

**2011 OHIO CENTRAL REGION HOSPITALS
MASS FATALITY MANAGEMENT AND
EVACUATION/SHELTER -IN-PLACE
FUNCTIONAL EXERCISE**

Controller and Evaluator Handbook

Prepared by Paratus Solutions

Exercise Date: May 10, 2011

CONTENTS

| | |
|---------------------------------------------------------------|----------|
| Contents | i |
| Preface | 1 |
| Handling Instructions | 2 |
| Chapter 1: General Information | 3 |
| Introduction | 3 |
| Confidentiality | 3 |
| Exercise Summary | 3 |
| General..... | 3 |
| Purpose..... | 3 |
| Scope..... | 4 |
| Assumptions..... | 4 |
| Constructs and Constraints | 4 |
| Target Capabilities | 4 |
| Exercise Objectives | 5 |
| Exercise Participants | 5 |
| Exercise Implementation and Rules | 6 |
| Logistics | 7 |
| Security | 7 |
| Observer Coordination..... | 7 |
| Parking and Directions..... | 7 |
| Refreshments and Restroom Facilities..... | 7 |
| Exercise Identification | 7 |
| Chapter 2: Exercise Scenario | 8 |
| Scenario | 8 |
| Major Events | 8 |
| Safety | 8 |
| General..... | 8 |
| Accident Reporting..... | 8 |
| Chapter 3: Controller Information and Guidance | 9 |
| Exercise Control..... | 9 |
| Exercise Start, Suspension, and Termination Instructions..... | 9 |
| Controller Responsibilities..... | 9 |
| Controller Package..... | 9 |
| Incident Simulation..... | 10 |
| Scenario Tools | 10 |
| Communications Plan | 10 |
| Controller Communications..... | 10 |
| Player Communications | 10 |

| | |
|---------------------------------------------------------------|-----------|
| Controller Instructions | 11 |
| Before the Exercise | 11 |
| During the Exercise..... | 11 |
| After the Exercise | 12 |
| Assessment, Review, and Analysis of Exercise | 12 |
| Hot Wash | 12 |
| Controller and Evaluator Debriefing | 12 |
| Evaluations..... | 12 |
| Participant Feedback Forms..... | 13 |
| After Action Conference..... | 13 |
| Exercise Report | 13 |
| Chapter 4: Evaluator Information and Guidance | 14 |
| General Information | 14 |
| Exercise Evaluation | 14 |
| After Action Report and Improvement Plan (AAR/IP) | 14 |
| Exercise Evaluation Guides (EEGs)..... | 14 |
| Evaluator Responsibilities..... | 15 |
| Before the Exercise | 15 |
| During the Exercise..... | 15 |
| After the Exercise | 16 |
| Documenting the Event..... | 16 |
| Evaluator Package..... | 16 |
| Controller and Evaluator Briefing | 16 |
| Evaluator Instructions and Guidelines | 16 |
| General | 16 |
| Evaluation Basics..... | 17 |
| Recording Important Events | 17 |
| What to Look For..... | 17 |
| Placement and Monitoring..... | 18 |
| Postexercise Activities | 18 |
| Assessment, Review, and Analysis of Exercise | 18 |
| Hot Wash | 18 |
| Controller and Evaluator Debriefing | 18 |
| Evaluations..... | 18 |
| Participant Feedback Forms..... | 19 |
| After Action Conference..... | 19 |
| Exercise Report..... | 19 |
| Appendix A: Exercise Schedule | 1 |
| Appendix B: Exercise Site Maps..... | 1 |
| Appendix C: Controller and Evaluator Assignments | 1 |

PREFACE

The Ohio *CRH Mass Fatality Management and Evacuation/Shelter-in-Place* Functional Exercise (*Ohio CRH MFM and Evac/SIP FE*) is sponsored by the Central Ohio Trauma System (COTS). This Controller and Evaluator (C/E) Handbook was produced with input, advice, and assistance from the Ohio CRH MFM and Evac/SIP Exercise Planning Team, which followed guidance set forth by the U.S. Department of Homeland Security (DHS) Homeland Security Exercise and Evaluation Program (HSEEP).

The C/E Handbook is a supplement to the *Ohio CRH MFM and Evac/SIP Exercise Plan (ExPlan)*. It provides controllers and evaluators with detailed information about the exercise scenario and their specific duties and responsibilities. Controllers and evaluators should refer to the ExPlan for basic information about the exercise, including participating agencies, schedules, briefings, and the responsibilities of various participants. The information in this document is current at the date of publication, April 18, 2011, and is subject to change as dictated by the *Ohio CRH MFM and Evac/SIP* Exercise Planning Team.

HANDLING INSTRUCTIONS

1. The title of this document is the *Ohio CRH MFM and Evac/SIP FE Controller and Evaluator (C/E) Handbook*.
2. The information gathered in this C/E Handbook is designated as For Official Use Only (FOUO) and 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 COTS 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 that offers sufficient protection against theft, compromise, inadvertent access, and unauthorized disclosure.
4. For more information about the exercise, please consult the following points of contact (POCs):

Exercise Director:

Dudley Smith, MSHPA, CMTE, MEP
Preparedness Program Director
Paratus Solutions, LLC
431 E. Broad Street
Columbus, Ohio 43215
Office: 614-360-2426 x 106
Toll Free: 888-614-360-2426
Cell: 513-260-4141
dsmith@paratussolutions.org

Exercise Assistants:

Melissa Rose
Preparedness Program Manager
Paratus Solutions
614.563.8119 (cell)
mrose@paratussolutions.org

Lori Schwartzkopf
Preparedness Program Director
Paratus Solutions
614.563.6093(cell)
lschwartzkopf@paratussolutions.org

Project Sponsor:

Marie Robinette
Regional Health System Emergency Preparedness Coordinator
Central Ohio Trauma System
431 E. Broad St. - Columbus, OH 43215
Direct Phone: 614.255.4411
Office Phone: 614.240.7419
Fax: 614.240.7416
mrobinette@goodhealthcolumbus.org

CHAPTER 1: GENERAL INFORMATION

Introduction

The 2011 *Ohio CRH MFM and Evac/SIP FE* is designed to establish a learning environment for players to exercise emergency response plans, policies, and procedures as they pertain to a multiple tornado event and associated outcomes. To ensure an effective exercise, subject matter experts (SMEs) and local representatives from numerous agencies have taken part in the planning process and will take part in exercise conduct and evaluation.

This Exercise Plan (ExPlan) was produced at the direction of the Central Ohio Trauma System with input, advice, and assistance from the *2011 Ohio CRH MFM and Evac/SIP Exercise Planning Team*.

Confidentiality

The *2011 Ohio CRH MFM and Evac/SIP FE* is an unclassified exercise. Control of exercise information is based on public sensitivity regarding the nature of the exercise rather than the actual exercise content. Some exercise material is intended for the exclusive use of exercise planners, controllers, and evaluators, but players may view other materials deemed necessary to their performance. All exercise participants may view the Exercise Plan (ExPlan), but this C/E Handbook is a restricted document that is intended for controllers and evaluators only.

All exercise participants should use appropriate guidelines to ensure proper control of information within their areas of expertise and protect this material in accordance with current directives.

Public release of exercise materials to third parties is at the discretion of the *Ohio CRH MFM and Evac/SIP FE Exercise Planning Team*.

Exercise Summary

General

The 2011 Ohio CRH MFM and Evac/SIP FE is designed to establish a learning environment for players to exercise their plans and procedures for responding to a natural disaster. The 2011 Ohio CRH MFM and Evac/SIP FE will be conducted on **May 10, 2011, beginning at 0830 Hours.** **Exercise play is scheduled for three (3) to five (5) hours or** until the Exercise Director and Senior Controller determine that the exercise objectives have been met at each venue.

Purpose

The purpose of this exercise is to evaluate player actions against current response plans and capabilities for a natural disaster requiring evacuation, shelter-in-place (SIP) and mass fatality management response.

Scope

The scope of play for the *Ohio CRH MFM and Evac/SIP FE* requires that participants functionally participate in exercise play designed to evaluate the Objectives listed on Page 7 of this Handbook.

Assumptions

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

- 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 and will contain sufficient detail from which to respond.
- Exercise players will react to information and situations as they are presented, in the same manner as if the exercise were a real incident.

Constructs and Constraints

Constructs are exercise devices that are designed to enhance or improve exercise realism. Constraints are exercise limitations that may detract from exercise realism. Constraints may be the inadvertent result of a faulty construct, or they may pertain to financial and staffing issues. Although there are constructs and constraints (also known as exercise artificialities) in any exercise, the *Ohio CRH MFM and Evac/SIP* Exercise Planning Team recognizes and accepts the following as necessary:

- Exercise communication and coordination will be limited to the participating exercise venues and the Simulation Cell (SimCell).
- Only communication methods listed in the Communications Directory will be available for players to use during the exercise.
- Participating agencies may need to balance exercise play with real-world emergencies. Real-world emergencies will take priority.

Target Capabilities

The capabilities listed here have been selected by the *2011 Ohio CRH MFM and Evac/SIP* Exercise Planning Team from the priority capabilities identified in Ohio CRH's Multiyear Training and Exercise Plan. These capabilities provide the foundation for development of the exercise objectives and scenario. The purpose of this exercise is to measure and validate performance of these capabilities and their associated critical tasks. The selected capabilities are:

- Communications
- Onsite Incident Management
- Evacuation and/or Shelter-in-Place Protection
- Fatality Management
- Medical Surge

Exercise Objectives

The Exercise 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:

Objective #1 Incident Command: Demonstrate the ability to implement HICS to effectively respond and make decisions regarding evacuation, mass fatality management, surge and or shelter-in-place.

Objective #2 Mass Fatality Management (for those testing this objective): Demonstrate the ability to utilize the hospital's plan to responsibly manage decedents in excess of hospital morgue capacity.

Objective #3 Evacuation/Shelter-in-Place Planning: Demonstrate the ability to utilize hospital plans for decision making regarding evac/SIP. Efficiently locate receiving facilities appropriate for each patient's level of acuity and track patients from current area of care to the receiving facility

Objective #4 Interoperable Communications: Demonstrate the ability to notify and communicate with the appropriate agencies, organizations and personnel to effectively manage the incident.

Objective #5 Medical Surge: Demonstrate the ability manage an influx of patients from an evacuation in excess of 20% of current capacity.

Objective #6 Resource Management: Demonstrate the ability to recognize, mobilize, and manage the hospital's current and identified disaster-related needs.

Exercise Participants

The term *participant* encompasses many groups of people, not just those playing in the exercise. Categories of participants involved in the exercise are as follows:

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

- **Players.** Players are agency personnel who have an active role in responding to the simulated emergency and perform their regular roles and responsibilities during the exercise. Players initiate actions that will respond to and mitigate the simulated emergency.
- **Controllers.** Controllers set up and operate the exercise site, plan and manage exercise play, and act in the roles of response individuals and agencies that are not playing in the exercise. Controllers direct the pace of exercise play; they routinely include members of the Exercise Planning Team. They provide key data to players and may prompt or initiate certain player actions to ensure exercise continuity.

- **Simulators.** Simulators are control staff personnel who role play nonparticipating organizations or individuals. They most often operate out of the 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. They are chosen on the basis of their expertise in the functional area(s) they have been assigned to review during the exercise and their familiarity with local emergency response procedures. Evaluators assess and document participants' performance against established emergency plans and exercise evaluation criteria, in accordance with Homeland Security Exercise and Evaluation Program (HSEEP) standards. They typically are chosen from planning committee members or agencies or organizations that are participating in the exercise.
- **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. VIPs are also observers, but they frequently are grouped separately. A dedicated group of exercise controllers will be assigned to manage these groups.
- **Media Personnel.** Some media personnel may be present as observers, pending approval by Central Ohio Trauma System personnel and Exercise Support Team members. Media interaction also may be simulated by the SimCell to enhance realism and meet related exercise objectives. A dedicated group of exercise controllers will be assigned to manage these groups.
- **Support Staff.** The exercise support staff includes individuals who are assigned administrative and logistical support tasks during the exercise (e.g., registration, catering).

Exercise Implementation and Rules

- The Exercise Director will initiate exercise play by transmitting the start of exercise (StartEx) message via a Telephone Emergency Notification System (TENS) alert from the Hospital Incident Liaison (HIL).
- The Exercise Director makes the decision to conclude the exercise, based on completion of operations and attainment of exercise objectives.
- Real-world emergency actions take priority over exercise actions.
- All communications (e.g., written, radio, telephone) during the exercise will begin and end with the statement **“This is an exercise.”**
- **“Real-world emergency”** will be the designated phrase to indicate that there is an emergency in the exercise area that requires immediate attention and may stop exercise play.

- “Timeout” will be the designated phrase that controllers use to temporarily stop exercise play.
- Exercise players will comply with real-world response procedures, unless otherwise directed by controllers. Responder rules of conduct are outlined in the ExPlan.
- Exercise players who place telephone calls or initiate radio communications with the SimCell must identify the organization, agency, office, or individual with whom they wish to speak.

Logistics

Security

The Responsible Organization will control entry to exercise venues and the SimCell under its purview. To prevent confusion and interruption of the exercise, access to exercise sites and the SimCell will be limited to exercise participants only. Players should advise their venue’s controller or evaluator if an unauthorized person is present. Each organization should follow its internal security procedures, augmented as necessary to comply with exercise requirements.

Observer Coordination

It is up to the individual participating agencies if they are going to allow observers at their location. The observers should be positioned so they don’t interfere with the exercise.

Parking and Directions

Parking information and directions to each venue area are available from the Exercise Director or Assistants.

Refreshments and Restroom Facilities

If food and refreshments are provided it will be made available by each participating agency.

Exercise Identification

Identification badges will be issued to exercise staff. All exercise personnel will be identified by agency uniforms or identification hats/badges distributed by the exercise staff.

Table 2.1 describes these identification items.

Table 2.1. Exercise Identification

| Group | Badge Color |
|-------------|-------------|
| Controllers | Blue |
| Evaluators | Yellow |

CHAPTER 2: EXERCISE SCENARIO

Scenario

Need to develop this further.

Major Events

- Injured persons are taken to the hospital for treatment.

Safety

General

Exercise participant safety takes priority over exercise events. Although the participants involved in the 2011 Ohio CRH MFM and Evac/SIP FE come from various response agencies, they share the basic responsibility for ensuring a safe environment for all personnel involved in the exercise. Because aspects of an emergency response are dangerous, professional health and safety ethics should guide all participants to operate in their assigned roles in the safest manner possible. The following general requirements apply to the exercise:

- Since this is a *Functional Exercise*, there may not be a dedicated Safety Officer for the exercise; however, functional areas will assign a Safety Officer if needed. If assigned, the Safety Officer will oversee all exercise participants including Players, Controllers, Simulators, Evaluators, and support staff will serve as safety officers for the exercise.
- Any participant witnessing an unsafe act or emergency should immediately notify a Controller. The Controller(s) will suspend exercise play and notify the Safety Officer and Exercise Director, who will evaluate the situation and decide if the exercise can be safely resumed.

Accident Reporting

All injuries, incidents, and accidents, regardless of severity, must be reported immediately to the nearest controller. Anyone who observes a participant who is seriously ill or injured will first advise the nearest controller and then render first aid, if possible, provided the aid given does not exceed his or her training. For an emergency that requires assistance, participants should use the phrase “**real-world emergency.**” If the nature of the emergency requires suspension of the exercise at the venue or function, all exercise activities at that facility will immediately cease. Exercise play may resume at that venue or function after the situation has been addressed. 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. Notification will be made from the SimCell.

CHAPTER 3: CONTROLLER INFORMATION AND GUIDANCE

Exercise Control

Exercise Start, Suspension, and Termination Instructions

The *Ohio CRH MFM and Evac/SIP FE* will be conducted on **May 10, 2011 beginning at 0830 Hours. Exercise play is scheduled for three (3) to four (4) hours or until the Exercise Director and Senior Controller determine that the exercise objectives have been met** at each venue. The Exercise Director will assure the exercise is started on time and will announce exercise suspension or termination.

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.

Controller Responsibilities

Table 3.1 details specific controller responsibilities.

Table 3.1. Controller Responsibilities

| Controller Responsibilities |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Exercise Director |
| <ul style="list-style-type: none"> • Oversees all exercise functions • Oversees and remains in contact with controllers and evaluators • Debriefs controllers and evaluators after the exercise • Oversees setup and cleanup of exercise and positioning of controllers and evaluators • Serves as safety officer for his or her site |
| Venue Controller |
| <ul style="list-style-type: none"> • 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 |
| <ul style="list-style-type: none"> • Issues exercise materials to players • Monitors exercise timeline • Provides input to players (i.e., injects) as described in MSEL |

For specific controller assignments, please see **Appendix C**.

Controller Package

Controllers and evaluators will receive their exercise materials at the Controller and Evaluator Briefing. The controller package will consist of the ExPlan, C/E Handbook, activity logs, badges, and other exercise tools (e.g., MSEL) as necessary. Controllers may reorganize the material so

information that is critical to their specific assignment is readily accessible. Controllers must bring their packages to the exercise. Controllers may also bring additional professional materials specific to their assigned exercise activities.

Incident Simulation

Because the exercise is of limited duration and scope, the physical description of what would fully occur at the incident site and surrounding areas will be relayed to the players by controllers. Controllers will “paint the picture” for players—verbally or with limited written materials—regarding what is happening in and around the incident scene.

Scenario Tools

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, inject type, a detailed description of the event, and the expected player action.

Communications Plan

All spoken and written communication will start and end with the statement “THIS IS AN EXERCISE.”

Controller Communications

The principal method of communication for controllers during the exercise will be verbal, written messages and telephone. A list of key telephone and fax numbers and radio call signs, if required will be available in a Communications Directory before the exercise starts. Controller communications will link control personnel at all play areas and will remain separate from player communications. In no case will controller communications interfere with or override player communications.

Player Communications

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

Controller Instructions

Before the Exercise

- Review appropriate emergency plans, procedures, and protocols.
- Review appropriate exercise package materials, including the objectives, scenario, injects or implementers, safety and security plans, and evaluator instructions.
- Attend required briefings.
- Review the exercise objectives and controller package for your area of responsibility.
- 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. If you are not assigned to a specific site, be in place to meet participants at least 15 minutes before the exercise starts.
- Obtain or locate necessary communications equipment, and test it to ensure that you can communicate with other controllers and the Exercise Director.

During the Exercise

- Wear controller identification items (i.e., badge). Controller badges will be issued at the Controller and Evaluator Briefing on May 9, 2011.
- 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, note the time you delivered the inject and player actions.
- 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.
- Begin and end all exercise communications with the statement “**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.
- 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.
- 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.
- The Exercise Director will notify you when the exercise has been suspended or terminated. The exercise 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.

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. Coordinate this task with the evaluator in your area.
- All controllers are expected to conduct a Hot Wash at their venue and, in coordination with the venue evaluator, take notes on findings identified by exercise players. Before the Hot Wash, do not discuss specific issues or problems with exercise players. At exercise termination, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Exercise Director.

Assessment, Review, and Analysis of Exercise

Hot Wash

Immediately after completion of exercise play, controllers will facilitate a Hot Wash with players from their assigned location. This meeting is primarily geared toward participants and their supervisors. The Hot Wash is an opportunity for players to express their opinions about the exercise and their own performance while the events are still fresh in their minds. At this time, evaluators can seek clarification regarding certain actions and what prompted players to take them. All participants may attend; observers are not encouraged to attend this meeting, however. The Hot Wash should not last more than 30 minutes. Evaluators should take notes during the Hot Wash and include these observations in their analysis.

Controller and Evaluator Debriefing

Controllers, evaluators, and selected exercise participants will attend a facilitated Controller and Evaluator Debriefing on May 10, 2011 via electronic meeting format (GoToMeeting and conference call). During this debriefing, these individuals will discuss their exercise observations in an open environment to clarify actions taken during the exercise. Evaluators should take this opportunity to complete their Exercise Evaluation Guides (EEGs) for submission to the Lead Evaluator and begin the analysis process outlining the issues to be included in the After Action Report (AAR).

Evaluations

All evaluations are preliminary and may be revised on the basis of information from other controllers, evaluators, or players. If a controller or evaluator did not observe specific aspects of an organization's performance, exercise players may be asked to comment. The evaluation should indicate that this information was provided by players.

Participant Feedback Forms

Participant Feedback Forms will be used to document participant information about the exercise. The controller will distribute these forms during the Hot Wash. The forms will be collected afterward, along with attendance or participation rosters. Controllers should emphasize to players that these forms provide the opportunity for them to comment candidly on emergency response activities and exercise effectiveness.

After Action Conference

The After Action Conference is a forum for jurisdiction officials 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 After Action Conference will be held at the Franklin County Emergency Management Agency & Homeland Security, 5300 Strawberry Farms Blvd on May 24, 2011 immediately following the Regional Hospital Emergency Preparedness Committee meeting or 1200 Hours.

Exercise Report

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 also will contain the following:

- A brief summary, with introductory and general statements noting the exercise scope, purpose, objectives, players, and overall performance assessment
- Assessments for each capability observed
- Issues and recommendations suggested by controller, evaluator, and player comments

A draft AAR will be provided to participating organizations for comment before the After Action Conference is held.

CHAPTER 4: EVALUATOR INFORMATION AND GUIDANCE

General Information

The goal of exercise evaluation is to validate strengths and identify improvement opportunities for the participating organization(s). The *Ohio CRH MFM and Evac/SIP FE* evaluation will attempt to validate plans, procedures, and protocols of participating agencies and determine their level of capability with regard to the exercised target capabilities. Validation attempts to answer the following questions:

- Were established plans, procedures, and protocols followed during the exercise?
- Did the agencies 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, organizations, and interagency coordination to ensure expected outcomes

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

Exercise Evaluation

The *Ohio CRH MFM and Evac/SIP FE* uses EEGs formulated by the DHS and evaluation methodologies established in the HSEEP as the guide for conducting all exercise evaluation.

After Action Report and Improvement Plan (AAR/IP)

The AAR/IP will be organized by capability, with a section of the AAR/IP devoted to each of the exercised capabilities. For each capability 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 capability and activity, and recommendations for resolving issues will be provided, based on input from controllers, evaluators, and exercise planners.

Exercise Evaluation Guides (EEGs)

The content for the AAR/IP will be drawn from the EEGs. Each evaluator will be provided with an EEG that will give specific guidance regarding what data to collect during the exercise, how to record it, and how to analyze it before submission to the Lead Evaluator. The Lead Evaluator and Senior Controller will compile all evaluator submissions into the first working draft of the AAR/IP.

Each EEG provides a list of subordinate activities and tasks that players are expected to perform during the exercise to demonstrate the specified capability. These tasks, which are drawn primarily from the UTL and the TCL, will be divided into critical tasks (tasks that are required to demonstrate the capability) and supporting tasks (tasks that enhance performance but are not required). Evaluators' observations regarding the level of performance of these tasks will inform the performance ratings assigned by the Lead Evaluator in the AAR/IP.

Evaluator Responsibilities

Player performance must be observed and analyzed against plans, policies, procedures, and practices, using criteria established before the exercise. Evaluators document player performance by using EEGs and information obtained during the Hot Wash. The evaluations, documentation, Hot Wash, and debriefing discussion(s) 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. Specific evaluator activities include the following.

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.
- Report to the exercise check-in location at the time designated in the exercise schedule, and meet with the exercise staff.
- Be at the appropriate location at least 15 minutes before the exercise starts. If you are not assigned to a specific site, be in place to deploy as necessary at least 15 minutes before the exercise starts.
- 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 (i.e., badge). Evaluator badges will be issued at the Controller and Evaluator Briefing on May 9, 2011.
- Avoid personal conversations with exercise players.
- Do not prompt players with specific responses or interfere with player performance in any way.
- Your primary duty is to document player performance. After the exercise, that information will be used to determine whether the exercised capabilities and plans were effectively implemented or demonstrated and to identify strengths and improvement items.

After the Exercise

- Participate in the Hot Wash, and take notes on findings identified by players. Before the Hot Wash, do not discuss specific issues or problems with participants. After the Hot Wash, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Lead Evaluator.

Documenting the Event

Evaluators must keep accurate records and notes because these records will form the basis for evaluation of player performance. 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.

Evaluators will document the exercise by using the appropriate EEGs for actions in their area. The EEGs are provided separately as part of the evaluator package. Evaluators should document key activities and those activities that require a timely response for later evaluation.

Evaluators should review their forms and notes immediately after the exercise to ensure an accurate reconstruction of events and activities for discussion at the Controller and Evaluator Debriefing. Evaluation materials, including notes and forms, become part of the exercise documentation. Checklists and evaluation forms must be completed as thoroughly and accurately as possible.

Evaluator Package

Evaluators will receive their materials for review at the Controller and Evaluator Briefing. The evaluator package contains this C/E Handbook, the ExPlan, 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.

Controller and Evaluator Briefing

This briefing will assist in preparing evaluators for performance of their functions and will include a detailed review of event activities. This briefing is the time for evaluators to ask questions and ensure that they completely understand their roles and responsibilities. Evaluator questions should be addressed and information clarified so that controllers and evaluators feel confident that they can perform their assignments effectively.

Evaluator Instructions and Guidelines

General

Evaluators should avoid personal conversations with players. Evaluators should 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.

Evaluation Basics

Remember, your experience and expertise are your most important tools. Experienced evaluators use the following techniques for effective evaluation:

- Use EEGs to confirm that evaluation objectives are met.
- Take detailed notes concerning significant activities observed, including the time they were initiated or completed.
- When more than one evaluator is assigned to an area, divide responsibilities to ensure detailed evaluation of player activities.
- Stay in proximity to player decision makers.
- Focus on critical tasks, as specified in the EEGs.

Recording Important Events

Although numerous events may occur simultaneously, evaluators do not need to record all the action. Knowing which events are important helps evaluators eliminate superfluous data and provide the kind of information that is most useful for evaluation. Important events that evaluators should record 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

What to Look For

Individuals preparing the exercise report will analyze the results provided by all evaluators to achieve an integrated evaluation of exercised plans and capabilities. Their analysis will focus on the timing of key events, decisions made, and actions taken. To assist in that analysis, you 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

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, please see [Appendix C](#).

For exercise site maps highlighting key locations, please see [Appendix B](#).

Postexercise Activities

The Lead Evaluator will notify you when evaluation of the event 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 evaluators are expected to participate in a Hot Wash and take notes on findings identified by players. Before the Hot Wash, evaluators should not discuss specific issues or problems with participants. After the Hot Wash, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Lead Evaluator.

Assessment, Review, and Analysis of Exercise

Hot Wash

Immediately after completion of exercise play, controllers will facilitate a Hot Wash with players from their assigned location. This meeting is geared primarily toward participants and their supervisors. The Hot Wash 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, evaluators can seek clarification regarding certain actions and what prompted players to take them. All participants may attend; observers are not encouraged to attend this meeting, however. The Hot Wash should not last more than 30 minutes. Evaluators should take notes during the Hot Wash and include these observations in their analysis.

Controller and Evaluator Debriefing

Controllers, evaluators, and selected exercise participants will attend a facilitated Controller and Evaluator Debriefing on May 10, 2011 via electronic meeting and conference call. During this debriefing, these individuals will discuss their exercise observations in an open environment to clarify actions taken during the exercise. Evaluators should take this opportunity to complete their EEGs for submission to the Lead Evaluator and begin the analysis process outlining issues to be included in the AAR.

Evaluations

All evaluations are preliminary and may be revised on the basis of information from other controllers, evaluators, or players. If a controller or evaluator did not observe specific aspects of an organization's performance, exercise players may be asked to comment. The evaluation should indicate that this information was provided by players.

Participant Feedback Forms

Participant Feedback Forms will be used to document participant information about the exercise. A controller will distribute these forms during the Hot Wash. These forms will be collected afterward, along with attendance or participation rosters. Controllers should emphasize to players that these forms provide them with the opportunity to comment candidly on emergency response activities and exercise effectiveness.

After Action Conference

The After Action Conference is a forum for jurisdiction officials to hear the results of the evaluation analysis, validate findings and recommendations in the draft AAR, and begin development of the IP. The After Action Conference will be held at the Franklin County Emergency Management Agency & Homeland Security, 5300 Strawberry Farms Blvd on May 24, 2011 immediately following the Regional Hospital Emergency Preparedness Committee meeting or 1200 Hours.

Exercise Report

An exercise AAR/IP will be prepared to document the evaluation of overall exercise performance. This AAR/IP will cover the exercise schedule, scenario, players' activities, evaluations, issues, opportunities, and best practices. The AAR 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, and player comments

A draft AAR will be provided to participating organizations for comment before the After Action Conference is held.

APPENDIX A: EXERCISE SCHEDULE

| Time | Personnel | Activity | Location |
|------------------------------------|------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|------------|
| [Date Minus 1] | | | |
| [Time] | Exercise Controllers, Evaluators, and Staff | Controller and Evaluator Orientation Briefing | [Location] |
| As needed | Exercise Controllers and Staff | Set up Control Cell and Walk-through | [Location] |
| [Date] | | | |
| [Time] | Controllers and Exercise Staff | Check-in for Final Instructions and communications check | [Location] |
| [Time] | Media | Media Briefing | [Location] |
| [Time] | VIP & Selected Exercise Staff | VIP Controller Briefing | [Location] |
| [Time] | Controllers and Evaluators | Controllers and Evaluators in Starting Positions | [Location] |
| [Time] | All | Controllers give player briefs | [Location] |
| [Time] | All | Exercise Starts | [Location] |
| [Time] | All | Exercise Ends | [Location] |
| Immediately Following the Exercise | All | <ul style="list-style-type: none"> ▪ Venue Hot Washes ▪ Turn in all Participant Feedback Forms | [Location] |
| [Date Plus 1] | | | |
| [Time] | Controllers, Evaluators, and various officials | Controller and Evaluator After Action Review | [Location] |

This page is intentionally left blank.

APPENDIX B: EXERCISE SITE MAPS

Map Title

Figure B.1 [Map Title]

[Insert map]

Figure B.2 [Map Title]

[Insert map]

This page is intentionally left blank.

APPENDIX C: 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, than 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 |
|----------------------------------|-----------------|---------------------------------------------------------------------|
| Hospital Command Centers | | |
| | Controller | Mount Carmel West |
| | Controller | |
| | Evaluator | Mount Carmel West |
| | Evaluator | Communications evaluator |
| Simulation Cell (SimCell) | | |
| | Controller | Lead SimCell controller, Master Scenario Events List (MSEL) tracker |
| Russ | OFCA Controller | Local fire response simulator |
| Vince Papa | EMS Controller | Emergency Medical Services (EMS) simulator |
| -- | EMA Controller | Local Emergency Management Agency simulator |
| | Controller | State simulator |
| Hospital Incident Liaison | | |
| | Controller | |
| | | |
| | | |
| Communications | | |
| | Evaluator | Monitor COHDIMS for appropriate entries |

This page is intentionally left blank.

