[INSERT EXERCISE TITLE]

[INSERT DATE OF EXERCISE HERE]

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. This document is modified from the Homeland Security Exercise Evaluation Program (HSEEP) form found online at <https://preptoolkit.fema.gov/web/hseep-resources>

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| CONTROLLER/EVALUATOR (CE) HANDBOOK |

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| **EXERCISE OVERVIEW** |
| **Exercise Name** | [Insert the formal name of exercise, which should match the name in the document title and the document header] |
| **Exercise Date** | [Insert the date(s) of the exercise] |
| **Exercise Location** | [Insert the location(s) of the exercise] |
| **Scope** | This exercise is a [Insert exercise type-Table Top; Functional Exercise; Full Scale Exercise]. Exercise play is limited to [Insert applicable exercise parameters]. |
| **Mission Areas** | [Insert applicable HSEEP Mission Areas - Prevention, Protection, Mitigation, Response, and/or Recovery] |
| **Target Objectives****(Joint Commission and HSEEP)** | * **Communications:** Test the facility’s ability to communicate internally and with community partners, evaluating technology and Back Up systems. ( TJC EM.02.02.01 and HSEEP Operational Communications and Public Information and Warning)
* **Safety and Security:** Test the coordination of security activities, and plans to manage access control, traffic control, hazardous materials and waste, and CBRN management. (TJC EM.02.02.05 and HSEEP On-Scene Safety and Security)
* **Patient and Clinical Support Activities:** Test of how will manage patient care during an emergency incident. (Joint Commission EM.02.02.07 and HSEEP Operational Coordination)
* **Command and Management:** Test of ability to provide coordination for an incident response within the facility, including activation of Incident Command System positions, use of Incident Command System forms and resources. (TJC EM.01.01.01 and HSEEP Operational Coordination)
* **Resources and Assets Objective:** Test of plans to manage and replenish personal protective equipment, water, fuel, and medical, surgical and medication – related resources and assets. (TJC EM.02.02.03 & HSEEP Planning, Public and Private Services Resources,)
* **Staff Responsibility Objective:** Test to ensure that during an emergency staff (including physicians and volunteers) will be aware of their roles and responsibilities, and staffing resources will be managed. (TJC EM.02.02.07 & HSEEP Operational Coordination, Public Health and Medical Services)
* **Utility Management Objective:** Test of primary and contingency plans to maintain communications, electricity, water, fuel, medical gas/vacuum, and other critical utilities during an incident. (TJC EM.02.02.09 & HSEEP On-Scene Security and Protection, Infrastructure Systems, Public and Private Services and Resource Systems).
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| **Threat or Hazard** | [Insert the threat or hazard (e.g. natural/earthquake, technological/cyberterrorism or human caused/active shooter)] |
| **Sponsor(s)** | [Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable] |
| **Participants** | [Insert a brief bullet point summary of the participating agencies (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies).  |
| **Scenario** | [Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)] |

# General Information

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| **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.

| Organizational Target Objective | HSEEP Core Capability | TJC Performance Standards |
| --- | --- | --- |
| Exercise and evaluate the facility’s ability to communicate internally and with community partners, evaluating technology and Back Up systems. | Operational Communications | Communications Objective (EM.02.02.01) |
| Exercise and evaluate the coordination of Safety and Security activities, and plans to manage access control, traffic control, hazardous materials and waste, and CBRNE management. | On Scene Safety and Security  | Safety and Security Objective (EM.02.02.05) |
| Exercise and evaluate the facility’s staff (including physicians and volunteers) ability to perform their roles, responsibilities and functions during an emergency. | Public Health and Medical Services | Staff Responsibility Objective (EM.02.02.07) |
| Exercise and evaluate the facility’s plans to manage and replenish personal protective equipment, water, fuel, and medical, surgical and medication – related resources and assets for disaster response. | Public and Private Services and Resources | Resources and Assets Objective (EM.02.02.03) |
| Exercise and evaluate the facility’s plans for the management of primary and contingency plans to maintain electricity, water, fuel, medical gas/vacuum, and other critical utilities during an incident. | Infrastructure Systems | Utility and Management Objective (EM.02.02.09) |
| Exercise and evaluate the facility’s plans for the management of patient care during an emergency incident.  | Public Health and Medical Services | Patient and Clinical Support Activities Objective (EM.02.02.11) |

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| **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]
* **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).

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| **EXERCISE ASSUMPTIONAS 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.]

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| **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.

### 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 only as examples.

| 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 |

Table 2. Exercise Identification

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| **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 allow 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)

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 AAR.

### After Action Report (AAR)

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.

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| **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.
* 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.]

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| **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. An example of the control structure for this exercise is shown in Figure 1.

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

## 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.
* 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 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
 |
| **Safety Controller** |
| * Monitors exercise safety during exercise setup, conduct, and cleanup
* Receives any reports of safety concerns from other controllers or participants
 |
| **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
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| **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 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

 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:

* **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.

 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.

 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)

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].

#### 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.]

| Day 1: Date | Personnel | Activity | Location |
| --- | --- | --- | --- |
|  [Time] | Controllers, evaluators, and exercise staff | Controller and Evaluator Briefing | [Location] |
| As needed | Controllers and exercise staff | Set up control cell and walkthrough | [Location] |

| Day 2: Date | Personnel | Activity | Location |
| --- | --- | --- | --- |
| [Time] | Controllers and exercise staff | Check-in for final instructions and communications check | [Location] |
| [Time] | Media | Media Briefing | [Location] |
| [Time] | VIPs and selected exercise staff | VIP Controller Briefing | [Location] |
| [Time] | Controllers and evaluators | Controllers and evaluators in starting positions | [Location] |
| [Time] | All | Controllers provide player briefs | [Location] |
| [Time] | All | Exercise starts | [Location] |
| [Time] | All | Exercise ends | [Location] |
| Immediately Following the Exercise | All | Venue Hotwashes/turn in all Participant Feedback Forms | [Location] |

| Day 3: Date | Personnel | Activity | Location |
| --- | --- | --- | --- |
| [Time] | Controllers, evaluators, and elected and appointed officials | Controller and Evaluator After Action Review | [Location] |

#### Exercise Participants

| Participating Organizations |
| --- |
| **Federal** |
| [Federal Participant] |
| [Federal Participant] |
| [Federal Participant] |
| **State** |
| [State Participant] |
| [State Participant] |
| [State Participant] |
| **[Jurisdiction A]** |
| [Jurisdiction A Participant] |
| [Jurisdiction A Participant] |
| [Jurisdiction A Participant] |
| **[Jurisdiction B]** |
| [Jurisdiction B Participant] |
| [Jurisdiction B Participant] |
| [Jurisdiction B Participant] |

#### Communications Plan

[The Communications Plan Template can be inserted here as Appendix C.]

#### Exercise Site Maps

Figure D.1: [Map Title]

[Insert map]

Figure D.2: [Map Title]

[Insert map]

#### Exercise Scenario

## Scenario

[Insert the detailed exercise scenario narrative or scenario ground truth, including scenario information across all venues and functions. This should establish a common understanding of the scenario for all controllers and evaluators.]

## Major Events

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

#### 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 Venue Name |
| --- | --- | --- | --- |
| [Name] | Controller | Exercise Director |  |
| [Name] | Controller | Senior Controller |  |
| [Name] | Controller | Safety Controller |  |
| [Name] | Evaluator | Lead Evaluator |  |
| [Name] | Controller | Site safety officer |  |
| [Name] | Controller | [Function/venue] controller |  |
| [Name] | Controller | [Function/venue] controller |  |
| [Name] | Evaluator | [Function/venue] evaluator |  |
| [Name] | Evaluator | [Function/venue] evaluator |  |
| [Name] | Controller | Site safety officer |  |
| [Name] | Controller | [Function/venue] controller |  |
| [Name] | Controller | [Function/venue] controller |  |
| [Name] | Evaluator | [Function/venue] evaluator |  |
| [Name] | Evaluator | [Function/venue] evaluator |  |
| [Name] | Controller | Lead SimCell controller, Master Scenario Events List (MSEL) manager |  |
| [Name] | Controller | [Function/organization] simulator |  |
| [Name] | Controller | [Function/organization] simulator |  |

#### Acronyms

|  |  |
| --- | --- |
| **Acronym** | **Term** |
| AAR  | After Action Report  |
| ACS  | Alternate Care Sites  |
| ALS  | Advanced Life Support  |
| ARC  | American Red Cross  |
| ASPR  | Office of the Assistant Secretary for Preparedness and Response (HHS)  |
| ATSDR  | Agency for Toxic Substances and Disease Registry  |
| BLS  | Basic Life Support  |
| CAHF  | California Association of Health Facilities  |
| CBRNE  | Chemical, Biological, Radiological, Nuclear, and Explosives  |
| CCTV  | Closed Circuit Television  |
| CDP  | Center for Domestic Preparedness  |
| CEM  | Certified Emergency Manager  |
| CEO  | Chief Executive Officer  |
| CEU  | Continuing Education Unit  |
| CGC 1  | Continuity Guidance Circular 1 (FEMA)  |
| CHEM  | Certification in Hospital Emergency Management  |
| CHEP  | Certified Healthcare Emergency Professional  |
| CHEMTREC  | Chemical Transportation Emergency Center  |
| CME  | Continuing Medical Education  |
| COOP  | Continuity of Operations  |
| CPG  | Comprehensive Preparedness Guide  |
| CT  | Computed Tomography  |
| DMAT  | Disaster Medical Assistance Team  |
| DMORT  | Disaster Mortuary Operational Response Team  |
| ECL  | Emergency Credential Level  |
| EMA  | Emergency Management Agency  |
| EMI  | Emergency Management Institute (FEMA)  |
| EMP  | Electromechanical Pulse  |
| EMS  | Emergency Medical Services  |
| EMTALA  | Emergency Medical Treatment and Active Labor Act  |
| EOC  | Emergency Operations Center  |
| EOP  | Emergency Operations Plan  |
| ESAR-VHP  | Emergency System for Advance Registration of Volunteer Health Professionals  |
| ESF #8  | Emergency Support Function 8 – Public Health and Medical Services  |
| FAC  | Family Assistance Center  |
| FCC  | Federal Communications Commission  |
| FEMA  | Federal Emergency Management Agency  |
| FMS  | Federal Medical Station  |
| FOG  | Field Operations Guide  |
| HazMat  | Hazardous Materials  |
| HCC(s)  | Hospital Command Center(s)  |
| HHS  | U.S. Department of Health and Human Services  |
| HICS  | Hospital Incident Command System  |
| HIMT  | Hospital Incident Management Team  |
| HIPAA  | Health Insurance Portability and Accountability Act  |
| HSEEP  | Homeland Security Exercise and Evaluation Program  |
| HSPD  | Homeland Security Presidential Directive  |
| HVA  | Hazard Vulnerability Analysis  |
| HVAC  | Heating, Ventilation, and Air-conditioning  |
| IAP  | Incident Action Plan  |
| IC  | Incident Command or Incident Commander  |
| ICDRM  | Institute for Crisis, Disaster and Risk Management  |
| ICP  | Incident Command Post  |
| ICS  | Incident Command System  |
| ICU  | Intensive Care Unit  |
| IMT  | Incident Management Team  |
| IT/IS  | Information Technology/Information Services  |
| IOM  | Institute of Medicine  |
| IP  | Improvement Plan  |
| IPG  | Incident Planning Guide  |
| IRG  | Incident Response Guide  |
| JAS  | Job Action Sheet  |
| JIC  | Joint Information Center  |
| JIS  | Joint Information System  |
| MAC  | Multi-Agency Coordination  |
| MACS  | Multi-Agency Coordination System  |
| MBO  | Management by Objectives  |
| MFH  | Mobile Field Hospitals  |
| MOU  | Memorandum of Understanding  |
| MRC  | Medical Reserve Corps  |
| MRI  | Magnetic Resonance Imaging  |
| MSDS  | Material Safety Data Sheet  |
| NC  | Net Control  |
| NDMS  | National Disaster Medical System  |
| NFPA  | National Fire Protection Association  |
| NHICS  | Nursing Home Incident Command System  |
| NIMS  | National Incident Management System  |
| NRF  | National Response Framework  |
| NVRT  | National Veterinary Response Team  |
| OSHA  | Occupational Safety and Health Administration  |
| PPD  | Presidential Policy Directive  |
| PIO  | Public Information Officer  |
| POD  | Point of Dispensing (Pharmaceutical) or Distribution (Non-Pharmaceutical)  |
| PPE  | Personal Protective Equipment  |
| RAIN  | Recognize, Activate, Isolate, Notify  |
| REAC/TS  | Radiation Emergency Assistance Center/Training Site  |
| REMM  | Radiation Emergency Medical Management  |
| RHCC  | Regional Hospital Coordination Center  |
| RN  | Registered Nurse  |
| SALT  | Sort, Assess, Lifesaving Interventions, Treatment/Transport  |
| SARS  | Severe Acute Respiratory Syndrome  |
| SMART  | Specific, Measurable, Action-Oriented, Realistic and Time Sensitive  |
| START  | Simple Triage and Rapid Treatment  |
| THIRA  | Threat and Hazard Identification and Risk Assessment  |
| UC  | Unified Command  |
| VHA  | Veterans Health Administration |
| VHF | Viral Hemorrhagic Fever  |
| VOIP  | Voice Over Internet Protocol  |

**APPENDIX H: HSEEP & TJC CROSSWALK: REVIEW OF EXERCISE OBJECTIVES AND CORE CAPABILITIES**

Aligning exercise objectives and core capabilities provides a consistent taxonomy for evaluation that transcends individual exercises to support preparedness reporting and trend analysis. The exercise objectives below are aligned with the HSEEP core capabilities and TJC performance standards:

| **Organizational Target Objective** | **HSEEP Core** **Capability** | **TJC Performance** **Standards** |
| --- | --- | --- |
| Exercise and evaluate the facility’s ability to communicate internally and with community partners, evaluating technology and Back Up systems. | Operational Communications | Communications Objective (EM.02.02.01) |
| Exercise and evaluate the coordination of Safety and Security activities, and plans to manage access control, traffic control, hazardous materials and waste, and CBRNE management. | On Scene Safety and Security  | Safety and Security Objective (EM.02.02.05) |
| Exercise and evaluate the facility’s staff (including physicians and volunteers) ability to perform their roles, responsibilities and functions during an emergency. | Public Health and Medical Services | Staff Responsibility Objective (EM.02.02.07) |
| Exercise and evaluate the facility’s plans to manage and replenish personal protective equipment, water, fuel, and medical, surgical and medication – related resources and assets for disaster response. | Public and Private Services and Resources | Resources and Assets Objective (EM.02.02.03) |
| Exercise and evaluate the facility’s plans for the management of primary and contingency plans to maintain electricity, water, fuel, medical gas/vacuum, and other critical utilities during an incident. | Infrastructure Systems | Utility and Management Objective (EM.02.02.09) |
| Exercise and evaluate the facility’s plans for the management of patient care during an emergency incident.  | Public Health and Medical Services | Patient and Clinical Support Activities Objective (EM.02.02.11) |