



# NEW YORK CITY PEDIATRIC DISASTER HEALTHCARE PREPAREDNESS TOOLKIT

Exercise Plan (ExPlan)  
Hospital X PICU Surge Capacity  
Full-Scale Exercise

Completed June 2018

## Preface

The New York City (NYC) Pediatric Disaster Coalition, in coordination with the New York City Department of Health and Mental Hygiene (NYC DOHMH) Office of Emergency Preparedness and Response (OEPR) is sponsoring the *HX PICU Surge Capacity Full-Scale Exercise (FSE)*.

The PICU Surge Capacity Exercise Program further signifies New York City's commitment to ensure public safety through collaborative partnerships resulting in enhanced readiness to respond to any emergency.

This *HX PICU Surge Capacity FSE Exercise Plan (ExPlan)* was produced by the PDC, with input, advice, and assistance from the HX PICU Surge Capacity FSE Planning Team, which followed the guidance set forth in the Federal Emergency Management Agency (FEMA), Homeland Security Exercise and Evaluation Program (HSEEP).

This FSE ExPlan was specifically designed, developed and produced for the PICU Surge Capacity Exercise Program and to provide exercise participants with the information and tools necessary to perform their roles.

The information in this document is current as of the date of publication and is subject to change as dictated by the HX PICU Surge Capacity FSE Planning Team.

The HX PICU Surge Capacity FSE is an *unclassified exercise* and all exercise materials, including this PICU Surge Capacity FSE ExPlan, are unclassified documents.

Control of exercise information is based upon public sensitivity regarding the nature of the PICU Surge Capacity FSE rather than actual exercise content. Some exercise material is intended for the exclusive use of the PICU Surge Capacity FSE planners, controllers and evaluators, but players may view materials deemed necessary for their performance. *All exercise participants may view the HX PICU Surge Capacity FSE ExPlan, but the Controller and Evaluator (C/E) Handbook is a restricted document intended for controllers and evaluators only.*

Public release of exercise materials to third parties is at the discretion of the PDC and the HX PICU Surge Capacity FSE Planning Team.

## Handling Instructions

1. The title of this document is *Hospital X (HX) PICU Surge Capacity Full-Scale Exercise (FSE) Exercise Plan (ExPlan)*.
2. The information gathered in this FSE ExPlan should be handled as sensitive information that is not to be disclosed. This document should be safeguarded, handled, transmitted, and stored in accordance with appropriate security directives. Reproduction of this document, in whole or in part, without prior approval from PDC and the HX FSE Planning Team is prohibited.
3. At a minimum, the attached materials will be disseminated strictly on a need-to-know basis and when unattended, will be stored in a locked container or area offering sufficient protection against theft, compromise, inadvertent access, and unauthorized disclosure.
4. For more information about the exercise, please consult the following point of contact (POC):  
[info@pediatricdisastercoalition.org](mailto:info@pediatricdisastercoalition.org).



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# Section 1

## General Information

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## Section 1: General Information

### Introduction

Hospital X (HX) *PICU Surge Capacity Full-Scale Exercise (FSE)* is designed to establish a learning environment for players to exercise emergency response plans, policies, and procedures as they pertain to the management of a PICU Surge Capacity scenario. An FSE is a complex event that requires detailed planning. To conduct an effective exercise, subject matter experts (SMEs) from HX and the PDC have taken part in the planning process and will take part in exercise conduct and evaluation.

This Exercise Plan (ExPlan) was produced at the direction of the New York City Pediatric Disaster Coalition (PDC) with the input, advice, and assistance of the HX FSE Planning Team. The *HX PICU Surge Capacity FSE* is evidence of the growing awareness of the implications of an event that would cause an influx of PICU patients to the hospital.

### Exercise Summary

The purpose of this exercise is to provide participants with an opportunity to evaluate current response concepts, plans, and capabilities in response to an event that would cause the NICU to need to evacuate. The exercise will focus on health care facility (HCF) command and control coordination, critical decisions and notifications.

#### General

The *HX PICU Surge Capacity FSE* will be conducted on [insert date], beginning at approximately [insert time]. Exercise play is scheduled for approximately three hours or until the Exercise Director, HX Exercise Facilitator and the PDC Project Director determine that the exercise objectives have been met at each FSE location.

#### Purpose

The purpose of the *HX PICU Surge Capacity FSE* is to provide participants with an opportunity to evaluate current response concepts, plans, and capabilities in response to an event that would cause the Pediatric Intensive Care Unit to surge. The exercise will focus on local health care facility (HCF) command and control, coordination, critical decisions, notifications, and patient management.

### PICU Surge Capacity FSE Goal

The overall goal of the HX PICU Surge Capacity FSE is to assess the capability of HX, in the context of a PICU Surge Capacity event, to:

- Create additional PICU surge space
- Coordinate resources (human and equipment)
- Maintain patient care

### Scope of Exercise Play

The scope of play for the HX PICU Surge Capacity FSE requires hospital staff to perform actions anticipated to take place during a surge event. These actions include command and control, communications, triage, patient movement, site security, processing and tracking, resource management, and family management.

## Limitations

- The PICU Surge Capacity FSE will not involve live patient care
- HX may exercise additional response elements
- PDC will limit its control/evaluation to the PICU Surge Capacity FSE objectives only

## Exercise Objectives

The *HX PICU Surge Capacity FSE* Planning Team selected objectives that focus on evaluating emergency response procedures, identifying areas for improvement, and achieving a collaborative attitude. This exercise will focus on the following objectives:

- Assess ability of PICU leadership to notify the emergency preparedness coordinator of an impending surge event and the following communications to alert all hospital staff.
- Assess availability and management of resources as it pertains to staffing, supplies and equipment in a surge event.
- Assess ability of hospital staff to set up all alternate care sights including the PICU and triage area.
- Assess the ability of hospital staff to communicate internally as well as externally to other institutions or agencies.
- Assess ability of staff to move patients from the point of entrance to their respective accepting unit while providing treatment based on information given from evacuating hospital.

## Design Assumptions and Artificialities

### Assumptions

Assumptions constitute the implied factual foundation for the exercise and hence are assumed to be present before the start of the exercise. The following general assumptions apply to the *HX PICU Surge Capacity FSE*:

- The exercise will be conducted in a no-fault learning environment wherein systems and processes, not individuals, will be evaluated
- Exercise simulation will be realistic and plausible, containing sufficient detail from which to respond
- Exercise players will react to the information and situations as they are presented, in the same manner as if this had been a real event
- The PICU Surge Capacity FSE is not designed as a “no-notice” exercise
- FSE control staff may release scenario information to players in advance of the FSE as part of a player briefing

### Communications Artificialities

- Patients will be notionalized through the use of life-sized mannequins (adolescent-sized and infant-sized)
- Time jumps in the scenario will occur and will be conveyed to players by controllers

### Constructs and Constraints

Constructs are exercise devices designed to enhance or improve exercise realism. Alternatively, constraints are exercise limitations that may detract from exercise realism. Constraints may

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be the inadvertent result of a faulty construct or may pertain to financial and staffing issues. Although there are a number of constructs and constraints (also known as exercise artificialities) for any exercise, the *HX PICU Surge Capacity FSE* Planning Team recognizes and accepts the following as necessary:

- Exercise communication and coordination will be limited to the participating exercise locations.
- Only HX's existing communication equipment will be available for players to use during the exercise.
- The hospital may need to balance exercise play with real-world emergencies. It is understood that real-world emergencies will take priority.

## Scenario Assumptions:

### HX

The following scenario-based assumptions, which are specific to HX, apply:

- HX will only be accepting PICU patients from the evacuating hospital
- The PICU will be at 95% capacity at the time of the surge
- The Command Center will be immediately stood up

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# Section 2

## Exercise Logistics

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## Section 2: Exercise Logistics

### Exercise Summary

#### General

*Hospital X of New York Presbyterian (HX) PICU Surge Capacity Full-Scale Exercise (FSE)* is designed to establish a learning environment for players to exercise emergency response plans, policies, and procedures as they pertain to the management of a PICU surge capacity scenario. *The HX PICU Surge Capacity FSE* will be conducted on [insert date], beginning at approximately [insert time] with the conclusion of key exercise activities by approximately [insert time]. Exercise play is scheduled for approximately two hours from approximately [insert time] or until the Exercise Director/Senior Controller, HX Exercise Facilitator and PDC Project Director determine that the exercise objectives have been met at each FSE location.

### Exercise Participants

The following are the categories of participants involved in this exercise; please note that the term “participant” refers to all categories listed below and is not limited to those playing in the exercise:

**Players.** Players are HX personnel who have an active role in responding to the simulated emergency and will perform their regular roles and responsibilities during the exercise. Players initiate actions to respond to and mitigate the simulated emergency.

**Controllers/Evaluators.** Controllers/Evaluators (C/Es) are exercise staff that will serve in the dual role of controlling exercise play and evaluating exercise performance.

**Control Responsibilities:** C/Es assist with setting up and operating the exercise locations, managing exercise play, and acting in the roles of response individuals and agencies not playing in the exercise. C/Es direct the pace of exercise play and routinely include members from the exercise planning team. They provide key data to players and may prompt or initiate certain player actions to ensure exercise continuity. C/Es will also serve as simulators to role-play as nonparticipating organizations or individuals, (e.g., external agencies, media reporters, bystanders or next of kin) in accordance with instructions provided in the Master Scenario Events List (MSEL).

**Evaluation Responsibilities.** C/Es evaluate and provide feedback on a designated functional area of the exercise. The C/Es have expertise in the functional area(s) they have been assigned to review during the exercise. C/Es will assess and document participants’ performance against established emergency plans and exercise evaluation criteria, in accordance with HSEEP standards. The C/E team is comprised of PDC and HX staff.

**Controllers.** Controllers will provide supplementary exercise control support to the C/Es; however, they will not perform formal evaluations of the FSE. Controllers will assist with setting up and operating the exercise locations; managing exercise play, and acting in the roles of response individuals and agencies not playing in the exercise. Controllers will assist the C/Es to direct the pace of exercise play, providing key data to players and may prompt or initiate certain player actions to ensure exercise continuity.

**HX Exercise Safety Staff.** The HX Exercise Safety Staff is responsible for the safety of all exercise participants during exercise setup, exercise play, exercise break-down and clean-up. Exercise Safety Staff will assume exercise control responsibilities that pertain to real-world exercise participant safety and will operate in consultation with the Exercise Director, the HX Trusted Agent and all C/Es. For further information, please refer to [Section 2: Safety Requirements](#).

**HX Public Affairs Staff.** HX has designated representatives to manage public information or media inquiries. These staff members may also serve as players representing public affairs/public information functions from a remote location. For further information, please refer to the [Public Affairs section](#).

**Actors.** Actors are exercise staff assigned to simulate specific roles during the FSE exercise play, such as families of patients, bystanders or the media to enhance realism and meet related exercise objectives.

**Observers.** Observers visit or view selected segments of the exercise. Observers do not play in the exercise, and do not perform any control or evaluation functions. Observers will be asked to remain within the observation area during the exercise.

## Exercise Tools

### Controller and Evaluator Handbook

The *HX PICU Surge Capacity FSE Controller/Evaluator (C/E) Handbook* is designed to help exercise controllers and evaluators conduct and evaluate an effective exercise. The C/E Handbook also enables controllers and evaluators to understand their roles and responsibilities in exercise execution and evaluation. Should a player, observer, or media representative find an unattended handbook, it should be provided to the nearest exercise staff member.

### Master Scenario Events List

The Master Scenario Events List (MSEL) outlines benchmarks and injects that drive exercise play. The MSEL also details the realistic input given to the exercise players as well as information expected to emanate from simulated organizations (i.e., nonparticipating organizations, agencies, and individuals that would usually respond to the situation). Each inject includes several components: inject time, type and method of transmittal, the C/E responsible for delivery, the intended recipient, a short description of the event, and the expected player action(s).

## Exercise Implementation

### Areas of Exercise Play

Areas of exercise play include the following HX locations and nearby hallways/passageways:

Assigned Response Function	Physical Location
Simulated PICU	9N & 9C
Hospital Command Center	10 N Conference Room
Triage Area	3T PACU
Ambulance Bay	Ambulance Bay

## Exercise Location Setup/Breakdown

Exercise setup involves the pre-staging and distribution of exercise materials; including registration materials, documentation, signage, and other equipment as appropriate.

- **Mannequins.** The FSE will use approximately 10 mannequins and standard dolls to simulate patients. These mannequins include infant, child, and adolescent sized mannequins. Only authorized personnel should move and transport the mannequins. HX staff is responsible for the pre-positioning/pre-staging of the mannequins at designated locations during exercise setup and retrieving the mannequins during exercise breakdown.
- For further information regarding mannequin-related safety information, including exercise signage please refer to [Section 2: Safety Requirements](#).
- **Signage:** Exercise signage will be posted and removed on the day of the FSE. HX staff is responsible for the posting of all exercise signage. Please refer to [Exercise Signage](#) for additional information.

After the exercise, Exercise Staff and Players will begin cleanup operations to restore the area to pre-exercise conditions. Exercise staff from PDC and HX will assist in these efforts.

## Exercise Conduct

Exercise play will begin at 10:00 AM. The Exercise Director will provide a general scenario briefing. The C/Es will provide additional location-based briefings at each location. Play will proceed according to the events outlined in the MSEL, in accordance with established plans and procedures. The exercise will conclude upon the completion of operations and attainment of the exercise objectives, as determined by the Exercise Director and Exercise Facilitator. The exercise is expected to end by 1:00 PM.

## Exercise Rules

The following are the general rules that govern exercise play:

- Real-world emergency actions take priority over exercise conduct
- Exercise participants will comply with real-world response procedures, unless otherwise directed by Exercise Staff
- All communications (written, radio, telephone, etc.) made during the exercise will begin and end with the phrase, ***“This is an exercise message. This is an exercise message.”***
- Communications will occur in real-time using standard equipment and systems
- Exercise participants placing telephone calls or initiating radio communication must identify to the Controller/Evaluator the organization, agency, office, and/or individual with whom they are communicating

## Safety Requirements

Exercise participant safety takes priority over exercise events. HX is responsible for ensuring the health and safety of all personnel involved in the *HX PICU Surge Capacity FSE*. Professional health and safety ethics should guide all participants to operate in their assigned roles in the safest manner possible.

HX has designated HX Exercise Safety Staff to ensure the safety of all exercise participants during exercise conduct. The following apply to the exercise:

- All exercise staff, including the Exercise Director, HX Exercise Facilitator, HX FSE Safety Staff and Controller/Evaluators will serve as safety observers while the exercise activities are underway. Any safety concerns must be immediately reported to the HX FSE Safety Staff.
- Participants will be responsible for their own and each other's safety during the exercise. It is the responsibility of all persons associated with the exercise to stop play if, in their opinion, a real safety problem exists. Once the problem is corrected, exercise play can be restarted.
- Life-sized mannequins will be used to simulate patients. These mannequins include infant sized mannequins. Only authorized personnel should move and transport the mannequins.

### Exercise Signage

**Exercise Locations:** All exercise locations and areas of exercise play will be posted with visible exercise signage, (e.g. "Exercise in Progress"). Regular hospital operations will continue as usual. Every effort will be made by HX not to disrupt regular hospital operations and areas of the hospital that are not participating in the FSE.

**Mannequins:** This exercise will involve the transporting of mannequins, which will be placed on gurneys or stretchers, through designated areas of HX. Because viewing these exercise activities may be potentially confusing or upsetting for bystanders who do not have actual knowledge of the exercise, all gurneys and stretchers being used during the exercise will also display exercise signage (e.g. "Exercise in Progress - Mannequins in Use").

### Accident Reporting and Real Emergencies

For an emergency that requires assistance, the phrase will be **"Real World Emergency"**. The following procedures should be used in case of a real emergency during the exercise:

- Anyone observing a participant who is seriously ill or injured will first advise the nearest controller, then if possible, render aid, provided the aid does not exceed his or her training.
- The exercise staff member who is made aware of a real emergency will initiate the broadcast **"Real World Emergency"** on the controller radio network, providing the following information to the Exercise Director/Senior Controller:
  - Exercise location
  - Condition
  - Requirements
- The Exercise Director, Exercise Facilitator and all Controller/Evaluators will be notified as soon as possible if a real emergency occurs.
- If the nature of the emergency requires a suspension of the exercise at the exercise location, all exercise activities at that facility will immediately cease. Exercise play may resume at that venue/function once the real emergency situation has been addressed.
- Exercise play at other exercise locations should not necessarily cease if one exercise location has declared a *"Real World Emergency"* unless they are reliant on the affected exercise location.
- If a real emergency occurs that affects the entire exercise, the exercise may be suspended or terminated at the discretion of the Exercise Director. The notification will be made on the Exercise Staff radio network. Players will be notified by the location's Controller/Evaluator.

## Site Access

### Security

To prevent confusion and interruption of the exercise, access to the exercise locations will be limited to exercise participants only. Players should advise their exercise location's Controller/Evaluator if an unauthorized person is present. HX will follow its internal security procedures, augmented as necessary to comply with exercise requirements.

### Observer Coordination

HX will coordinate access to the exercise locations for Observers. All Observers will be asked to remain within the designated observation areas during the exercise. HX representatives and/or the exercise location's Controller/Evaluator will be present to answer questions during the exercise.

### Refreshments and Restroom Facilities

Refreshments will be provided for all exercise participants during Participant Registration and the Participant Hotwash. Restroom facilities will be available.

## Exercise Identification

All exercise participants will be issued color-coded Participant Identification Badges. The chart below describes identification items.

**Table 2.1 Exercise Identification**

Exercise Role	Badge Color
HX Trusted Agent	Blue
Exercise Director/Senior Controller/Lead Evaluator	Blue
Controllers/Evaluators	Yellow
Simulators/Actors	Orange
HX Exercise Safety Staff	Red
Observers	Green
Players	White

## Communications Plan

### Exercise Start, Suspension, and Termination Instructions

The exercise is scheduled to run for approximately two (2) hours or until the Exercise Director, HX Exercise Facilitator and PDC Project Director determine that the exercise objectives have been met.

**All spoken and written communication will start and end with the statement, "This is an exercise message. This is an exercise message."**

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## Player Communication

Players will use routine, in-place hospital communication systems. Additional communication assets may be made available as the exercise progresses. The need to maintain capability for a real-world response may preclude the use of certain communication channels or systems that would usually be available for an actual emergency incident. In no instance will exercise communication interfere with real world emergency communications.

## Exercise Staff Communication

The primary means of communication among the C/Es and other Exercise Staff across the designated FSE locations will be radio. The secondary means of communication will be by mobile phone. All Exercise Staff will receive a list that includes the specified Exercise Staff Radio Channel and key telephone numbers. Before the start of the exercise, the Exercise Director will conduct a final point-to-point communication check with all C/Es to ensure redundancy and uninterrupted flow of control information.

## Public Affairs

HX is responsible for disseminating public information in advance of the HX PICU Surge Capacity FSE. HX is also responsible for determining whether to provide advance notice to the media and/or permit the media to observe the exercise. In preparation for the FSE, HX Public Affairs has prepared a statement that could be released to the media, should the media contact HX or show up at HX in reference to the FSE.

HX will address the news media should they be present on set-up day or on the day of the FSE. In addition, HX will manage public information or media inquiries, including both “real world” inquiries and those simulated for the FSE.

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# Section 3

## Player Guidelines

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## Section 3: Player Guidelines

### Exercise Staff

#### Exercise Facilitator (HX)

The role of Exercise Facilitator will be assumed by the HX Trusted Agent with the following overall roles and responsibilities:

- Coordinating and overseeing internal exercise setup before the exercise
- Monitoring exercise activities and progress during the exercise
- Maintaining a close dialogue with the Exercise Director and PDC Project Director regarding the status of play and the achievement of the exercise design objectives
- Making the final decision regarding deviations or significant changes to the scenario caused by unexpected developments during play.
- Monitoring actions by individual Controller/Evaluators and ensures they implement all designated and modified actions at the appropriate time
- Delivering the Exercise Briefing and facilitating the Main Hotwash
- Coordinating and overseeing internal exercise breakdown after the exercise

#### Exercise Director/Senior Controller/Lead Evaluator

The Exercise Director/Senior Controller/Lead Evaluator will be filled by a single individual with the following overall roles and responsibilities:

- Planning, coordinating, and overseeing all exercise functions
- Managing and organizing exercise activities and progress
- Maintaining a close dialogue with the Controller/Evaluators and other Exercise Staff regarding the status of play and the achievement of the exercise design objectives
- Coordinating decisions regarding deviations or significant changes to the scenario caused by unexpected developments during play.
- Monitoring actions by individual Controller/Evaluators and ensures they implement all designated and modified actions at the appropriate time
- Briefing/Debriefing the Controller/Evaluators and other Exercise Staff before/after the exercise and overseeing the setup/breakdown of the exercise

#### HX Exercise Safety Staff

The HX Exercise Safety Staff is responsible for monitoring exercise safety during setup, conduct and clean-up of the exercise. All exercise participants will assist the safety controller by reporting any safety concerns. The responsibilities of the HX Exercise Safety Staff are designated and overseen by HX.

#### Controllers/Evaluators

The individual Controller/Evaluators (C/Es) issue exercise materials to players as required, monitor the exercise timeline, and monitor the safety of all exercise participants. C/Es also provide injects to the players as described in the MSEL. Specific C/Es responsibilities are addressed in the C/E Handbook.

In addition to providing exercise control, C/Es record events that take place in their assigned location and submit documentation for review and inclusion in the After Action Report (AAR)/Improvement Plan (IP). C/Es will balance the necessary direct interaction with the players by providing an objective evaluation of player activities. Specific evaluator responsibilities of C/Es are addressed in the C/E Handbook.

## Player Instructions

### Before the Exercise

- Review the appropriate HX emergency plans, procedures, and exercise support documents.
- If you gain knowledge of the contents of the MSEL before the exercise, please notify a Controller/Evaluator so that appropriate actions can be taken to ensure a valid evaluation.
- Read your Player Information Handout, which includes information on exercise safety, communications guidelines and the exercise schedule.
- Please complete your participant registration on the FSE Participant Sign-in Sheet.

### During the Exercise

- Please respond to the scenario as normally as possible.
- Follow all directions provided by Exercise Safety and Exercise Staff.
- You may encounter Actors, who will act out a particular role, such as: hospital visitor or a patient's family member. Please respond to them as realistically as possible.
- Direct questions regarding exercise play to your location's Controller/Evaluator or the Exercise Director or Exercise Facilitator.
- Your Controller/Evaluator may ask you to clarify the purpose of your activities; please respond to their questions.
- Controllers/Evaluators will only give you information they are specifically directed to disseminate. You are expected to obtain other necessary information through existing emergency information channels.
- Please do not engage in personal conversations with Controller/Evaluators, HX Exercise Safety Staff or Observers while the exercise is in progress. If you are asked an exercise-related question, please provide a short, concise answer. If you are busy and cannot immediately respond, please indicate so, but report back with an answer at the earliest time possible.
- If you do not understand the scope of the exercise or if you are uncertain about a staff member's participation in an exercise, please ask a Controller/Evaluator.
- Parts of the scenario may seem implausible. Please recognize that the exercise has objectives to satisfy and may require the incorporation of unrealistic aspects. Please note that every effort has been made by the FSE Planning Team to balance realism with safety and the creation of an effective learning and evaluation environment.
- All exercise communication will begin and end with the phrase
  - **"This is an exercise message. This is an exercise message."**
  - This is a precaution taken so anyone overhearing the conversation will not mistake the exercise play for a real world emergency.
- When communicating to a hospital department, organization, agency, and/or individual being notionalized for this exercise, please state the name of hospital department, organization, agency, and/or individual with which you want to speak.

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# Section 3: Player Guidelines

- Verbalize out loud when taking an action. This will ensure that Controller/Evaluators are made aware of critical actions as they occur.
- Maintain a log of your activities. Many times, this log may include documentation of activities missed by a Controller/Evaluator.

## Following the Exercise

- At the end of the exercise, please participate in the Location-Based Participant Hotwash with the Exercise Staff.
- During the Location-Based Participant Hotwash, please complete the Participant Feedback Form. This form allows you to comment candidly on emergency response activities and effectiveness of the exercise. Please provide the completed form to any Controller/Evaluator.
- Provide any notes or materials generated from the exercise to your Controller/Evaluator for review and inclusion in the AAR/IP.

## Simulation Guidelines

Because the *HX PICU Surge Capacity FSE* is of limited duration and scope, the physical description of what would fully occur at certain locations inside and outside the hospital will be relayed to the players by simulators or Controller/Evaluator.

If a real emergency occurs during the exercise, the exercise at your respective venue may be suspended or terminated at the discretion of the Controller/Evaluator at each exercise location. If a real emergency occurs, say **“Real World Emergency”** and notify the nearest Controller/Evaluator.

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# Section 4

## Evaluation and Post-Exercise Activities

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## Section 4: Evaluation and Post-Exercise Activities

# Section 4: Evaluation and Post-Exercise Activities

### Exercise Documentation

The goal of the *HX PICU Surge Capacity FSE* is to exercise and evaluate HX's plans and capabilities as they pertain to a potential mass fatality incident. After the exercise, data collected by Controller/Evaluators, Observers, and Players will be used to identify strengths and areas for improvement in the context of the exercise design objectives.

#### Participant Feedback Forms

Participant Feedback Forms will be used to document participant information about the exercise. C/Es will distribute these forms during the Location-Based Participant Hotwashes. The forms will be collected afterward, along with the FSE Participant Sign-in Sheets for these events. C/Es should emphasize to players that these forms provide the opportunity for them to comment candidly on emergency response activities and exercise effectiveness.

### Post-Exercise Hotwash

#### Location-Based Hotwash

Immediately after completion of exercise play, each C/E will facilitate a Location-Based Participant Hotwash with exercise participants at their assigned locations. The Location-Based Participant Hotwash is an opportunity for players to voice their opinions regarding the exercise and their own performance while the events are still fresh in their minds. At this time, C/E and Hospital Evaluators can seek clarification regarding certain actions and what prompted players to take them. C/E and evaluators should take notes during the Location-Based Hotwash and include these observations in their analyses.

C/Es will ask the exercise participants to select one to two participants to participate in the Main Hotwash to be conducted immediately after the Location-Based Hotwash.

#### Main Hotwash

The Exercise Facilitator and Exercise Director will facilitate a Main Participant Hotwash with selected exercise participants. The Main Participant Hotwash is an opportunity for players who were responsible for key decision-making during exercise play to voice their opinions regarding the exercise and their own performance, as well as provide a report-out from their assigned exercise location.

### Exercise Staff Debriefing

Following the Participant Hotwash, the Exercise Director will facilitate an Exercise Staff Debriefing. During this debriefing, the exercise staff will discuss their exercise observations in an open environment to clarify actions taken during the exercise.

### After Action Report

The AAR is the culmination of the *HX PICU Surge Capacity FSE*. It is a written report outlining the strengths and areas for improvement identified during the exercise. The AAR will include a timeline, executive summary, scenario description, mission outcomes, and capability analysis. The AAR will be drafted by PDC staff, in consultation with the HX FSE Planning Team.

Section 1:  
General Information

Section 2:  
Exercise Logistics

Section 3:  
Player Guidelines

Section 4:  
Evaluation and  
Post-Exercise Activities

Appendix A:  
Exercise Schedule

Appendix B:  
Participating Agencies

Exercise Plan  
(Explain)

# Section 4: Evaluation and Post-Exercise Activities

## After Action Meeting and Improvement Plan

The improvement process represents the comprehensive, continuing preparedness effort of which the *HX PICU Surge Capacity FSE* is a part. The lessons learned and recommendations from the AAR will be incorporated into an Improvement Plan (IP).

### After Action Meeting

The After Action Meeting (AAM) is a forum for hospital staff to hear the results of the evaluation analysis, validate findings and recommendations in the draft AAR, and begin development of the Improvement Plan (IP). The AAM will be held at HX on [insert date, time and room].

### Improvement Plan

The IP identifies how recommendations will be addressed, including what actions will be taken, who is responsible, and the timeline for completion. It is created by key stakeholders from the HX PICU Surge Capacity FSE during the AAM.

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Section 1:  
General Information

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Section 4:  
Evaluation and  
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Appendix A:  
Exercise Schedule

Appendix B:  
Participating Agencies

Exercise Plan  
(ExPlan)



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# Appendix A

## Exercise Schedule

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## Appendix A: Exercise Schedule

**Table A.1 HX PICU Surge Capacity FSE Schedule**

Time	Activity	Personnel
8:00 AM	Exercise Staff Arrival & Check In	<ul style="list-style-type: none"> <li>• Exercise Director</li> <li>• Controllers/Evaluators</li> <li>• HX FSE Safety Staff</li> </ul>
8:30 AM	Final Exercise Staff Briefing & Final Communications Check	<ul style="list-style-type: none"> <li>• Exercise Director</li> <li>• Controllers/Evaluators</li> <li>• HX FSE Safety Staff</li> </ul>
9:00 AM	Participants Arrive; Registration	<ul style="list-style-type: none"> <li>• Players, Observers</li> </ul>
9:30 AM	General Exercise, Scenario & Safety Briefing	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>
9:50 AM	Report to StartEx location	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>
10:00 AM	Exercise Play Start (StartEx)	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>
12:00 AM	Exercise Play End (EndEx)	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>
Immediately following EndEx	Location-Based Participant Hotwashes	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>
Immediately following Location-Based Participant Hotwashes	Main Participant Hotwash	<ul style="list-style-type: none"> <li>• Selected Participants</li> <li>• All Exercise Staff</li> </ul>
Immediately following Leadership Hotwash	Exercise Staff Debriefing	<ul style="list-style-type: none"> <li>• All Exercise Staff</li> </ul>
12:00-2:00	After Action Meeting	<ul style="list-style-type: none"> <li>• All Participants</li> </ul>

# Appendix A: Exercise Schedule

Section 1:  
General Information

Section 2:  
Exercise Logistics

Section 3:  
Player Guidelines

Section 4:  
Evaluation and Post-Exercise Activities

Appendix A:  
Exercise Schedule

Appendix B:  
Participating Agencies

Exercise Plan  
(ExPlan)





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# Appendix B

## Participating Agencies

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## Appendix B: Participating Agencies

**Table B.1 Participating Agencies**

Participating Agencies
<ul style="list-style-type: none"> <li>• Hospital X of New York Presbyterian</li> </ul>
<ul style="list-style-type: none"> <li>• New York City Pediatric Disaster Coalition</li> </ul>
<ul style="list-style-type: none"> <li>• New York City Department of Health and Mental Hygiene</li> </ul>

# Appendix B: Participating Agencies

Section 1:  
General Information

Section 2:  
Exercise Logistics

Section 3:  
Player Guidelines

Section 4:  
Evaluation and  
Post-Exercise Activities

Appendix A:  
Exercise Schedule

**Appendix B:  
Participating Agencies**

Exercise Plan  
(ExPlan)



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# Exercise Plan (ExPlan)

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## Exercise Plan

### Exercise Plan (ExPlan)

The Exercise Plan (ExPlan) gives elected and appointed officials, observers, media personnel, and players from participating organizations information they need to observe or participate in the exercise. Some exercise material is intended for the exclusive use of exercise planners, controllers, and evaluators, but players may view other materials that are necessary to their performance. All exercise participants may view the ExPlan.



# Exercise Overview

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Exercise Plan (ExPlan)

<b>Exercise Name</b>
<b>Exercise Name</b>
<b>Scope</b>
<b>Mission Area(s)</b>
<b>Core Capabilities</b>
<b>Objectives</b>
<b>Threat or Hazard</b>
<b>Scenario</b>
<b>Sponsor</b>
<b>Participating Organizations</b>
<b>Point of Contact</b>



# General Information

## Exercise Objectives and Core Capabilities

The following exercise objectives in Table 1 describe the expected outcomes for the exercise. The objectives are linked to core capabilities, which are distinct critical elements necessary to achieve the specific mission area(s). The objectives and aligned core capabilities are guided by elected and appointed officials and selected by the Exercise Planning Team.

**Table 1. Exercise Objectives and Associated Core Capabilities**

Exercise Objective	Core Capability

## Participant Roles and Responsibilities

The term *participant* encompasses many groups of people, not just those playing in the exercise. Groups of participants involved in the exercise, and their respective roles and responsibilities, are as follows:

- **Players.** Players are personnel who have an active role in discussing or performing their regular roles and responsibilities during the exercise. Players discuss or initiate actions in response to the simulated emergency.
- **Controllers.** Controllers plan and manage exercise play, set up and operate the exercise site, and act in the roles of organizations or individuals that are not playing in the exercise. Controllers direct the pace of the exercise, provide key data to players, and may prompt or initiate certain player actions to ensure exercise continuity. In addition, they issue exercise material to players as required, monitor the exercise timeline, and supervise the safety of all exercise participants.
- **Simulators.** Simulators are control staff personnel who role play nonparticipating organizations or individuals. They most often operate out of the Simulation Cell (SimCell), but they may occasionally have face-to-face contact with players. Simulators function semi-independently under the supervision of SimCell controllers, enacting roles (e.g., media reporters or next of kin) in accordance with instructions provided in the Master Scenario Events List (MSEL). All simulators are ultimately accountable to the Exercise Director and Senior Controller.
- **Evaluators.** Evaluators evaluate and provide feedback on a designated functional area of the exercise. Evaluators observe and document performance against established capability targets and critical tasks, in accordance with the Exercise Evaluation Guides (EEGs).
- **Actors.** Actors simulate specific roles during exercise play, typically victims or other bystanders. [Delete bullet if not applicable]



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## General Information (Continued)

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- **Observers.** Observers visit or view selected segments of the exercise. Observers do not play in the exercise, nor do they perform any control or evaluation functions. Observers view the exercise from a designated observation area and must remain within the observation area during the exercise. Very Important Persons (VIPs) are also observers, but they frequently are grouped separately.
  - **Media Personnel.** Some media personnel may be present as observers, pending approval by the sponsor organization and the Exercise Planning Team. [Delete bullet if not applicable]
  - **Support Staff.** The exercise support staff includes individuals who perform administrative and logistical support tasks during the exercise (e.g., registration, catering).
- 

### Exercise Assumptions and Artificialities

In any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and/or account for logistical limitations. Exercise participants should accept that assumptions and artificialities are inherent in any exercise, and should not allow these considerations to negatively impact their participation.

#### Assumptions

Assumptions constitute the implied factual foundation for the exercise and, as such, are assumed to be present before the exercise starts. The following assumptions apply to the exercise:

- [The exercise is conducted in a no-fault learning environment wherein capabilities, plans, systems, and processes will be evaluated.]
- [The exercise scenario is plausible, and events occur as they are presented.]
- [Exercise simulation contains sufficient detail to allow players to react to information and situations as they are presented as if the simulated incident were real.]
- [Participating agencies may need to balance exercise play with real-world emergencies. Real-world emergencies take priority.]

#### Artificialities

During this exercise, the following artificialities apply:

- [Exercise communication and coordination is limited to participating exercise organizations, venues, and the SimCell.]
- [Only communication methods listed in the Communications Directory are available for players to use during the exercise.]



## Exercise Logistics

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### Safety

Exercise participant safety takes priority over exercise events. The following general requirements apply to the exercise:

- A Safety Controller is responsible for participant safety; any safety concerns must be immediately reported to the Safety Controller. The Safety Controller and Exercise Director will determine if a real-world emergency warrants a pause in exercise play and when exercise play can be resumed.
- For an emergency that requires assistance, use the phrase **["real-world emergency."]**  
The following procedures should be used in case of a real emergency during the exercise:
  - Anyone who observes a participant who is seriously ill or injured will immediately notify emergency services and the closest controller, and, within reason and training, render aid.
  - The controller aware of a real emergency will initiate the ["real-world emergency"] broadcast and provide the Safety Controller, Senior Controller, and Exercise Director with the location of the emergency and resources needed, if any. The Senior Controller will notify the [Control Cell or SimCell] as soon as possible if a real emergency occurs.

### Fire Safety

Standard fire and safety regulations relevant to the [jurisdiction, venue, or organization] will be followed during the exercise. [Insert any organization- or venue-specific guidelines or protocols.]

### Emergency Medical Services

The sponsor organization will coordinate with local emergency medical services in the event of a real-world emergency. [Insert any organization- or venue-specific guidelines or protocols.]

### Electrical and Generating Device Hazards

All applicable electrical and generating device safety requirements should be documented prior to the start of the exercise. [Insert any organization- or venue-specific guidelines or protocols.]

### Weapons Policy

All participants will follow the relevant weapons policy for the exercising organization or exercise venue. [Please see Appendix [X] for a detailed description of the weapons policy.]

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### Site Access

#### Security

If entry control is required for the exercise venue(s), the sponsor organization is responsible for arranging appropriate security measures. To prevent interruption of the exercise, access to exercise sites and the [Control Cell and/or SimCell] is limited to exercise participants. Players should advise their venue's controller or evaluator of any unauthorized persons.





## Exercise Logistics (Continued)

### Media/Observer Coordination [delete section if not applicable]

Organizations with media personnel and/or observers attending the event should coordinate with the sponsor organization for access to the exercise site. Media/Observers are escorted to designated areas and accompanied by an exercise controller at all times. Sponsor organization representatives and/or the observer controller may be present to explain exercise conduct and answer questions. Exercise participants should be advised of media and/or observer presence.

### Exercise Identification [delete section if not applicable]

Exercise staff may be identified by badges, hats, and/or vests to clearly display exercise roles; additionally, uniform clothing may be worn to show agency affiliation. Table 2 describes these identification items.

**Table 2. Exercise Identification**

Group	Color
Exercise Director	White
Facilitator	White
Controllers	Blue
Evaluators	Red
Actors	Black
Support Staff	Gray
Observers/VIPs	Orange
Media Personnel	Purple
Players, Uniformed	Yellow
Players, Civilian Clothes	Yellow



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## Post-exercise and Evaluation Activities

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### Debriefings

Post-exercise debriefings aim to collect sufficient relevant data to support effective evaluation and improvement planning.

#### Hotwash

At the conclusion of exercise play, controllers facilitate a Hotwash to allow players to discuss strengths and areas for improvement, and evaluators to seek clarification regarding player actions and decision-making processes. All participants may attend; however, observers are not encouraged to attend the meeting. The Hotwash should not exceed 30 minutes.

#### Controller and Evaluator Debriefing

Controllers and evaluators attend a facilitated C/E Debriefing immediately following the exercise. During this debriefing, controllers and evaluators provide an overview of their observed functional areas and discuss strengths and areas for improvement.

#### Participant Feedback Forms

Participant Feedback Forms provide players with the opportunity to comment candidly on exercise activities and exercise design. Participant Feedback Forms should be collected at the conclusion of the Hotwash.

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### Evaluation

#### Exercise Evaluation Guides

EEGs assist evaluators in collecting relevant exercise observations. EEGs document exercise objectives and aligned core capabilities, capability targets, and critical tasks. Each EEG provides evaluators with information on what they should expect to see demonstrated in their functional area. The EEGs, coupled with Participant Feedback Forms and Hotwash notes, are used to evaluate the exercise and compile the After Action Report (AAR).

#### After Action Report

The AAR summarizes key information related to evaluation. The AAR primarily focuses on the analysis of core capabilities, including capability performance, strengths, and areas for improvement. AARs also include basic exercise information, including the exercise name, type of exercise, dates, location, participating organizations, mission area(s), specific threat or hazard, a brief scenario description, and the name of the exercise sponsor and POC.

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### Improvement Planning

Improvement planning is the process by which the observations recorded in the AAR are resolved through development of concrete corrective actions, which are prioritized and tracked as a part of a continuous corrective action program.

#### After Action Meeting

The After Action Meeting (AAM) is a meeting held among decision- and policy-makers from the exercising organizations, as well as the Lead Evaluator and members of the Exercise Planning



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## Post-exercise and Evaluation Activities (Continued)

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Team, to debrief the exercise and to review and refine the draft AAR and Improvement Plan (IP). The AAM should be an interactive session, providing attendees the opportunity to discuss and validate the observations and corrective actions in the draft AAR/IP.

### **Improvement Plan**

The IP identifies specific corrective actions, assigns them to responsible parties, and establishes target dates for their completion. It is created by elected and appointed officials from the organizations participating in the exercise, and discussed and validated during the AAM.



## Participant Information and Guidance

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### Exercise Rules

The following general rules govern exercise play:

- Real-world emergency actions take priority over exercise actions.
  - Exercise players will comply with real-world emergency procedures, unless otherwise directed by the control staff.
  - All communications (including written, radio, telephone, and e-mail) during the exercise will begin and end with the statement **["This is an exercise."]**
  - Exercise players who place telephone calls or initiate radio communication with the SimCell must identify the organization or individual with whom they wish to speak.
- 

### Players Instructions

Players should follow certain guidelines before, during, and after the exercise to ensure a safe and effective exercise.

#### Before the Exercise

- Review appropriate organizational plans, procedures, and exercise support documents.
- Be at the appropriate site at least 30 minutes before the exercise starts. Wear the appropriate uniform and/or identification item(s).
- Sign in when you arrive.
- If you gain knowledge of the scenario before the exercise, notify a controller so that appropriate actions can be taken to ensure a valid evaluation.
- [Read your Player Information Handout, which includes information on exercise safety.]

#### During the Exercise

- Respond to exercise events and information as if the emergency were real, unless otherwise directed by an exercise controller.
- Controllers will give you only information they are specifically directed to disseminate. You are expected to obtain other necessary information through existing emergency information channels.
- Do not engage in personal conversations with controllers, evaluators, observers, or media personnel. If you are asked an exercise-related question, give a short, concise answer. If you are busy and cannot immediately respond, indicate that, but report back with an answer as soon as possible.
- If you do not understand the scope of the exercise, or if you are uncertain about an organization's participation in an exercise, ask a controller.
- Parts of the scenario may seem implausible. Recognize that the exercise has objectives to satisfy and may require incorporation of unrealistic aspects. Every effort has been made by the exercise's trusted agents to balance realism with safety and to create an effective learning and evaluation environment.



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## Participant Information and Guidance (Continued)

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- All exercise communications will begin and end with the statement [**“This is an exercise.”**] This precaution is taken so that anyone who overhears the conversation will not mistake exercise play for a real-world emergency.
- When you communicate with the SimCell, identify the organization or individual with whom you wish to speak.
- Speak when you take an action. This procedure will ensure that evaluators are aware of critical actions as they occur.
- Maintain a log of your activities. Many times, this log may include documentation of activities that were missed by a controller or evaluator.

### After the Exercise

- Participate in the Hotwash at your venue with controllers and evaluators.
- Complete the Participant Feedback Form. This form allows you to comment candidly on emergency response activities and exercise effectiveness. Provide the completed form to a controller or evaluator.
- Provide any notes or materials generated from the exercise to your controller or evaluator for review and inclusion in the AAR.

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### Simulation Guidelines

Because the exercise is of limited duration and scope, certain details will be simulated. The physical description of what would fully occur at the incident sites and surrounding areas will be relayed to players by simulators or controllers. A SimCell will simulate the roles and interactions of nonparticipating organizations or individuals. [Include any additional simulations to be used in the exercise.]



## Appendix A: Exercise Schedule

**Note:** Because this information is updated throughout the exercise planning process, appendices may be developed as stand-alone documents rather than part of the ExPlan.]

Time	Personnel	Activity	Location
	Controllers, evaluators, and exercise staff	Controller and Evaluator Briefing	
As needed	Controllers and exercise staff	Set up control cell and walk-through	
	Controllers and exercise staff	Check-in for final instructions and communications check	
	Media	Media Briefing	
	VIPs and selected exercise staff	VIP Controller Briefing	
	Controllers and evaluators	Controllers and evaluators in starting positions	
	All	Controllers provide player briefs	
	All	Exercise starts	
	All	Exercise ends	
Immediately Following the Exercise	All	Venue Hotwashes/turn in all Participant Feedback Forms	
	Controllers, evaluators, and elected and appointed officials	Controller and Evaluator After Action Review	





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## Appendix C: Communications Plan

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Exercise Plan (ExPlan)





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## Appendix D: Exercise Site Maps

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Figure D.1:

Figure D.2:

