

Template introduction:

The attached template is designed to assist you in creating an Orientation Seminar, Drill, Tabletop, Functional, or Full Scale exercise. The format allows for the creation of the exercise design and subsequent analysis. References have been provided to the Federal Emergency Management Agency's (FEMA) Target Capabilities List to assist in selecting the target Capabilities and Tasks to be tested. Exercise Evaluation Guides can be generated from the FEMA list by copying the appropriate Capability list and deleting all non-related tasks. (The lists are extensive and should be minimized to 1-2 tasks for each Capability being tested) Your entries in the CPCA template can also be used to create a player handbook. The handbook will be used to guide participant actions during the actual play. CPCA will provide a second template to assist with the Player Handbook documentation.

Exercise Types and Definitions:

- **Orientation Seminar:** An overview or introduction- The purpose is to familiarize participants with roles, plans, procedures, or equipment. It can also be used to resolve questions of coordination and assignment of responsibilities. Orientations are led by a facilitator, who presents information and guides discussion.
- **Drill:** A coordinated, supervised exercise activity normally used to test a single operation or function. With a drill, there is no attempt to coordinate partners or fully activate the organization's EOP. Its role in an exercise program is to practice and perfect one small part of the response plan and help prepare for more extensive exercises. The effectiveness of a drill is its focus on a single portion of the overall EOP. It should be as realistic as possible and include tests of any equipment or apparatus for the function being drilled. A drill can be led by a manager, supervisor, department head, or exercise designer. Staff must have a good understanding of the single function being tested.
- **Tabletop:** A facilitated analysis of an emergency situation in an informal, stress-free environment. The Tabletop exercise is designed to elicit constructive discussion as participants examine and resolve problems based on existing operational plans. Emphasis is placed on identifying where plans need to be refined and how improvements can be made. The success of the exercise is largely determined by group participation. A facilitator leads the tabletop discussion. This person decides who gets a message or problem statement, calls on others to participate, asks questions, and guides the participants toward sound decisions. The exercise can involve many people and many organizations—essentially anyone who can learn from or contribute to the planned discussion items.
- **Functional:** Functional exercises make it possible to test several functions and exercise several agencies or departments without incurring the cost of a full-scale exercise. It is a *fully simulated interactive exercise that tests the capability of an organization to respond to a simulated event*. It is a coordinated reaction to a situation in a time-pressured, realistic simulation. The goals focus on integration, and the interaction of an organization's policies, procedures, roles, and responsibilities before, during, or after the simulated event. Functional exercises are complex in their organization of leadership and the assignment of roles. The following general roles are used:
 - **Controller:** Manages and directs the exercise
 - **Players:** Participants who respond as they would in a real emergency (Players should include policy makers; may include coordinators and operational personnel directing field activities.)
 - **Simulators:** Assume external roles and deliver planned messages to the players
 - **Evaluators:** Observers who assess performance
- **Full Scale:** A full-scale exercise simulates a real event as closely as possible. To accomplish this realism, it requires the mobilization and actual movement of emergency personnel, equipment, and resources. Ideally, the full-scale exercise should test and evaluate most functions of the EOP.

California Primary Care Association
(Name of Exercise)
(Tabletop Date)

(Organization Name) post exercise activity analysis
and corrective action plan.

After Action Report and Corrective Action Plan
Published XX-XXXX

Administrative Handling Instructions:

The information contained in this report shall be considered Sensitive but Unclassified (SBU) as weighted by the Homeland Security Act and regulations issued by the Department of Homeland Security. It is intended for the use by _____ development of Emergency Preparedness Planning.

(For more on SBU as defined by DHS please review the website: http://www.cjog.net/background_sbu_sensitive_but_unclass.html)

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Appendix A: After Action Report and Improvement Plan

Appendix B: Lessons Learned

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Executive Summary

The executive summary lists the main points of the exercise and the capabilities being tested. It should be laid out in the same chronological order as the actual play and be written in simple declarative sentences. The addition of supporting or explanatory sentences is acceptable but should be kept to a minimum.

(Process check tip: Ask a nontechnical person -- for example, a friend or coworker to read the document. If it confuses or bores them, the summary probably will have the same effect on other nontechnical readers.)

Section 1:

Exercise Overview:

Exercise Name: Provide a descriptive name-i.e. **Patient Surge Tabletop Exercise**

Type of Exercise: (Orientation Seminar, Drill, Tabletop, Functional, Full Scale)

Exercise Start Date: 01-01-20XX

Exercise End Date: 01-01-20XX

Duration: (?) hours

Location: List the name of the location, room and physical address of where the exercise will be conducted.

Sponsor: This exercise was sponsored by _____.

Funding Recipient: The exercise was designed to test functionality addressed in the _____.

(Process check tip: Sample: Hospital Preparedness Program (HPP), Health Resources and Services Administration (HRSA) Form 10, Bureau of Primary Health Care (BPHC) policy information notice 2007-15. etc)

Exercise Mission

This Exercise Mission provides the planner with guidance concerning procedures and responsibilities for the design of the play. It clarifies the exercise concept, establishes the basis for the exercise, and defines the communications, logistics, and administrative structures that will be used to support the exercise. This portion should also lay out the exercise methodology, including Control and Evaluation Team structure, team member responsibilities, and procedures that will be followed during the play.

(Process check tip: Describe the purpose of the plan or function being tested and the goals of the exercise. Provide specific information to your exercise developers on the exercise objectives, specific points of review, administrative procedures and the methods that will be utilized to control the simulation and subsequent evaluation).

Capabilities: The exercise will test specific functions relating to emergency response capabilities. The National Preparedness Guidelines (NPG) provides the FEMA Target Capabilities List (TCL) which set forth doctrine, priorities, and targets to guide capabilities-based preparedness for Federal, State, local, private sector, and non-governmental jurisdictions and entities. The NPG and TCL currently provide guidance and reference information on building 37 capabilities for large-scale, non-routine events across the prevention, protection, response, and recovery homeland security mission areas. Each capability can be narrowed to quantifiable tasks that can be scored within your exercise. List the capabilities to be scored.

(Process check tip: Narrow what you will be scoring down to 3-5 specific tasks. Your exercise will be helpful in identifying additional opportunities for improvement so you do not want to overburden your evaluation team. The FEMA Capabilities list can be found at: https://hseep.dhs.gov/pages/1002_EEGLi.aspx. Once you have decided which Capabilities, and subsequent tasks to test, you can use the lists to create your Exercise Evaluation Guide (EEG).

(Sample Capabilities)

- Communications
- Surge Planning within the community
- Emergency Public Information and Warning

Scenario:

Briefly describe the hazard and related events that are the basis for your exercise. Provide a description of the conditions and set the stage for the play. Include background information for the emergency to increase the realism of the situation.

Exercise Planning Team: List the Names, Organizations, and Exercise related Titles of your team:

*Medical Health Clinic XYZ
Exercise Evaluator- Xxxxx Xxxxxx
Exercise Evaluator- Xxxxx Xxxxxx
Exercise Planner - Xxxxx Xxxxxx
Exercise Controller – Xxxxx Xxxxxx*

Participating Agencies: List all agencies involved in the exercise play, review, or support.

Number of Participants:

*I.e.:
Players- 30
Controller/Facilitator- 2
Evaluators- 2*

Section 2:

Exercise Design Summary

This summary is intended to provide a brief overview of the exercise design process and the planning context in which the exercise is to be conducted.

(Process check tip: Sample: Exercise play begins on XX/XX/XXXX at XX:XX am/pm and ends at approximately XX:XX am/pm or as determined by the exercise controller. It will involve play at the single location with interactions involving outside responses being simulated through scripts or pre-establish injects. Exercise play may end before the scheduled deadline if the exercise controller, and evaluation team leader determine that all objectives and performance criteria (anticipated actions) have been sufficiently addressed that evaluators can complete their assessments.)

Exercise Purpose and Design:

This section provides the information on why the exercise is being conducted as well as the scope and concept of play.

(Process check tip: Clarify the scope of play to alleviate the risk of emergency responses exceeding the expected parameters. Frequently the scope addresses only the initial activities of the exercise.

(For example, it may dictate the “The exercise play will address the first 1½ hours of response activities following the full activation of the Clinic EOP”)

Exercise Objectives:

These can be defined by the exercise planners or be pulled from the FEMA Capabilities list. Objectives from the list should reflect specific the specific subordinate Tasks being tested

(Process check tip: Sample from FEMA Target Capabilities List:

Capabilities and Activities Identified for Demonstration:

- **Capability: Communications**

Activities identified for demonstration of competency:

1.2 Communicate incident response information per agency protocols.

- **Capability: Surge Planning/ Community Preparedness and Participation**

Activities identified for demonstration of competency:

1.1 Develop programs to prepare for all-hazards incident support.

- **Capability: Emergency Public Information and Warning**

Activities identified for demonstration of competency:

1.1 Activate plans, procedures, and policies for coordinating, managing, and disseminating public information and warnings.

- Public information is disseminated according to Incident Action Plan

1.2 Identify public information needs of the affected area.

Scenario Summary:

Briefly describe the hazard and related events and conditions leading up to the beginning stage of the exercise. Provide background information to enhance the realism of the situation. Include weather conditions and all relevant background data that would be available to the players at the start of play.

Section 3:

Analysis of Capabilities Provide analysis of the data collected during the exercise.

- **Capability:** List the Capabilities and Tasks being tested.
- **Observation:** Summarize what was observed during the exercise and hot-wash that concerns this Capability/Task.
- **References:** List any reference documents that would provide guidance on the actions completed during the exercise play.

Analysis: Provide a short statement on the success or failure or the response. Include possible suggestions for improvement.

Recommendation(s): Provide recommendations for solutions to deficits identified.

(Process check tip: Sample from FEMA Target Capabilities List:

- **Capability: Communications**

1.2 Communicate incident response information per agency protocols.

Activities identified for demonstration of competency:

Staffing and management are informed of communication requirements.

Observation: *Upon receiving information on the spread of Pandemic Influenza it is clear the EOC would be activated with long term response planning in mind. Means of communicating between response agencies was discussed with clear definition of how the process would be accomplished. Organizations with less developed emergency planning were able to gain insights into what steps would be required to integrate into the existing system. Clear lines of communication were discussed with tool identified for use by all agencies.*

- **References:** *Clinic Emergency Operations Plan, Crisis Communications Plan.*

Analysis: *The means of identifying contact information for staff needed in an emergency response are current and readily available through multiple electronic sources. Organizations with less developed activation and notification processes need to formalize their planning and coordinate their activities with those of the Office of Emergency Services (OES).*

Recommendation(s): *Registering all partners in the California Health Alert Network Health (CAHAN), promoting contact with OES and developing emergency contact alerting lists for each organization. Encourage all partners to participate in the Public Information Office (PIO) network and to identify a PIO within their own organization.*

Section 4:

Conclusion:

Provide an overview of lessons learned. Explain what went well- Pay special attention to things that did not go well which identified areas for improvement.

Appendix A- Your Improvement Plan is your outline for future actions to be taken as a result of what you learned during your exercise.

(Sample)

Improvement Plan

Follow-up Actions to Be Completed Clinic XXXXX:

Action Needed to Be Completed	Responsible Party and Due Date	Date scheduled for next review	Result of Review
Provide outline of initial steps to be followed in Emergency Preparedness Planning for partner organizations- to include CAHAN Configuration/activation.	XXXXXXXX XXXX XX/XX/XXXX	XX/XX/XXXX	
Contact emergency partners not present at the tabletop and solicit participation in future exercises.	XXXXXXXX XXXX XX/XX/XXXX	XX/XX/XXXX	

Lessons Learned

(SAMPLE)

The exercise brought to light the need to better refine emergency contact information for personnel at some of the smaller organizations. It would also benefit the overall group to make sure the contact data provided emergency partners is accurate and kept current. Regular CAHAN testing by many of the organizations has proved to be valuable in identifying points of failure and promoting efficient use of the tool. Including the larger scope of agencies in the exercise helped identify concerns in the overall emergency planning considerations of the operational area and provided insights into potential solutions. Future events with diverse organizational representation will be sought out. Extension of breakout session duration was suggested as a potential improvement for future exercises as was a larger facility when dealing with large numbers of players.

Communications EEG Form

Exercise Evaluation Guide:

<p>Capability Description: Communications is the fundamental capability within disciplines and jurisdictions that practitioners need to perform the most routine and basic elements of their job functions. Agencies must be operable, meaning they possess sufficient wireless communications capabilities to meet their daily internal and emergency communication requirements before they focus on interoperability.</p>	
<p>Capability Outcome: A continuous flow of critical information is maintained as needed among multi-jurisdictional and multi-disciplinary emergency responders, command posts, agencies, and governmental officials for the duration of the emergency response operation in compliance with National Incident Management System (NIMS). To accomplish this, the jurisdiction has a continuity of operations plan for public safety communications to include the consideration of critical components, networks, support systems, personnel, and an appropriate level of redundant communications systems in the event of an emergency.</p>	
<p>Jurisdiction or Organization:</p>	<p>Name of Exercise:</p>
<p>Location:</p>	<p>Date:</p>
<p>Evaluator:</p>	<p>Evaluator Contact Info:</p>
<p><i>Note to Exercise Evaluators: Only review those activities listed below to which you have been assigned.</i></p>	

Activity 1: Alert and Dispatch

Activity Description: In response to an incident alert, notify and provide communications management until the Incident Command (IC), Emergency Operations Center (EOC), and Emergency Management Agency (EMA) are activated.

Tasks Observed (check those that were observed and provide comments)
 Note: Asterisks (*) denote Performance Measures and Performance Indicators associated with a task. Please record the observed indicator for each measure

	Task /Observation Keys	Time of Observation/ Task Completion
1.2 (ComC 4.2.1)	Communicate incident response information per agency protocols. - <i>Timely, accurate and clear incident information passed to dispatched response teams</i> - <i>Incident information relayed to pertinent incident management facilities (e.g., Incident Command Post (ICP), Emergency Operations Center/Multi Agency Coordination Center (EOC/MACC), etc.)</i> - <i>Incident information logged and disseminated to communications staff, as appropriate</i>	Time: Task Completed? Fully [] Partially [] Not [] N/A []

Communications EEG Form

Exercise Evaluation Guide Analysis Sheets

The purpose of this section is to provide a narrative of what was observed by the evaluator/evaluation team for inclusion within the draft After Action Report/Improvement Plan. This section includes a chronological summary of what occurred during the exercise for the observed activities. This section also requests the evaluator provide key observations (strengths or areas for improvement) to provide feedback to the exercise participants to support sharing of lessons learned and best practices as well as identification of corrective actions to improve overall preparedness.

Observations Summary

Write a general chronological narrative of responder actions based on your observations during the exercise. Provide an overview of what you witnessed and, specifically, discuss how this particular Capability was carried out during the exercise, referencing specific Tasks where applicable. The narrative provided will be used in developing the exercise After-Action Report (AAR)/Improvement Plan (IP).

[Insert text electronically or on separate pages]

Evaluator Observations: Record your key observations using the structure provided below. Please try to provide a minimum of three observations for each section. There is no maximum (three templates are provided for each section; reproduce these as necessary for additional observations). Use these sections to discuss strengths and any areas requiring improvement. Please provide as much detail as possible, including references to specific Activities and/or Tasks. Document your observations with reference to plans, procedures, exercise logs, and other resources. Describe and analyze what you observed and, if applicable, make specific recommendations. Please be thorough, clear, and comprehensive, as these sections will feed directly into the drafting of the After-Action Report (AAR). Complete electronically if possible, or on separate pages if necessary.

Strengths

1. Observation Title:

Related Activity:

Record for Lesson Learned? (Check the box that applies) Yes ___ No ___

- 1) Analysis:** (Include a **discussion** of what happened. When? Where? How? Who was involved? Also describe the **root cause** of the observation, including contributing factors and what led to the strength. Finally, if applicable, describe the positive **consequences** of the actions observed.)

2) References: (Include references to plans, policies, and procedures relevant to the observation)

3) Recommendation: (Even though you have identified this issue as a strength, please identify any recommendations you may have for enhancing performance further, or for how this strength may be institutionalized or shared with others.)

Acronyms

CAHAN	California Health Alerting Network
CDC	Center for Disease Control
CERC	Crisis and Emergency Response Communications
DHS	Department of Homeland Security
DOC	Department Operations Center
EEG	Exercise Evaluation Guide
EMS	Emergency Medical Services
EMSA	Emergency Medical Services Authority
EOC	Emergency Operations Center
HPP	Hospital Preparedness Program
IC	Incident Commander
ICS	Incident Command System
JIC	Joint Information Center
JIS	Joint Information System
MHOAC	Medical Health Operational Area Coordinator
NIMS	National Incident Management System
OES	Office of Emergency Services
PHEP	Public Health Emergency Preparedness
PIO	Public Information Officer
SBU	Sensitive but Classified
SEMS	Standardized Emergency Management System
SNS	Strategic National Stockpile
UC	Unified Command
WHO	World Health Organization