NEW YORK CITY
PEDIATRIC DISASTER HEALTHCARE PREPAREDNESS TOOLKIT

Situational Manual (SitMan) Hospital X PICU Surge Capacity Full-Scale Exercise

Completed June 2018

NYC
Health

Preface

The New York City (NYC) Pediatric Disaster Coalition (PDC), 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 *Hospital X (HX) Pediatric Intensive Care Unit (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 Controller/Evaluator (C/E) Handbook 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). The PICU Surge Capacity FSE C/E Handbook was specifically designed, developed and produced for the PICU Surge Capacity Exercise Program to provide the PICU Surge Capacity FSE Exercise Staff 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 C/E Handbook, 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. *The C/E Handbook is a restricted document intended for controllers and evaluators only.* All exercise participants may view the PICU Surge Capacity FSE ExPlan.

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) Controller/Evaluator (C/E) Handbook.*

2. The information gathered in this PICU Surge Capacity FSE C/E Handbook 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 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.

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Introduction

The *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 Controller and Evaluator (C/E) Handbook 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

General

The *HX PICU Surge Capacity FSE* will be conducted on [enter date], beginning at approximately 9:00 AM. Exercise play is scheduled for approximately three (3) to four (4) hours or until the Exercise Director/Senior Controller, the HX Trusted Agent and the PDC Project Director determine that the exercise objectives have been met at each FSE location. Exercise play is expected to conclude by 1:00 PM.

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.

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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 should occur in real-time using standard equipment and systems

Artificialities

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

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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 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

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, HX and Incident Management Solutions, Inc. staff.

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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. HX Exercise Safety Staff is responsible for the safety of all exercise participants during exercise setup, exercise play exercise break-down and clean-up. HX 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 3: Exercise Safety.

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.

For further information, please refer to **Exercise Staff Organization in Section 4: Controller/ Evaluator Guidance**.

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 to simulate PICU patients. These mannequins include only 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 3: Exercise Safety**.

• 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.

• *Location-Based Participant Registration/Location-Based Hotwashes.* Participant will register through the FSE Participant Sign-in Sheet; participants will receive materials and an identification badge.

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.

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Exercise Conduct

Exercise play will begin at approximately [enter time]. The Exercise Director/Senior Controller 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/Senior Controller. Exercise play is expected to end by [enter time].

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"*

• 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

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.

Observers will be asked to remain within the designated observation areas during the exercise.

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

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Refreshments and Restroom Facilities

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

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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Summary of Scenario Events (By Hour)

Zero Hour

- The PICU at Hospital X gets a phone call that an associated hospital has had a flood int heir PICU and they need to evacuate their patients.
- They are asking Hospital X to accept 8-10 patients
- Patients begin to arrive at Hospital X

Hour 1

- Hospital X continues to get patients from the evacuating hospital
- Parents are coming in concerned about their children

> ### HX Day-to-Day
> - 34 patients
>
> ### Triggers for HX PICU Surge Capacity Plan Activation
> - Requirement of 4 beds above max capacity of 34 – so an increase in census of 105 or greater in the face of a full unit.
>
> *Source: HX PICU Surge Capacity Pan, 2018*

Major Events and Sequence

- Hospital X PICU gets a phone call that a hospital needs to evacuate their patients.
- Hospital X agrees to accept 8-10 patients.
- The Hospital is notified which causes the Command Center to immediately stand up.
- Patients begin to arrive at Hospital X
- Patients are triaged at Cath Lab 3
- Patients are brought up to the PICU

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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 also designated a HX Patient Safety Officer to serve as 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 FSE Safety Staff, Controller/Evaluators, and Hospital 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 adolescent 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 exercises 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 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.

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- 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 and Senior Controller/Evaluator. The notification will be made on the Exercise Staff radio network. Players will be notified by the location's Controller/Evaluator.

Activity-Specific Safety Requirements

PHX will provide access control to exercise areas to ensure that unauthorized nonparticipants are denied access and that authorized nonparticipants who are transiting the exercise area to reach other work areas do so without deviating from established routes or reasonable travel times. Personnel who perform exercise site security are not direct participants in the exercise and will not be exposed (as part of the exercise) to any scenario-related play.

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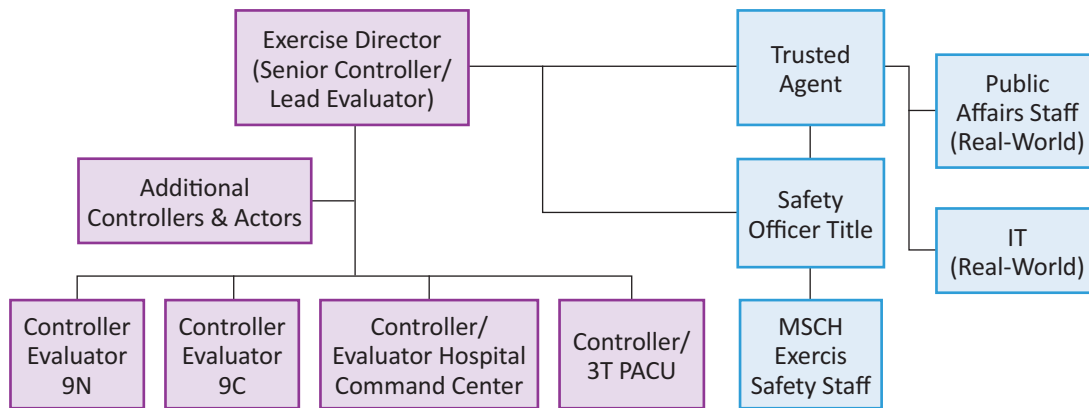
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Exercise Staff Organization

The exercise staff organization, current at the publication of this document, is shown in Figure 3.1. This organization will control all exercise activities at all exercise locations. Note: This figure is only an example.

Figure 3.1. FSE Exercise Staff Organization Chart

Controllers/Evaluators

Controller/Evaluators will execute a dual role for the *HX PICU Surge Capacity FSE*, by performing both primary controller and evaluator responsibilities at their assigned exercise locations. Controller/Evaluators will serve as the primary control staff for the exercise and report directly to the Exercise Director and Exercise Facilitator (HX Trusted Agent).

Control of the Exercise

Controller/Evaluators 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. Controller/Evaluators will 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 family) in accordance with instructions provided in the Master Scenario Events List (MSEL). All C/Es serving in simulator roles are ultimately accountable to the Exercise Director and Senior Controller.

Evaluation of the Exercise

Controller/Evaluators evaluate and provide feedback on a designated functional area of the exercise. Controller/Evaluators will assess and document participants' performance against established emergency plans and exercise evaluation criteria, in accordance with HSEEP standards. The C/E staff includes HX and PDC staff.

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. HX 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 and all C/Es.

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Key Exercise Events

Pre-Exercise

Exercise Staff Training

Exercise Staff has been provided with training in advance of the exercise including a site walkthrough for all C/Es, when possible. The Exercise Director facilitated all Exercise Staff trainings.

C/E Training

This training provided key opportunities for the Exercise Director to instruct C/Es and other exercise evaluators on their roles and responsibilities and to review C/E and other evaluator materials. These trainings also provided a forum for C/Es and other evaluators to ask questions regarding how the exercise should be executed and their level of interaction with the players. The Exercise Director conducted a minimum of two trainings with the C/Es and other evaluators.

Exercise Setup

Exercise staff and hospital personnel will conduct exercise setup including receipt of the exercise mannequins and posting of exercise signage.

Communication Checks

Exercise staff conducted an initial communication check during exercise planning. The Exercise Director will conduct a final communications check with all exercise staff during the final Exercise Staff Briefing.

Exercise Staff Final Briefing

This final Exercise Staff briefing will assist in preparing C/Es and the rest of the Exercise Staff for performance of their functions and will include a detailed review of event activities. All questions from the Exercise Staff should be addressed and information clarified so that all Exercise Staff feel confident that they can perform their assignments effectively.

Exercise Conduct

The HX PICU Surge Capacity FSE will be conducted on [insert date] beginning at approximately [insert time]. Exercise play is scheduled for approximately three (3) hours, or until the Exercise Director and Exercise Facilitator determine that the exercise objectives have been met at each venue.

StartEx: The Exercise Director and Exercise Facilitator will notify all Exercise Staff and C/Es of StartEx and that exercise play should commence by players.

If an actual emergency occurs, the exercise may be suspended or terminated at the discretion of the Exercise Director, depending on the nature of the incident. The designated phrase in case of a medical emergency is **"real-world emergency."** The Exercise Director will announce resumption of the exercise.

EndEx: The Exercise Facilitator will announce exercise suspension or termination and will instruct participants to stop in place safely. The Exercise Facilitator is the only individual that will announce the end of the exercise.

Post-Exercise

Location-Based Hotwashes

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/Es and other evaluators can seek clarification regarding certain actions and what prompted players to take them. C/E and other evaluators should take notes during the Location-Based Participant Hotwashes 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 Hotwashes.

Main Hotwash

The Exercise Facilitator and Exercise Director will facilitate a Main Hotwash with selected exercise participants. The Main 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 both the Participant Hotwashes, 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.

Exercise Breakdown

Following the Hotwashes and the Exercise Staff Debriefing, exercise support staff will return the areas involved with exercise play back to their normal state including: removing exercise signage and retrieving exercise mannequins.

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].

Controller/Evaluator Package

C/Es will receive their exercise materials following the Controller/Evaluator Training. The Controller/Evaluator Package will consist of the ExPlan, C/E Handbook, C/E Badges, and other exercise tools (e.g., MSEL) as necessary.

Scenario Tools

Because the exercise is of limited duration and scope, the physical description of what would fully occur at the exercise location and surrounding areas will be relayed to the players by Controllers/Evaluators. C/Es will "paint the picture" for players—verbally or with limited written materials—regarding what is happening in and around the exercise location.

The MSEL outlines benchmarks and injects that drive exercise play and provide realistic input to exercise players. It provides information that is expected to emanate from simulated organizations (e.g., nonparticipating organizations, agencies, and individuals that usually would respond to a situation). The MSEL consists of the following two parts:

- **Timeline.** This is a list of key exercise events, including scheduled injects and expected player actions. The timeline is used to track exercise events relative to desired response activities.
- **Injects.** An individual event inject is a detailed description of each exercise event. The inject includes the following pieces of information: inject time; intended recipient; responsible Controller/Evaluator; inject type; a detailed description of the event; and the expected player action.

Exercise Evaluation

Each Controller/Evaluator will be provided with the established exercise evaluation criteria as well as a C/E quick reference tool, which has been developed based upon the exercise evaluation criteria, to give specific guidance regarding what data to collect during the exercise, how to record it, and how to analyze it before submission to the Exercise Director/Lead Evaluator. The Lead Evaluator will compile all evaluator submissions into the first working draft of the AAR/IP.

The quick reference tool will indicate a list of subordinate activities and tasks that players are expected to perform during the exercise to demonstrate the specified capability.

Player performance must be observed and analyzed against plans, policies, procedures, and practices, using criteria established before the exercise. C/Es will document player performance by these C/E materials as well as information obtained during the Leadership Hotwash. Together, these components provide important information that substantiates exercise conduct and performance. The AAR/IP will summarize the overall results of the exercise and provide a comprehensive assessment of capabilities and plans that were demonstrated. Evaluation is valuable because it provides constructive feedback (positive and negative) to improve the effectiveness of an organization's response to emergencies. Accurate and detailed documentation is critical to facilitate a full record of all the events in an exercise and to understand player actions. Checklists and evaluation forms must be completed as thoroughly and accurately as possible.

The goal of exercise evaluation is to validate strengths and identify improvement opportunities for the participating organization(s). For the HX PICU Surge Capacity FSE, evaluation will attempt to validate HX's plans, procedures, and protocols and determine HX's capability with regard to the exercised objectives. Validation attempts to answer the following questions:

- Were established plans, procedures, and protocols followed during the exercise?
- Did HX staff do what they said they were going to do?
- Were the plans, procedures, and protocols effective?
- What level of capability do the plans, policies, and procedures establish?

This validation is accomplished by the following means:

- Observing the event and collecting supporting data
- Analyzing the data to compare performance against expected outcomes
- Determining what changes need to be made to procedures, plans, staffing, equipment, communications and hospital coordination to ensure expected outcomes

The evaluation results will provide an opportunity to identify ways to build on strengths and improve capabilities. Because hospitals are testing new and emerging plans, skills, resources, and relationships in response to emergency preparedness needs, every exercise or event can be expected to result in multiple findings and recommendations for improvement.

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Communications Plan

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

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 an Exercise Staff Contact List that includes that specifies mobile phone numbers and email addresses. The Exercise Staff will use radios, provided by HX, that operate on the same radio channel. Before the start of the exercise, the Exercise Director and Exercise Facilitator will conduct a final point-to-point communication check with all C/Es to ensure redundancy and uninterrupted flow of control information.

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.

Evaluator Instructions and Guidelines

C/Es should avoid personal conversations with players. C/Es should not automatically give information to players about event progress or other participants' methods of problem resolution. Players are expected to obtain information through their own resources; all exceptions to this will be communicated to C/Es in advance by the Exercise Director.

C/Es should use the following techniques for effective evaluation:

- Take detailed notes concerning significant activities observed, including the time they were initiated or completed
- Stay in proximity to player decision-makers

Recording Important Events

Although numerous events may occur simultaneously, C/Es do not need to record all the action. Knowing which events are important will assist C/Es to eliminate superfluous data and to capture the most useful information. C/Es should records include the following:

- Initiating scenario events
- Actions of players in relation to the event
- Key decisions made by managers and the times these decisions are made
- Deviations from plans and implementation procedures
- Times when significant actions are completed
- Equipment used

Section 4: Controller/Evaluator Guidance

Section 1: General Information

Section 2: Exercise Scenario

Section 3: Exercise Safety

Section 4: Controller/Evaluator Guidance

Appendix A: Exercise Schedule

Appendix B: Participating Agencies

Controller/Evaluator (C/E) Handbook

What to Look For

The Exercise Director/Lead Evaluator will analyze the results provided by all C/Es to achieve an integrated evaluation of exercised plans and capabilities that focuses upon the timing of key events, decisions made, and actions taken. To assist in that analysis, C/Es should focus on the following areas:

- Timeliness in actions
- Communication among players and organizations
- Direction and coordination of field activities
- Monitoring and assessing events
- Command and control
- Creative player problem-solving, potentially beyond current plans and implementation procedures
- Plans or procedures that affect player efforts
- Equipment issues in relation to player efforts

Placement and Monitoring

C/Es should position themselves so they can observe player actions and hear conversations without interfering with those activities. More than one Controller/Evaluator may be assigned to a particular exercise location.

Post-Exercise Activities

The Exercise Director will notify all C/Es when evaluation of the *HX PICU Surge Capacity FSE* has been suspended or terminated. The evaluation will be terminated when the Exercise Director determines that all exercise objectives have been met or enough time has elapsed for exercise objectives to have been demonstrated.

All C/Es are expected to facilitate the Location-Based Hotwash at their assigned locations, participate in the Leadership Hotwash, and take notes on findings identified by players. Before the Location-Based and Leadership Hotwash, C/Es should not discuss specific issues or problems with participants. After the Hotwash, C/Es are to summarize their notes and prepare for the Controller/Evaluator Debriefing.

Controller/Evaluator Instructions

Before the Exercise

- Participate in the C/E Training and pre-FSE C/E Briefing
- Review appropriate Controller/Evaluator Handbook and reference tools
- Report to the exercise check-in location at the time designated in the exercise schedule
- Obtain or locate necessary communications equipment, and test it to ensure it is operational

During the Exercise

- Your primary duty in the dual C/E role is to assist with exercise control at your assigned location while documenting player actions against the established exercise evaluation criteria. After the exercise, that evaluation information will be used to determine whether the exercised capabilities and plans were effectively implemented or demonstrated and to identify strengths and improvement items.

Section 4: Controller/Evaluator Guidance

- Wear C/E identification items (i.e., C/E Badge and vest). C/E Badges will be issued at the Controller/Evaluator Briefing.
- Avoid personal conversations with exercise players.
- Begin and end all exercise communications with the statement "This is an exercise. This is an exercise." This precaution is taken so that anyone who overhears the conversation will not inadvertently mistake exercise play for an actual emergency.
- Unless otherwise specified by the Exercise Director or Exercise Facilitator:
  - If you have been given injects, deliver them to appropriate players at the time indicated in the MSEL (or as directed by the Exercise Director or Exercise Facilitator). Note: If the information depends on some action to be taken by the player, do not deliver the inject until the player has earned the information by successfully accomplishing the required action.
  - When you deliver an inject, notify the Exercise Director or Exercise Facilitator and note the time you delivered the inject and player actions.
  - Do not prompt players regarding what a specific response should be, unless an inject directs you to do so. Clarify information as long as doing so does not provide coaching.
- Receive and record exercise information from players that would be directed to nonparticipating organizations.
- Record all significant events you observe.
- Observe and record exercise artificialities that interfere with exercise realism. If an exercise artificiality interferes with exercise play, report it to the Exercise Director or Exercise Facilitator.
- Ensure that all observers stay out of the exercise activity area. If you need assistance, notify the Exercise Director or Exercise Facilitator.
- Unless otherwise specified by the Exercise Director or Exercise Facilitator, do not give information to players about scenario event progress or other participants' methods of problem resolution. Players are expected to obtain information through their own resources.
- The Exercise Director or Exercise Facilitator will notify you when the exercise has been suspended or terminated. The exercise will be terminated when the Exercise Director or Exercise Facilitator determines that all exercise objectives have been met or enough time has elapsed for exercise objectives to have been demonstrated.

After the Exercise

- Distribute copies of Participant Feedback Forms and pertinent documentation. After participants have completed these forms, collect the forms and give them to the Exercise Director.
- All C/Es are expected to facilitate a Location-Based Participant Hotwash at their assigned locations and take notes on findings identified by exercise players. C/Es should also attend the Main Hotwash that will immediately follow. Before the Hotwashes, please do not discuss specific issues or problems with exercise players. At exercise termination, please summarize your notes and prepare for the Exercise Staff Debriefing. Have your summary ready for the Exercise Director.

Key Evaluation Documents

Participant Feedback Forms

Participant Feedback Forms will be used to document participant information about the exercise. C/Es will distribute these forms during the Main Hotwash. 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.

After Action Report and Improvement Plan (AAR/IP)

An exercise AAR/IP will be prepared to document the evaluation of overall exercise performance. The AAR/IP will include the exercise schedule, scenario, players' activities, evaluations, issues, opportunities, and best practices. The AAR/IP also will contain the following:

> A brief summary, with introductory and general statements noting exercise scope, purpose, objectives, players, and an overall performance assessment

> Assessments for each capability observed

> Issues and recommendations suggested by Controller/Evaluator, evaluators and player comments

A draft AAR will be provided to HX for review/comment before the AAM.

The AAR/IP will be organized by capability, with a section of the AAR/IP devoted to each of the exercised objectives. For each objective and subordinate activity, the Lead Evaluator will provide an assessment of how well the executing agency or personnel performed, including best practices and areas for improvement. Specific issues and observations will be identified for each objective and activity, and recommendations for resolving issues will be provided, based on input from controllers, evaluators, and exercise planners.

Section 4: Controller/Evaluator Guidance

Section 1: General Information

Section 2: Exercise Scenario

Section 3: Exercise Safety

Section 4: Controller/Evaluator Guidance

Appendix A: Exercise Schedule

Appendix B: Participating Agencies

Controller/Evaluator (C/E) Handbook

Appendix A
Exercise Schedule

Appendix A: Exercise Schedule

Table A.1 HX PICU Surge Capacity FSE Schedule

Time	Activity	Personnel
8:00 AM	Exercise Staff Arrival & Check In	• Exercise Director • Controllers/Evaluators • HX FSE Safety Staff
8:30 AM	Final Exercise Staff Briefing & Final Communications Check	• Exercise Director • Controllers/Evaluators • HX FSE Safety Staff
9:00 AM	Participants Arrive; Registration	• Players, Observers
9:30 AM	General Exercise, Scenario & Safety Briefing	• All Participants
9:50 AM	Report to StartEx location	• All Participants
10:00 AM	Exercise Play Start (StartEx)	• All Participants
12:00 AM	Exercise Play End (EndEx)	• All Participants
Immediately following EndEx	Location-Based Participant Hotwashes	• All Participants
Immediately following Location-Based Participant Hotwashes	Main Participant Hotwash	• Selected Participants • All Exercise Staff
Immediately following Leadership Hotwash	Exercise Staff Debriefing	• All Exercise Staff
12:00-2:00	After Action Meeting	• All Participants

Section 1: General Information

Section 2: Exercise Scenario

Section 3: Exercise Safety

Section 4: Controller/Evaluator Guidance

Appendix A: Exercise Schedule

Appendix B: Participating Agencies

Controller/Evaluator (C/E) Handbook

Appendix A: Exercise Schedule

Appendix B
Participating Agencies

Appendix B: Participating Agencies

Table B.1 Participating Agencies

Participating Agencies
• Hospital X of New York Presbyterian
• New York City Pediatric Disaster Coalition
• New York City Department of Health and Mental Hygiene

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)

Appendix B: Participating Agencies

Controller/Evaluator (C/E) Handbook

Controller/Evaluator (C/E) Handbook

The Controller/Evaluator (C/E) Handbook describes the roles and responsibilities of exercise controllers and evaluators, and the procedures they should follow. Because the C/E Handbook contains information about the scenario and about exercise administration, it is distributed to only those individuals specifically designated as controllers or evaluators; it should not be provided to exercise players. The C/E Handbook may supplement the Exercise Plan (ExPlan) or be a standalone document.

Exercise Overview

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

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]

General Information (Continued)

- **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

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 [delete section if not applicable]

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 [delete section if not applicable]

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 [delete section if not applicable]

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 [delete section if not applicable]

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.]

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

Post-exercise and Evaluation Activities

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.

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.

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

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

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.

Participant Information and Guidance (Continued)

- 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.

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.]

Controller Information and Guidance

Exercise Control Overview

Exercise control maintains exercise scope, pace, and integrity during exercise conduct. The control structure in a well-developed exercise ensures that exercise play assesses objectives in a coordinated fashion at all levels and at all locations for the duration of the exercise.

Exercise Control Documentation

Controller Package

The controller package consists of the C/E Handbook, activity logs, badges, and other exercise tools (e.g., MSEL) as necessary. Controllers must bring their packages and any additional professional materials specific to their assigned exercise activities.

Incident Simulation

Because the exercise is of limited duration and scope, certain details will be simulated. Venue controllers are responsible for providing players with the physical description of what would fully occur at the incident sites and surrounding areas. SimCell controllers will simulate the roles and interactions of nonparticipating organizations or individuals.

Scenario Tools

The MSEL outlines benchmarks and injects that drive exercise play. It also details realistic input to exercise players, as well as information expected to emanate from simulated organizations (i.e., nonparticipating organizations or individuals who usually would respond to the situation). The MSEL consists of the following two parts:

- **Timeline.** This is a list of key exercise events, including scheduled injects and expected player actions. The timeline is used to track exercise events relative to desired response activities.

- **Injects.** An individual event inject is a detailed description of each exercise event. The inject includes the following pieces of information: scenario time, intended recipient, responsible controller, inject type, a short description of the event, and the expected player action.
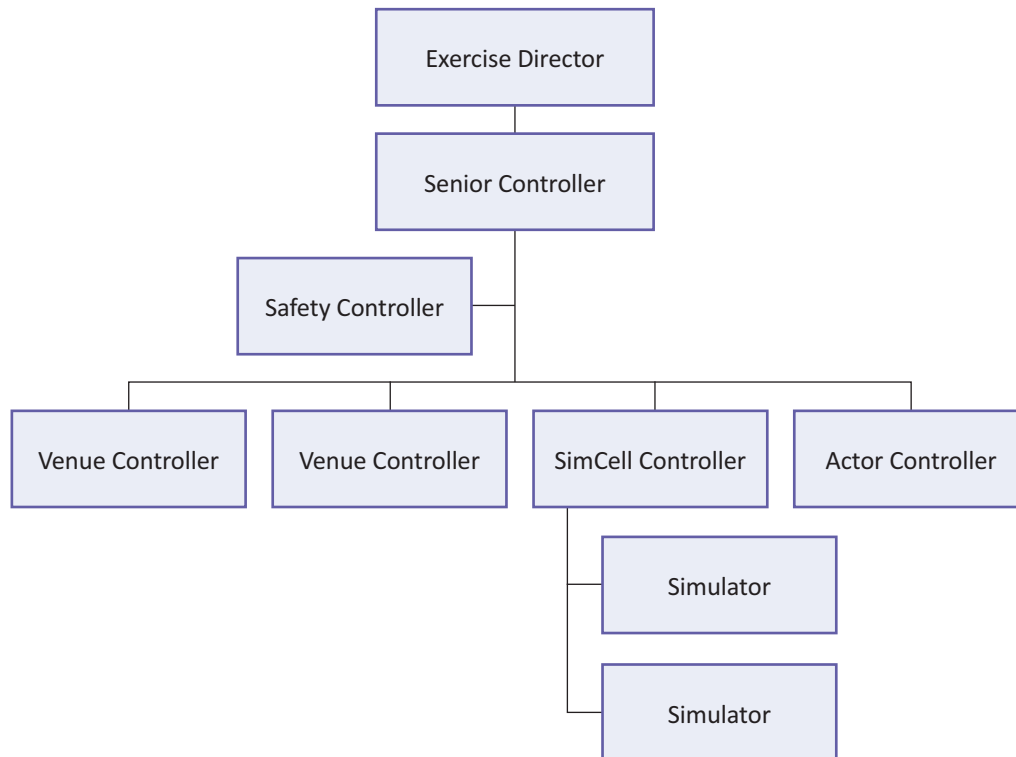
Exercise Control Structure

Control of the exercise is accomplished through an exercise control structure. The control structure is the framework that allows controllers to communicate and coordinate with other controllers at other exercise venues, the SimCell, or a Control Cell to deliver and track exercise information. The control structure for this exercise is shown in Figure 1.

Controller Information and Guidance (Continued)

Figure 1. Sample Exercise Control Structure [edit as needed or delete if not applicable]

```
                    ┌─────────────────────┐
                    │  Exercise Director   │
                    └─────────────────────┘
                               │
                    ┌─────────────────────┐
                    │   Senior Controller  │
                    └─────────────────────┘
                               │
          ┌─────────────────────┐
          │   Safety Controller  │
          └─────────────────────┘
    ┌──────────┬──────────┬──────────┬──────────┐
┌─────────┐ ┌─────────┐ ┌─────────┐ ┌─────────┐
│ Venue   │ │ Venue   │ │ SimCell │ │ Actor   │
│Controller│ │Controller│ │Controller│ │Controller│
└─────────┘ └─────────┘ └─────────┘ └─────────┘
                            │
                       ┌─────────┐
                       │Simulator│
                       └─────────┘
                       ┌─────────┐
                       │Simulator│
                       └─────────┘
```

Controller Instructions

Before the Exercise

• Review appropriate emergency plans, procedures, and protocols.

• Review appropriate exercise package materials, including the objectives, scenario, injects, safety and security plans, and controller instructions.

• Attend required briefings.

• Report to the exercise check-in location at the time designated in the exercise schedule, meet with the exercise staff, and present the Player Briefing.

• Be at the appropriate location at least 15 minutes before the exercise starts.

• Obtain, locate and test necessary communications equipment.

During the Exercise

• Wear controller identification items (e.g., badge).

• Avoid personal conversations with exercise players.

• If you have been given injects, deliver them to appropriate players at the time indicated in the MSEL (or as directed by the Exercise Director). **Note:** If the information depends on some action to be taken by the player, do not deliver the inject until the player has earned the information by successfully accomplishing the required action.

Controller Information and Guidance (Continued)

- When you deliver an inject, notify the [Senior Controller or Control Cell] and note the time that you delivered the inject and player actions.

- Receive and record exercise information from players that would be directed to nonparticipating organizations.

- Observe and record exercise artificialities that interfere with exercise realism. If exercise artificialities interfere with exercise play, report it to the Exercise Director.

- Begin and end all exercise communications with the statement, **["This is an exercise."]**

- Do not prompt players regarding what a specific response should be, unless an inject directs you to do so. Clarify information but do not provide coaching.

- Ensure that all observers and media personnel stay out of the exercise activity area. If you need assistance, notify the Exercise Director.

- Do not give information to players about scenario event progress or other participants' methods of problem resolution. Players are expected to obtain information through their own resources.

After the Exercise

- Distribute copies of Participant Feedback Forms and pertinent documentation.

- All controllers are expected to conduct a Hotwash at their venue and, in coordination with the venue evaluator, take notes on findings identified by exercise players. Before the Hotwash, do not discuss specific issues or problems with exercise players.

- At exercise termination, summarize your notes from the exercise and Hotwash, and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Exercise Director.

Controller Responsibilities

The following table details controller responsibilities. For controller assignment details, see [Appendix F].

Controller/Evaluator (C/E) Handbook

Controller Information and Guidance (Continued)

Table 3. Controller Responsibilities

Controller Responsibilities
Exercise Director
• Oversees all exercise functions • Oversees and remains in contact with controllers and evaluators • Oversees setup and cleanup of exercise, and positioning of controllers and evaluators
Senior Controller
• Monitors exercise progress • Coordinates decisions regarding deviations or significant changes to the scenario • Monitors controller actions and ensures implementation of designed or modified actions at the appropriate time • Debriefs controllers and evaluators after the exercise • Oversees setup and takedown of the exercise
Public Information Officer (PIO)
• Provides escort for observers • Provides narration and explanation during exercise events, as needed • Performs pre-exercise and post-exercise public affairs duties • May act as media briefer and escort at exercise site • Serves as safety officer for his or her site
Venue Controller
• Issues exercise materials to players • Monitors exercise timeline • Provides input to players (i.e., injects) as described in MSEL • Serves as safety officer for his or her site
Simulation Cell (SimCell) Controller
• Role plays as nonparticipating organizations or individuals • Monitors exercise timeline • Provides input to players (i.e., injects) as described in MSEL

Evaluator Information and Guidance

Exercise Evaluation Overview

Exercise evaluation assesses an organization's capabilities to accomplish a mission, function, or objective. Evaluation provides an opportunity to assess performance of critical tasks to capability target levels. Evaluation is accomplished by the following means:

- Observing the event and collecting supporting data;
- Analyzing collected data to identify strengths and areas for improvement; and
- Reporting exercise outcomes in the AAR.

Evaluation Documentation

Evaluator Package

The evaluator package contains this C/E Handbook, EEGs, and other items as necessary. Evaluators should bring the package to the exercise. They may reorganize the material so information that is critical to their specific assignment is readily accessible. Evaluators may bring additional professional materials specific to their assigned activities.

Exercise Evaluation Guides

EEGs provide a consistent tool to guide exercise observation and data collection. EEGs are aligned to exercise objectives and core capabilities, and list the relevant capability targets and critical tasks. Data collected in EEGs by each evaluator will be used to develop the analysis of capabilities in the AAR.

Each evaluator is provided with an EEG for each capability that he/she is assigned to evaluate. Evaluators should complete all assigned EEGs and submit to the Lead Evaluator at the conclusion of the exercise. The Lead Evaluator and Senior Controller compile all evaluator submissions into the first working draft of the AAR.

After Action Report/Improvement Plan

The main focus of the AAR is the analysis of core capabilities. For each core capability exercised, the AAR includes a rating of how the exercise participants performed, as well as strengths and areas for improvement.

Following completion of the draft AAR, elected and appointed officials confirm observations identified in the AAR, and determine which areas for improvement require further action. As part of the improvement planning process, elected and appointed officials identify corrective actions to bring areas for improvement to resolution and determine the appropriate organization with responsibility for those actions. Corrective actions are consolidated in the IP, which is included as an appendix to the AAR.

Evaluator Information and Guidance (Continued)

Evaluator Instructions

General

- Avoid personal conversations with players.
- Do not give information to players about event progress or other participants' methods of problem resolution. Players are expected to obtain information through their own resources.

Before the Exercise

- Review appropriate plans, procedures, and protocols.
- Attend required evaluator training and other briefings.
- Review appropriate exercise materials, including the exercise schedule and evaluator instructions.
- Review the EEGs and other supporting materials for your area of responsibility to ensure that you have a thorough understanding of the core capabilities, capability targets, and critical tasks you are assigned to evaluate.
- Report to the exercise check-in location at the time designated in the exercise schedule, and meet with the exercise staff.
- Obtain or locate necessary communications equipment, and test it to ensure that you can communicate with other evaluators and the Exercise Director.

During the Exercise

- Wear evaluator identification items (e.g., badge).
- Stay in proximity to player decision-makers.
- Use EEGs to document performance relative to exercise objectives, core capabilities, capability targets, and critical tasks.
- Focus on critical tasks, as specified in the EEGs.
- Your primary duty is to document performance of core capabilities. After the exercise, that information will be used to determine whether the exercise capability targets were effectively met and to identify strengths and areas for improvement.

After the Exercise

- Participate in the Hotwash, and take notes on findings identified by players. Before the Hotwash, do not discuss specific issues or problems with participants. After the Hotwash, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Lead Evaluator.
- Complete and submit all EEGs and other documentation to the Lead Evaluator at the end of the exercise.

Using Exercise Evaluation Guides

Terminology

The EEGs are structured to capture information specifically related to the evaluation requirements developed by the Exercise Planning Team. The following evaluation requirements are documented in each EEG:

Evaluator Information and Guidance (Continued)

- **Core capabilities:** The distinct critical elements necessary to achieve a specific mission area (e.g., prevention). To assess both capacity and gaps, each core capability includes capability targets.
- **Capability target(s):** The performance thresholds for each core capability; they state the exact *amount* of capability that players aim to achieve. Capability targets are typically written as quantitative or qualitative statements.
- **Critical tasks:** The distinct elements required to perform a core capability; they describe *how* the capability target will be met. Critical tasks generally include the activities, resources, and responsibilities required to fulfill capability targets. Capability targets and critical tasks are based on operational plans, policies, and procedures to be exercised and tested during the exercise.
- **Performance ratings:** The summary description of performance against target levels. Performance ratings include both Target Ratings, describing how exercise participants performed relative to each capability target, and Core Capability Ratings, describing overall performance relative to entire the core capability.

Documenting Observations

For each EEG, evaluators provide a target rating, observation notes and an explanation of the target rating, and a final core capability rating. In order to efficiently complete these sections of the EEG, evaluators should focus their observations on the capability targets and critical tasks listed in the EEG.

Observation notes should include if and how quantitative or qualitative targets were met. For example, a capability target might state, *"Within 4 hours of the incident...."* Notes on that target should include the actual time required for exercise players to complete the critical tasks. Additionally, observations should include:

- How the target was or was not met;
- Pertinent decisions made and information gathered to make decisions;
- Requests made and how requests were handled;
- Resources utilized;
- Plans, policies, procedures, or legislative authorities used or implemented; and
- Any other factors contributed to the results.

Evaluators should also note if an obvious cause or underlying reason resulted in players not meeting a capability target or critical task. However, the evaluators should not include recommendations in the EEGs. As part of the after action and improvement planning processes, elected and appointed officials will review and confirm observations documented in the AAR and determine areas for improvement requiring further action.

Note: Observation notes for discussion based exercises will focus on discussion of the how critical tasks would be completed, rather than actual actions taken.

Evaluator Information and Guidance (Continued)

Assigning Ratings

Based on their observations, evaluators assign a target rating for each capability target listed on the EEG. Evaluators then consider all target ratings for the core capability and assign an overall core capability rating. The rating scale includes four ratings:

• Performed without Challenge (P)

• Performed with Some Challenges (S)

• Performed with Major Challenges (M)

• Unable to be Performed (U)

• N/A (Evaluator missed or did not observe this task/objective)

Definitions for each of these ratings are included in the EEG.

Placement and Monitoring

Evaluators should be located so they can observe player actions and hear conversations without interfering with those activities. In certain conditions, more than one evaluator may be needed in a particular setting or area. For specific evaluator assignments, see [Appendix F]. For exercise site maps highlighting key locations, see [Appendix D].

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 C/E Handbook.]

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 B: Exercise Participants

Participating Organizations
Federal
State

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Appendix C: Communications Plan

Appendix D: Exercise Site Maps

Figure D.1:

Figure D.2:

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Appendix E: Exercise Scenario

Scenario

Major Events

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Appendix F: Controller and Evaluator Assignments

[**Note:** This is a sample list of controller and evaluator assignments. The positions should be modified based on the type and scope of the exercise. For example, if the exercise will not include a Simulation Cell, then a controller does not need to fulfill that function. Both controllers and evaluators may be assigned to a second area if play has been completed in the first.]

Name	Role	Position
		Exercise Director
	Controller	Senior Controller
	Controller	Safety Controller
	Evaluator	Lead Evaluator
	Controller	Site safety officer
	Controller	controller
	Controller	controller
	Evaluator	evaluator
	Evaluator	evaluator
	Controller	Site safety officer
	Controller	controller
	Controller	controller
	Evaluator	evaluator
	Evaluator	evaluator
	Controller	Lead SimCell controller, Master Scenario Events List (MSEL) manager
	Controller	simulator
	Controller	simulator

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Appendix G: Acronyms

Acronym	Term
C/E	Controller/Evaluator
DHS	U.S. Department of Homeland Security
HSEEP	Homeland Security Exercise and Evaluation Program
SME	Subject Matter Expert

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