

# **STUDENT MANUAL**

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**Oregon Version**  
***EXERCISE DESIGN***  
  
***and***  
  
***EVALUATION***  
  
***COURSE***

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**DECEMBER, 1997**



### **UNIT ONE: INTRODUCTION**

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#### **OBJECTIVES:**

At the conclusion of this unit participants will be able to:

1. Identify and define orientation seminars, drills, tabletop, functional and full scale exercises as the five elements of a community exercise program.
2. Explain the relationship between the jurisdictional Emergency Operations Plan (EOP) or Standard Operating Procedures/Guidelines (SOP/SOG) and disaster exercises.
3. Become familiar with State and Local Exercise Program requirements.
4. Identify three different agencies/organizations and explain the regulatory requirements which dictate why they must conduct disaster exercises.

## UNIT 1: INTRODUCTION

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5. Have a working knowledge of the role of the Emergency Command Center (ECC), the Incident Command Post (ICP), Multi-Agency Coordination Centers (MACC) and other Command and Control Centers (CCC) as they relate to disaster exercises.
6. Discuss the concepts of an exercise cycle at the local level.
7. Explain the importance of Safety during the exercise.
8. Identify the twelve (12) steps needed to develop, conduct, evaluate and follow-up an effective exercise.
9. Explain the importance and use of Exercise Teams.

## **COURSE ADMINISTRATION**

- ◆ Welcome
- ◆ Familiarization with facility
- ◆ Lodging information, if appropriate
- ◆ Fire exits
- ◆ Smoking policy
- ◆ Class roster
- ◆ Class sign in sheet
- ◆ DPSST roster
- ◆ Course evaluation sheets
- ◆ Customer Satisfaction Survey forms
- ◆ Review agenda
- ◆ Review layout of Student Manual

## **INTRODUCTIONS**

### **Students**

- ◆ Name
- ◆ Title
- ◆ Agency
- ◆ What do you hope to gain from this course?

## **COURSE ASSUMPTIONS**

The following assumptions about this course can be made:

- Active participation and learning is a must!
- Keep your learning needs and expectations in mind - let us know if instructors are not meeting your needs.
- Learn from each other as well as the instructors - everyone is a resource.
- Don't be afraid to take risks - this is a "safe" environment for learning.
- Small group work - teamwork - is not only encouraged, but required to complete the course.
- Ask questions! There is no such thing as a "dumb" question!
- Enjoy your experience.
- Network with other participants.

**What is an exercise?**

**What is a drill?**

The working definitions identified by the Federal Emergency Management Agency (FEMA) include:

***"An activity designed to promote emergency preparedness; test or evaluate emergency operations, policies, plans, procedures or facilities; train personnel in emergency management duties; and demonstrate operational capability."***

***"Exercises consist of the performance of duties, tasks or operations very similar to the way they would be performed in a real emergency. However, the exercise performance is in response to a simulated event. Therefore, they require input to emergency personnel that motivates a realistic action."***

Webster's New Collegiate Dictionary defines the word "exercise" as:

***"...1a: the act of bringing into play or realizing in action; 1b: the discharge of function, or professional occupation; 3: something performed or practiced in order to develop, improve or display a specific power or skill; 2a: to use repeatedly in order to strengthen or develop; 2b: to train (as troops) by drills and maneuvers..."***



***The common elements in all three definitions are:  
constant practice,  
training people to respond in a certain way,  
based on some official guidelines,  
in order to improve performance.***

In other words, emergency services personnel practice and train to respond to disaster and emergency situations, utilizing existing agency operating plans or procedures, through simulated events (exercises).

Now we have a standard definition, or general understanding of what an exercise is. Next, we will discuss why a jurisdiction should exercise and the types of disaster exercises which can be conducted.

## **EXERCISE TYPES and FEMA REQUIREMENTS**

There are five different types or levels of exercises in an exercise program. These are:

- ◆ Orientation Seminar
- ◆ Drill
- ◆ Tabletop Exercise
- ◆ Functional Exercise
- ◆ Full Scale Exercise

***Each level of exercise builds upon the preceding type in regards to extent of realism, exercise play, stress, number of participants and agencies involved and the amount of time and money needed to develop and conduct the exercise.***

**FEDERAL and STATE EXERCISE PROGRAM REQUIREMENTS:**

**Civil Preparedness Guide (CPG) 1-3, Chapter 13**

**State and Local Assistance (SLA) Program**

***If your jurisdiction receives federal funding through Oregon Emergency Management, you MUST meet the FEMA yearly exercise requirements.***

## **ORIENTATION SEMINAR**

*An Orientation Seminar is just that - an orientation training session on agency plans, procedures, the organization, or other topic, problem or idea which needs to be discussed in a group setting.*

### **Ways to conduct an Orientation Seminar:**

The Orientation Seminar is very important, and is considered an essential part of a comprehensive exercise program and cycle. However, it does not qualify as a "FEMA recognized exercise" since there is no simulation of an actual emergency which requires some sort of crisis response on the part of the participant.

**What are the major elements of an Orientation Seminar?**

**What are the advantages to using an Orientation Seminar?**

**What are the disadvantages?**

**Why might you utilize an Orientation Seminar in your jurisdiction?**

## **DRILLS**

***A Drill is a coordinated, supervised activity normally utilized to test a single specific field operation or function.***

Examples include:

- fire drills for school children
- communication drills testing all equipment
- command post drills to practice establishing and utilizing the Incident Command System (ICS).

Though an important part of an exercise program, drills are not considered a "FEMA recognized exercise" because of their "routineness" and limited participation.

**What are the major elements of a drill?**

**What are the advantages to using a drill?**

**What are the disadvantages?**

**Why might you utilize a drill in your jurisdiction?**

## **TABLETOP EXERCISES**

A Tabletop exercise is much like an orientation seminar, in that it is used to train and familiarize personnel with their roles and responsibilities, the organizational emergency response plan and the overall emergency management system.

***A Tabletop exercise is informal and should be conducted in a non-threatening environment.***

It is designed to induce low-level stress for the participants, paying little attention to the "real time" of an emergency.



**What are the major elements of a Tabletop Exercise?**

**What are the advantages to using a tabletop exercise?**

**What are the disadvantages?**

**Why might you utilize a Tabletop Exercise in your jurisdiction?**

## **FUNCTIONAL EXERCISES**

***A functional exercise is used to test and/or evaluate the capability of a jurisdiction to respond to a simulated emergency utilizing several components of the jurisdictional emergency operations plan.***

A Functional exercise is normally conducted in real time over a period of 3-6 hours in the Emergency Coordination Center (ECC), simulating field response and/or recovery activities.

It requires a detailed narrative and messages to set the scene and cause participants to make and act upon decisions based on the information received.

***The Functional Exercise simulates real life and there is much more stress and pressure put upon the participants to "perform."***

Functional exercises require a greater time commitment on the part of the participants, as well as the exercise design team. In addition, there is a greater cost involved in conducting a longer, more extensive exercise.

Functional exercises meet FEMA exercise criteria for EMA funded jurisdictions if all components are met. This includes testing, at a minimum, four different functional areas of the Plan. Refer to the current SLA Guidance for these criteria.

**What are the major elements of a Functional Exercise?**

**What are the advantages to using a Functional Exercise?**

**What are the disadvantages?**

**Why might you utilize a Functional Exercise in your jurisdiction?**

## **FULL SCALE EXERCISES**

A Full Scale exercise utilizes the same components as the functional exercise in its development, however it adds a field response to the activity (the drill component of the exercise program).

***A full scale exercise is high stress, based on real time and should involve all components of the emergency management system.***

A Full Scale exercise should last at least 4-8 hours and involve all levels of personnel in the ECC: Policy, Coordination, Operations and Field, or equivalent ICS terminology.

Ideally, the Full Scale exercise should test and evaluate all functions of the emergency management plan. But in particular, the rarely used functions, such as Radiological Protection and Mental Health, should be addressed in the exercise.

***A Full Scale exercise requires an extensive amount of time, coordination and effort on the part of the design and evaluation team to develop a complete exercise package (sometimes up to a year or more).***

It requires a commitment of resources, both personnel and equipment, from participating agencies for a prolonged period of time.

**What are the major elements of a Full Scale Exercise?**

**What are the advantages to using a Full Scale Exercise?**

**What are the disadvantages?**

**Why might you utilize a Full Scale Exercise in your jurisdiction?**

## WHY EXERCISE?

Why would you conduct a disaster exercise?

***The goal of disaster exercises is to improve the operational readiness of emergency services personnel to respond to and recover from a disaster or emergency.***

Disaster exercises are designed to:

- ◆ Test and evaluate plans, policies and procedures
- ◆ Reveal planning weaknesses
- ◆ Provide training to personnel on their roles and responsibilities
- ◆ Reveal resource gaps, both personnel and equipment
- ◆ Improve inter-agency coordination and communication
- ◆ Clarify inter-agency issues, roles and responsibilities
- ◆ Improve agency and individual personnel performance
- ◆ Gain departmental and public support and recognition for an emergency management program
- ◆ Prepare personnel for the "real thing"
- ◆ Identify training needs



## **WHO HAS TO EXERCISE?**

We have now identified what a disaster exercise is, as well as general reasons why an agency **should** exercise. Let's take a look at who **must** exercise emergency operations plans and why.

- ◆ **State and local governments**
  
- ◆ **Nuclear Power Plant facilities**
  
- ◆ **SARA Title III facilities**
  
- ◆ **Airports**
  
- ◆ **Hospitals**
  
- ◆ **Others**

## **THE EXERCISE CYCLE**

We have already discussed the importance of the Emergency Operations Plan as the basis for all disaster exercises. Now the manager (presumably you) needs to map out a strategy to implement an exercise cycle in their jurisdiction.

***Start simple and build to more complex exercises.***

***One common mistake made in planning for and conducting an exercise is to go for the "biggie" the first time around to get it "over and done with."***

Without a lot of prior interagency training, coordination and communication through lower level exercises, the "biggie" is doomed to be a dismal failure. This makes the manager look bad, creates credibility problems for the emergency management program, and generally frustrates players so that they do not want to participate again.

***Start simple and build upon the simplicity of each exercise towards the full scale "biggie" exercise involving multi-jurisdictions.***

Use low-level stress discussion type exercises (orientation and tabletop) to enhance participant understanding and broaden agency participation.

Follow these with functional (mid-level, mid-stress) exercises and drills to work in more multi-agency participation, enhancing inter-agency coordination and cooperation.

This process can be considered cyclical, as illustrated in the following diagrams.

**UNIT 1: INTRODUCTION**

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EXERCISE CYCLE DIAGRAM - ALSO AN OVERHEAD - Old book Page 28

**UNIT 1: INTRODUCTION**

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EXERCISE CYCLE DIAGRAM - ALSO AN OVERHEAD - Old book Page 29

## **EMERGENCY OPERATION PLANS: THE BASIS FOR ALL EXERCISES**

Before you start an exercise program for your agency or jurisdiction, groundwork or a solid basis for the exercise program must be established. This groundwork will assist you in assuring the types of exercises you select are appropriate.

In addition to the twelve steps we will cover in this course, the following four tasks will help to establish a firm and consistent basis for your exercise program.

- 1. *Review the current Emergency Operations Plan (EOP).***
- 2. *Assess your capability to conduct an exercise.***
- 3. *Select the type of exercise.***
- 4. *Address costs and liabilities.***

## TASK 1: REVIEW THE EOP

The base document for all emergency management exercises is the current Emergency Operations Plan for the jurisdiction or agency.

***The Emergency Operations Plan is sometimes referred to by other names, such as: the Standard Operating Procedures (SOPs), or the Standard Operating Guidelines (SOGs).***

Without a plan and/or procedure which states how an agency is going to respond to an emergency or disaster, there is no reason or justification upon which to conduct an exercise.

***The EOP is a description of what your personnel should do in the event of an emergency, it is the place to begin to discover what and how you should be exercising.***

To properly use your agency's or jurisdiction's EOP-SOP-SOG as the base document for your exercise program, you must first become familiar with the document.

- ◆ **Review the document to determine what responses are currently planned.**
  
- ◆ **What resources, personnel, and procedures will be used to resolve problems created by an emergency?**
  
- ◆ **Are they different for various types of emergencies?**
  
- ◆ **Are the roles assigned to the various departments or sections of the agency different for each type of emergency situation, or are some of them the same?**

## **TASK 2: ASSESS YOUR CAPABILITIES**

- **What are the capabilities of your agency to conduct an exercise?**



- **What are your personal capabilities to develop and conduct a disaster exercise?**





### **TASK 3: SELECT THE TYPE OF EXERCISE**

Each of the five types of exercises, or elements in the exercise program, is increasingly complex and will require your jurisdiction to have a greater exercise capability.

If your review of the EOP indicates the need to conduct a higher level exercise, but your assessment has indicated that you only have the experience and capabilities to conduct less complex exercises, you will have to embark on an exercise development program to gain the skills and abilities required.

The exercise development program could be called the building block approach, or the crawl - walk - run approach to conducting meaningful and productive exercises.

**You must select an exercise appropriate to the needs and capabilities of the jurisdiction to ensure exercise success.**

***Remember, if you need to meet FEMA requirements you must conduct at least a functional exercise.***

The following chart lists the five types of exercises, and associated requirements. The chart discusses how each type of exercise impacts differently on the requirements listed.

**UNIT 1: INTRODUCTION**

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## **TASK 4: ADDRESS COSTS AND LIABILITIES**

While you are in the early planning stages of an exercise, you must address the potential costs and liabilities.

An Orientation Seminar for example, will normally cost the least of the five (5) types of exercises. The major cost associated with this type of exercise is that of time.

Liabilities need to be recognized most often when conducting field type exercises. Be sure to check your jurisdiction's insurance coverage prior to committing to an exercise.

***You should conduct a risk/cost analysis of the type of exercise planned.***

**Some of the questions your should ask are:**

- **Will the exercise be conducted in the field?**
- **What is the weather forecast?**
- **Will the exercise involve overtime pay?**

- **Who will pay for equipment costs?**
- **Who will provide the materials required?**
- **Who will pay for meals or refreshments?**
- **If the exercise supports a hospital certification exercise or a nuclear facility exercise, can your jurisdiction be reimbursed for your costs?**



***Time for participation in training, planning and exercising should be set aside by each employee with a potential or designated emergency management responsibility.***

Costs are incurred during every stage of exercise development process, from the review of the EOP through the completion of the twelve (12) steps. These costs consist of staff salaries, equipment and materials, contract services, material, printing, etc.

A suggested format for analyzing costs follows.

**UNIT 1: INTRODUCTION**

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COST ANALYSIS WORKSHEET - NEED TO COPY IN (PAGE 26 FROM OLD S/M) - needs cleaning up!!!

## **COMMAND AND CONTROL CENTERS (CCC)**

Many agencies have a fixed facility that has been designated as a Command and Control Center (CCC).

***Planning, coordination, and sometimes command and control of emergency response and recovery activities are accomplished at the CCC.***

For the purposes of this course, we will utilize the generic term **Command and Control Center**, or **CCC**. However, this facility could be called any of the following:

- ◆ Emergency Operations Center (EOC)
- ◆ Emergency Coordination Center (ECC)
- ◆ Multi Agency Coordination Center (MACC)
- ◆ Incident Command Post (ICP)

During an emergency exercise, the role of the Command and Control Center will depend upon the type of exercise being conducted.

- If you are conducting an orientation seminar, there may be no need to utilize the CCC.
- If you are conducting a tabletop exercise with the testing of the communications system involved, you more than likely will use the CCC, since this is where your plan states part of this activity will occur.

An **Emergency Operations Center (EOC) or Emergency Coordination Center (ECC)** is generally the name used to identify the Command and Control Center used by local and state emergency management agencies.

A **Multi-Agency Coordination Center (MACC)** is generally implemented when multiple jurisdictions or agencies affected by a disaster gather to coordinate their response. A MACC is commonly used at the State level in response to wildland fires.

An **Incident Command Post (ICP)** is a command post located at or near the incident. Generally, the Incident Commander directs and coordinates response operations, and possibly recovery activities, from this location.

***Remember, the activation of a Command and Control Center and/or its functions may increase the costs associated with an exercise.***

As an example, some agencies operate joint ECCs that if activated for one agency's emergency exercise, will have a financial impact on the other agency. This is an important point to remember when conducting your costs and liabilities assessment.

## **EXERCISE SAFETY**

***“SAFETY FIRST”***

***should be the motto of every exercise.***

**It is the responsibility of every participant in an exercise, to include the evaluators, simulators and controller(s), to act as a Safety Officer for themselves as well as for everyone else.**

***Every participant has the right,  
AND SHOULD,  
stop the exercise if a safety issue arises.***

Players should be briefed to respond as if no emergency existed, that an emergency response drive time is a simulation of the exercise. While this may take away from the realism of the scenario, it will also help avoid traffic accidents!

- **What are some potential safety concerns which could occur in the Field?**

- **What are some potential safety concerns which could occur in a Command and Control Center?**

## **THE 12 EXERCISE STEPS: AN OVERVIEW**

### **1. NEEDS ASSESSMENT**

- Reasons for planning/conducting an exercise.
- Is it mandated by some law or governing body? (i.e.: hospitals and airports for recertification).
- Is there a new plan or annex to test and evaluate?
- Are there new people to train in their roles and responsibilities?

### **2. DEFINE SCOPE**

- Whom, from which agency, needs to be involved in the exercise?
- Chief elected official from the local governing body; Deputy from local sheriff's department; Fire Chief from Fire District #77; Hospital Administrator from U-R-Safe Hospital; Safety Officer from Wastenot Chemical Plant; etc...



### **3. PURPOSE STATEMENT**

- General statement indicating the purpose of the exercise, who needs to be involved. This should combine information pre-identified in Steps 1 & 2.

### **4. ISSUE EXERCISE DIRECTIVE**

- An official statement about the exercise from the Chief Elected Official or Agency Administrator encouraging agencies to participate. This should include information from Steps 1-3, and provides an agency point of contact for questions.

**5. DETAILED and SPECIFIC OBJECTIVES**

- What specific, detailed objectives do you wish to test and/or evaluate in the exercise? This can be as few as 2-3, or as many as 100 in a multi-agency exercise.
- Each agency should develop their own specific objectives to be accomplished, which should be incorporated into one exercise package by the exercise design team.
- Do the objectives relate back to the Needs Assessment and why you want/need to do an exercise? Are they realistic, measurable and attainable?

**6. NARRATIVE (SCENARIO)**

- Develop the scenario to be utilized for the exercise. Does it contain enough elements at the beginning to drive the exercise and get the appropriate agencies involved?

## **7. MAJOR EVENTS**

- What major events are going to drive the exercise? i.e.: plane crash imminent, engine falls off of wing, plane crashes, etc...
- These are the "chapters" of the story your exercise will unfold.

## **8. EXPECTED ACTIONS**

- Based on the major activities outlined, what do you expect your agency, or other agencies, to do?
- i.e.: plane crash imminent - fire, medical, and police agencies notified, mutual aid agreement enacted, EOC activated, etc...

**9. CHALLENGE STATEMENTS, QUESTIONS and MESSAGES**

- Think of yourself in the role of the message receiver - what type of message would prompt you to do a certain thing (ties in to Expected Actions)? Is the source of the message believable/credible, such as your dispatch center?

**10. EXERCISE CONDUCT**

- Identify someone from the Exercise Team to be the overall exercise Controller.
- Identify the exercise Simulators and Evaluators.
- The Controller should brief the Exercise Evaluation Team and Simulators on their roles and responsibilities.

## **11. EVALUATION PROCESS**

- Exercise evaluation forms should be developed which accurately reflect what the Plan or Procedures indicate should be done in the event of a particular emergency. The Objectives help keep you on track when developing an evaluation form.
- Outside evaluators should be selected based on their knowledge, skills and abilities in the area to be evaluated, as well as any previous evaluation experience.
- An exercise briefing should be held with the Exercise Evaluation Team on their roles and responsibilities prior to the exercise. Reporting time lines should be established and shared with the Team.

## **12. EXERCISE EVALUATION, DEBRIEFING and AFTER ACTION REPORTS**

A follow-up written report should be done upon completion of all aspects of the exercise. The formal report is normally prepared and written by the Exercise Evaluation Team Leader, and includes the input of all participants, simulators and evaluators.

## **EXERCISE TEAMS**

Exercises can take months to develop, based on the type of exercise, number of participating agencies, and other pertinent factors.

***We do not plan in a vacuum, therefore we should not develop a disaster exercise in a vacuum, either.***

Exercise Teams are the best and easiest way to develop a disaster exercise. With the team approach, a variety of jobs/assignments can be delegated and shared, with each member contributing to a major portion of the exercise.

One approach to developing an Exercise Team is to have one member from each major participating agency, volunteer or be appointed as a member. This should be a person who is knowledgeable on that agency's plan and procedures and who will **not** be a participating player in the exercise.

***Usually, the sponsoring agency representative will act as the Exercise Team Leader, scheduling meetings and coordinating the efforts of the Exercise Team.***

***One member of the Exercise Team should be designated as the Exercise Controller, and should be intimately familiar with all aspects of the exercise.***

Other team members would normally play the role of *Simulators* and *Evaluators* during the conduct of the exercise.

Each Exercise Team has two major roles they fulfill, depending on the phase of the exercise. These are the functions of a ***Design Team*** during the development of the exercise; and as an ***Evaluation Team*** during the conduct and evaluation of the disaster exercise.

## **SUMMARY**



### **UNIT TWO: EXERCISE DESIGN**

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#### **OBJECTIVES:**

At the conclusion of this unit participants will be able to:

1. Define and explain the importance of conducting a Needs Assessment.
2. Conduct a Needs Assessment.
3. Define and explain the components of the Exercise Scope.
4. Develop an Exercise Scope.
5. Define and explain the elements of an exercise Purpose Statement.
6. Write a Purpose Statement.
7. Define and explain the importance of the Exercise Directive.
8. Write an Exercise Directive.

9. Define and explain the elements of specific and measurable Exercise Objectives.
10. Write at least five (5) Exercise Objectives.
11. Describe the necessary components of an exercise Narrative.
12. Write an Exercise Narrative.
13. Define and explain Major Events and their relationship to Expected Actions and Challenge Statements, Questions and Messages.
14. Explain the concept and demonstrate the use of a Master Sequence of Events List (MSEL).
15. Write at least three (3) Major Events.
16. Define and Explain Expected Actions and their relationship to Major Events and Challenge Statements, Questions and Messages.
17. Write at least three (3) Expected Actions for each Major Event.
18. Write at least three (3) Challenge Statements, Questions or Messages for each Detailed Event.
19. Define and explain the roles of an exercise Player, Simulator and Controller.
20. Identify three (3) different types of resources which could be utilized to enhance an exercise.

**STEP 1: NEEDS ASSESSMENT**

***The Needs Assessment is the most important step of all when developing a disaster exercise.***

**How does your agency decide if it needs to conduct a disaster exercise?**

Many times it is in response to either political pressure in the wake of a major disaster that has either occurred in their jurisdiction or in another part of the United States. But is this a valid reason to develop and conduct an exercise?

This module will explain one way to determine if you need to conduct an emergency management disaster exercise.

The Needs Assessment establishes the reason(s) or need to do an exercise, while defining problems and areas to be exercised. The entire exercise will build from the Needs Assessment, which will be used throughout the exercise development steps in this course.

***The Needs Assessment should be based primarily on the content of your Emergency Operations Plan and supporting documents.***

This assessment will help determine the organizations ability to execute and successfully accomplish its intended mission. It answers WHY an exercise should be developed and conducted in a jurisdiction.

The exercise will not be based on all the needs identified, but only a manageable portion of them, which you determine.

## What might a Needs Assessment reveal?

To assist in your EOP analysis, we suggest the development and use of a Needs Assessment Questionnaire. The sample questionnaire on the next page represents only a partial list of the areas to consider when determining the need to exercise. A more comprehensive list that encompasses all elements of the EOP should be developed for your jurisdiction.

## SAMPLE NEEDS ASSESSMENT QUESTIONNAIRE

A "No" answer to any of these questions could be an area that needs to be exercised in your plan.

### Administrative Concerns:

- \_\_\_\_\_ 1. Is the EOP up-to-date?
- \_\_\_\_\_ 2. Have all sections of the EOP been executed recently?
- \_\_\_\_\_ 3. Are all policies and procedures (such as inter-governmental agreements) for response to an emergency clearly spelled out in the EOP?
- \_\_\_\_\_ 4. Has the EOC been activated?
- \_\_\_\_\_ 5. Has an exercise been conducted within the last year?

### Personnel Issues:

- \_\_\_\_\_ 1. Are personnel familiar with the EOP?
- \_\_\_\_\_ 2. Are identified personnel familiar with their role?
- \_\_\_\_\_ 3. Do current personnel possess the knowledge and skill necessary to respond as indicated in the EOP?

### Resource Concerns:

- \_\_\_\_\_ 1. Have resources been identified and incorporated in the EOP?
- \_\_\_\_\_ 2. Have all resource constraints or limitations, that could create problems in an emergency, been addressed?
- \_\_\_\_\_ 3. Are personnel familiar with available resources?
- \_\_\_\_\_ 4. Are personnel capable of managing their resource function in an emergency situation?

## **Sample Needs Assessments (Identified Reasons to Exercise)**

1. New County Commissioner.
2. New County Sheriff.
3. New Department Heads.
4. Functional natural hazard exercise needs to be conducted in this fiscal year.
5. EOC layout has changed.
6. New status boards and other equipment purchased for EOC.
7. Training needs to be provided to new EOC staff.
8. Need to evaluate the effectiveness of ICS training for staff and determine need for additional training.
9. Upgraded telephone system in office.
10. Need to develop a flood hazard specific annex by end of the fiscal year.
10. Functional Annexes have been rewritten or updated:
  - Radiological (Radef)
  - Hazardous Materials (Hazmat)
  - Law Enforcement
  - Health and Welfare
  - Search and Rescue

## **Sample Needs Assessments (Identified Reasons to Exercise)**

1. Brand new EOC - needs to be completely tested and evaluated to make sure it works.
2. My yearly work plan says I need to conduct an exercise with the Hospitals.
3. FAA regulations require the airport to conduct a full scale Hazmat exercise.
4. New radio equipment in the dispatch center.
5. Training on how to activate and set-up the EOC requested by several support staff and department heads.
6. Need to clarify the role and responsibility of the County Administrator when the County Commissioner is the Incident Commander in the EOC.
7. Need to practice establishing both an Incident Command Post (ICP) and an EOC to see how unified Command works.



## **Sample Needs Assessment: State of Oregon *QUAKEX-94***

1. The state of Oregon is subject to earthquake hazards and as such, is targeted for the National Earthquake Hazard Reduction Program. Oregon Emergency Management (OEM) and many other agencies, both federal and local, are required to conduct a natural hazard exercise during fiscal year 1994. To receive FEMA funding either a functional or full scale exercise must be conducted by each of these agencies.
2. The Federal Response Plan has not been exercised in conjunction with the State of Oregon Emergency Operations Plan, or the subsidiary plans at the county and city level. The actual mobilization of military reservist forces in a disaster exercise, in conjunction with emergency management and other state and local agencies, has not been practiced for several years in Oregon, and a need to exercise the disaster declaration process from the city to county, county to state, and state to federal levels.
3. A multi-day length natural hazard exercise has not been conducted by OEM for state agencies for at least five years. Traditionally, April has been declared National Earthquake Awareness Month, and the Governor has likewise declared the month of April Earthquake Awareness Month for Oregon. As such, April has been designated as the month to conduct *QUAKEX-94*.

## **STEP 2: SCOPE**

Once you have established a need and reason to conduct a disaster exercise the next step is to determine whom should be involved as players in the event.

This module will discuss how to determine whom should be involved in your disaster exercise.

**How does your agency decide who should participate in a disaster exercise?**

***Limiting the scope or number of participants in your exercise from the very beginning will help make the activity more manageable.***

In order to do this you must first determine which items identified under Needs Assessment are to be the basis for the conduct of the exercise. Once the type of activities to be tested and evaluated are identified, then one can narrow the list of potential participating agencies.

***To assist in determining participation, a geographical area, level of exercise (tabletop, functional, full scale) and a hazard need to be identified along with a scheduled date.***

Generally, the Scope lists:

- Which are the best agencies to meet the needs of the exercise.
- Which of those agencies identified should be involved.
- Which representatives from the identified agencies should be involved.

In an Emergency Operations Center one would typically want policy makers - people who not only have the authority to make decisions, but also back those decisions with monetary support, if needed. These policy makers are normally your CEO and Department Heads.

In an Incident Command Post one would most likely want personnel knowledgeable in field operations, as well as with some decision making authority.

An easier way to remember this is:

**Who from**  
**what agency**  
**needs to do what**  
**to meet the needs**  
**where and under**  
**what conditions**  
**???????**

## Sample Exercise Scope

### Whom

### Which Agency

County Commissioner or Chief Administrative Officer	Justice County
Mayor	City of Liberty
Emergency Manager	City of Liberty
	Justice County
Fire Chief	Justice County Fire Chief
Law Enforcement	Justice County Sheriff
PIO	Liberty City Gazette Rep.
Hazmat Team Liaison	Justice Co. Team #3
Chemical Expert	Arrow Chemical Corp.
Epidemiologist	Poison Control Center
Disaster Director	American Red Cross
Emergency Room Director	Liberty City Hospital

### Geographical Area/Location Where the Incident Will Occur:

On SW Mill Road near SW Johnston Boulevard, approximately 300 yards from the Liberty City Hospital.

**Type of Incident Which Will Occur:** Hazardous materials transportation accident which will test and evaluate the Justice County Alert and Warning Annex, Evacuation Annex and Shelter/Mass Care Annex.

**Date and Level of Exercise:** Tabletop exercise on July 15th, from 8:30 - 12:00.

**Sample Exercise Scope: Douglas County QUAKEX-94:**

Public Works ..... Douglas County  
Law Enforcement ..... Douglas County Sheriff  
Health Dept. .... Douglas County  
Red Cross ..... Douglas County Chapter  
Public Utilities ..... Public Works DCP  
PIO ..... DC Sheriff's Office  
Emergency Management ..... Douglas County  
Fire Service ..... County Fire Chief  
Emergency Medical ..... County Health  
County Administration ..... County Sheriff  
Board of Commissioners

GEOGRAPHICAL AREA: Douglas County greater Roseburg area; Winchester to the north, Green Area to the south, Dixonville area to the east, Melrose area to the west.

TYPE OF INCIDENT: Earthquake. A major subduction took place of the coast of the Oregon. This event caused a level VII intensity earthquake (6.0 Richter). This incident will test and evaluate Douglas Counties new EOP with the following Annexes; Direction and Control, Communications, and Emergency Public Information. In addition it will provide an opportunity to evaluate the new County EOC.

DATE AND LEVEL OF EXERCISE: Functional exercise on April 13, 1994.

### **STEP 3: PURPOSE**

***The Statement of Purpose is a broad-based general statement, which explains clearly and concisely, why the exercise is being conducted.***

**Why would you need a statement of purpose as a part of your exercise?**

The statement should incorporate and summarize the information developed during the first two exercise development steps.

The information contained within the Statement of Purpose is then used to help gain Chief Elected Official (CEO) support and assure participation by other departmental personnel. The Statement of Purpose should eventually be distributed to all participating agencies.

## Sample Statement of Purpose

The purpose of the proposed emergency management exercise is to coordinate the activities of city and county government in their response to a major incident; to provide training to staff; to test and evaluate the Alert and Warning, Evacuation and Shelter/Mass Care Annexes; and to enhance interagency coordination and cooperation by involving the following department or agency heads:

- |     |  |                           |
|-----|--|---------------------------|
| 1.  | County Commissioner or<br>Chief Administrative Officer | Justice County            |
| 2.  | Mayor  | City of Liberty           |
| 3.  | Emergency Manager                                      | City of Liberty           |
| 4.  | Emergency Manager                                      | Justice County            |
| 5.  | Fire Chief   | Justice County Fire Chief |
| 6.  | Law Enforcement  | Justice County Sheriff    |
| 7.  | PIO  | Liberty City Gazette Rep. |
| 8.  | Hazmat Team Liaison                                    | Justice Co. Team #3       |
| 9.  | Chemical Expert  | Arrow Chemical Corp.      |
| 10. | Epidemiologist   | Poison Control Center     |
| 11. | Disaster Director                                      | American Red Cross        |
| 12. | Emergency Room Director                                | Liberty City Hospital     |

in a simulated exercise on July 15th involving a hazardous materials transportation accident at SW Mill Road near SW Johnston Boulevard, approximately 300 yards from the Liberty City Hospital.



## **Sample Statement of Purpose**

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

- a. Shelter/Mass Care
- b. Evacuation
- c. Alert and Warning
- d. Hazardous Materials

by involving the following agencies and personnel:

- a. Fire
- b. Police
- c. Hospital
- d. Red Cross

in a simulated tabletop exercise on July 15th involving a hazardous materials transportation accident at SW Mill Road near SW Johnston Boulevard in the City of Liberty.

**Sample Statement of Purpose: Douglas Co. QUAKE-94:**

The purpose of the proposed emergency management exercise is to meet the mandated CCA exercise requirements; to evaluate the new County EOP, specifically, the following annexes; Direction and Control, Communications and Emergency Public Information; to educate new personnel and elected officials on emergency management roles and responsibilities; to evaluate the new EOC; heighten public awareness of the possible impact of earthquakes in the Douglas County area. In addition this will enhance agency coordination and cooperation by involving the following agencies and county departments:

- Public Works ..... Douglas County
- Law Enforcement ..... Douglas County Sheriff
- Health Dept. .... Douglas County
- Red Cross ..... Douglas County Chapter
- Public Utilities ..... To Public Works DCP
- PIO ..... DC Sheriff's Office
- Emergency Management ..... Douglas County
- Emergency Communications ..... Douglas County
- Fire Service ..... County Fire Chief
- Emergency Medical ..... County Health
- County Administration ..... County Sheriff  
Board of Commissioners
- HAM Radio ..... County Ham Club

in a simulated earthquake exercise on April 13, 1994 impacting the greater Roseburg area; Winchester to the north, Green Area to the south, Dixonville area to the east, Melrose area to the west.

## **STEP 4: EXERCISE DIRECTIVE**

***The Exercise Directive gives you official support for your disaster exercise from your CEO.***

**Why would you want to obtain official support for your exercise?**

**From whom would you seek this official support?**

Official support will vary from jurisdiction to jurisdiction, however, this normally means your Chief Elected Official (CEO), such as the County Commissioners or Mayor.

You will need to brief your CEO about the exercise. This can be done a variety of ways, depending on the working relationship you have with the CEO. Examples include having a personal meeting, being on the agenda of a regularly scheduled public meeting, or through an interoffice memorandum.

Regardless of how you reach the CEO and provide information on the exercise in order to gain their support, you should be prepared with a draft "Exercise Directive" for their signature.

Without a draft memorandum, which can be modified, there is no guarantee that the information you wish to have distributed to agencies/department heads will actually be communicated the way you intended.

**This is the first official notification most agencies and players will receive about the exercise.**

## Sample Exercise Directive

TO: Department Heads  
FROM: Commissioner Jones  
DATE: January 17th  
SUBJ: Disaster Exercise

The City of Liberty and Justice County will be conducting a joint disaster exercise on July 15th. You are encouraged to participate in this exercise to practice your roles and responsibilities in the Emergency Operations Center.

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

- a. Shelter/Mass Care
- b. Evacuation
- c. Alert and Warning
- d. Hazardous Materials

by involving the following agencies and personnel:

- a. Fire
- b. Police
- c. Hospital
- d. Red Cross

in a simulated tabletop exercise involving a hazardous materials transportation accident at SW Mill Road near SW Johnston Boulevard in the City of Liberty.

The exercise will be held in the County EOC, located at 1234 SW Main, City of Liberty, from 08:30 AM - 12:00 noon. For additional information please contact Mary Smith or Fred Hansen at 234-5678, ext. 567.

## **Sample Exercise Directive: State of Oregon QUAKEKEX-94**

TO: All State Agency Heads

FROM: Governor Barbara Roberts

DATE: August 2, 1993

SUBJ: Disaster Exercise - "QUAKEKEX-94"

The State of Oregon will conduct a major disaster exercise from April 13-24, 1994, called "Quakex-94." You are encouraged to participate with me in this exercise to practice our roles and responsibilities in disaster response and recovery efforts.

The purpose of the disaster exercise is to evaluate the emergency operations efforts of Federal, State, County and Municipal governmental agencies and the private sector, as well as volunteer service providers in a full scale exercise involving a major earthquake affecting numerous areas in Oregon.

The State's response and recovery efforts will be coordinated from the State Emergency Operations Center (EOC) located at Oregon Emergency Management, 595 Cottage St., NE, Salem, OR 97310.

Please advise Kelly Jo Jensen, Oregon Emergency Management (378-2903) or LTC Dan Radakovich, Oregon Military Department (945-3977) by September 8, 1993 of your intent to participate. In addition, please identify an agency point of contact to receive additional information regarding QUAKEKEX-94.

Your cooperation in this endeavor to increase State agency preparedness is appreciated!

## **STEP 5: EXERCISE OBJECTIVES**

***Exercise Objectives determine exactly what you want to test and evaluate in an exercise.***

Exercise objectives can be difficult to develop. This step will assist you in writing exercise objectives.

### **What is an objective?**

Objectives meet the needs and purpose of the exercise and are normally written from the Statement of Purpose (Step 3) identifying specific activities to be accomplished.

***Objectives must test a portion of the Plan, Procedures or Guidelines, and must be:***

- ◆ ***Specific***
- ◆ ***Clear***
- ◆ ***Concise***
- ◆ ***Measurable***
- ◆ ***Results Oriented***
- ◆ ***Realistic***

Objectives help you:

1. **Design the Exercise** - activities to be developed for the exercise should test the plan. Objectives are used to identify which part of the plan is being reviewed/tested.
2. **Conduct the Exercise** - if an activity is not related to attaining an objective it should not be a part of the exercise. Objectives help keep the Design Team on track.
3. **Evaluate the Exercise** - evaluation forms should be developed on each objective based on what the plan or procedure says should occur.



These two acronyms may help you remember the components of a good objective:

***Specific***  
***Measurable***  
***Attainable***  
***Realistic***  
***Time Oriented***

***Audience***  
***Behavior***  
***Criteria***  
***Degree***

**Action words which can be used in objectives include:**

Assess	Judge
Clarify	Justify
Define	List
Demonstrate	Prove
Describe	Record
Determine	Relate
Evaluate	Show
Examine	Specify
Explain	Test
Identify	Validate
Illustrate	Verify
Inspect	

## What other words might you use for objectives?

Let's look at an example:

***Demonstrate the adequacy of facilities, equipment, displays and other materials to support emergency operations.***

- Does this objective meet the listed criteria?
- Is it clear?
- Is it specific?
- Is it concise?
- Is it measurable?
- Is it realistic?
- Is it results Oriented?
- Does it test a portion of the plan, procedures or guidelines?
- Does the objective refer to emergency operations in the field (Command Post) or the EOC?
- What type of equipment is referred to?
- How do you evaluate an objective with four (4) parts to be measured and evaluated?

Once an "and" or a "comma" is included you generally have at least two (2) objectives which are listed as one! If one part "fails" then the whole objective "fails." The objective is either accomplished according to the plan (meaning each part of the objective) or it is not. Obviously, this is in terms of black and white, with no room for gray area in between.

**How could you rewrite the listed objective into four specific, measurable objectives?**

Let's reconsider the objective as it is written.

***Demonstrate the adequacy of facilities, equipment, displays and other materials to support emergency operations.***

Could it be utilized in the general way it is written and still meet the intent? The answer is yes, but **only** if it is supported by a very specific set of "Points of Review" which would be outlined in the plan.

## **WHAT IS WRONG WITH THESE OBJECTIVES?**

1. To get any of the agencies who want to improve some of their disaster operations to do better.
2. To identify the primary reason for slow response of ambulance units.
3. To improve the number of accurate messages transmitted by the police to the communications center.
4. To get all the emergency services to sit down in the same room together and talk.
5. To determine the adequacy of the evacuation plan of the jurisdiction and the ability of officials to effectively coordinate an evacuation.
6. To determine the effectiveness of mutual aid plans and the coordination among jurisdictions or organizations if responding to a major emergency.
7. Interaction with other jurisdictions will be demonstrated.
8. Proper procedures to declare a disaster or ask for outside aid will be taken.
9. Volunteers will be utilized.
10. Contact will be made with public utilities.
11. The EOC will function according to the plan.

(From FEMA Exercise Design Course Student Manual, pages 55-56 and 71-72)

## **Sample Exercise Objectives**

1. Evaluate alternate communications to the State EOC;
  1. Ability to contact Amateur Radio personnel, their response to staff and set-up a station in EOC.
  2. Able to establish two way voice communications with state EOC?
  3. Able to establish two way packet communications with state EOC?
2. Evaluate the adequacy of the new EOC; physical facilities, displays and other materials.
3. Communications
  - d. Does information from the field get into the EOC in a orderly and timely manner.
    1. Radio
    2. Phones
4. Did EOC personnel have adequate support materials
  2. computer
  3. status boards
  4. maps
  5. stationary equipment
  6. Resource Manuals
    1. Phone lists
    2. Resource lists
    3. Emergency Manuals
  7. Food, Drinks etc.

## **Sample Exercise Objectives**

1. Demonstrate the ability to staff the State EOC to an operational level within 60 minutes of a disaster.
2. Test and evaluate the allocation and coordination of State resources for county and municipal.
3. Demonstrate the ability to alert the public through the use of EBS in a timely manner.
4. Evaluate the disaster declaration process from city to county, county to state, and state to federal government in accordance with ORS 401.
5. Identify available state controlled resources and utilize them to fill assistance requests based on priorities within 12 hours of a disaster.
6. Initiate primary communication systems within 60 minutes of a disaster.
7. Provide for and test alternate communication systems to be activated and functional within 90 minutes of a disaster.
8. Finance group will initiate and maintain an ongoing fiscal accounting system of all disaster related costs during the exercise.
9. Execute shift changes to provide continuous staffing within the State EOC for a period of approximately 32 hours.
10. Provide an "initial" assessment of the emergency within 4 hours of occurrence.
11. Demonstrate the ability to provide food, quarters, communications and administrative support to EOC personnel throughout the exercise.
12. Demonstrate the ability to verify the existence of reported events/hazards.

## **Sample Exercise Objectives**

1. Determine the effect on civilian emergency management and other emergency services if all or a substantial number of military forces are mobilized in Operation Desert Shield. This will be an update of information from the MOBEX90 exercise of November, 1989.
2. Determine the effect on State government if all or a substantial number of military forces are mobilized in Operation Desert Shield.
3. Determine the number of personnel, by county, city and state agency, in emergency service fields (police, fire, medical, emergency management, public works) who would be affected in a mobilization. This would include retirees who could be called back to active duty. Recall can occur up to seven (7) years after retirement.
4. Test all communications systems in the State EOC, located at Oregon Emergency Management, with local, State and federal agencies.
5. Test the reporting system of Civil Preparedness Guide (CPG) 2-10, Civil Defense Emergency Operations Reporting System, (Increased Readiness Reporting (IRR)), between the local, State and federal governments.

## **Sample Exercise Objectives**

1. Assess the effectiveness of participating agencies to coordinate response operations using the Incident Command System.
2. Assess the ability to maintain communications between all agencies impacted by the hazardous materials incident.
3. Medical personnel will demonstrate the proper hand-off procedures of multiple patients in a hazmat incident from field to medical facility.
4. Assess the effectiveness of participating agencies to coordinate public information using the Incident Command System.

### City:

1. Demonstrate the proper procedure for the activation of the Emergency Coordination Center (ECC) in a hazardous materials incident.
2. Demonstrate the Fire Department's ability to incorporate hazardous materials decontamination procedures into the Multiple Patient Protocol.
3. Test ability of the Incident Commander and the ECC staff to alert and warn impacted populations.

### Hospital:

1. Assess functionality of Incident Command Center and Personnel Resources which will be located in Medical Library and Physician's Lounge.
2. Demonstrate proper use of personnel protective equipment (PPE) while providing care to contaminated patients.
3. Demonstrate proper procedures for decontamination of patients and containment of waste products associated with process.



## **STEP 6: NARRATIVE**

***The Exercise Narrative should be realistic for the hazard and area.***

The Narrative will set the stage for later actions and decisions on the part of the participants. The Narrative is similar to the first chapter of a novel - it gives the participant just enough "meat" to get them started.

**The Exercise Narrative should include:**

- ◆ **Type of Event - flood, fire, earthquake**
- ◆ **Time of occurrence/date - 2:03 PM, Friday, 4/13/96**
- ◆ **Location/Where the event occurred**
- ◆ **Where the event is going**
- ◆ **What has already happened**
- ◆ **What may happen**
- ◆ **Weather conditions**
- ◆ **Any other information you want the participants to know**

## **NARRATIVE CHECKLIST**

- What event?
- How did you find out?
- Was there advance warning?
- What time?
- What happens in sequence?
- Does the event move geographically?
- Where?
- How fast, strong, deep, dangerous?
- What response has been taken?
- What damage is already reported?
- What is predicted for future?
- What are the weather conditions?
- Other factors.....?

(From FEMA's Exercise Design Course, Student Manual, Page 77)

## **SAMPLE NARRATIVE - FLOOD**

On Friday, January 17, 1992, heavy rainfall begins throughout parts of Washington and most of Oregon. The rainfall continues for the next week, falling in excess of 3-6 inches daily in some areas. Northwestern Oregon is hit extremely hard.

River basins begin to fill quickly. Flood watches and warnings are issued by the National Weather Service for major river basins and their tributaries throughout Oregon.

On January 26, 1992, a specific flood warning is issued for the Clackamas, Rogue, Umpqua and Willamette River Basins. These rivers are expected to exceed their banks within the next 24-48 hours.

On January 27, 1992, the Willamette, Clackamas, Umpqua and Rogue Rivers exceed their banks and cause widespread flooding throughout parts of Oregon.

\*\*\* NOTE: Specific flood information updates should be issued each day by On-Call-Staff as a lead in to the exercise. This information will be based on data from the National Weather Service/River Forecast Center.

This is a week-long exercise.

## **SAMPLE NARRATIVE - COMMUNICATIONS EXERCISE: SEVERE WINTER STORM**

A severe winter storm has affected the majority of the State for the past several days. Up to two feet of snow has fallen in several areas in the past 48 hours. Schools and businesses have closed. Many state employees are unable to get to work, and state agencies are experiencing an employee shortage.

The National Weather Service predicts this cold weather front will most likely last until Christmas, with no warmer weather projected in the forecast until the end of the year.

Thousands of homes have experienced power outages. The American Red Cross has opened several shelters. The influx of families has been so great, that several National Guard Armories have also been opened to be used as shelters.

2:00 PM: phone lines in southern Washington, western Idaho, northern California, and most of Oregon were lost. It was presumed this system failure was due to the severe weather and system overloading by customer calls.

## **SAMPLE NARRATIVE - NATIONAL SECURITY**

There has been increased tension in the Persian Gulf since August 2, 1990, when Iraq invaded Kuwait. The first U.S. troops, members of the 82nd Airborne Infantry, landed in Saudi Arabia to protect their borders from invasion by Iraq through Kuwait. Over 200,000 military personnel have been mobilized from across the nation and many are now stationed in or around the Persian Gulf.

Economic sanctions have been adopted and supported by the United Nations and its members. Currently the United States is the leading force in military troops in the Persian Gulf, supported by several other nations.

President Bush has called Military Reservists to active duty for the first time since the Vietnam War era. 225 Oregon National Guard Reservists have been called to active duty and are scheduled to leave for the Persian Gulf immediately following Thanksgiving.

Americans and hostages from other nations, called "guests," are still in Kuwait and Iraq. Several hostages have escaped or have been released and spoke of their harrowing experience and the treatment received in captivity. Many have stated Kuwait should be liberated, and wondered why the U.S. had not rescued them.

Repatriation of many American citizens occurred in the first weeks of the Persian Gulf crisis. The majority of these people were assisted in repatriation to the U.S. by State and local Emergency Management agencies on the east coast, notably North Carolina. Oregon Emergency Management reviewed State plans and procedures, preparing to deal with repatriation if Oregon was designated.

## **SAMPLE NARRATIVE - HAZARDOUS MATERIALS TRANSPORTATION**

Tuesday, June 11, 1991 - - 7:00 AM. Current weather conditions.

A vehicle did not stop at a railroad crossing near The Dalles and was hit by a train. The vehicle was moved several feet up the tracks by the engine. It is believed there was one (1) person in the vehicle.

Union Pacific Railroad (UPRR) is notified by the train engineer and UPRR notifies the Wasco County 9-1-1 Center.

An OSP trooper is also notified on CB radio from a trucker passing by when the incident occurred.

Several other calls are received at the Wasco County 9-1-1 Center from passing motorists.

The arriving fire department discovers two placarded railroad cars are involved in the incident. One is visibly venting and leaking liquid, the other has smoke escaping from the top.

The vehicle has one person in it and is marked with radiological placards.

## **SAMPLE NARRATIVE**

### **EARTHQUAKE: RECOVERY EXERCISE**

**EVENT:** On Friday, April 10, 1992, at 2:07 PM a magnitude 8.3 earthquake occurred off the Oregon coast in the subduction zone. The earthquake was felt throughout the state, with the majority of the heaviest impact and damage west of the Cascade Mountain Range. Aftershocks registering Magnitude 6 to 7 Richter were felt throughout the day and rest of the evening, usually occurring every 10-30 minutes off the Oregon coast. The following large aftershocks were recorded:

3:20 PM - magnitude 6.8 earthquake near Lincoln City

3:57 PM - magnitude 7.2 earthquake near Coos Bay

4:54 PM - magnitude 6.7 earthquake near Florence

**TSUNAMI:** The coastline subsided 3 to 6 feet with respect to sea level. High tide was at 5+ feet, with a storm surge of 4 feet occurring at 3:00 PM. The first wave of the tsunami took 20 to 35 minutes to reach the Oregon coast, with a minimum run-up above tide level at 10+ feet.

**WEATHER CONDITIONS:** A strong storm front was moving through western Oregon. It had been raining for 72+ hours when the earthquake occurred. Rain is projected through Wednesday, April 15th, with temperatures of 40-45 degrees (F) during the day, and 32-35 degrees (F) at night. Warmer weather (50-60 degrees (F)) is projected for the weekend of April 17-19.

**SAMPLE NARRATIVE**  
**EARTHQUAKE: RECOVERY EXERCISE (cont.)**

**GENERAL DAMAGES REPORTED TO DATE:**

- \* 21 dams in the state have structural integrity damage.
- \* The Portland airport sustained heavy damage, and is now open to military transport planes open.
- \* Numerous large scale hazardous materials spills, many with accompanying fire.
- \* Several fires from ruptured natural gas lines.
- \* Electrical and gas service was lost on the coast and in the Portland metro area, only now coming back on line.
- 10-25% structural damage to highway over/underpasses.
-



## **SAMPLE NARRATIVE - AIRPLANE CRASH**

A Boeing 747 that has experienced inexplicable in-flight engine problems en route from Panama to San Francisco/Chicago/New York will need to make an emergency landing at a large airport along the route. Though plans have been made to land at a city 200 miles north that is suitable for 747s, the latest communication with the commercial airline pilot is that the plane has lost engine power and is losing altitude too quickly to reach the large airport. Though your city airport is actually too small to handle the landing space necessary for a 747, the only hope to save any of the 450 crew and passengers is to attempt a landing.

Conditions at this airport are clear, but the surrounding area is very dry due to a sustained rainless period. A hot, dry wind is also a factor.

The main runway is in a relatively unpopulated suburban area. However, the likelihood of the pilot being able to control the huge plane to stay within the landing space is slim. The landing approach passes over populated suburban housing developments that have recently been built.

Airport control tower alerts its own Crash/Fire Rescue (CFR) units and requests that the local emergency services provide backup assistance in fire, police, medical, welfare, and search and rescue capabilities.

(From FEMA's Exercise Design Course, Exercise Scenarios, page 71)

## **STEP 7: MAJOR EVENTS**

The Exercise Narrative (Step 6) is the first "chapter" in your exercise "book."

Next must come subsequent chapters, or events, to keep your participants interested, busy, and fulfilling their roles and responsibilities as outlined in the emergency operations plan. These subsequent chapters are called Major Events.

***The Major Events are a part of a story, a continuation of the Narrative, the remaining "chapters" of the exercise. They reveal on-going events, be they small or large occurrences.***

These events should be factual items, which require a realistic action to be taken on the part of a participant and are designed to meet the Exercise Objectives (Step 5).

Major Events also prompt message development (Step 9) to help drive the exercise.

Let's discuss an Airplane Crash Narrative. Assume the objectives of the exercise include: testing, assessing, evaluating, or practicing the following emergency activities:

- Coordination and communication among airport and jurisdiction's emergency facilities.
- Emergency responder personnel assignments.
- Traffic control.
- Damage Analysis.
- Medical personnel allocation.
- Hazardous materials identification and monitoring.
- Media relations.
- Coordination of volunteers.
- Crowd control manpower allocation - mutual aid pact.
- Victim identification.
- Coordination of investigatory agencies.

(From FEMA's Exercise Design Course, Student Manual, page 70)

**Based on the supplied information, what Major Events might you predict would happen sequentially, in order to drive the exercise?**

## **Sample Major Events - Airplane Crash**

1. Landing of disabled aircraft imminent.
2. Aircraft drops engine.
3. Airplane makes impact.
4. Fire explosion.
5. Radioactive materials on board.
6. Brush fire.
7. Crowd convenes near crash site.
8. Airport holding area for uninjured passengers severely overcrowded.
9. Agencies involved in post-air crash disaster arrive.

(From FEMA's Exercise Design Course, Student Manual, page 70)

## **Sample Major Events**

**Event #1: 10:35 AM** An Earthquake registering 8.5 Richter magnitude mercalli scale is experienced offshore, along the coasts of Oregon and Washington.

**Event #2: 10:45 AM** An after shock registering 5.7 on the Mercalli scale is felt from Astoria to Brookings, and as far inland as Hillsboro and Eugene.

**Event #3: 10:46 AM** Preliminary report of first Earthquake as registering 8.5 from University of Washington.

## **STEP 8: EXPECTED ACTIONS**

***Participants will react to an incident based on what their plan, policies or procedures dictate they should do.***

We want to get the participants to think and react in certain ways, so we must develop the script of the exercise carefully. For each Major Event (Step 7) there is an Expected Action on the part of one or more of the agencies participating in the exercise.

Information on the Major Event is injected into the exercise by the use of Messages (Step 9) and based on the information received, certain Expected Actions occur.

Where does the Exercise Team search to determine how an agency or participant is supposed to react? ***The Plan!***

**There are four categories/types of Expected Actions participants may take:**

- ◆ **Deploy or Deny Resources**
- ◆ **Gather or Verify Information**
- ◆ **Consider Information/Discuss Among Players**
- ◆ **Defer Action to Later - Prioritize Activities**

**Based on the Major Events you predict would happen sequentially in the Airplane Crash what Expected Actions should occur because of those Major Events?**

**Airplane Crash - Major Events/Expected Actions:**

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

**Expected Actions:**

Airport Control Tower:	Notify police, fire, medical to proceed to airport Alert Hospitals of potential mass casualty incident
Dispatch Center:	Alert police, fire, medical supervisors Call-up of mutual aid
Hospitals:	Notify other medical facilities as appropriate
Crash Fire Rescue:	Initiate Incident Command System Notify dispatch of CP and staging locations

**Major Event:** Aircraft drops engine.

**Expected Actions:**

Airport Control Tower: Notify response personnel, plane might crash before reaching airport  
Dispatch: Receiving info on 9-1-1 calls, notify police, fire, medical of information, location  
Police/Fire: Respond to area as appropriate

**Major Event:** Airplane makes impact.

**Expected Actions:**

Airport Control Tower: Notify responding emergency units, hospitals  
Notify Airline Company, NTSB and FAA  
Close airport as needed  
Fire Agencies: Respond to area of crash  
Fight fire  
Rescue victims  
Police: Set-up perimeter security  
Provide security in airport as needed  
Provide traffic control of surrounding area



## Sample Expected Actions

**Event #1: 10:35 AM An Earthquake registering 8.5 Richter magnitude mercalli scale is experienced offshore, along the coasts of Oregon and Washington.**

### Expected Actions:

1. OEM staff begins notification of State agencies to activate the State EOC
2. Tsunami Warning issued on NAWAS by OEM Duty-Officer
3. Initiate Emergency Broadcast System to advise public
4. OEM Director locates and brief Governor, OSP Superintendent and staff

**Event #2: 10:45 AM An after shock registering 5.7 on the Mercalli scale is felt from Astoria to Brookings, and as far inland as Hillsboro and Eugene.**

### Expected Actions:

1. Tsunami Warning issued on NAWAS by OEM Duty-Officer
2. Continue to advise the public through EBS.
3. State agency representatives begin arriving at EOC
4. OEM staff deal with calls from a variety of public safety agencies

**Event #3: 10:46 AM Preliminary report of first Earthquake as registering 8.5 from University of Washington.**

1. Update EOC staff.
2. PIO draft press release, and be ready to deal with media.
3. Notify Local Emergency Managers.

## **STEP 9: CHALLENGE STATEMENTS, QUESTIONS and MESSAGES**

***Exercise Messages are used to provide information on the event to the participants, which motivates action. Messages should drive the participants to make decisions and take actions, based on the Plan.***

Exercise messages can be provided to the participants in a variety of ways. Some examples include:

- Hard-line Telephone
- Cellular Telephone
- Portable Radio
- Hand Delivered
- Fax Machine

***Messages must come from a credible source and be "delivered" through credible channels.***

If the participants are in the Emergency Operations Center, and those phone numbers are non-published, then an Exercise Message called in by John Q. Public to the EOC would not be credible. However, the call could go to dispatch or someone's office/secretary who could then relay the information into the EOC, thus being a credible source.

**There are four categories/types of actions participants may take on the message received:**

- ◆ **Decision - Deploy or Deny Resources**
- ◆ **Verification of Information - Information Gathering**
- ◆ **Consideration of Information - Discussion, Negotiation, Consultation of Plan**
- ◆ **Deferral - Put on a (Priority) List for Later Action**

## **COMPONENTS OF A MESSAGE:**

- ◆ **Who is sending the message**
- ◆ **To whom the message is being sent**
- ◆ **What the message is**
- ◆ **How the message is being sent**
- ◆ **Expected actions which should occur**

Let's continue to use the **Airplane Crash example:**

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

**Expected Actions:**

Airport Control Tower: Notify police, fire, medical to proceed to airport  
Alert Hospitals of potential mass casualty incident

Dispatch Center: Alert police, fire, medical supervisors  
Call-up of mutual aid

Hospitals: Notify other medical facilities as appropriate

Crash Fire Rescue: Initiate Incident Command System  
Notify dispatch of CP and staging locations

**Possible Messages:** Radio call from plane to tower  
Tower calls police, fire, rescue  
Plane requests runway be designated  
Call from hospital requesting information  
Calls to dispatch from media  
Radio communications with plane getting poor  
Pilot feels major vibrations, shaking and noise on plane

**Major Event:** Aircraft drops engine.

**Expected Actions:**

Airport Control Tower: Notify response personnel, plane might crash before reaching airport

Dispatch: Receiving info on 9-1-1 calls, notify police, fire, medical of information, location

Police/Fire: Respond to area as appropriate

**Possible Messages:** Pilot advises of lost engine  
Dispatch receives calls from residents of fire, dropped engine  
Radio messages to emergency service responders  
Pilot has airport in sight  
Radio messages of plane in sight near airport  
Pilot advises of fire onboard plane

**SAMPLE EXERCISE MESSAGE**

TO: Oregon State Police Rep. TIME: 08:00 - 08:15  
FROM: Sgt. Beaks, Comm Center VIA: Telephone

**THIS IS AN EXERCISE MESSAGE**

One of our officers in Lincoln County received a call on the CB radio of a multi vehicle accident on Highway 101 near Depoe Bay. Lincoln County 9-1-1 advises there are no local law enforcement officers available and requests assistance from OSP.

**THIS IS AN EXERCISE MESSAGE**

\*\*\*\*\*

EXPECTED ACTIONS: Prioritize with other resource assistance requests.

## Sample Exercise Message

TO: Operations Manager

TIME: 08:00 - 08:15

FROM: Josh Martin, Tillamook Co EM

VIA: Cell phone

### **THIS IS AN EXERCISE MESSAGE**

There's a massive mud slide on Highway 6 into the Wilson River. The river is completely blocked off and a debris dam has begun. The road and river are completely blocked. I'm afraid the dam will break and cause flooding in the area on top of all the other damage.

### **THIS IS AN EXERCISE MESSAGE**

\*\*\*\*\*

EXPECTED ACTIONS: Advise State Highway Division Rep., update damage reports. Prioritize with other resource requests.



## **MASTER SEQUENCE OF EVENTS LIST (MSEL)**

***The Master Sequence of Events List (MSEL) is a checklist used to keep track of the Major Events, associated Expected Actions and Messages.***

This document becomes critical when conducting the exercise as everything the Exercise Controller needs to know about the exercise is contained therein. The MSEL is also used by Simulators and Evaluators to help them understand the flow of information and activities which should be occurring within the field of play.

Simply put, the MSEL:

- ◆ Is a brief sequential synopsis of what is to occur during the exercise (a script).
- ◆ Keeps the exercise on track, sets the exercise pace and builds in flexibility.
- ◆ Allows the Exercise Controller the ability to modify and adjust the exercise to keep the players on track.
- ◆ Can be used to affect exercise play by guiding participants in a pre-determined manner and/or direction.
- ◆ Provides information to the Simulators and Evaluators on what events generally should be occurring at a certain period of time during the exercise.

MSELs can be done in several ways, dependent on the type and amount of information you wish to have. Generally a "column " format seems to be the easiest to develop and use, but you will need to experiment and determine what works best for you.

You were briefly introduced to this format in the last two steps:

Major Event.....Expected Actions (Step 8)

Major Event.....Messages (Step 9)

This can then become:

Major Event.....Expected Actions.....Messages

## SAMPLE MASTER SEQUENCE OF EVENTS LIST

<u>MSG</u>	<u>TIME</u>	<u>MAJOR EVENT/MESSAGE</u>	<u>EXPECTED ACTIONS</u>
1	07:35	Earthquake occurs	<ol style="list-style-type: none"> <li>1. OERS notified</li> <li>2. OEM Administrator by OCS</li> <li>3. Statewide notification on NAWAS/LEDS</li> <li>4. Tsunami Warning issued OEM/OSP</li> </ol>
	07:45	Tsunami Warning	<ol style="list-style-type: none"> <li>1. Partial EOC activation</li> <li>2. EBS activated</li> </ol>
2	07:55	Situational Update	<ol style="list-style-type: none"> <li>1. EOC activated</li> </ol>
3	08:00	Lincoln Co EBS down	<ol style="list-style-type: none"> <li>1. State activates EBS</li> </ol>
<b>08:00 - 08:15</b>			
4		Accident Hwy 101/Depoe Bay	<ol style="list-style-type: none"> <li>1. Prioritize resource request</li> </ol>
5		Mudslide Hwy 6/Wilson River	<ol style="list-style-type: none"> <li>1. Notify State Highway</li> <li>2. Prioritize resource request</li> </ol>
6		SP train derailment Gardiner Placard # 1972	<ol style="list-style-type: none"> <li>1. Notify railroad/PUC</li> <li>2. Prioritize resource request</li> </ol>
7		Structural damage Clatsop Co Jail, need to move prisoners	<ol style="list-style-type: none"> <li>1. Locate alternate facility</li> <li>2. Assist with security &amp; transport if available</li> </ol>

## SAMPLE MASTER SEQUENCE OF EVENTS LIST

<u>TIME</u>	<u>MESSAGE/EVENT SUMMARY</u>	<u>EXPECTED ACTIONS</u>
8:00	Veh. vs train, Radiological release, Hazmat incident	<ol style="list-style-type: none"><li>1. Local 911 notified</li><li>2. Local agencies respond</li></ol>
8:05	First response agency on scene	<ol style="list-style-type: none"><li>1. Update dispatch center</li><li>2. Request medical aid</li><li>3. Activate OERS</li><li>4. Request State Radef Team</li><li>5. Request State Hazmat Team</li></ol>
8:10	OERS Duty Officer notified	<ol style="list-style-type: none"><li>1. Notifies Health Division</li><li>2. Notifies SFM Duty Officer</li></ol>
8:11	Gresham Hazmat Team requested	<ol style="list-style-type: none"><li>1. 911 center notifies Gresham</li><li>2. SFM Duty Officer notifies Gresham as follow-up</li></ol>
8:18	SFM EOC opened	
8:20	Hazmat 50 notifies SFM of response action	
8:25	State Fire Net Base Stations brought on-line at SFM & OEM	<ol style="list-style-type: none"><li>1. Test communication links</li></ol>
8:30	Fire Net contact between SFM	<ol style="list-style-type: none"><li>1. Test on communications</li></ol>

## SAMPLE MASTER SEQUENCE OF EVENTS LIST

**Wednesday, April 13, 1994 (QUAKEX-94)**

<u>Time</u>	<u>Agency</u>	<u>Major Event</u>	<u>Associated Messages</u>
<b>10:35 All</b>		<b>8.5 Earthquake Occurs</b>	Statewide #1
10:36 Marion		Power lost Detroit Dam warning system activated Land slides on Hwy 22, near Detroit Dam and Mill City Overpasses at Hwy 22/Cordon Rd, Hwy 22/Joseph and Hwy 22/Lancaster Dr. damaged/collapsed Gates Bridge damaged/collapsed Large plate-glass windows at Co. Health Dept. shatter State and County corrections facilities suffer significant structural damage Monitor Elementary School gym wall collapses Central Howell Elementary School suffers significant structural damage Little Pudding River bridge collapses (Hwy 213)	MCEM 1-7
	Woodburn	Five buildings on Front St. collapse	WD 1-3
	Silverton	Several buildings suffer significant structural damage and/or partial collapse, N. Water St. and E. Main St. James St. Bridge collapses Silverton High School gym ceiling and front portion of building collapses	SLV 1-5

## **STEP 10: EXERCISE CONDUCT**

Exercise Controllers, Simulators, Evaluators and participants (players) play an important part in every exercise. A pre-exercise meeting, training, or briefing session should be conducted for all exercise controllers, simulators and evaluators.

A similar meeting is also recommended for the players before an exercise so they can become familiar with the ground rules for exercise play. All involved staff need to have some familiarity with the exercise, their role, and the jurisdictional plan(s) which are being utilized and evaluated.

***"SAFETY FIRST"***  
***should be the key watch words at every exercise.***

Safety of the general public, of property, the exercise participants, observers and evaluators should be given the highest priority when planning and conducting exercises.

## **EXERCISE CONTROLLER(S)**

The Exercise Controller theoretically has complete control of the exercise. He/She is responsible for ensuring exercise play is going according to plan and is staying on schedule.

If there is not enough activity occurring, then the Controller may have more messages sent in to participants. Conversely, if too much is occurring, then the Controller may slow down exercise play.

***Should problems arise during the exercise, it is up to the Controller to try and remedy the situation.***

**The Exercise Controller should end the exercise when all the objectives have been met.**

If there is more than one location of exercise play, such as a field command post, a hospital, and a county emergency operations center, you will need to have an Exercise Controller for each location. In these circumstances there should be one overall Exercise Controller to whom the other controllers would report.

The Exercise Controller is normally someone from the Exercise Team who has played an active role in the exercise development.



## **EXERCISE SIMULATORS**

Exercise Simulators are a very important part of the exercise. They are responsible for ensuring prescribed messages are injected into the exercise.

***Simulators role play the "outside world" for exercise participants.***

Use of Simulators is most effective when they are located in a completely different room or building, away from exercise participants, thus lending more realism to the exercise.

Simulators can be used effectively in the same room/location as exercise participants, however participants then have a tendency to just say they are going to do something (i.e.: use the phone to call someone) rather than actually do so.

Simulators should be included in the Exercise Team debriefing. They have a unique and different perspective on what occurred during the exercise and can often times provide valuable information on what occurred.

## **EXERCISE PLAYERS**

***The Exercise Players are your most valuable participants during an exercise.***

Without their participation elements of the plan cannot be effectively tested and evaluated.

Participants should be briefed on how the exercise simulation will occur, such as which agencies or personnel are participating for those not represented in the Command and Control Center or Incident Command Post.

Players also need to know how the controller, simulators and evaluators will be visibly identified, such as with a colored hat, vest or armband, so they are easily identifiable to the participants. This will help reduce confusion on potential victims during field exercises (drills).

***Remember:***

***It is the plan, and not people, that is being tested!***

## **RESOURCES FOR EXERCISE ENHANCEMENT**

**What types of resources have you utilized to make past exercises more effective?**

**Where did you, or could you, seek these resources?**

Resources for exercise enhancement include everyday available items which are currently either in the emergency operations center or command post, or could be brought in upon activation. The idea is to utilize these normal items to help add realism to the exercise and augment activities.

**What communications capability is available?**

**What equipment and displays are available?**

**What miscellaneous equipment is available?**

**Who/Which Agencies are Available to Help?**

Be creative with how you prepare exercise material. Pre-record video taped "news broadcasts" showing the incident, do interviews with "victims" and show these television news clips as part of the exercise.

Tape record news broadcasts and "play" them on the radio, to give an idea of what is going on in the "outside world."

Moulage victims to portray injuries.

Use computers to chart plumes and provide data on river flows, etc.

If the telephone system is down as part of the exercise, do not connect telephones but leave them in the EOC.

If you have no electricity, then actually run on back-up generator power - turn off the lights, computers, etc... unless they are hooked to the generator. Yes, this can disrupt the real office work flow, but it makes a more realistic exercise.

## **Computerized Systems Available:**

### ***CADET: Computer Aided Exercise Design***

This system is a "fill in the blank" in the computer with names, addresses, and other jurisdiction specific information, and the program will generate an exercise. The drawbacks are there are only a limited number of exercise narratives (scenarios) available and the exercise will not be as realistic as if a Team had developed it. It is also extremely time intensive for data entry.

This software is available through the Emergency Management Institute.

### ***Plan AHEAD: All Hazard Exercise Administration and Development***

Plan AHEAD follows the FEMA guidelines for exercise development and evaluation. It is a data base program with extensive reporting functions also built in. Materials built using Plan AHEAD are used to conduct and evaluate exercises. Lessons learned from prior exercises are available to influence subsequent exercises. Corrective actions are tracked, and reporting to oversight agencies is also supported. Plan AHEAD supports a standardized means to develop exercises for ANY PLAN, ANY SCALE, and ANY HAZARD.

This product is available from Cliffside Software, Inc., an Oregon Corporation.

# SUMMARY

# **EXERCISE TEAM**

# **ACTIVITY FORMS**





**Exercise Team Activity:** Develop an Exercise Scope. You must identify at least eight (8) players for a functional Command and Control Center exercise.

**Exercise Scope**

**Whom (By Name or Title)**

**Which Agency**


**Geographical Area/Location Where Incident Will Occur:**


**Type of Incident Which Will Occur:**


**Date and Level of Exercise:**






**Exercise Team Activity:** Write at least five (5) objectives for your exercise. Be sure they represent items listed in your Needs Assessment.

**Exercise Objectives**

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Objective.

**Exercise Major Events**

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**Exercise Team Activity:** Write at least three (3) Expected Actions for each Major Event of your exercise.

**Exercise Major Events/Expected Actions**

**Major Event:**

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***Expected Action:***

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**Exercise Team Activity:** Write at least three (3) Messages for each Major Event/Expected Action for your exercise.

**Exercise Messages**

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**FEMA EXERCISE DESIGN COURSE MESSAGE FORM**

**OREGON EXERCISE MESSAGE FORM**

**EXERCISE MESSAGE**

TO:

TIME:

FROM:

METHOD:

***THIS IS AN EXERCISE MESSAGE***

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***THIS IS AN EXERCISE MESSAGE***

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***FOR USE BY SIMULATORS ONLY:***

***EXPECTED ACTIONS OF PLAYER BASED ON MESSAGE:***

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***RESPONSE RECEIVED/ACTION TAKEN BY PLAYER:***

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## **UNIT THREE: EXERCISE EVALUATION**

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### **OBJECTIVES:**

At the conclusion of this unit the participant will be able to:

1. Discuss the importance of a systematic exercise evaluation process.
2. Define and explain the elements of a jurisdictional specific exercise evaluation form.
3. List the roles and responsibilities of an Exercise Evaluation Team Leader.
4. Identify and explain exercise evaluation observation techniques.
5. Demonstrate elements of effective teamwork in the development of exercise evaluation forms.
6. Identify and explain the recommended components of an After Action Report.
7. Identify and explain the importance of evaluating an exercise and conducting an exercise debriefing.

## WHAT IS EXERCISE EVALUATION?

How do you define exercise evaluation?

***"Act of reviewing or observing and recording exercise activity or conduct, applying the behavior or activity against exercise objectives, and noting strengths, weaknesses, deficiencies or other observations."***

From FEMA G130: *Exercise Evaluation Course*, page IG-1-6

The American Heritage Dictionary defines evaluation as:

- 1. To ascertain or fix the value or worth of.***
- 2. To examine and judge carefully.***
- 3. To calculate or set down the numerical value of, express numerically."***

***Exercise evaluation is the process of observing and documenting player activities and comparing those actions to what the Plan says should occur during an emergency or disaster.***

To aid in this endeavor, evaluation forms or checklists are developed and are based on the contents of the following documents which clearly delineate roles and responsibilities for agencies:

- ◆ Emergency Operations Plan (EOP)
- ◆ Standard Operating Procedures (SOP)
- ◆ Standard Operating Guidelines (SOG)
- ◆ Functional Annexes
- ◆ Hazard Specific Annexes

The Evaluation Process can be broken down into five main components:

- Exercise Evaluation Team Leader and Team
- Development of Evaluation Forms
- Selection and Training of (Additional) Evaluators
- Observing and Documenting Exercise Activities
- Evaluator Debriefing and Reports

## **EXERCISE EVALUATION TEAM LEADER and TEAM**

### ***Evaluation Team Leader***

***The Evaluation Team Leader is charged with the management of the evaluation function before, during and after the completion of the exercise.***

A member of the Exercise Team should be chosen to act as the *Evaluation Team Leader*.

### **Before the Exercise:**

1. Ensure the development of evaluation forms appropriate to the exercise which are based on the Plan ;
2. Select and train external source Controllers, Simulators and Evaluators;
3. Schedule time lines for debriefing and development of the After Action Report with Evaluators; and
4. Familiarize Controllers, Simulators and Evaluators with facility provide appropriate forms and equipment, and conduct last minute briefing.

**During the Exercise:**

1. Coordinate activities and efforts of Simulators and Evaluators;
2. Provide breaks and meals to Simulators and Evaluators as needed;
3. Provide back-up equipment (recorders, etc...) if needed; and
4. Conduct mini-debriefs with Simulators, Controllers and Evaluators at the end of their shift if a multi-day or multi-shift exercise.

**After the Exercise:**

1. Attend the player debriefing, provide evaluation information as deemed appropriate;
2. Conduct debriefing with all Evaluators, Simulators and Controllers;
3. Develop draft After Action Report with Evaluators;
4. Present and review draft After Action Report to head of sponsoring organization;
5. Develop final After Action Report for distribution; and
6. Conduct presentations and briefings on final After Action Report as needed.

Evaluators are generally finished with their exercise role within a few days of the completion of the exercise.

The role of the Evaluation Team Leader could last from a few weeks to a few months after the exercise depending on the size, scope and complexity.

### ***Evaluation Team***

***An Evaluation Team is as important to the exercise process as the Design Team.***

The Evaluation Team has three main responsibilities:

1. To develop evaluation forms, from the exercise Objectives and based on the Plan to be used during the exercise;
2. To observe and document activities during the exercise; and
3. To help develop the final exercise report with the Evaluation Team Leader.

The Evaluation Team members should be the main evaluators during the exercise, however other “external source” specialists in a certain area, such as police, fire, and public works, may be called upon to assist.

### UNIT 3: EXERCISE EVALUATION

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Evaluation Team members should be familiar with agency response plans and procedures.

They should be acquainted with the exercise package, and the general time frame of activities projected for exercise participants in the area(s) for which they are responsible to evaluate. This knowledge will help them in their role as Evaluators.

## **DEVELOPMENT of EVALUATION FORMS**

***Each objective should, at a minimum, have at least one specific evaluation form developed for use during the exercise.***

The exercise objectives become the basis for the evaluation. Evaluation Team members will utilize the exercise objectives and agency plans and procedures to develop specific evaluation "points of review" to be employed.

Certain types of mandated exercises, such as Hazardous Materials (Hazmat), Chemical Stockpile Emergency Preparedness (CSEPP) and Nuclear Power Plants/Radiological Emergency Preparedness (REP) have specific exercise evaluation methodologies already in place.

These three program areas have specific objectives and evaluation forms already developed as a part of the evaluation methodology (EEM). Evaluation Team members should become familiar with these methodologies which could assist in the development of plan specific evaluation forms.

### **Why are evaluation forms important?**



Evaluation forms are based on what the Plan says. However, there are several different ways an evaluation form could be developed.

The following are some simple guidelines to developing a user friendly form, while still providing the information necessary to conduct a critical review of the plan:

- 1. Keep questions short and simple.**
- 2. Keep the form as short as possible.**
- 3. Keep the layout and typeface simple and bold.**
- 4. Avoid asking for known information.**
- 5. Avoid asking questions which the evaluator cannot answer.**
- 6. Provide space for narrative comment on each objective.**
- 7. Identify references (ie: section, page of Plan) where applicable.**
- 8. Identify activities to be simulated.**
- 9. Consider utilizing colored paper for different objectives, or functional areas being evaluated.**

A guideline recommended when developing forms is to put yourself in the evaluator role. Ask yourself "If I were the evaluator, what type of format would make it easy for me to do my job?"

***Remember:  
the Evaluation Team developing the forms should be the same people  
most likely to use them!***

**EXERCISE TEAM ACTIVITY:** Develop evaluation forms for your exercise based on the identified objectives. Be sure the evaluation forms reflect the Points of Review (expected actions) listed in the Plan.

## **SELECTION and TRAINING of (EXTERNAL SOURCE) EVALUATORS**

### ***Selection***

"What is the appropriate number of evaluators?" is a question often asked regarding the conduct of exercises. Unfortunately, there is no hard and fast rule on the number needed, generally, whatever it takes to get the job done.

***The more complex the exercise the more evaluators you will most likely need.***

If you are conducting an EOC exercise only, and you have five functional areas/rooms in use, then at a minimum you should consider at least one evaluator for each area, a "floating" evaluator and the Team Leader, for a total of seven (7) people.

A tabletop exercise may only need one person in the role of evaluator. A large, multi-jurisdictional, multi-location exercise may require 20-100 evaluators.

***A standard rule of thumb is that if you expect a participant to demonstrate an activity which is an integral part of the exercise (ie: set up and establish a traffic control point) then you should have an evaluator assigned to the activity.***

Another item to consider is, do you want your evaluators to evaluate only one objective, or several? An evaluator can manage more than one objective as long as the activities are not occurring concurrently, or in different places.

Often times evaluators will be tasked to observe two to three objectives during an exercise. This helps reduce the number of evaluators needed, as well as associated costs for evaluation personnel.

Once you have determined the appropriate number and type of evaluator (ie: police, fire, health) needed and have assigned Evaluation Team members where appropriate, you may need to recruit additional evaluators.

These evaluators could be subject matter experts, someone credible from another similar agency, such as a law enforcement official from another county/city on law enforcement functions or a 9-1-1 Center Director/Supervisor for communications.

**In choosing your evaluators, do you need to be concerned about any political or turf issues?**

**If so, what are they?**

**Are there any special qualities or attributes an evaluator should have?  
ex: Leadership, good communication skills, etc...**

**Exercise Team Activity:** Identify the number of evaluators needed, which agency they will come from and where they would be located during your exercise.

## *Training/Orientation*

***If you were an evaluator, what would you need to know to be able to do the task you were asked to do?***

Once you have recruited your additional evaluators, you will need to provide them some sort of training regarding their role in the exercise. This could be done in several different ways.

If you have the luxury of time and money, you could conduct a formal training session on how to evaluate an exercise, providing practice on utilizing the evaluation forms, what to look for, etc.

Unfortunately, most jurisdictions do not have the time, personnel, or funds to conduct a formal training session. Instead, consider those items which **you** would find most important if you were being asked to evaluate.



It is recommended each evaluator should receive the following information, at a minimum:

- Copy of the jurisdictional Plan, or portion thereof, applicable to the area to be evaluated.
- Exercise objectives.
- Exercise narrative/scenario.
- Exercise Master Sequence of Events List.
- Evaluator time lines for reports.
- Evaluation Team structure.
- Logistical information:
  - Location of EOC, ICP or other area of assignment
  - Lodging and meal information
  - Evaluator identification
  - Special clothing
  - Equipment needs

**What other items of information would make the evaluators' job easier?**

Consider mailing this information at least 30-60 days in advance to Evaluation Team members. Follow this with a phone call or meeting a week before the exercise to clarify any areas of concern.

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UNIT 3: EXERCISE EVALUATION

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Plan on conducting a final pre-exercise briefing one to two hours before the exercise, introducing all of the evaluators to each other and addressing any last minute areas of concern. Remind the evaluators of the After Action Report time lines and when their completed evaluation forms are due.

The following general guidelines may be helpful to you if you are asked to evaluate, or are providing briefing information to evaluators:

***"Evaluators' Laws:"***

***1. Safety first and foremost!***

***2. It is actions - not people - being exercised, tested and evaluated!***

***3. Do not interfere with the course of the exercise unless a life safety hazard exists!***

***4. Do not coach players on their actions, or what their Plan says!***

***5. Be as objective as possible!***

**Exercise Team Assignment:** Develop a training/orientation agenda for the external source evaluators you intend to recruit to evaluate the exercise you have been developing.

## **SYSTEMATIC EVALUATION PROCESS**

### ***OBSERVING ASSIGNED OBJECTIVES***

There are three types of observational data an evaluator is normally asked to provide:

***Descriptive Reporting:*** describes everything the evaluator sees related to the assigned objective(s). As a result, this type of reporting is usually the most reliable as the evaluator does not have to infer anything.

***Inferential Reporting:*** requires evaluator to come to a conclusion about what he/she has seen before recording data. An example would be a checklist asking if something was "adequately" carried out. The definition of adequately is left to the evaluator. As a result, this type of evaluation information is less reliable.

***Evaluative Reporting:*** requires the evaluator to make inferences as well as judgements regarding the actions observed. An example of this is when an evaluator is asked to rate the performance of an activity on a scale of 1-5. This is the most complex type of observational data, whose reliability is again hard to determine.

## ***DOCUMENTING EXERCISE ACTIVITY***

The evaluation process taught in this course is designed to assist you in developing an evaluation package for evaluators that asks for descriptive reporting.

After the completion of the exercise, evaluators are tasked with reviewing and assessing the data as they relate to the exercise objectives. It is at this point that evaluators are required to infer information as well as make evaluative judgements based on information they recorded during the exercise.

***There are times when evaluators are not objective.***

Non-objectivity can occur for a variety of reasons and in different ways. The easiest way to avoid some of these pitfalls is to have more than one evaluator documenting activities in each area.

Another is to ensure you have selected the appropriate person to use as an evaluator. The following are several types of evaluator bias, or non-objectivity:

**Observer Drift** - caused when the evaluator becomes fatigued and is less motivated to perform his/her duties. To help reduce this risk, the Evaluation Team Leader should ensure adequate breaks are provided, as well as feedback on the job being accomplished.

**Evaluator Bias** - errors which can be traced to the evaluators' personality or pre-conceived ideas on how something should occur during the exercise. To help reduce this risk, the Evaluation Team Leader needs to ensure evaluators have become familiar with the Plan being tested, and do not have to rely on the "we do it this way at my department" perspective.

**Evaluator Effect** - this occurs when the players react to being observed by the evaluator, potentially causing the player to react in a way other than they normally would. Evaluators can potentially react to this type of occurrence at an emotional level, causing them to be less objective.

This can be alleviated by having the evaluator in place before the exercise begins; or telling evaluators not to immediately jot down notes when something occurs, rather wait a minute or two.

**Error of Leniency** - occurs when an evaluator has the tendency to rate all actions observed as positive.

**Error of Central Tendency** - this occurs when an evaluator describes all activities as average, avoiding making difficult decisions about an activity observed - a sitting on the fence post position.

**Halo Effect** - when the evaluator forms an early impression of an individual or operational activity and allows this impression to influence all observations. This can be either a negative or positive impression.

**Hypercritical Effect** - this occurs when the evaluator believes it is his/her duty to find something wrong, no matter how well the exercise participants perform. This becomes almost a rating of the participants rather than the operational activities of the Plan.

**Contamination** - this occurs when the evaluator has a preconceived idea or expectation of how the exercise is going to occur, or should occur. The evaluator allows his/her knowledge or expectations of a situation to provide a biased view of what actually occurs.

Selecting the appropriate person(s) to evaluate; providing training to evaluators on their role as an evaluator; providing breaks and feedback on performance; and ensuring evaluators are familiar with the Plan being tested are all ways to decrease the potential for evaluator bias and non-objectivity.

## **STEP 12: DEBRIEFING and WRITTEN DOCUMENTATION**

### ***ASSESSING ACHIEVEMENT OF OBJECTIVES***

***The evaluation forms are a tool developed, based on the plan or procedures being tested, by which the Evaluator will determine if the objective was met.***

If activities are completed differently than outlined on the evaluation form (ie: someone other than expected did the activity; or it was not done according to the Plan), Evaluators should note how something was actually accomplished, or who did it. This may indicate a need for the procedures to be revised, or training to be conducted.

Evaluation forms generally contain a comments or narrative section at the end of the form. Evaluators should write a brief narrative describing the activities observed, and whether or not the objective was met. This narrative, when combined with other evaluator narratives, will form a basis for the After Action Report.



In most cases evaluators are asked to participate in the player debriefings or critiques of the exercise. The player debriefing is mainly for the exercise participants. The Exercise Evaluation Team Leader should speak for the Evaluation Team.

The Exercise Evaluation Team Leader should work with the evaluators to assess achievement of objectives and develop a comprehensive report on the exercise. The Evaluation Team Leader will then develop a draft copy of the exercise evaluation report for review by the evaluators and the head of the sponsoring organization.

Upon completion of this review, a final After Action Report should be published and issued to all participating agencies, the evaluators and simulators.

### **EXERCISE DEBRIEFING (CRITIQUE)**

#### ***EXERCISE PLAYERS***

***A verbal debriefing, or critique, is generally conducted immediately following the exercise.***

During the debriefing exercise players should be asked how they feel things went; suggestions for improvements; any deficiencies noted; or training needs which have been identified.

In some cases, particularly in long or multi-day exercises, it is better to conduct a debriefing on a completely separate date from the exercise. This could be the day following, or as much as a few weeks after completion.

Past experience has shown that asking participants to also complete a written critique can be very valuable.

***It does not matter HOW you schedule and conduct your debriefing. What is important is that you DO a debriefing or critique!***

## ***EXERCISE TEAM***

At the end of the exercise the Evaluation Team Leader should meet with all Evaluators and conduct a debriefing. This is extremely important as it allows the Evaluators to share information with one another on what they observed.

The debrief provides Evaluators the opportunity to compare notes and share information and perspectives on what they observed. Often times an Evaluator will discover there is a discrepancy in his/her notes when comparing information with other Evaluators and is then able to clarify the information.

Since Simulators are also aware of the expected participant actions, they can provide information on whether some of these activities were met via the Sim Cell, or if the players did something different than what the Plan said.

## **WRITTEN REPORTS**

When there is a large exercise with several Evaluators, and two or more Evaluators have observed the same functional areas or objectives, a summary report which includes the information of all Evaluators will need to be developed.

The summary report would include all the observational data on the points of review evaluated, as well as any summary or narrative comments provided by each Evaluator. These summary reports are then compiled and included in the After Action Report.

Generally each Evaluator is asked to turn in the following information for the After Action Report:

- ◆ Original completed evaluation checklists/forms;
- ◆ Any exercise time line which might have been established/tracked;
- ◆ Narrative comments;
- ◆ Summary of overall objective, indicating pass, failure and areas needing improvement; and
- ◆ Any other documentation, such as video or cassette tapes, which might have been used to help develop the evaluators report.

## **AFTER ACTION REPORT**

***After Action Reports are an extremely critical element of your overall exercise process.***

The After Action Report is generally a compilation of all evaluation sheets and summary comments of the evaluators, comments from the players, and other interested parties involved in the exercise.

***An After Action Report (AAR) documents the success - or failure - of the plan and procedures.***

***It identifies deficiencies and areas needing improvement, as well as those activities which went well.***

The report has often been referred to as “the good, the bad, and the ugly” of how an exercise went. What is important to remember is that people will generally react in an exercise how they will in real life.

**Why would you want to evaluate an exercise?**

**To whom would you send an exercise after action report? Why?**

### **REASONS TO EVALUATE EXERCISES**

The Evaluation Team Leader may be asked to conduct briefings on the findings of the After Action Report to a variety of agencies. The Team Leader should ensure the sponsoring organization is aware of these briefings, and if at all possible a member of that organization should attend.

As previously noted, the REP, CSEPP and Hazardous Materials programs each have specific objectives to be tested and evaluated during an exercise. They also have specific criteria for the development of an end of exercise report. These can be found in the information recommended by Oregon for After Action Reports.

***Oregon Recommended After Action Report (AAR) Components:***

- 1. Executive Summary of Exercise***
- 2. Problem Identified (Why the exercise was conducted)***

- 3. *Pre-Exercise Activities (advance training, meetings, etc...)***
- 4. *Participating Agencies***
- 5. *Specific Goals/Purpose of the Exercise***
- 6. *Specific Objectives***
- 7. *Problems Noted and Recommendations to Correct***
- 8. *Accomplishments Noted***
- 9. *Training Needs Identified***
- 10. *Other Recommendations Not Previously Mentioned***
- 11. *Other Comments***
- 12. *Problems Identified with Exercise Development and/or Conduct***

### UNIT 3: EXERCISE EVALUATION

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For local and state jurisdictions partially federally funded through the yearly State and Local Agreement (SLA), exercise activities must be documented using the state and/or FEMA mandated forms or exercise software to receive appropriate exercise credit.

In the event of an actual occurrence, which receives a Presidential Disaster Declaration, all jurisdictions (whether federally funded or not) covered by the declaration must complete and submit a FEMA accepted exercise/actual occurrence form to the State ETO.

The State ETO maintains the State of Oregon exercise database. This information is transmitted to FEMA Region X, and ultimately to the Emergency Management Institute, quarterly to meet federal reporting requirements.



**Exercise Team Activity:** You will be provided copies of pre-developed evaluation forms and asked to evaluate a short video taped exercise. Your Exercise Evaluation Team Leader will conduct a short debriefing. Upon completion of the debriefing, you will need to complete the evaluation forms and write the narrative portion for each objective to be included in the After Action Report.

**FEMA EXERCISE EVALUATION COURSE FORM**

**SAMPLE EXERCISE EVALUATION FORM**

1. Please indicate on which frequencies your jurisdiction was contacted by Oregon Emergency Management.

<u>Frequency</u>	<u>Contacted on</u>	<u>Time of Contact</u>
LEDS	_____	_____
NAWAS	_____	_____
SAR	_____	_____
Fire Net	_____	_____
2 Meter Voice	_____	_____
Packet	_____	_____
Military	_____	_____
DOT	_____	_____
Other (List)	_____	_____

2. Please indicate other agencies you were able to contact on these frequencies:

<u>Frequency</u>	<u>Agencies</u>
LEDS	_____
NAWAS	_____
SAR	_____
Fire Net	_____
2 Meter Voice	_____
Packet	_____
Military	_____
DOT	_____
Other (List)	_____

3. Were you advised by local fire agencies that contact had been established on State Fire Net (their message was to contact local emergency managers and advise of contact)? If so, which agencies contacted you?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SAMPLE EXERCISE EVALUATION FORM**

1. **Activate and test the Emergency Broadcast System (EBS) for use in Alert/Warning of the populace.**

A. Was the need for use of EBS determined? \_

1. By whom? \_\_\_\_\_
2. At what time? \_\_\_\_\_
3. Message written by: \_\_\_\_\_
4. Message approved by: \_\_\_\_\_

B. Request activation of EBS through radio station KBBT in Portland?  
Yes\_ No\_

C. Message Content:

1. Description of nature of the emergency?  
Yes\_ No\_
2. Instructions to the public? Yes\_ No\_
3. Description of actions being taken by government?  
Yes\_ No\_

D. Number of times EBS was activated. \_

E. Did the State activate EBS at the request of local governments? \_

1. If yes,	<u>By Whom</u>	<u>Time</u>
	_____	_____
	_____	_____
	_____	_____
	_____	_____

F. Comments from evaluator

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**SAMPLE EXERCISE EVALUATION FORM**

2. Establishment of Incident Command/Unified Command

	<u>YES</u>	<u>NO</u>	<u>N/A</u>	<u>N/O</u>
a. Incident Command initiated on arrival? Time? _____ By? _____ Agency? _____	___	___	___	___
b. Unified Command established? Time? _____ By? _____ Agency? _____	___	___	___	___
c. Command transferred? Time? _____ By? _____ To whom? _____ Reason? _____	___	___	___	___

OBSERVER/EVALUATOR COMMENTS:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

EVALUATOR/OBSERVER: \_\_\_\_\_

**SAMPLE EXERCISE EVALUATION FORM**

1. Demonstrate the ability to staff the State EOC to an operational level within 60 minutes of a disaster.

A. Specific key agencies were identified as needed in the State EOC.

Yes \_\_\_ No \_\_\_ N/A \_\_\_ N/O \_\_\_

B. Specific key agencies identified were identified by: \_\_\_\_\_

C. Please list specific key agencies identified as needed in the State EOC.

D. Appropriate State Agencies were notified and responded to the EOC:

	Notified Time/By	Arrived	N/A	N/O
1. Governor	_____	___	___	___
2. Governor's PIO	_____	___	___	___
3. Dept. of Geology	_____	___	___	___
4. Military Dept.	_____	___	___	___
5. State Highway Dept.	_____	___	___	___
6. OSP Superintendent	_____	___	___	___
7. OSP Deputy Super.	_____	___	___	___
8. OSP Ops Bureau Dir.	_____	___	___	___
9. OSP ISB Director	_____	___	___	___
10. Public Utilities Comm.	_____	___	___	___
11. State Health Div.	_____	___	___	___
12. DEQ	_____	___	___	___
13. State Fire Marshal	_____	___	___	___
14. State Defense Force	_____	___	___	___
15. OEM Director	_____	___	___	___
16. OEM On Call Manager	_____	___	___	___
17. OR Emerg. Mgmt. staff	_____	___	___	___

**SAMPLE EXERCISE EVALUATION FORM**

1. Demonstrate the ability to staff the State EOC to an operational level within

**UNIT 3: EXERCISE EVALUATION**

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**60 minutes of a disaster.**

E. What methods were used to contact and alert staff? (Check methods used)

- Landline Telephone
- Cellular Telephone
- Individual Pagers
- Automatic Paging System
- Radio (ie: ARES, Fire Net, OSP, or other radio frequency)
- Other \_\_\_\_\_
- Other \_\_\_\_\_

F. If telephone calls were made to staff, was a roster of personnel utilized?

Yes \_\_\_ No \_\_\_ N/A \_\_\_ N/O \_\_\_

If no, how was it determined who should be contacted? Please explain.

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G. If telephone calls were made to staff, what message was issued?

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H. If pagers were used to alert staff, was a roster of personnel utilized?

Yes \_\_\_ No \_\_\_ N/A \_\_\_ N/O \_\_\_

If no, how was it determined who should be contacted? Please explain.

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**SAMPLE EXERCISE EVALUATION FORM**

1. **Demonstrate the ability to staff the State EOC to an operational level within 60 minutes of a disaster.**

J. Was a list maintained to track who had been notified of the incident?

Yes \_\_\_ No \_\_\_ N/A \_\_\_ N/O \_\_\_

If yes, who maintained the list?

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K. Was a list maintained to track who was responding to the State EOC?

Yes \_\_\_ No \_\_\_ N/A \_\_\_ N/O \_\_\_

If yes, who maintained the list?

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If no, how was this information tracked and shared with personnel? Please explain.

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L. EOC declared partially activated at \_\_\_\_\_

Determined by \_\_\_\_\_

Announced by \_\_\_\_\_

EOC declared fully activated at \_\_\_\_\_

Determined by \_\_\_\_\_

Announced by \_\_\_\_\_



**UNIT FOUR: FUNCTIONAL EXERCISE PREPARATION and  
CONDUCT**

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**OBJECTIVES:**

At the conclusion of this unit participants will be able to:

1. Demonstrate the ability to prepare an in-class functional disaster exercise.
2. Demonstrate the elements of effective teamwork through exercise preparation and development.
3. Demonstrate the ability to develop evaluation forms for an in-class functional disaster exercise.

## **GROUP ACTIVITY: EXERCISE PREPARATION**

Your Exercise Team will present a **30 minute functional disaster exercise, designed for an EOC**, to another team.

### **Needed for the Functional Exercise:**

**Step 1: Needs Assessment** - A minimum of seven (7) reasons why an exercise needs to be conducted.

**Step 2: Scope** - Identify participants based on the plan being tested. Then determine the "major" players needed, which will be based on number of students at the table who will play your exercise. The instructors will provide the final number of positions needed.

**Step 3: Purpose Statement.**

**Step 4: Exercise Directive.**

**Step 5: Objectives** - At least five (5) objectives, which tie to your Needs Assessment.

**Step 6: Narrative.**

**Step 7: Major Events** - At least three (3) major events to drive each objective. Remember, a major event can drive more than one objective.

**Step 8: Expected Actions** - At least three (3) expected actions for each Major Event. Do not forget to identify the agency(s) expected to react.

**Step 9: Messages, Problem Statements, Challenges** - At least 100 messages. Be sure they are generally evenly divided among your players. If they are not, then you may not have the right player position(s) identified!

**Master Sequence of Events List (MSEL).**

**STEP 10: Exercise Conduct** - Identify the internal team assignments. Identify the number of outside evaluators and simulators your team would need to conduct the exercise. Prepare exercise briefing information for players.

**Step 11: Evaluation Process** - At least one evaluation form for each objective. Develop a training/orientation agenda for an Evaluators Briefing to be used with your external source Evaluators during the exercise.

**Step 12: Debriefing and Written Documentation** - Be prepared to conduct a debriefing on your exercise with players, Simulators and Evaluators. After the debriefing, begin preparation of the After Action Report.

**EXERCISE DOCUMENTATION REQUIREMENTS**

Each Exercise Team must be prepared with the following pre-printed material for their exercise:

**1. To turn into the instructors:**

A copy of the complete exercise package: to include all 12 steps. You do not need to turn in the 100 message forms. You must also complete a MSEL and evaluation forms as a part of the exercise package. This may be hand written (as long as it is legible).

This will be reviewed by the instructors and returned to your group prior to your exercise. You will be using elements of this document to conduct your functional exercise.

**2. For the group "playing" your exercise:**

Listing of the agencies, departments, jurisdictions, officials and facilities playing.

Roles/assignments of the players in the exercise.

List of equipment/personnel resources the players might need, i.e.: 10 police units, 4 officers on duty, 13 off duty.

"Geographical map" of area where hazard is located and other pertinent locale information the players may need.

**3. For the Exercise Controller:**

A complete copy of the exercise package and a MSEL. This could be the one you turn in for review to the instructors.

**4. For the Evaluators:**

Copy of the exercise narrative.  
Copy of exercise resources/equipment lists.  
Copies of the exercise objectives.  
Copy of the pertinent portions of the EOP/SOP being tested.  
Evaluation forms to be used.

**5. Your Inner-Group Assignments:**

1 Controller, 1 Assistant Controller and 2-4 Simulators. These numbers will depend on your group size. Rule of thumb is 1 simulator for every 2 players.

At the end of the exercise all participants will have an opportunity to comment and make recommendations to the design team on ways to improve their exercise. Additionally, the design team will also be given the opportunity to comment on the exercise. Finally, the instructors will share any comments they may have.

## Exercise Participant Guidelines

The most important thing to remember about every disaster exercise is that it is the emergency plan, procedures, and functions being tested and evaluated to determine if they work as written - not the players.

Participants should follow the below listed guidelines. This is important to the successful demonstration of emergency response capabilities. They will also help you understand the "rules" of exercise play.

1. **CONTROLLERS and SIMULATORS** serve an active role in the exercise by providing messages, instructions or clarifications to the participants (you). They may also prompt or initiate certain actions to assure continuity of the events described in the exercise scenario.
2. **EVALUATORS** will be noting all actions, both good and bad, which may be discussed during the critique. They do not actively participate in the exercise.
3. You should ignore the evaluators and controllers unless asked for specific information by them. Give your name and function in the exercise (Ex: John Doe, Security Coordinator), and any other information they are requesting.
4. Evaluators are not supposed to bother you while you are busy. However, please be patient with them, their job in the exercise is as hard as yours.
5. Controllers and Evaluators may ask for copies of all written messages at the end of the exercise. Please provide these, as they become an important part of the final exercise report.

6. Play out all actions, as much as possible, in accordance with the emergency plan and procedures as if it were a real emergency. This will help convincingly demonstrate the proper emergency response.
7. ALL messages, written and verbal, which occur with anyone outside of the Emergency Operations Center you are in MUST be preceded and followed by the statement "**THIS IS AN EXERCISE**" or "**THIS IS A DRILL.**"
8. Keep a list of the items which you feel will improve your plans and procedures. Complete the Participant Evaluation Form that you will receive at the end of the exercise. Remember, one of the main purposes of the exercise is for YOU, as a participant, to feel that you are adequately prepared. Areas for improvement, or lessons learned, when identified, will help improve your overall emergency planning and preparedness.

## Conduct of the Functional Exercise:

The class will be evenly divided into teams of three\*: Team one will **present** their exercise; Team two will **play** in the exercise; and, Team three will **evaluate** the exercise. At the conclusion of each exercise, teams will rotate the role they are playing until they have participated in all three functional areas (**present, play, and evaluate**).

\* If the class is large enough, a fourth team may be added: Team four will **observe** the exercise and will be added to the rotation into each of the functional areas.

## Team Responsibilities:

### *Presenters:*

It will be the exercise you have designed that will be presented. The Instructors will inform you of how many players you will be responsible for challenging through exercise play. Remember, it is imperative that you have an even distribution of messages for each of the exercise players. The tendency of many design teams is to over-load key players, such as police and fire, while other members (public works or elected officials) have little to do during the event.

You will need to identify the following positions on your Presentation Team: a Controller, an Assistant Controller, and at least one Simulator for every two player positions.

The **Controller** will have the responsibility of introducing the exercise to the players. This will include explaining why they have been assembled at the EOC (this can be accomplished through reading the narrative to players), familiarizing the players with available resources (maps, equipment,



personnel), introducing the positions the players are to fill, and controlling the message flow.

One of the most critical responsibilities of the Controller is maintaining message flow through injects to the players. This is best accomplished by the use of a flip chart numbered sequentially from one to the total number of messages your group has to inject. As play begins, the Controller will refer to his/her copy of the MSEL and signal his/her Simulators which messages to inject by crossing off the appropriate number on the flip chart. This is the location the Controller should occupy throughout the exercise.

The **Assistant Controller** will be the Controller's eyes and ears during the exercise. His/her responsibility is to look for problem areas that might cause the exercise to get off-track. Primarily, they will help manage the exercise activities by "wandering around". The Assistant Controller must be knowledgeable on all Simulator assignments and trouble-shoot as needed.

If, through observation, the Assistant Controller determines players are getting bogged down by too many message inputs or seem to have little to do, this information should be immediately provided to the Controller so adjustments in flow can be made. Likewise, if the Simulators run into problems or need clarification on an issue, it is the Assistant Controllers responsibility to help resolve.

The **Simulators** will do the message injects and play the outside world for the players. We suggest, prior to the players setting down at the table, you predetermine the seating arrangement. This allows the Simulators to place the players, they are doing message injects for, next to each other. Whenever possible, the Simulator's player assignments should correlate with position familiarity. In other words, allow the Fire Chief (as a member of your design team) to be the Simulator for the fire player.

We also suggest making Simulator assignments in an effort to evenly distribute the workload based on the number of player injects. As an example, if police and fire have the majority of the player message injects, do not give these two positions to the same Simulator.

When play begins, the Simulator should have all messages they are going to inject, for the players assigned to them, in sequential order. As the exercise Controller crosses off the number of a message in your possession on the flip chart, you will inject this message into the exercise through the appropriate player.

Be prepared to provide additional information/clarification or play the outside world based on each message inject. If problems arise, contact the Assistant Controller immediately to help with resolution. You should position yourself to be readily available to the players you are providing simulation to throughout the duration of the exercise. At no time should you leave your players unattended.

***Players:***

Each of you will be asked to fill an exercise role by the presenting team. It will be up to you to determine who fills which role. It is not imperative that the individual filling the role be completely familiar with the position. Remember, we're interested in testing the plan, not the individual.

Prior to starting, you will be allowed a few minutes to familiarize yourself with your assigned position, available resources, and brought up to speed on why your group has been assembled.

Each of the positions will have a designated Simulator to provide message inputs and to play the outside world should you need to communicate with someone not available in your EOC. Other than the group at your table, the Simulator is the only individual you should be in contact with throughout the disaster exercise.

We suggest you track all information (both out-going and in-coming) during the course of the exercise. This record of activities will help you control the flow of information at your position and assure critical issues are dealt with in a timely manner.

***Evaluators:***

Prior to the start of the exercise, a representative from the presenting team will meet with you to review objectives, share pertinent portions of the EOP, provide resource/equipment lists, and pass-out evaluation forms. Ensure that the positions you will be evaluating are in close proximity to one other, at the players table. This will allow you to capture all critical information during exercise play. Once you have identified your player(s) assignment determine who the Simulators are for these positions.

Remember, you are to remain invisible to the exercise players for the duration. All questions and concerns should be directed to other players, in the EOC, or to the Simulator assigned to their position.

Please provide enough information to give a clear picture of what you observed when writing down your remarks. Simply checking a box "NO" provides little useful information to the design team, or the players, without further explanation. At the conclusion of the exercise you will be asked to share your findings with the participants.

***Observers:***

You have the global responsibility to watch the exercise play as it unfolds. At the conclusion of the exercise you will be asked to share both the positive and negative aspects of the exercise that you observed. Additionally, you are tasked to identify areas of the exercise design which could be improved.

**UNIT FIVE: COURSE CONCLUSION**

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**OBJECTIVES:**

At the conclusion of this unit participants will be able to:

1. Take home a copy of all in-class conducted disaster exercise packages.
2. Identify and discuss follow-up activities to pursue towards the next exercise, based on participant commitments.
3. Identify and discuss corrective actions.
4. Clarify any questions which may not have been covered during the course.

## TOWARDS THE NEXT EXERCISE

## CORRECTIVE ACTIONS IDENTIFIED

**UNIT 5: CONCLUSION**

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