and your attention is drawn to the following (if applicable):

- Protective clothing/equipment required, over and above standard issue
- Areas of the site which are prohibited
- Physical hazards on site _____ (sharp points, trip hazards etc.)

All participants in the briefing now have the opportunity to raise questions relevant to health and safety.

Any participants who wish to raise concerns about their personal health and safety or to pose questions relevant to health and safety after this briefing but before the exercise should see _____ or their manager.

Will all participants ensure that they have signed the briefing attendance sheet which will be kept on record?

(***) A "health and safety risk assessment" of the planned exercise is essential good practice. The method to undertake this should be an early consideration of the Exercise Planning Group. Each participating organization must assess whether there is a the need for an individual assessment or whether one organization (e.g. the Fire Department along with the site owners) should undertake the risk assessment and share information with other participating organizations.

SAMPLE: Checklist - Evaluation Team Tasks

☐ Participate in the exercise design team (lead evaluator).

☐ Analyze and assess the exercise plan to determine an appropriate evaluation strategy (locations of evaluation, number of evaluations required, roles and responsibilities, etc.).

☐ Develop and disseminate the exercise evaluation plan.

☐ Establish evaluator communications systems and information support mechanisms.

☐ Design and develop the evaluation organization and chain of command.

☐ Define the roles and responsibilities of the exercise evaluation team, including evaluation team chiefs and evaluators.

☐ Develop policies, guidelines, and procedures for implementing the exercise evaluation plan.

☐ Develop the administrative and logistic systems needed for reporting, problem resolution, and safety and site preparation for participating organizations and evaluation organizations.

SAMPLE: Checklist – Control/Simulation Plan

Your Control/Simulation plan should include, but not be limited to the following:

☐ Exercise control and simulation activity management.

☐ Provisions for controller/simulator training and briefing.

☐ Procedures for monitoring and reporting of exercise activities to include the flow and pace of the exercise.

☐ Procedures to track the accomplishment of exercise objectives.

☐ Procedures to record the responses of players.

☐ Procedures for message injections, including the development of ad hoc messages to support exercise objectives.

☐ A list of required exercise forms to include instructions for use and preparation.

☐ Preparation for the critique.

SAMPLE: Exercise Timeline

Organization	Year (Year in Cycle)											
	Qtr 1			Qtr 2			Qtr 3			Qtr 4		
	J	F	M	A	M	J	J	A	S	O	N	D

SAMPLE: Checklist – Lead Evaluator Tasks

☐ Determine the qualifications and experience level of evaluators needed and identify avenues for obtaining them.

☐ Design and develop training for the exercise evaluators.

☐ Develop procedures for debriefing of players and exercise evaluation team.

☐ During the exercise, manage and coordinate activities of the exercise evaluator team to ensure that exercise play achieves exercise objectives.

☐ Monitor exercise progress and make decisions regarding any deviations or significant changes to the scenario caused by unexpected developments in the course of play.

☐ Coordinate any required modifications to the Master Scenario Events List (MSEL) and supporting event implementers with the appropriate exercise evaluators.

☐ Conduct debriefing of exercise evaluation team.

☐ Provide observations for input to the exercise evaluation using the key player observation and comment form.

☐ Complete routine reports to log exercise events and any special reports, as necessary.

☐ Conduct control and simulation debriefings for subordinate controllers/simulators.

☐ Chair the post-exercise critique session at assigned location.

☐ Attend evaluation team debriefings.

SAMPLE: Checklist – Individual Evaluator Tasks

☐ Review evaluation plan and control plan materials. Attend evaluator training.

☐ Perform duties under the management of the evaluation team leader at the assigned location.

☐ Observe assigned objectives.

☐ Monitor player actions and assist the evaluation team leader and other exercise control team members in tracking exercise events.

☐ Report to the evaluation team leader any problems or issues that arise concerning control, including deviations from the scenario or exercise artificialities that may interfere with exercise realism or exercise progress, and record these problems in the evaluator log.

☐ Provide observations using a key player observation and comment form for input to the exercise evaluation.

☐ Attend the end-of-exercise participant debriefings/critiques, and any evaluator debriefings as instructed by evaluation team leader.

☐ Review simulator materials and attend training.

☐ Perform duties under the management of the *[identify title of person]* at the assigned location.

☐ Answer (if allowed) inquiries from participants for general information, or information concerning Master Scenario Events List (MSEL) events already injected into play, and record inquiry in a log.

☐ Record actions and/or decisions on tactical maps, situation status boards, resources status boards, and logs.

☐ Assist controllers in monitoring the flow of the exercise and completion of Master Scenario Events List (MSEL) events.

☐ Inform evaluation team leader of possible deviations from the Master Scenario Events List (MSEL) and expected actions.

SAMPLE: Checklist – Individual Evaluator Tasks
....continued

☐ Record observations using evaluator checklists provided.

☐ Complete summary forms for input to the exercise evaluation report.

SAMPLE: Checklist – Facilitator Tasks

☐ Provide briefings and debriefings for all exercise players which includes coordinating the evaluation of each exercise day by players.

☐ Provide exercise inputs in line with the Master Scenario Events List (MSEL).

☐ Monitor progress of the exercise as appropriate.

☐ Ensure that actions expected from exercise inputs are completed.

☐ Ensure the effective delivery of exercise responses by appropriately coaching exercise participants if or when required.

☐ Report to the Exercise Planning Team.

☐ Resolve problems and/or issues should the exercise go off track at their site, seeking advice from Exercise Planning Team as required.

SAMPLE: Hot-Wash Format

Hot-Wash/Debriefing Format

OVERVIEW

• **Date/Location:** [Organization] hosted a [Type of Exercise] on [Date]. Attendees included representatives from: [List Attendees].

• **Hot Wash:** After the exercise's conclusion, exercise planners met briefly to discuss the exercise conduct and planning process. Discussion primarily focused on three aspects: expectations, after-action items, and the planning process.

DISCUSSION POINTS

1. Expectations: 2. After Action Items: 3. Exercise Design: 4. Other: Planning group members emphasized the following issues as critical to the After Action Report/Improvement Plan's success: Exercise planners noted the following about the exercise planning process: The planning group also noted the following:

SAMPLE: After Action Report Form

Executive Summary

Note: *The "Executive Summary" section is used to briefly describe a summary of the information contained in your After Action Report (AAR) to highlight the way in which the report will help in preparedness and should include the following:*

- Brief overview of the exercise
- Major strengths demonstrated during the exercise
- Areas that require improvement

Chapter 1: Exercise Overview

Note: *The "Exercise Overview" section should be used to briefly describe the following:*

- Describes the specific details of the exercise
- Identifies the organizations that participated in the exercise
- Describes how the exercise was structured
- Describes how the exercise was implemented and carried out

Listed below are the details that are required in the AAR "Exercise Overview" section.

Exercise Name: List formal name of exercise(s).
Duration: List the total length of the exercise(s).
Exercise Date: List the Month, Day, and Year of the exercise(s).
Sponsor: List the sponsoring agency of the exercise(s)
Type of Exercise: List the type of exercise: Seminar, Workshop, Drill, Game, Tabletop, Functional Exercise, or Full-Scale Exercise
Funding Source: List the organization funding the exercise(s)
Focus: List the appropriate focus of the exercise: Response, Recovery, Prevention/Mitigation, Preparedness.
Scenario: List the scenario of the exercise.
Location: List all applicable information regarding the specific location of the Exercise, including the City, Province/Territory, Region, Country (if outside Canada).
Participating Organizations: List the organization names of the Co-sponsors of the exercise, including Contract Support, if applicable.
Participants: List the individual participating organizations.

SAMPLE: After Action Report Form ..... continued

Number of Participants: List the total number of players, victim role players, controllers, evaluators, and observers.

Exercise Overview: Briefly describe the exercise components and what it was designed to accomplish.

Exercise Evaluation: Briefly describe the specific evaluative tools in place for this exercise, including where evaluators were positioned and the date of the Exercise Evaluation Conference that follows the exercise.

Chapter 2: Exercise Goals and Objectives

Note: *The "Exercise Goals and Objectives" section is used to briefly list the goals and objectives for the exercise. These are developed during the exercise planning and design phase and are used to define the scope and content of the exercise as well as the organizations that will participate. List each Goal followed by the Objective for the respective Goal.*

Chapter 3: Exercise Events Synopsis

Note: *The "Exercise Events Synopsis" section is used to provide an overview of the scenario used to facilitate exercise play and the actions taken by the players to respond to the scenario. The activities are presented in the general sequence and timeline that they happened at each site. The events synopsis provides officials and players with an overview of what happened at each location and when. It is also used to analyze the effectiveness of the response, especially the time sensitive actions. It provides a means of looking at the ramifications of one action not happening when expected on actions taken by other players and on the overall response. The "Exercise Events Synopsis" should include the synopsis, the modules for the exercise, and a timeline of events for each element of play.*

SAMPLE: After Action Report Form ..... continued

Chapter 4: Analysis of Outcomes

Note: *The "Analysis of Outcomes" section provides an analysis of how well the participating organizations addressed the outcomes. These outcomes include: prevention, emergency assessment, emergency management, hazard mitigation, public protection, victim care, investigation/ apprehension, recovery/remediation.*

This section analyzes how well the participating organizations as a whole achieved the expected outcomes in their response to the event. The focus of this analysis is on outcomes rather than processes. The mission outcomes are actions the public expects from its public officials and agencies. Results for each outcome should be summarized by outcome area. A detailed analysis of the activities and processes that contributed to results related to the outcomes follows.

Chapter 5: Analysis of Performance

Note: *The "Analysis of Performance" section reviews performance of the individual tasks, as defined in the evaluation guides. Each task identified by the exercise planning team as a task to be performed should be discussed. Those tasks that were performed as expected require only a short write up that describes how the task was performed and generally would be not be followed by recommendations. For tasks that were not performed as expected, the write-up should describe what happened or did not happen and the causes for the variance from the plan or established. Recommendations for improvement should be presented for these tasks. This section should indicate if the variance from expected performance resulted in an improved response, which may result in a recommendation that plans or procedures be changed. To facilitate tracking of recommendations and improvements, acronyms should be spelled out in each recommendation.*

Following the review and validation of the draft report findings by key officials from the participating organizations (during the debriefing meeting), the officials define the actions that will be taken to address the recommendations. These improvement actions are presented following each recommendation and include the action, the responsible party/agency, and the timeline for completion.

Below is the format that each Task should be presented in.

SAMPLE: After Action Report Form ..... continued

Task: List the overall task
Summary of Issue: Briefly describe the issue
Consequence: Briefly state the consequence of the action
Analysis: Briefly explain the issue and the consequences
Recommendations: List the recommendation that would help to rectify the issue
Actions: List the action steps required to ensure that the recommendation is followed

Conclusions

Note: *The "Conclusions" section of the report should be used as a summary of all the sections of the AAR. It should include the following:*

- Participants demonstrated capabilities
- Lessons learned for improvement and major recommendations
- A summary of what steps should be taken to ensure that the concluding results will help to further refine plans, procedures, training for this type of incident

SAMPLE: Corrective Action Plan/Improvement Plan

Objective:	
Issue:	
Corrective Action Recommendation:	
Primary Agency:	
Point of Contact & Phone:	
Supported by:	Organization **Contact & Phone #:**
Steps / Timeline for Completion:	

Step 1: _____ **Completion Date:** _____

Step 2: _____ **Completion Date:** _____

Step 3: _____ **Completion Date:** _____

Step 4: _____ **Completion Date:** _____

Step 5: _____ **Completion Date:** _____

Step 6: _____ **Completion Date:** _____

Implementation of Corrective Action/Improvement Completion Date:	
Signature of Primary Organizational Contact:	**Date:**

SAMPLE: Corrective Action Plan/Improvement Plan .... continued

CORRECTIVE ACTION / IMPROVEMENT PLAN				
Objective	**Recommendations**	**Corrective / Improvement Action**	**Responsible Party**	**Projected Completion Date**

SAMPLE: Tracking Improvement Checklist

Tracking Improvement Checklist						
1. PLANNING TEAM:	**COMMAND**	**OPERATIONS**	**LOGISTICS**	**PLANNING**	**FINANCE/ ADMIN**	
ITEMS FOR ACTION						**CORRECTIVE ACTIONS**
P = Primary Responsibility	S = Secondary/Support		O = Oversight		C = Coordination Role	

References

To learn more, here is a list of some additional material:

- **Exercise Canatex 2 Final Report**: was held in May 1994. The aim was to test the National Earthquake Support Plan for British Columbia. It focussed on plans, procedures, organizational structures and supporting systems.
- **Exercise Boldstep Final Report**: was held in June 1988. It tested a regional emergency plan and the operating procedures of the various organizations in the region.
- **Exercise Bluejay I Final Report**: was held in 1987 in Charlottetown. It tested the emergency response readiness of all agencies that would have been required to attend at Charlottetown airport in the event of a major disaster.
- **Exercise Lifeboat Final Report**: was held in North Sydney on May 25, 1988. It tested how emergency response agencies complemented and conflicted with each other in a simulated marine emergency.
- **Exercise Response 93 Wasatch Fault**: was held in Salt Lake City, Utah in June, 1993. It tested the policies and procedures of the federal response plan, FEMA region supplements, and the linkages and coordinating mechanisms within the State of Utah.
- **A Review of the Top Officials 3 Exercise**: was held in April 2005 in the USA. It was an exercise simulating a coordinated terrorist attack involving biological, chemical, radiological, or weapons of mass destruction. Participation includes top officials and key personnel from all levels of government who have domestic response and consequence management roles and responsibilities in actual terrorist events.
- **Exercise "Operation Siamese"**: was held in September 1989 in Toronto. It tested and evaluated the Emergency Standard Operating Procedures of participating departments/agencies with a simulation of marine, rail and aircraft disaster sites. It also tested and evaluated the Metropolitan Toronto Emergency Plan by implementing a coordinated response to the simulated disaster sites.
- **Exercise "Inaugurate"**: was held on November 23, 1995 in Edmonton. It tested 3 vital functions of the Government

Emergency Operations Centre (GEOC) in the context of inter-agency cooperation and multi-government joint action. The functions tested were: a) a LAN developed to maintain the GEOC Log, b) a land line based communications system, and c) ham radio communications.

- **Exercise "Delta" Final Report on Mock Disaster Exercise**: was held on October 7, 1997 in Calgary. It tested the coordinated disaster response capabilities of the City of Calgary and the Calgary Regional Health Authority.
- **Exercise "National VI"**: was held on October 22, 1984 in Grand Falls & St Leonard. It tested: (a) the disaster plan of the Town of Grand Falls (b) the Town of St Leonard's readiness to deal with a disaster (c) Transport Canada's emergency procedures during an emergency at the St Leonard Airport and crash site (d) the disaster plan of the Grand Falls Hospital in a mass casualty incident and (e) the response of volunteer organizations and agencies.
- **Exercise Sourcebook, Orientation and Tabletop Exercises**: from Research Alternatives Inc. by James W. Morentz, PhD and Scott A. Gutschick. ©1984.
- **Operation Wetfoot '74**: was the designation adopted for the Alberta Government's flood operation in 1974.
- **Report On Exercise Evening Star**: was held on October 15, 1990 in Ottawa. It was based on 3 emergency scenarios: a major train derailment in Ottawa, a chemical spill in Kanata, and building fire in Carp.
- **Final Report On The Conduct Of Exercise Canatex 3/INEX 2**: conducted April 27-28, 1999 to evaluate the Federal Nuclear Emergency Plan and its interface with the nuclear emergency arrangements of the province of Ontario, to test the bi-lateral arrangements under the Canada-United States Joint Radiological Emergency Response Plan, and to practice procedures for communication with the International Atomic Energy Agency.
- **Final Report Exercise Tusket**: was conducted in Yarmouth, Nova Scotia on October 13, 1980. It tested how Marine Atlantic and the local agencies in the Yarmouth area would interact and provide assistance during a real emergency. It also evaluated specific terminal emergency response plans.

- **Exercises: A Research Review**: reviews more than 60 simulation studies in the emergency field and contains "how to" hints on state-of-the-art computer simulation by Jim Morentz.
- **Orientation and Tabletop Exercises**: Tells how to lead discussions and emphasizes teaching rather than testing by Jim Morentz. Published by Research Alternatives of Rockville, Md. © 1984
- **Operating Center Simulations**: complete guide to scenarios, EOC design, map making, and evaluation by Jim Morentz.
- **Outside Disaster Drills**: describes message writing, moulage, site selection, funding, volunteers, communications, safety, and evaluation by Jim Morentz.
- **Exercise Planning and Evaluation**: contains everything you will ever need to know about designing and presenting exercise in a step-by-step workbook by Staff and Associates of ERI. ©1991.
- **Managing Exercises (2001)**: Australian Emergency Manuals Series Part V, The Management of Training, Manual 2.
- **Disaster Recovery Testing: Exercising Your Contingency Plan**: Covering such areas as test planning and management, test participants, testing methods, etc. by Philip Jan Rothstein, Ossining, N.Y. © 1994.
- **Emergency Planning Handbook**: by Robert G. Lee, published by Kendall/Hunt Publishing Company of Dubuque, Iowa. ©1994.
- **Guidelines for Planning Tabletop Emergency Exercises**: by Robert L. Wold, published by Colorado Dept. of Local Affairs, Division of Local Government, Office of Emergency Management of Golden, Colorado. ©
- **Importance of preparatory measures in disaster evacuations**: by Walter E. Strope, John F. Devaney and Jiri Nehnevajsa, published by Disaster Journal, Volume 7, Issue 1, Pages 1-17. © 1977.
- **Training on personnel, exercises, and studies of contingency planning: Practical experiences of a British emergency planning officer**: by Brian E. Fisher, published in the Mass Emergencies Journal, Volume 2, Issue 2-3, Pages 83-86. © 1978.

- **Simulation exercises in disaster preparedness training**: by Ellen Wassermann, published in the Disasters Journal, Volume 7, Issue 1, Pages 44-47. © 1983.
- **Notes toward a manual on the preparation of simulation exercises for disaster management**: by F.E. Nunes, published by the Disasters Journal, Volume 7, Issue 1, Pages 48-53. © 1983.
- **Disaster planning in the greater Rotterdam area: Laws, scenarios and exercises**: by M.J. van Duin and U. Rosenthal, published in the Disaster Management Journal, Volume 2, Issue 2, Pages 63-69. ©1989.
- **Systematic emergency exercise evaluation**: by K. Lerner, published in the Disaster Management Journal, Volume 3, Issue 2, Pages 103-108. © 1990.
- **Collegeville: A city under a cloud**: by Mike Steers, published in the Emergency Preparedness Digest Journal, Volume 17, Issue 4, Pages 16-20. © October-December 1990.
- **Response to simulated mass casualty incidents**: by John Robinson, published in the Emergency Preparedness Digest Journal, Volume 17, Issue 4, Pages 23-26. © October-December 1990.
- **The little exercise that grew**: by Michael Theilmann, published in the Emergency Preparedness Digest Journal, Volume 17, Issue 3, Pages 16-19. © July-September 1990.
- **When disaster strikes – be prepared**: by Lynda Welch, published in the Emergency Preparedness Digest Journal, Volume 17, Issue 2, Pages 17-19. © April-June 1990.
- **An approach to designing and conducting a test exercise**: by Wayne Brocklehurst, published in the Emergency Preparedness Digest Journal, Volume 16, Issue 3, Pages 2-7. © July-September 1989.
- **Operation TRANSCAER: An emergency response training course**: by Archie Steacie, published in the Emergency Preparedness Digest Journal, Volume 16, Issue 3, Pages 8-11. © July-September 1989.
- **Dryden crash tests emergency plan**: by Mary Cann, published in the Emergency Preparedness Digest Journal, Volume 16, Issue 3, Pages 16-17. © July-September 1989.

- **P.E.I.: This tiny island is big on emergency planning**: by Joan Borsu, published in the Emergency Preparedness Digest Journal, Volume 16, Issue 2, Pages 6-11. © April-June 1989.
- **Transportation accident: Is this for real?**: by Lesley Charlebois, published in the Emergency Preparedness Digest Journal, Volume 18, Issue 2, Pages 13-15. © April-June 1991.
- **Casualty simulation: How fake injuries provide real lessons for emergency planners**: by Michael Theilmann, published in the Emergency Preparedness Digest Journal, Volume 15, Issue 4, Pages 8-10. © October-December 1988.
- **Reflections on a simulated disaster exercise in the regional municipality of Waterloo, Ontario: A link with emergency planning**: by Walter Waganka and Larry R.G. Martin, published in the Emergency Preparedness Digest Journal, Volume 10, Issue 4, Pages 2-6. © October-December 1983.
- **ATLANTIS, a disaster simulation exercise for training purposes**: by G.N. Ritchie, published in the Emergency Planning Digest Journal, Volume 10, Issue 1, Pages 2-5. © January-March 1983.
- **The energy supplies allocation board tests its allocation system**: by Barrie A. Taylor and Gavin N. Currie, published in the Emergency Planning Digest Journal, Volume 9, Issue 9, Pages 6-10. © July-September 1982.
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- **Managing chemical spills at sea**: by Allan Caldwell, published in the Emergency Preparedness Digest Journal, Volume 21, Issue 1, Pages 2-5. © January-March 1994.
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- **Operation Mosiac**: by Michel C. Dore, published in the Emergency Preparedness Digest Journal, Volume 20, Issue 4, Pages 6-10. © October-December 1993.
- **When the giant awakens**: by Brad Mann, published in the Emergency Preparedness Digest Journal, Volume 21, Issue 3, Pages 5-9. © July-September 1994.
- **Operation Black Eagle**: by Jean-Claude Drapeau, published in the Emergency Preparedness Digest Journal, Volume 21, Issue 2, Pages 19 and 19-21. © April-June 1994.
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- **Exercise Planning and Evaluation**: Course objectives include: identifying exercise needs and emergency response capabilities with a given jurisdiction; becoming familiar with applicable laws and codes; understanding how exercises function as diagnostic tools of the emergency management system; and understanding the characteristics and steps involved in developing, conducting, evaluating, and analyzing. By the Emergency Response Institute, published by the Emergency Response Institute, Inc. of Olympia, Washington. © 1991.
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systems, medical consideration, small community preparedness and response, short- and long-term recovery, and lessons for Canadian fire officers. By Ron Kuban, published by Pendragon Publishing of Calgary, Alberta, Canada. © 1996.

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- **A full-scale drill of Hazmat recovery operation**: by Lillian A. Nawrocki, Barry D. Kurtz and B.K. Friedman, published in the Journal of Emergency Management, Volume 1, Issue 3, Pages 28-29. © 2003.
- **Comprehensive Emergency Management for Local Governments: Demystifying Emergency Planning**: by James A. Gordon, published by Rothstein Associates Inc. of Bookfield, Conn. © 2002.
- **Sharing the experiences: a method to improve usefulness of emergency exercises**: Based on an exercise of a major train accident organized in SE Finland in the spring of 2002. A specific method was used to collect and share experiences among the participants. The exercise included the cooperation between different authorities and voluntary groups, authorities included were rescue services, police, healthcare, mental crises care and social care. Voluntary groups included both first aid and medical crises groups. By Harriet Lonka and Jean-Luc Wyboo, published by the International Journal of Emergency Management, Volume 2, Issue 3, Pages 189-202. © 2005.
- **Europe trains for disasters**: by M. Konig and R. Rudolph, published in the Crisis Response Journal, Volume 1, Issue 3, Pages 9-11. © 2005.
- **Risk Management and Damage Mitigation at IAT '94**: describes the emergency management structure created for the International Air Tattoo '94 at RAF Fairford in Gloucestershire, includes table-top discussion and live exercise which preceded the event, to

ensure that adequate procedures were in place should a major incident occur. By D.F. Heathcote, published in the Disaster Prevention and Management Journal, Volume 3, Issue 4. ©1994 Case study.

- **Disaster plan simulates plane crash into high-rise building**: A reprint of a classic chronicles the simulated incident of a plane crashing to the John Hancock Tower in Boston, Massachusetts. Recounts how the plan was developed and practiced by the scenario team. Inclusion by the practice team of the local fire department and paramedics paralleled realty. Exercise demonstrated that the Tower, even with an emergency plan, needed stronger preparation. This was effective because on 11 August 1992, an actual emergency occurred in the facility and the building was prepared as a result of the simulation. By William H. Johnson and Warren R. Matthews, published in the Disaster Prevention and Management, Volume 6, Issue 4. © 1997 Case study.

Answer Key

Lesson 1 Canada's National Exercise Framework

1. **A**, **B**, **D**, **E**
2. **C**

Lesson 2 Exercises and emergency management

1. **A**, **B**, **C**
2. **D**
3. **Exercise**

Lesson 3 Multi-year exercise program

1. **A**
2. **A**
3. **D**

Lesson 4 Governance of an exercise program

1. **A**
2. **B While the candidate has strong essential and professional skills, key leadership skills are missing. Key leadership skills that are missing include: project management strength, the ability to set clear goals, and the ability to assess situations clearly and accurately.**
3. **A, C, D**

Lesson 5 Basics of an exercise program

1. A. **3** B. **4** C. **1** D. **5** E. **2**
2. **B**, **C**, **D**
3. **A**
4. **A**
5. **B**
6. **B**, **C**, **D**, **E**
7. **B**

Lesson 6 Key roles and responsibilities

1. **A**
2. **B**
3. A. **4** B. **1** C. **5** D.**3** E. **2**
4. **E**
5. **A**, **C**, **D**
6. **B**

Lesson 7 Building block approach

1. A. **mitigation** B. **response** C. **recovery** D. **preparedness**
2. **A**

Lesson 8 Discussion-based exercises

1. **A**
2. **D**

3. **A**
4. **B, D**
5. **A**
6. **D**
7. **C**
8. **B**

Lesson 9 Operations-based exercises

1. **A**
2. **B**
3. **A**
4. **C**

Lesson 10 Common exercise elements

1. **B**
2. **B**
3. **B**
4. **B While A is a more informal answer, B is more comprehensive and gives the information needed by a wide range of people.**
5. **A**, **C**
6. **A**

Lesson 11 8 steps to exercise design

1. A. **5** B. **4** C. **7** D. **3** E. **1** F. **6** G. **8** H.**2**
2. **A**, **B**, **E**
3. **A**
4. **D**
5. **E**
6. **C**

Lesson 12 Exercise documentation

1. **F**
2. A. **3** B. **4** C. **1** D. **2**
3. Exercise Plan
4. Step 1 **E** Step 2 **B** Step 3 **A** Step 4 **F** Step 5 **H** Step 6 **G** Step 7 **C** Step 8 **D**
5. **A**
6. **C**