

Tabletop Exercise Planning Guide

for Public Drinking Water Systems

January 2005



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List of Acronyms

EOC	Emergency operations center
FBI	Federal Bureau of Investigations
FEMA	Federal Emergency Management Agency
MSEL	Master scenario events list
PIO	Public information officer
SDG	Scenario development group
SME	Subject matter expert
TT	Tabletop (training event)

Note: Some of these acronyms are used repeatedly throughout this planning guide. Until you are familiar with the tabletop (TT) acronyms, you might want to print this single page and keep it handy to refer to as you are working through the planning guide.

Volume I: Guide for Developing and Conducting Tabletop Exercises



Introduction

Purpose

Emergency incidents at drinking water utilities are not common occurrences, but the timely and appropriate response to an incident is critical to the protection of public health. Therefore, drinking water utilities typically employ a variety of methods to ensure that they are appropriately prepared for an emergency, including tabletop exercises. It is important that training exercises be structured to allow the utility to fairly and accurately assess the level of readiness of key personnel. In addition, the training should provide an environment that enhances the confidence of key personnel so that they can handle emergency incidents.

Tabletops (TTs) are generally used to acquaint personnel with policies and procedures by providing a general overview of the emergency response plan and its components. The purpose of a TT is to have participants practice problem solving and resolve questions of coordination and assignment.

This planning guide is intended to facilitate this by providing a framework for development of TTs that helps focus the effort in an efficient and effective manner.

Scope

Tabletops are structured to simulate a response to an emergency without time to resolve problems based on applicable emergency plans. A facilitator guides the exercise and provides dynamic input to ensure continuity of the exercise play. TTs are useful in developing interaction between team members; identifying/clarifying roles and responsibilities; general teambuilding; identification of duplications; and providing initial or continuing training due to changes to regulations, procedures, the emergency response organization, and equipment.

The scope of this guidance document is to establish the components of tabletop exercises to ensure the value of exercise participation is realized. These components include the pre-exercise planning, development of a detailed exercise package, identification of evaluation criteria, control and evaluation processes, and post-exercise critique and analysis. While much of the structure contained in this guidance document is derived from federal directives and best practices for conducting tabletop exercises, the application of this guidance should be tailored to the desired outcome of the exercise. Sections may be deleted or enhanced as determined by the exercise developers.

Roles and Responsibilities

Sponsoring Organization

The *sponsoring organization* is responsible for hosting scenario development group (SDG) meetings and ensuring sufficient resources are available to support the design and conduct of the TT including physical facilities, equipment, and technical reference materials. Physical facilities and equipment may include, but are not limited to: classroom facilities, laboratory and workshop facilities, simulators, audiovisual aids and equipment, tools, and/or office space and furnishings. Typically, the *sponsoring organization* also serves as the facilitating organization for the TT and must be prepared to provide the necessary resources to successfully implement a TT either at their site or in another facility that will accommodate conduct of the TT as designed by the SDG.

Project manager. The project manager is assigned by the *sponsoring organization* and is responsible for ensuring the TT is customized to the *sponsoring organization's* needs and, where possible, the needs of participating external organizations. The project manager will assign trained and qualified staff to provide technical support including the appointment of a technical lead and exercise director. The project manager may also serve as the technical lead and exercise director where available staffing does not allow support for each of these positions.

Exercise director. The exercise director ensures the orderly and timely preparation, conduct, and critique of the exercise. The exercise director is the single authority for making decisions on exercise injects, timelines, and continuation of play. The exercise director also directs the conduct of critiques, collects inputs from the controllers/evaluators, and assembles the components of the final exercise report. The exercise director may be a member of the sponsoring organization, or may be assigned from an outside organization or contractor.

Technical lead. The technical lead is responsible for the TT design, development, coordination, conduct, evaluation, and follow-up actions as delineated in this guide and *sponsoring organization*-approved schedule. The technical lead serves as the facilitator of the SDG meetings, unless otherwise directed by the *sponsoring organization*. The technical lead is responsible for maintaining all pertinent TT information in accordance with the respective *sponsoring organization's* records management systems.

Staff. Staff members are responsible for supporting the design, development, coordination, and conduct of all TT activities as delineated in this guide and as assigned by the project manager or technical lead.

Budget. An exercise budget should be established to adequately fund the level of participation required to obtain the desired results of the exercise. This budget should include funding for exercise design, travel, participant meals (as necessary), meeting rooms or exercise space, logistics support for conduct of the exercise, critique and report writing, and presentations both before and after the exercise. Additional funds may be needed for training in preparation of the exercise, special resources that would be called into play, or administrative support costs.

External Organizations

The *sponsoring organization's* designated project manager will work closely with the external organizations that should be invited to participate in the TT, especially those who would have a role in emergency response to an incident at the *sponsoring organization's* facility/site. Participation by external organizations may consist of identifying training needs and/or key plan interfaces, scenario design, controller/evaluator support, or observation.



Exercise Organization

Scenario Development Group (SDG)

The purpose of the SDG is to develop a technically accurate scenario that will realistically train or exercise targeted emergency participants. The SDG assists the technical lead in developing the technical content and final TT package. The SDG develops the schedule, determines training objectives, designs the scenario, develops the master scenario events list (MSEL), and the question sets associated with the facilitated dialogue.

The individuals assigned to the SDG should have the authority to commit, coordinate, and manage resources necessary to perform the major tasks within their own organization. Ultimately, members of the team would be good candidates to function as either controllers or evaluators during the conduct of the TT.

Exercise Director

The exercise director provides the overall management control and direction during the conduct of the TT. The exercise director serves as the facilitator by controlling the event time and facilitating the discussion among participants.

The exercise director should be familiar with applicable emergency plans to be exercised and have a good understanding of the participating emergency response organizations. However, the exercise director should not be a principal or key operational member of the emergency organization being exercised. The exercise director reviews the TT package prior to the conduct to ensure all objectives can be successfully achieved. The exercise director also conducts the pre-brief with the controllers and evaluators.

The exercise director is the primary authority for decisions related to initiation, suspension, and termination of any TT. The exercise director must be able to make decisions and on the spot changes during the conduct of the TT, as they relate to modifying the focus and complexity of the question sets and controlling the event time to allow for maximum educational opportunity.

Further, the exercise director is responsible for ensuring that the critique process incorporates the controller/evaluator input and that the evaluation addresses any need for follow-up training or remedial actions.

Recorder

A recorder is assigned to ensure the TT remains on schedule – a key factor for achieving learning objectives. The recorder receives and documents information from the controllers pertaining to responses to the question sets. The recorder is typically co-located with the exercise director and provides support as needed.

Controllers

The primary responsibility of the controller is to make certain that the TT goes according to plan so that the objectives can be achieved. The number of controllers needed to execute a TT is directly related to the scope, objectives, and number of participants. The controller's purpose is to ensure that the TT is conducted in accordance with the objectives, the scenario, and the MSEL. The controllers initiate and direct scenario events by providing timely information as dictated by the scenario or by inquiries from participants. Controllers provide scenario information to participants as it is earned and may be tasked to inject approved contingency messages to keep the TT on track with the scenario and MSEL. To the extent possible, controllers should be drawn from the SDG because they are already familiar with the scenario and associated facility operations.

Evaluators

The evaluators' function is to observe and document TT activities and conditions. They document and evaluate participant performance and the adequacy of the training based on established learning objectives. The conduct and control process of the TT is also subject to evaluation.

Observers

Observers may be present to watch the TT for either official or educational purposes. The exercise director will determine where observers may be positioned so as not to interfere with response activities. Observers should not interact with participants, contribute information or opinions, or interfere with the TT in any way. Observers should be instructed to direct all questions or comments related to the TT to the controller for their area.



Task Descriptions

The TT Exercise Process is an interrelated set of tasks that have been organized into the seven major functions listed below. The following pages provide a description of each task, the resulting product(s) or deliverable(s), and the responsible individual(s) under these seven functions:

- **Plan the Exercise**
- **Determine the Design Parameters**
- **Develop the Exercise Package**
- **Coordinate**
- **Conduct the Exercise**
- **Evaluate the Exercise**
- **Post-Exercise Activities**

Plan the Exercise

Identify Sponsoring Organization Requirements

Description

The *sponsoring organization* and external organizations may have constraints or limitations for their participation in a TT. These should be discussed at the beginning of the planning process and considered when developing the TT scope. The *sponsoring organization* requirements set the boundaries and provide a framework for the development of the scenario and conduct of the TT. Examples of constraints may include:

- Scheduling restrictions, such as weekend TTs, to ensure participation by volunteers.
- Resource availability.
- Funding restrictions, including reimbursement procedures and spending limits or cost ceilings.
- Public relations considerations, such as avoiding politically sensitive issues.
- Testing of certain equipment, procedures or memorandums of understanding.

Results from previously evaluated drills/exercises can be included in the requirements, especially if they were documented in a formal report. The technical lead is responsible for ensuring that previous exercise reports and programmatic assessment reports are reviewed for open actions that can only be addressed through the conduct of a TT.

Product(s)

- List of constraints or limitations
- Results of review of previous exercise reports, corrective action tracking reports, programmatic assessment reports

Responsible individual(s)

- *Sponsoring organization* and/or representative from each participating organization
- Technical lead, with support from staff will prepare consolidated list if there is more than one participating organization

Determine SDG Membership

Description

A key element in the successful execution of a TT is the SDG. SDG members should be knowledgeable of the plans, procedures, equipment, disciplines, and functions that are the basis of the training. It is also beneficial if these persons have experience in emergency management and response. SDG members are also referred to as “trusted agents” in that they are expected to maintain confidentiality of the scenario.

The *sponsoring organization* should provide subject matter experts (SMEs) as trusted agents to the SDG for the purpose of providing technical data and input to the scenario. The SDG should include representatives from offsite response agencies as appropriate.

The technical lead can assist the *sponsoring organization* in determining which organizations to invite to the initial planning meeting. Once a list of potential organizations is compiled, a letter of invitation to participate should be prepared by the organization sponsoring the TT. The letter should delineate the date, time, location, and purpose of the meeting. In order to ensure successful implementation of the exercise process, the letter should clearly describe the expectations of SDG members. Typical expectations include:

- Authority to commit organizational resources for development, conduct, response, and critique of a TT.
- Resolving conflicts identified during the TT scheduling process.
- Concurring on the scope of the TT.
- Coordination with the training and exercise program to ensure that all participants have completed required fundamental emergency management training prior to a scheduled TT.

Product(s)

- List of potential SDG members and organizations
- Letter of invitation
- Final list of SDG members compiled from affirmative responses to letter

Responsible individual(s)

- *Sponsoring organization*'s project manager
- Technical lead – draft letter; *sponsoring organization* - signature/approval of letter

Develop Schedule

Description

The planning schedule provides a task description, date due, date completed, responsible individual, and status of all the activities required to successfully execute the TT. The schedule is a “living” document in that the tasks and assigned personnel may be added or deleted throughout the planning process. It is recommended that the TT date provide at least six months (depending on complexity of the TT) for preparation and planning. Modifications to the agreed-upon date may be necessary to accommodate unforeseen scheduling conflicts.

Product(s)

- Exercise date
- Look-ahead schedule review
- Schedule of planning tasks and deliverables

Responsible individual(s)

- *Sponsoring organization*
- SDG members
- Technical lead, with support from the project manager and SDG

Determine the Design Parameters

Establish Purpose

Description

The purpose describes the requirements that the TT is designed to meet. The overall goal of any field exercise is to ensure the protection of human health and the environment through the validation of emergency response capabilities. The purpose of a TT may be less extensive in nature. The following list identifies additional benefits that can also be used when developing the statement of purpose for a TT.

- Allow interactive communication between emergency management staff in a non-threatening environment.
- Provide an opportunity for participants to practice working together as a team.
- Allow for recognition of others' roles.
- Provide the opportunity to replicate working conditions and actions without concern for safety and hazards to personnel, facility, equipment, and the public.
- Provide varying amounts of realism, depending on the activity.
- Allow trainees to experience and practice job-related skills and receive feedback on performance.
- Allow trainees to practice behaviors recently acquired or to experiment with behaviors that have the potential to be useful.
- Allow trainees to observe the effects of their behavior on others and emphasize that good human relations require skill.
- Allow for more valid methods of assessing trainee performance, depending on the accuracy of the activity.
- Allow for manageable development lead-time, which decreases the development effort.
- Provide flexible and cost-effective training by reducing the cost of development, delivery, and documentation.
- Allow for easy modification of focus and complexity.
- Provide training that is less stressful than functional or full-field exercises.
- Allow enhanced "learning by doing."
- Allow for the forming of partnerships between the training department and the operating organization.
- Provide an opportunity for identification of procedural and policy gaps between response organizations.
- Reveal potential conflicts.
- Identify resource needs.

Product(s)

- Statement of purpose

Responsible individual(s)

- *Sponsoring organization*, with input from the SDG

Establish Scope

Description

The scope begins to set the limits required to focus on the intent or purpose of the TT. The scope defines the who, what, where, when, and how of the exercise. It defines the duration (hours, days), location (facility or area, city/county/state), and list of participating organizations. The scope should include the levels of participation of each organization from nonparticipating (i.e. simulated) to full participation. Description of extent of play for participating organizations is included on page 10 of this planning guide.

Product(s)

- Written paragraph describing the scope, duration, and location of the TT.

Responsible individual(s)

- Technical lead, with input from the project manager and the SDG

Identify Participants

Description

A good strategy for identifying participants is to start with a less ambitious TT and build up to a more challenging incident. The *sponsoring organization* should first ensure that the organizations can work together as a team. A TT may not include any external agencies at first. A simulation group may be used for role-playing external agency interfaces. Controllers that are knowledgeable of the response interfaces can be used to role-play the external agencies.

A *sponsoring organization* can develop a comprehensive list of potential participants that would be involved in a TT by reviewing the response interfaces delineated in their emergency plan. This list can be used as the distribution list for the initial planning meeting and to determine SDG membership. The list of participants should be limited to those entities needed to fulfill the objectives. The letter of invitation should be sent to all potential participants and include the pre-identified purpose of the TT in the letter. If certain organizations are not needed to participate in the response due to the purpose and scope of the TT, then the letter of invitation may include a request for observers, controllers, and evaluators from the non-participating organizations.

The final list of participants should be included in the TT package.

Product(s)

- Comprehensive list of potential participants
- List of participants for the TT

Responsible individual(s)

- *Sponsoring organization*
- Project manager

Schedule and Conduct SDG Meetings

Description

The number of SDG meetings and associated schedule depends on the TT date, purpose, scope, and number of participants. The TT schedule should reflect the number of proposed meetings so that members can plan accordingly.

SDG membership responsibilities are typically a collateral duty; therefore, to ensure SDG meetings are productive, assignments will typically be made at the previous meeting, with a review of the results, questions, issues, and concerns at the next meeting. The technical lead is responsible for ensuring that meeting minutes reflecting the decisions and assigned actions for the group are recorded. Meeting minutes should be distributed as soon as possible after each meeting to ensure members stay on track with assigned actions.

Product(s)

- SDG meeting minutes

Responsible individual(s)

- Technical lead, with input from the SDG members

Determine Extent of Play

Description

The extent of play is directly related to the purpose, scope, and time duration that are selected by the *sponsoring organization*. The extent of play may include the limitations that set the boundaries for the scenario design. The development of objectives, as described in the following section, provides the methodology for demonstrating the extent of play.

A summary paragraph pertaining to the extent of play should be included in the Purpose/Scope section of the TT package in order to facilitate the decision-making process by the final approval authority on the execution of the TT. A description of the extent of play will also help individuals, such as observers, who may be unfamiliar with the *sponsoring organization's* response process, as to what will actually be taking place on the day of the TT.

Product(s)

- Description of the extent of play

Responsible individual(s)

- Technical lead

Develop Objectives

Description

Objectives are the focal point of the TT and include terminal and enabling objectives that specify, in measurable terms, the performance that must be demonstrated to ensure the purpose is accomplished. Objectives may be developed for each participating organization.

Since TTs are more typically used as a follow-up to formal classroom training, the terminal objectives may address a knowledge-based action. For example:

Upon completion of the TT, the student (or participant) will be able to implement basic hazard and risk assessment techniques in accordance with the sponsoring organization's emergency plan.

- *Upon completion of the TT is the condition.*
- *Implement the basic techniques is the performance or action.*
- *The sponsoring organization's emergency plan is the standard.*

Enabling objective for TTs that are for *training purposes only* can, but may not, involve demonstrative statements. Such objectives may include other action terms such as: test, validate, provide, determine, etc.

Also, more than one organization may have the same objective; therefore, each organization would apply their agency-specific measurable standard to the objective. The SDG is responsible for selecting the objectives to be demonstrated.

Learning objectives have certain characteristics. Objectives should always be constructed to include these characteristics:

- Attainable: Is the objective possible to achieve by the average trainee?
- Specific: Is the wording concise? Has unnecessary and confusing verbiage been removed?
- Clear: Will everyone interpret the objective in the same way?
- Measurable: Can this behavior be measured: How? With what kind of gauge?

Product(s)

- List of objectives for each organization
- Comprehensive list of objectives for the exercise

Responsible individual(s)

- SDG representative
- Technical lead, with support from staff, as required

Develop Scenario Narrative Summary

Description

The narrative summary provides an overview of the scenario. The scenario is a sequential, narrative account of a hypothetical incident. The scenario provides the catalyst for the TT and is intended to introduce situations that will inspire response, and thus allow testing of the objectives. It is succinct and gives the initiating event as well as specific information concerning the activities associated with the TT. The narrative will be more robust for a TT to allow the exercise director the opportunity to present sufficient detail to participants. An exercise director that is knowledgeable of the operations and response interfaces can provide credible challenges to the participants, while maintaining the necessary flexibility to accommodate the potential difference in experience levels.

A realistic scenario provides the best opportunity for a response organization to test and evaluate its emergency plan, training, and overall preparedness to operate under emergency conditions. There are several ways to incorporate realism into a scenario.

- ✓ Review case histories of real incidents and accidents that have occurred either at the *sponsoring organization's* site or similar types of operations at other locations.
- ✓ Review the *sponsoring organization's* hazard/risk assessment for credible incidents.

- ✓ Review warning signs of a contamination threat.
- ✓ Review specific steps to take in responding to a contamination threat.
- ✓ Use system-related expertise in scenario design activities.
- ✓ Use realistic weather conditions based on historical records for the area or actual weather.
- ✓ Use props and simulation materials as safety plans and budgets allow.

Product(s)

- Scenario narrative summary

Responsible individual(s)

- Technical lead, with input from SDG members

Complete Preliminary Design Review

Description

The preliminary design review validates the design parameters including the purpose, scope, participants, extent of play, objectives, and narrative summary. The benefit of conducting a design review is to ensure that the expectations for the TT are clear to participating organizations prior to proceeding with finalization of the package. The package is formally briefed to the *sponsoring organization* and senior management officials from participating organizations.

Product(s)

- Preliminary design review package

Responsible individual(s)

Technical lead, with input from SDG members

Develop the Exercise Package

Finalize Scenario

There are several subcomponents to the scenario that can be included to clarify the scenario narrative summary.

A facility (drinking water utility) description is particularly important when offsite personnel are participating in the TT. The description would include a brief paragraph on the facility operations/mission, facility/site/area maps, offsite resources that are needed to respond to an emergency at the facility, and any other emergency response information that would be helpful to SDG members. If the scenario involves a transportation-related incident rather than a physical structure, the description would include information on the shipper, type of material, type of vehicle, etc.

The technical basis/hazards data is the information that supports the scenario. It is one of the most important elements to guarantee realism. Data must be developed in order to support expected and alternate actions. The data can be divided into three major categories:

1. Initial conditions (demographics, geography, current facility conditions, etc.)
2. Data that support the incident (type of contamination threat, equipment or vehicles involved, etc.)
3. Data that are used to drive decision-making (i.e., witness accounts, source notifications, unusual water quality, consumer complaints, security breach, etc.)

Data must be presented to the participants in the same format as it would appear under real conditions. Most of the data will be earned by the participants and communicated with message injects. For example, worksheets used to help organize information about a contamination threat warning would be provided exactly as required by plans and procedures.

The incident scene location should be depicted on maps or drawings, or taken from actual maps/drawings in *sponsoring organization* documents. If the scenario takes place inside a building, then a floor plan of the area should be included. Additional maps can be included that show the site of contamination, local area or region, transportation routes, sensitive populations, and other potential hazards, etc.

Meteorological data include weather conditions and forecasts. Use real weather unless TT objectives preclude doing so. The meteorological data/parameters should be presented in a format that the participants use in their daily operations. Simulated weather is usually best for driving the desired protective actions.

Medical data include the number of victims, description of medical conditions, and vital signs.

Simulations should be pre-approved, listed in the TT package, and briefed to all participants. A TT consists entirely of simulations related to field play.

Product(s)

- A description of the facility/incident location
- Technical basis/hazards data
- Incident scene/site of contamination location shown on maps
- Meteorological data
- Medical data for incident victims
- Simulations

Responsible individual(s)

- Technical lead, with input from drinking water utility subject matter expert
- Technical lead, with input from SDG members
- Technical lead, with support from applicable staff
- Technical lead, with input from emergency medical technician(s)
- Technical lead, with input from SDG members

Develop Message Injects/Contingency Messages

Actions required by master scenario events list (MSEL) events are caused by an implementing message that is designed to prompt play or response. The Federal Emergency Management Agency (FEMA) refers to the document that causes all or part of the action or activity as an implementer. MSEL implementers are prepared for each MSEL event, regardless of the means of communication. TT actions are almost always driven by written implementing messages and/or exercise director's direction; therefore, to simplify TT design, the MSEL implementer form that will be used is referred to as a *message inject*.

Message injects include instructions to controllers to insert information, provide earned information, role-playing instructions, and/or contingency information. Messages should be delivered as indicated in the MSEL. For TTs, message injects are incorporated in the form of question sets. The questions are posed to the participants either by the exercise director or the controllers. The exercise director can present questions for the overall group to address by breaking into smaller working teams. Controllers may then inject more detailed thought-provoking questions to help the participants achieve the correct responses.

There are instances where message information should be formatted/presented in such a manner as to reflect the actual data that would be observed by participants in a real incident (e.g., threat warning information, threat evaluation, security incident reports, witness account reports, phone threat reports, written threat reports, water quality/consumer complaint reports, public health information reports, computer printouts, etc.). Message information should be clearly marked: “THIS IS AN EXERCISE.”

Contingency messages usually can be anticipated during the exercise design phase and should be prepared but used only if absolutely necessary to keep the participants from deviating too far from the scenario and associated objectives. FEMA provides for “Ad Hoc Implementer Messages” for an event implementer that was NOT envisioned during exercise design. Ad Hoc messages are not routinely used in TT environments because the exercise director has positive control over all activities.

Care should also be taken to ensure that messages do NOT limit the amount of free play for making decisions and taking actions that the participants consider appropriate to the scenario. Participants are provided the latitude to make decisions and take actions that may differ from those anticipated during the scenario development.

Product(s)

- Message injects/contingency messages

Responsible individual(s)

- Technical lead, with input from SDG members

Master Scenario Events List (MSEL)

The learning objectives are the framework upon which the scenario is constructed. Question sets are used to solicit responses from the participants to meet the selected objectives. The question sets are organized within a MSEL, which compresses normal response time within the pre-determined parameters of the TT duration. The MSEL identifies the timing and summary content of all question sets and expected participant responses for the duration of the TT. The MSEL should note where expected participant responses would relate to the learning objectives.

If critical responses do not evolve within a predetermined time period, the exercise director may direct a controller to introduce a contingency message. The MSEL may also include special instructions to specific controllers.

The SDG members develop the question sets during SDG meetings. Once the question sets are completed, it is recommended that a verbal walkthrough be conducted by the SDG as a form of quality assurance review to ensure the learning objectives can be addressed within the allotted time. The final MSEL with question sets is provided to the exercise director, recorder, controllers, and evaluators to facilitate timely coordination of activities during the TT.

The recorder is responsible for documenting actual responses during the TT. It is essential that controllers communicate back to the recorder the timing and summary of responses as they occur along with the time and any modifications to the original question sets.

Product(s)

- MSEL (pre-exercise)
- MSEL (post-exercise)

Responsible individual(s)

- Technical lead, with input from SDG members
- Recorder

Develop Controller Handbook

A controller handbook includes the essential components of the TT package that the individual controller needs to execute his/her responsibilities before, during, and after the TT. The handbook includes the learning objectives, rules of conduct, MSEL with question sets, basic controller instructions, and the detailed requirements for each controller assignment. The detailed requirements should include the function-specific question sets that the controller is responsible for inserting in the TT, contingency message injects, and special equipment required for the position.

Controller handbooks are provided to the controllers during the pre-brief along with a copy of the MSEL with question sets, observation forms, messages, and communications equipment. The pre-brief should be conducted anywhere from 1 - 5 days prior to the TT. If controllers were not members of the SDG, then the entire exercise package should be provided as well.

Product(s)

- Controller handbook

Responsible individual(s)

- Technical lead, with input from the SDG members

Develop Evaluator Handbook

Evaluator handbooks include instructions for evaluators to execute his/her responsibilities before, during, and after the TT. The handbook includes a schedule of events (*e.g.* pre-briefs, hotwashes, critiques, post-briefs, etc.) for all evaluators, basic evaluator guidelines, and the detailed requirements for each evaluator assignment. The detailed requirements should include the evaluation criteria applicable to each assignment, copies of applicable plans and procedures, information on lessons learned from previous exercises, and special equipment required for the position.

Evaluator handbooks are provided to the evaluators during the pre-brief along with a copy of the question sets, observation forms, and identification equipment. The pre-brief should be conducted anywhere from 1 – 5 days prior to the exercise. If evaluators were not members of the SDG, then the entire TT package should be provided as well.

Product(s)

- Evaluator handbook

Responsible individual(s)

- Technical lead, with input from the SDG members

Develop Observer Guidelines

A set of basic ground rules or guidelines should be developed and briefed to observers to ensure an understanding of expectations pertaining to their conduct during the TT.

Observers may attend the controller briefing as long as there is a commitment to ensure confidentiality of any discussions pertaining to the scenario. Observers may be briefed anywhere from a week to 24-hours prior to the TT. If organizational constraints prevent briefing the observers as one group, then the technical lead or exercise director can brief them on the day of the TT. Written instructions can be included in the form of ground rules or presented verbally by the exercise director.

Product(s)

- Observer guidelines or instructions
- Observer briefing

Responsible individual(s)

- Technical lead, with input from SDG members
- Technical lead or exercise director

Develop Participant Handout

A set of basic ground rules or guidelines should be developed for participants. The guidelines ensure that expectations are communicated consistently across organizational and jurisdictional boundaries. Typical topics to be addressed in the guidelines include: rules of conduct; scope or extent of play; methods for identifying various participants; and any special administrative, logistical, or communications arrangements in effect during the TT. Participants should also be informed of the schedule of post-exercise activities and the expectations for their participation.

Participant guidelines are briefed prior to the TT. The participant guidelines can be incorporated into a handout that also serves as a workbook for recording notes and answers to question sets.

Product(s)

- Participant handout or instructions
- Participant briefing

Responsible individual(s)

- Technical lead, with input from SDG members
- Technical lead or exercise director

Develop Security Plan

The type of *sponsoring organization* facility will determine the need for an exercise security plan. Security can involve anything from facility access to discussion of classified, sensitive, or proprietary information. Public and media participation must also be reviewed during the development of the plan. Facilities with more extensive security requirements should document site-specific security issues and concerns in a security plan. The plan should address generic and specific security concerns, mitigative solutions, and required actions/notifications if a security problem or emergency occurs during the TT. Controllers are responsible for conducting the TT within security limitations; however, all participants must comply with security requirements. Special provisions should be made for visitors and observers from external organizations since they may not be familiar with the *sponsoring*

organization's security requirements. The security plan should address any special badging or identification requirements for offsite participants, if not already addressed in the administration/logistics plan.

Product(s)

- Security plan

Responsible individual(s)

- *Sponsoring organization* security representative, with input from SDG members and technical lead

Develop Public Information Plan

If the TT involves participation by the media as players, or pre-announcement to the media of the conduct of the TT, then the planning process should provide for the development of a public information/education plan to coordinate activities with appropriate offsite authorities, the media, and the public (if needed). The plan should be developed early in the planning process to ensure coordination with interested outside officials.

Product(s)

- Public information plan (and products associated with the plan)

Responsible individual(s)

- *Sponsoring organization's* public information officer, with input from SDG members and technical lead

Finalize Appendices

Appendices include miscellaneous information such as the schedule of events, exercise organization roster, exercise termination criteria, evaluation criteria, observation form, and customer feedback form.

The schedule of events is designed for the exercise organization and includes information on pre- and post-exercise activities, such as dates, times, and locations of briefings and critiques, controller/evaluator training, and completion of any follow-up reports.

The exercise organization roster depicts the assignments and/or locations of controllers and evaluators, role players, and observers. It should also provide the name and contact information of the exercise director, recorder, control cell role players and numbers, and designated lines for communication.

The exercise termination criteria provides guidelines for use in determining whether TT objectives have been met. The use of pre-approved criteria ensures that each participating organization has been provided sufficient opportunity to meet their specific goals and objectives.

Evaluation criteria are based on the learning objectives. The evaluation team must document how they will determine if each learning objective is met. This step in the exercise design process is critical. The results are used by the SDG to develop a scenario and sequence of events that allow for accomplishment of each objective. Additionally, this documentation provides for control measures, determination of simulations, and, number, capabilities, and placement of evaluators. Where possible, each evaluation criterion should be tied to a regulation, statute, plan or procedure. This assists in analyzing problems and addressing corrective actions. Learning objectives are used to determine if training was successful.

The evaluation criteria should be subdivided into the same categories (by function, geography, or organization) to coincide with the objectives. The criteria should be formatted into individual modules or checklists for each individual evaluator to ensure that all criteria have been assigned.

Evaluators make use of the observation form to document the chronology of key events including who, what, how, and when. Controllers may also use observations forms to make notes of any issues, noteworthy actions, or technical errors in the TT package that negatively impacted performance. Observation forms are a key component in recreating the events for the evaluation following the TT.

A customer feedback form can be used to solicit feedback from all participants, including observers. The information can be instrumental in making improvements to the exercise process. Copies of the form should be made available immediately following the TT, the hotwash or critique. Results from the feedback forms are consolidated and provided to the *sponsoring organization* for distribution as deemed appropriate.

Product(s)

- Schedule of events
- Exercise organization roster
- Exercise termination criteria
- Exercise evaluation criteria
- Completed exercise evaluation checklists
- Observation form
- Completed/signed observation forms
- Blank customer feedback form
- Completed customer feedback form
- Compilation of results from the customer feedback form

Responsible individual(s)

- Technical lead
- Technical lead, with input from the SDG members and exercise director
- Technical lead, with input from the lead evaluator
- Lead evaluator, with input from the evaluation team
- Technical lead
- Exercise organization and observers
- Technical lead, with input from other organizations, as required
- Exercise participants
- Technical lead, with support from applicable staff

Complete Final Package Review

The final design review provides an opportunity to validate that all of the package components are complete and accurate. The SDG will conduct a roundtable review of the narrative summary against the question sets to ensure all objectives have been addressed. The project manager will provide an independent reviewer to conduct a quality assurance check of the entire package. The package may then be briefed to the *sponsoring organization* and senior management officials from participating organizations.

Product(s)

- Final package review

Responsible individual(s)

- Technical lead, with input from the SDG

Coordinate

Develop Administration/Logistics Plan

The administration/logistics plan specifies tasks to accomplish in support of the TT preparation, conduct, and evaluation. It can also serve as a final checklist to ensure all tasks have been completed. Typical items may include, but are not limited to:

- ✓ Tabletop (TT) package - development, production, distribution
- ✓ Controller/evaluator notification, training, briefings
- ✓ Communications requirements - radio/phone directories, equipment, spare batteries, video camera, digital camera, cell phones, 2-way radios (if in multiple rooms)
- ✓ Funding limits, charge numbers, transfer of funds
- ✓ Procurement of equipment, materials, and supplies
- ✓ Meals, transportation, lodging, shelter, liquid refreshments
- ✓ Simulations/props – photographs, meteorological data, signs/placards, spill simulations
- ✓ Post-exercise activities – collection of equipment, documentation, trash, participant rosters, survey forms
- ✓ Evaluation activities – critiques conducted, rosters collected, lessons learned and report developed/distributed, findings entered into tracking system

The administration/logistics plan provides a list of generic tasks that can be used to develop a more specific plan. The technical lead is responsible for developing the plan; however, an extensive representation from the exercise organization will be needed to accomplish the defined tasks. The example plan can be modified to include the responsible individual, scheduled date, and completion data.

Product(s)

- Administration/logistics plan

Responsible individual(s)

- Technical lead, with input from the SDG

Determine Controller/Evaluator Assignments

The control organization should be tailored to the specific TT. Positions may be combined in those areas where there is a limited extent of play or evaluation criteria. If the controller/evaluator positions are combined, the assigned individual should display controller identification in order to clearly communicate to participants that the individual is authorized to communicate and interface with participants. The *sponsoring organization's* training program administrator can assist with identifying individuals who have controller/evaluator experience or expertise.

The scope of the exercise determines the number of individuals and functional areas to be staffed. Controllers/evaluators are placed in strategic locations to observe, control, document, and validate the participant actions that fulfill meeting the objectives and associated evaluation criteria. The exercise director approves the number, positions, and assignment of controllers/evaluators. Extra controllers and evaluators should be available in the event a designated individual is unable to participate.

Product(s)

- Exercise organization roster
- Controller/evaluator qualifications
- Controller/evaluator assignments

Responsible individual(s)

- Technical lead, with input from the SDG
- *Sponsoring organization's* training program administrator
- Exercise director

Conduct the Exercise

Conduct Senior Management Pre-Brief

This task is optional based on the *sponsoring organization's* organizational structure. The content of the briefing depends on the audience, but typically includes an executive summary of how the TT will be run, a summary of the scenario, learning objectives, and question sets. Senior managers are often interested in any political ramifications that may result from the conduct of the TT, particularly as it relates to any pre-identified areas of weakness that are being tested.

Senior management briefings can also be provided to senior government officials prior to the TT.

Product(s)

- Senior management pre-brief

Responsible individual

- Project manager or exercise director

Conduct Controller/Evaluator Training

Controller/evaluator training is conducted to provide assigned individuals with specific guidance on TT control and evaluation protocols. The training also includes instruction on the *sponsoring organization's* emergency plan and response organization. An individual experienced in the control and evaluation of TTs should conduct the training. It should include a classroom-type presentation and discussions of correct controller/evaluator performance in various TT circumstances. The training should address all aspects of TTs, including an explanation of the major package components and a walkthrough of sample objectives and question sets. Discussions should include examples of circumstances that may occur during a TT with proper controller/evaluator actions. Emphasis should be placed on the criteria for controllers to intercede in participant actions and suspend or terminate the TT.

The training program administrator should ensure that all members of the exercise organization have received some form of controller/evaluator training. Even though individuals may have received training from another site or facility, the training provided by the *sponsoring organization* ensures that individuals are familiar and understand the exercise process as implemented at the *sponsoring organization's* site.

Product(s)

- Controller/evaluator training

Responsible individual(s)

- *Sponsoring organization's* training program administrator in conjunction with the technical lead

Conduct Participant Pre-Brief

A pre-brief should be provided to participants regarding TT logistics, rules of conduct; scope of the TT; safety and security precautions; approved simulations; methods for identifying the exercise organization; and any special administrative, logistical, or communications arrangements in effect during the TT. The participant pre-brief should not include any information related to the specifics of the scenario.

Product(s)

- Participant pre-brief

Responsible individual(s)

- Exercise director or lead controller

Conduct Controller/Evaluator/Observer Pre-Brief

Just prior to the TT, all controllers, evaluators, and observers should receive a briefing on the specifics of the scenario and the duties they are to perform. The pre-brief should include the entire scenario and anticipated participant actions, the location and assignments of each controller/evaluator/observer, assignment and location of participants, communications arrangements, administrative and logistical details, an in-depth presentation of safety and security issues, and discussion of each specific assignment.

For more complex TTs, breakout sessions can be conducted and facilitated by the lead controller/evaluator to discuss specific assignments. The details for controlling complex or sensitive parts of the TT should also be presented in the breakout sessions.

Observers may be included in the controller/evaluator pre-brief as long as there is a commitment to guarantee confidentiality. They should be told what time to go to their

chosen event location for observation purposes. An alternative approach is to provide a narrator to describe events as they are occurring to the observers, as long as it is in a location that does not interfere with the participants.

Product(s)

- Controller/evaluator/observer pre-brief
- Floor plan of TT room configuration

Responsible individual(s)

- Exercise director, with assistance from lead controllers/evaluators
- Technical lead

Conduct the Exercise

The TT can be initiated once the exercise director has tested the communication links with the exercise organization. A pre-prepared message is typically included in the controller handbook that describes how the events will be initiated to kickoff the TT. The exercise director makes the final determination of when to initiate the TT.

Product(s)

- Established communication links.

Responsible individual(s)

- Exercise director, with input from lead controllers

Evaluate the Exercise

Document Organizational Performance

The primary responsibility of the controllers and evaluators is to gather data and information about each objective being reviewed. The exercise organization provides assistance by ensuring participant activities are thoroughly documented. There are three sources for data and information.

- Information and records produced by the participants such as attendance forms, message logs, completed job aids, public address announcements, press releases, notification forms, etc.
- Controllers'/evaluators' documented observations combined with the documentation prepared by the recorder.
- Instant print photographs of items such as status boards, digital photographs of staffed facilities, and videotapes of virtually any aspect to be reviewed, such as news briefings.

Participation in exercises should be documented as an integral portion of the training program. The attendance record, in conjunction with copies of the TT package and report, make an auditable permanent performance record and provide valuable insight on areas that need improvement and additional training emphasis.

Product(s)

- Information and records produced by the TT participants
- Controller/evaluator observations for use in completing evaluation criteria checklists
- A timeline of events as observed by the controller/evaluator and validated by the recorder
- Attendance rosters

Responsible individual(s)

- Participants
- Controllers/evaluators
- Controllers/evaluators and recorder, with input from controllers
- Staff or exercise director

Conduct Post-Exercise Participant Hotwash

Hotwashes are conducted in-place, immediately following the termination of the TT. The purpose of the hotwash is to provide a forum for constructive feedback on the TT by the participants. The identification of both positive and negative feedback provides a starting point for improving emergency response capabilities. This is a unique opportunity for participants to discuss their responses and their own perspectives on the activities and events.

The lead controllers are responsible for facilitating the hotwash with each major functional area, such as incident command, emergency operations center, etc. The lead evaluator is responsible for documenting the feedback for inclusion in the package of information and data that will be used to conduct the formal evaluation. It is important that the participants' input be included so an effective and complete evaluation is accomplished and the significance of actions is understood. Controllers may discuss significant observations. The hotwash following a TT exercise may be less formal in that feedback may be provided throughout the event. Exercises that are designed to be training evolutions allow for controllers to issue "timeouts" for training purposes or to reinforce a learning objective. For TTs, the senior participant, such as the incident commander, may conduct the hotwash under the direction of the lead controller or exercise director.

Product(s)

- Documentation of issues (positive and negative) identified during the participant hotwash.

Responsible individual(s)

- Lead controller, controllers and evaluators

Conduct Controller/Evaluator Critique

The controller/evaluator critique generally occurs the day of the TT and includes participation by all controllers and evaluators. Formal critique sessions are usually several hours in length and address, at a minimum, the following elements:

- ✓ Reconstruction and review of scenario events and shortcomings in the scenario or TT conduct.
- ✓ A comparison of anticipated versus actual participant activities
- ✓ An assessment of performance based on learning objectives, criteria, plans, and procedures

- ✓ An assessment of the adequacy of plans and procedures
- ✓ An assessment of the adequacy of facilities, equipment, and communications

The controller/evaluator critique supports the evaluation of the performance and documentation of lessons learned. Critiques should include a discussion of both acceptable and unacceptable emergency responses. Observed deficiencies, as well as recommended corrective actions, should be recorded. The critique should also include feedback on the conduct and control of the TT. The *sponsoring organization* determines whether or not observers are permitted to attend the controller/evaluator critique.

The process for conducting critiques may already be established for a *sponsoring organization*. An important element to remember is that critiques include documenting both the positive and negative observations. During TTs, the feedback is typically provided immediately in order to maximize the training/learning opportunity and allow for continued open dialogue between the participants and the exercise director. Feedback can also be provided at the end of a TT in the form of a review of the objectives and a summary of lessons learned as a result of the TT.

A recommended method for conducting a TT critique is to have the controllers and evaluators assigned to a specific functional area meet in small group to consolidate their observations for the purpose of reconstructing scenario events and response activities. Areas of disagreement should be tabled until validation can be performed against the documentation collected from participants. Evaluators will use the consolidated data to determine whether or not the evaluation criteria supporting the specific objectives resulted in demonstrating or not the objective. Conclusions should be supported with documentation.

The exercise director or lead evaluator is responsible for facilitating the critique. Attendance Rosters should be distributed at the critique to ensure that input was received from all assigned controllers and evaluators.

Product(s)

- Evaluation criteria checklists

Responsible individual(s)

- Exercise director with input from evaluators

Collect Documentation

The exercise organization is responsible for ensuring that all documentation related to the TT is collected from the various functional areas. The participant hotwash provides the best opportunity for collecting documentation. Controllers and evaluators should ensure that all documentation left in the area is collected. A checklist of the types of documentation to be collected can be incorporated into the administration/logistics plan to ensure no items are overlooked.

Controllers and evaluators should submit their documentation at the controller/evaluator critique. The exercise director is responsible for collecting control cell documentation and providing it to the lead evaluator.

The exercise director is responsible for ensuring that all documentation is consolidated and packaged in accordance with the *sponsoring organization's* records management procedures.

Product(s)

- Tabletop (TT) documentation
 - ✓ Information and records produced by the TT participants
 - ✓ Observations for use in completing evaluation criteria checklists

Responsible individual(s)

- Exercise director, with support from the exercise organization

Develop Initial Report of Results

An exercise report, referred as an after action report (AAR), is developed to document the results of the exercise. Evaluators must understand the relationships between the TT scope, learning objectives, evaluation criteria and the evaluator checklists prior to the TT. This relationship provides the evaluator with insight on what has to be done, which items are critical, and how findings should be classified.

Some examples of the topics to be addressed in the TT evaluation include:

- Was the goal of the TT met?
- Were the objectives of the TT activity met?
- Did the TT activity involve the appropriate individuals to accomplish the purpose of the TT?
- Were special groups or pairing arrangements needed?
- Did the TT activity provide an opportunity for training of the roles of each individual involved in the activity?
- Was the location of the TT training activity appropriate?
- Were resources available: facilities, equipment, reference materials?
- Were the training logistics adequately arranged?
 - ✓ Date, time of training, location, etc.
 - ✓ Room arrangement with adequate tables, chairs, breakout rooms, etc.
 - ✓ Training equipment (overhead projector, VCR, monitor, boards, markers, etc.)
 - ✓ Objectives clearly defined
 - ✓ Appropriate method of delivering and performing activities (scenarios, case study, group discussion, etc.)
- Were the “key points” relayed to the participants during the debriefing after the TT training activity?
- Did the TT training materials support the training activity?
- Were instructions and directions provided to the participants? Were they sufficient and understandable?

It is important that problems in the response system (*e.g.*, lack of plans or procedures) be separated from problems related to the specific TT design or conduct (*e.g.*, a scenario event that did not match conditions).

Once the initial report of results is prepared, it should be provided to the exercise organization for review and validation.

Product(s)

- Initial report of results

Responsible individual(s)

- Exercise director

Coordinate and Validate Results/Findings

An in-depth review should be made of the findings resulting from the evaluation process. Validation is the process used to verify the accuracy of the findings based on the available documentation, interviews with participants, and meetings between team members.

The process of validating a finding should address three components: the condition, the cause, and the effect. The condition is a one or two sentence description of what aspect of the response did or did not occur in relation to the expected or required response. The cause is an explanation of why the response/condition occurred. The cause may or may not be a straightforward explanation. This is when the evaluator must apply his/her expertise in analyzing the condition. The effect is typically the impact, which may be written in positive or negative terms. If the outcome was positive, but not in accordance with the requirement, then the corrective action may be to change the requirement or procedure rather than modify the response through remedial training. The effect is essential in determining the level of finding as it relates to the overall impact to human health and the environment. Each evaluator is responsible for validating his/her findings and providing them to the lead evaluator in the recommended format of condition, cause, and effect.

Product(s)

- Findings supported by documentation and acceptance by the team.

Responsible individual(s)

- Lead evaluator, with support from evaluators

Conduct Senior Management/Sponsoring Organization Post-Brief

The exercise director should meet with the *sponsoring organization* senior management personnel and external agencies that participated to provide a briefing on the preliminary results of the TT. The presentation should provide a brief integrated overview of the highlights of the TT, including commendations for good performance and a preliminary assessment of strengths and weaknesses of the training. Recommendations for corrective and improvement actions should be addressed as well.

The timing of the briefing is dependent on the *sponsoring organization's* needs, but usually takes place within 48 hours following the TT.

Product(s)

- Presentation

Responsible individual(s)

- Exercise director, with input from the exercise organization

Prepare Final Exercise Report

A final report – *After action report (AAR)*, is prepared after the review of the draft report by the exercise organization, validation of findings, and briefing to the *sponsoring organization* senior management personnel and external organizations. The final report incorporates comments from the reviewers and includes summary documentation, such as documented observations and recommendations for further training.

Product(s)

- Final Report

Responsible individual(s)

- Lead evaluator/controller, with input from reviewing organizations

Notify Participants of Results

Participants should be notified of the results of the TT. The participants need the feedback in order to implement any necessary corrective actions.

Provide a copy of the report to each participating organization and instruct them to brief their individual organization of the results.

Product(s)

- Participant briefing

Responsible individual(s)

- Exercise director, with support from the lead evaluator/controller

Post Exercise Activities

Develop a Corrective Action Plan

A plan should be developed to implement improvement items and correct findings. The corrective action plan (CAP) should address in detail, immediate, ongoing, and planned corrective actions for each finding. The areas requiring corrective action (ARCA) should specify how an item is to be closed and specify a date for closure.

Some of the ARCAs may not be able to be closed until the next exercise. These items should be submitted to the individual in the *sponsoring organization* that is responsible for implementing the exercise process with a request for inclusion in the next exercise.

The CAP may be incorporated as a separate section/attachment to the final report or issued under separate cover.

Product(s)

- Development of corrective actions or corrective action plan

Responsible individual(s)

- Lead evaluator/controller, with input from evaluators/controllers

Track Corrective Actions

Once the final report and ARCAs have been distributed, the *sponsoring organization* consolidates the findings in preparation for data entry into the organization's corrective action tracking system. The *sponsoring organization* is then responsible for updating corrective action information as it becomes available. The effectiveness of corrective actions should be verified during the next exercise. Recurring problems should be clearly identified.

Product(s)

- Corrective action tracking forms

Responsible individual(s)

- Completion of forms - *sponsoring organization*

Track Lessons Learned

Lessons learned are conditions that may include techniques and actions employed to correct conditions. A lesson learned may be a "good work practice" or innovative approach that is captured and shared to promote repeat application. A lesson learned may also be an adverse work practice or experience that is captured and shared to avoid recurrence.

Noteworthy accomplishments identified during the evaluation may be considered for incorporation into a lesson learned. The lead controller and evaluator should solicit input for lessons learned during the hotwashes and critiques. *Sponsoring organizations* are encouraged to develop a lesson learned database and incorporate practices from exercises sponsored by external organizations. The lessons learned database should be reviewed by the SDG during the initial planning stages of a TT.

Product(s)

- Lessons learned from the TT

Responsible individual(s)

- Lead controller and lead evaluator

Recognition

Acknowledgement letters or certificates are appropriate for TT participants. For *sponsoring organization* employees, a published letter in an agency publication is suggested. When an employee has contributed considerably, a personal note from the appropriate management provides positive recognition.

For external organizations, letters to local officials, including volunteer fire and medical groups, are appropriate.

Product(s)

- Recognition letter or certificate

Responsible individual(s)

- *Sponsoring organization* and project manager



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- 41 CFR 101-20.105. Accident and Fire Prevention.
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Glossary

Administration plan – Specifies tasks to accomplish in support of the exercise preparation, conduct, and evaluation. This includes notification of controllers, obtaining meeting rooms and classrooms, identifying and setting up the control cell, communications requirements, meals, transportation, facility security badges/access, assignment of backup support, scheduling and delivering of pre-exercise training, and acquiring/staging props (*e.g.*, moulage dummies, smoke generators, damaged equipment, simulated material).

Agency – A division of government with a specific function, or a non-governmental organization (*e.g.*, private contractor, business, etc.) that offers a particular kind of assistance. In the incident command system, agencies are defined as jurisdictional (having statutory responsibility for incident mitigation) or assisting and/or cooperating (providing resources and/or assistance).

Agency representative – An individual assigned to an incident from an assisting or cooperating agency that has been delegated authority to make decisions on matters affecting that agency's participation at the incident.

Artificialities – Artificialities and constraints are used as a means of facilitating accomplishment of exercise objectives.

Assisting agency – An agency directly contributing tactical or service resources to another agency.

Bioterrorism Act – The Public Health Security and Bioterrorism Preparedness and Response Act of 2002.

Controller – Individuals who provide direction and control of the exercise. They monitor and report (to the lead controller or control cell) the sequence of events as they unfold, and are responsible for safety within their span of control. The controller provides emergency participants with critical information concerning the simulated events in the scenario.

Corrective action – step taken to counteract a negative finding for the purpose of bringing the end product into alignment with a standard or required condition.

Corrective action plan – Address, in detail, immediate and initial, ongoing and planned, and long-term actions associated with findings in the exercise report.

Critique – A fact-finding session that generally occurs the day following the exercise and includes participation by all controllers and evaluators. The critique provides the forum for discussion and correlation of individual observations, the formulation of exercise findings, determination of objectives demonstrated, and determination of overall performance. Recommendations for corrective actions should also be addressed.

Deficiency – A failure to meet a requirement pertaining to emergency management, or failure to meet evaluation criteria resulting in an inadequate demonstration of the standard. A deficiency may occur due to one of the following:

- An inability to meet an exercise objective through demonstration of performance of a component of the emergency management program.
- A situation that has a direct adverse impact on the health and safety of workers, the public, or the environment.

Deficiencies are the highest priority for the purpose of expediting corrective actions and tracking them to closure.

Drill – A drill is normally conducted to test, develop, or maintain skills in a single emergency response procedure. For this reason, it is a supervised instructional period aimed at validating, developing, and maintaining skills in a particular operation.

Exercise director – Provides overall management control and direction during the conduct of drills and exercises. Has the overall responsibility for safe conduct, coordination, continuity, control, evaluation, and reporting of exercise results.

Exercise package – Consists of seven major components that are necessary for the execution of an exercise: design parameters, scenario, technical basis, coordination elements, controller handbook, evaluator handbook, and appendices.

Emergency operations center – A central facility from which management and support personnel carry out coordinated emergency response activities.

Emergency response plan (ERP) – The document that provides the process by which water system managers and staff explore vulnerabilities, make improvements, and establish procedures to follow in an emergency. It also provides a process that encourages people to form partnerships and get to know one another. The operations and maintenance section of the state rule, Chapter 246-290-415 (2)(d) WAC, requires public water systems in Washington to have an emergency response plan as part of a water system plan or small water system management program.

Evaluator – Individuals who document and evaluate participant performance and the adequacy of facilities and equipment against established emergency plans and exercise evaluation criteria.

Evaluation criteria. A set of criteria that can be used to evaluate an emergency response exercise. The list of criteria can be organized geographically, functionally, or organizationally.

Event – A planned, non-emergency activity (*e.g.*, parades, concerts, sporting events, etc.)

Exercise – Evaluated demonstrations of the integrated capabilities of emergency response resources (personnel, procedures, facilities, and equipment) conducted for the purpose of validating elements of an emergency management program.

External organizations – Organizations that are external to the *sponsoring organization* that may be called upon to provide assistance to the *sponsoring organization's* facility in the event of an emergency. Examples include Federal, State, and Tribal Governments, local counties and cities, regional/area utilities, neighboring industries, volunteer, and private entities.

Finding – A statement of fact, based on objective evidence and criteria by which the functional area or performance was evaluated. Findings may be positive or negative.

Free Play – Allowing participants to go as far as possible in their response actions to a simulated initiating incident without jeopardizing safety, terminating the exercise prematurely, or expending unnecessary resources.

Full scale exercise (FSE) – An exercise that demonstrates the integrated response capability of the *sponsoring organization's* emergency response organization and all support organizations that elect to participate.

Functional exercise (FE) – A physical “walkthrough” of an emergency response function or activity that focuses on the key interfaces between one or more participants. The FE takes place in a stress-induced environment with time constraints and involves the simulation of a drinking water system incident and other specified events.

Hazards assessment – The identification and characterization of hazardous materials specific to a *sponsoring organization*, analyses of potential incidents and evaluation of potential consequences.

Hotwash – A forum for the participants to provide constructive feedback immediately following the exercise.

Improvement item – An improvement item is an observation or finding citing deviations or concerns regarding a particular criterion. An improvement item does not degrade the adequate demonstration of a standard, but shows where the emergency response could be made more effective if the identified accepted industry practices or good emergency management practices were implemented.

Incident – A confirmed occurrence that requires response actions to prevent or minimize loss of life or damage to property and/or natural resources. A drinking water contamination incident occurs when the presence of a harmful contaminant has been threatened or confirmed.

Incident commander – The individual responsible for the management of all incident operations.

Joint information center – A facility jointly operated by the *sponsoring organization*, State, Tribal, and local governments to coordinate the release of accurate and timely information to the public during and after an emergency.

Lead controller – Coordinates the activities of several controllers. Control teams can be organized by location, function, or a combination of both, depending on the needs of the exercise.

Lead evaluator – Responsible for the coordination of a group or team of evaluators assigned to a particular location and/or response functions. Develops a summary evaluation report input for assigned area.

Learning objective – A statement that specifies measurable behavior that a trainee should exhibit after instruction.

Lessons learned – A “good work practice” or innovative approach that is identified and shared, or an adverse work practice or experience that is shared to avoid recurrence.

Limited scope exercise – An exercise with all the same components as a full-participation exercise, but reduced in scope, either through level of participation by external organizations or narrowly defined extent of play and a minimal number of objectives.

Logistics plan – See “administration plan”

Master scenario event list - Sequential framework upon which the scenario is constructed. It is the primary document used by controllers to manage the exercise. The TT MSEL has two components: question sets and clock (real time).

Messages – Information used to control the progress of the exercise. Also known as “message injects.”

Meteorological data – Weather conditions and forecasts including temperature, wind speed and direction, humidity, stability class, barometric pressure, precipitation levels, etc.

Objectives – Statements that clearly delineate what is to be demonstrated by the participants and based on programmatic goals, requirements, and scope of the exercise.

Observer – An individual authorized by the *sponsoring organization* to monitor a drill or exercise, but who is not authorized to interact with participants.

Observations – noted items of importance that are recorded on forms in a chronological fashion for the purpose of reconstructing events.

Orientation seminar – This exercise is a seminar that involves bringing together those with a role or interest in an ERP. It does not involve an actual exercise of the ERP. It is normally used to discuss and describe technical matters with involved, non-technical personnel.

Participant – An individual who takes action to cope with and minimize the effects of an emergency.

Participants – A group of individuals who take part in a TT.

Process – collections of steps or actions that yield some intermediate outcome.

Project manager – An individual responsible for the management of a specific function or functions that is delineated in a contract statement of work.

Protective action – Physical measures, such as evacuation or sheltering, taken to prevent potential health hazards resulting from a release of hazardous materials to the environment from adversely affecting employees or the offsite population.

Public information plan – A plan covering specific facility or multiple facilities located on a contiguous site, which provides the process for communicating information about potential hazards, emergency planning, and steps to mitigate the impact of an actual emergency to the public and the media.

Qualification – The combination of an individual’s physical attributes and technical, academic, and practical knowledge and skills developed through training, education, and on-the-job performance.

Role player – Simulates the actions of an injured individual or non-participating organization.

Scenario – A narrative of a hypothetical situation which serves as a theme or basis upon which the action of an exercise unfolds to meet the established purpose, scope, and objectives. A scenario contains adequate information (technical data) on site operational and other conditions both on and offsite to allow participants to participate in as realistic manner as possible.

Scenario development group – Subject matter experts who serve as representatives from the *Sponsoring organization* and external entities, which assemble together for the purpose of developing a simulated incident that requires an integrated response from their organizations. May also serve as controllers or evaluators.

Scenario narrative summary – A “storybook” summary of the background, initial conditions, initiating events, and expected participant actions. It contains descriptions of the simulated emergency situation, including the overall sequence of events, technical basis, and timing of activities.

Scope – Specified goal(s) of the exercise and extent of participation.

Security plan – Established parameters for exercise design, development, and conduct in view of identified security issues. Addresses generic and specific security concerns, mitigative solutions, and required actions/notifications if a security problem or emergency occurs during the exercise.

Simulate – Role-play. See Simulation.

Simulation – An enactment representing a real emergency situation.

Sponsoring organization – The *sponsoring organization* is responsible for hosting scenario development group (SDG) meetings and ensuring sufficient resources are available to support the design and conduct of the TT including physical facilities, equipment, and technical reference materials.

Staff assistant (SA) – A person designated by the *sponsoring organization* who is formally designated to act as an authorized representative of the *sponsoring organization* for specified functions which do not involve a change in the scope, price, terms, or conditions of a contract or financial assistance instrument.

Subject matter expert – An individual qualified, and experienced in performing a particular task. A subject matter expert may also be an individual who, by education, training, and/or experience is a recognized expert on a particular subject, topic, or system.

Tabletop exercise (TT) – A verbal “walkthrough” of a response to an emergency situation. Designed to elicit dialogue by the participants, without time constraints, as they examine and resolve problems based on emergency plans and procedures.

Technical data – May include general and facility-specific, meteorological, hazardous material, and medical information.

Technical lead – Individual responsible for the day-to-day execution of exercise activities.

Recorder – Individual, for complex exercises, who is designated to ensure the exercise Timeline remains on schedule – a key factor for proper attainment of exercise objectives.

Training program administrator – Individual designated to oversee the process of providing for, making available to, and placing or enrolling personnel in a planned, prepared, and coordinated program, course, curriculum, subject, system, or routine of instruction or education.

Weakness – A finding that indicates an inability to meet evaluation criterion and which degrades the demonstration of a standard. A weakness is a failure to meet the requirement(s) of an applicable regulation pertaining to emergency management and can occur if a site is unable to demonstrate performance of a component of the emergency management program. A weakness has indirect adverse impact, or contributes to an adverse impact on the health and safety of workers, the public, or the environment.

Work breakdown structure (WBS) – A method of subdividing work into smaller and smaller increments to permit accurate estimates of durations, resource requirements, and costs.



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Section 1 – Planning Tasks and Deliverables Checklist

Task - Deliverable	Start Date	End Date	Staff Assigned	Status
1. PLANNING THE EXERCISE				
Identify Client Requirements				
Determine SDG Members				
Develop Schedule				
2. DETERMINING THE DESIGN PARAMETERS				
Establish Purpose				
Establish Scope				
Identify Participants				
Schedule and Conduct SDG Meetings				
– SDG Meeting #1				
– SDG Meeting #2				
– SDG Meeting #3				
Determine Extent of Play				
Develop Objectives				
Develop Scenario Narrative Summary				
Complete Preliminary Design Review				
3. EXERCISE PACKAGE DEVELOPMENT				
Finalize Scenario				
– Develop Facility Description				
– Determine Technical Basis/Hazards Data				
– Identify Incident Scene Location				
– Develop Meteorological Data				
– Determine Medical Data for Victims				
– Identify Simulations				
Develop Message Injects/Contingency Messages				
Master Scenario Events List (MSEL)/Timeline				
Develop Controller Handbook				
Develop Evaluator Handbook				
Develop Observer Guidelines				
Develop Participant Handout				
Develop Security Plan				
Develop Public Information Plan				

Task - Deliverable	Start Date	End Date	Staff Assigned	Status
Finalize Appendices				
– Schedule of Events				
– Exercise Organization Roster				
– Exercise Termination Criteria				
– Evaluation Criteria or Learning Objectives				
– Observation Form				
– Customer Feedback Form				
Complete Final Review Package				
4. COORDINATE				
Develop Administration/Logistics Plan				
Determine Controller/Evaluator Assignments				
5. CONDUCT THE EXERCISE				
Conduct Senior Mgmt. Pre-Briefings				
Conduct Controller/Evaluator Training				
Conduct Responder Pre-Brief				
Conduct Controller/Evaluator/Observer Pre-Brief				
Conduct Exercise				
6. EVALUATE THE EXERCISE				
Document Organizational Performance				
Conduct Post-Exercise Participant Hotwash				
Conduct Controller/Evaluator Critique				
Collect Documentation				
Develop Initial Report of Results				
Coordinate/ and Validate Results/Findings				
Conduct Senior Management/ <i>Sponsoring Organization</i> Post-Brief				
Prepare Final Exercise Report				
Notify Participants of Results				
7. POST EXERCISE ACTIVITIES				
Develop Corrective Action Plan				
Track Corrective Actions				
Track Lessons Learned				
Recognition				



Section 2 – Tabletop Exercise Package Templates

Tabletop (TT) Exercise Package		
1. Date Issued/Revised:	2. Type:	3. ID Number:
4. Date Scheduled:	5. Initiation Time:	6. Duration of the Exercise:
7. Technical Lead		8. Exercise Director:
9. Exercise Participants:		
10. Exercise Purpose/Scope:		
11. Exercise Objectives:		

Tabletop (TT) Exercise Package

12. Exercise Scenario Narrative Summary:

Tabletop (TT) Exercise Package

12. Exercise Scenario Narrative Summary (continued):

13. Exercise Control, Simulations, and Logistics Requirements:



Section 3 – Sample Water System Emergency Plan Tabletop Exercise Package

Water System Name		
1. Date Issued/Revised: 4-6-04	2. Exercise Type: Tabletop Water System contamination and loss of power	3. Exercise ID Number: WATER SYSTEM -DATE
4. Date Scheduled: 4/6/04	5. Initiation Time: 0845	6. Duration of the Exercise: 3.25 Hours
7. Technical Lead: Joe Do Right		8. Exercise Director: Sally Focus
9. Exercise Participants: Water Treatment Plant Staff from impacted towns, counties and private corporations Representative from Municipal Authority Emergency Managers of affected communities Local and State Health Department Affected Law Enforcement Agencies Observers: Officials from State and Local Government		
10. Exercise Purpose/Scope: Purpose: To determine the capability of the WATER SYSTEM emergency response organization (ERO) to respond to an emergency within the utility’s operating system. Scope: The scope of the exercise includes activities in internal communications; initial assessment; working with local police and the city EOC; handling a contamination threat; recovering from loss of power; working with public health officials; adjusting operations; planning and activating a flushing sequence; planning and activating a sampling and analysis program; determining the status of service; communicating with the media; and working with the FBI.		

11. Exercise Objectives:

Terminal Objective: Upon completion of the TT, participants will be better prepared to respond to an emergency within the utility's operating system through an understanding of the WATER SYSTEM ERO, emergency plan operating procedures, direction and control of the ERO, interface with offsite response agencies; and the effectiveness of notification and response protocols.

Enabling Objectives:

- Test the capability of the WATER SYSTEM emergency response organization to respond to an emergency within the utility's operating systems.
- Validate procedures within the WATER SYSTEM emergency response plan.
- Provide emergency operations center review and direction of response requirements to an emergency.
- Provide interface with offsite response support agencies.
- Test the WATER SYSTEM notification process to onsite personnel, member agencies, offsite response agencies, and regulators.
- Determine the level of activation of the EOC using the emergency action level table, and activate accordingly.
- Test the ability of the WATER SYSTEM personnel to recognize and report an emergency event.
- Test the following generic objectives:
 - Demonstrate the ability to perform emergency notifications.
 - Demonstrate the ability to assess the emergency event, and execute the required emergency response and protective actions.
 - Demonstrate the capability to relinquish and execute formal turnover of command.
 - Determine the ability to recognize potential contamination
 - Demonstrate the ability to notify the appropriate authorities.

12. Drill Scenario Narrative Summary:

8:45 INJECT #1

On Tuesday, July 6, 2004, at 8:45 am (after a long, hot holiday weekend), a communication's technician inspecting a radio antenna at the (NAMED) reservoir tank discovers 6 empty one-gallon plastic bottles next to a ladder near the tank. He climbs the tank to investigate and finds a hatch on the tank is open. The lock was cut.

At 8:50 am the employee inspecting the tank radios to the treatment plant operator and informs her/him of the conditions of the event scene. The treatment plant operator informs the water treatment plant supervisor of the event scene. The supervisor then calls the exercise director and they determine that the problem is significant enough to activate the WATER SYSTEM departmental emergency operations center. Exercise director calls the city manager/WATER SYSTEM manager who requests activation of the city EOC.

[Expected Actions-- An employee is sent to (NAMED) reservoir to turn off valves, while the public information officer (PIO) calls the customers in the area to inform them of the problem.]

9:10- REPORT OUT

9:25 INJECT #2

9:25 am The sheriff's deputy will arrive at (NAMED) reservoir, followed by the county health dept. and a discussion of who takes samples/which lab to send them ensues.

10:05 am The media hear about a problem with the water system and show up at the treatment plant. There is no PIO at the plant, and employees there direct the media to the city EOC.

The mayor requests a press conference and requires preparatory information for 10:40 am. The PIO must quickly prepare the mayor and incident commander for the press conference.

10:05 REPORT OUT

10:25 INJECT #3

10:25 am The Media arrive at (NAMED) reservoir and the sheriff's deputy must deal with them.

10:25 am Twenty students from (NAMED) Lutheran school arrive at the hospital with drooping eyelids, dry mouth and throat, difficulty swallowing and talking. Coordination must occur between the hospital and health department to determine the presence of a contaminant somewhere—potentially the water.

10:25 am FBI arrives at (NAMED) reservoir, where an incident command post has been set up.

10:40 am News briefing to media (PIOs must prepare a statement and help mayor give briefing from the EOC). Near the end of the conference, power is lost to the plant because a transformer at the raw water pump station has burned out.

10:55 REPORT OUT

11:10 INJECT #4

11:10 am (NAMED CITY) water has heard about a problem and tries to contact WATER SYSTEM to find out what's happening, and an alternate supply discussion takes place.

11:20 a.m. Recovery planning is discussed, and will involve cleaning the reservoir, flushing the distribution system, getting the school decontaminated. Contamination of botulism toxin was confirmed as far as the (NAMED) water quality lab and not further, so it is limited to the southern transmission line. Everything east of (NAMED LANDMARK) was affected.

11:30 am Exercise terminated, participants take a 10 minute break.

11:40- 12:00 Debrief

Sample -- Water System Emergency Plan Tabletop Exercise Package -- Sample

Water System TT EXERCISE PACKAGE (continued)		
14. Exercise Time Line/Master Scenario Event List {items in parenthesis are expected actions}		
Time	Message #	Exercise Event/Activity
0845	001	Event initiation, with event scene description: Tuesday morning after July 4 th weekend, communications tech at (NAMED) reservoir finds 6 empty gallon bottles and ladder.
0850		Call from communications tech inspecting tank to treatment plant operator about event.
0853		{Communications occur, set up contamination procedures}.
0925	002	Call to WATER SYSTEM director and EOC activation—Choose an emergency action level.
0925		Turn off valves to tank, call (NAMED) church, (NAMED) wetlands and WATER SYSTEM members}.
0925		(NAMED) county sheriff’s deputy arrives at the tank {coordination efforts}.
1005		County health department arrives (NAMED) reservoir {who takes samples?}
1005		Media arrive at the treatment plant {No PIO there—Operators send media to city EOC}
1005		Mayor requests a press conference and requires preparatory information for 10:40 am {Prep mayor and incident commander}
1025	003	Media arrive at (NAMED) reservoir
1025		Twenty students from (NAMED) school arrive at hospital with drooping eyelids, dry mouth and throat, difficulty swallowing and talking.
1025		FBI arrives at (NAMED) reservoir {incident command post}
1040		News briefing to media {forming a statement, give briefing at EOC}
1110	004	(NAMED CITY) water tries to find out what’s going on {alternate supply discussion}
1120		Contamination is confirmed as far as a (named location) and not further: Recovery planning {flushing, cleaning reservoir, school without water, sick people at hospital}
1130		Exercise terminated
1130-		Break
1140		Debrief of the exercise.
15. Date Submitted for Approval:	16. Signature of Facility Manager:	
	17. Date:	



Section 4 – Suggested Terminal Objective and Enabling Objectives

Terminal Objective

Upon completion of the tabletop, participants will have demonstrated the knowledge necessary to implement the correct emergency response actions when responding to a drinking water contamination event that has affected the continuation of drinking water service.

Enabling Objectives

1. Accomplish notification of a water contamination event to employees, outside response agencies, regulators, support agencies, and the public.
2. Activate the water utility emergency operations center/emergency management agency to deal with a drinking water contamination event.
3. Obtain support for analysis, confinement, limiting exposure, and removal of drinking water contamination.
4. Demonstrate the decision process for determination of service restoration.
5. Validate plans and procedures for emergency response involving a water utility contamination event.
6. Accomplish coordination with local, county, state and federal authorities for response assistance, information transfer, and notification support.
7. Coordinate preparation and release of public information concerning event response and protective actions for the public.
8. Develop a recovery plan for removal of contamination and restoration of service.



Section 5 – Suggested Scenarios

Scenario #1 - Chemical Contamination:

At 7:40 am, a chemical delivery driver from Star Chemical meets the water treatment plant operator at the raw water source for what is considered a normal delivery of orthophosphate. The driver is not recognized by the treatment plant operator, and upon questioning, the driver hits the operator on the head with a heavy pipe, rendering the operator unconscious. The driver moves the operator to the chlorine room, and then proceeds to start pumping the contents of his truck into the raw water source.

At 8:10 am, the employees at the water treatment facility receive an alarm through SCADA that the chlorine residual level has dropped at the distribution booster station. Flow from the raw water source is automatically taken off line because the chlorine level drops below 0.5 ppm. The water treatment plant crew leader sends another operator to the raw water source to determine the cause of the chlorine drop. He finds the water treatment plant operator semiconscious in the chlorine room, and immediately notifies 911 for assistance. The 911 operator dispatches an ambulance and city police officer to the scene. The water treatment plant operator informs the second operator of the events leading to his injuries, and indicates he believes it has been 15 to 30 minutes since his contact with the delivery driver. The city police officer reports to the county public health official that a tanker truck was observed dispensing some form of liquid into the water inlet of the raw water source. The driver of the delivery truck cannot be found. The second operator trips the motor control center at the raw water source. The county public health official contacts the city water utility and requires a full spectrum of samples to be collected expeditiously. The water treatment plant maintenance and operations (M&O) supervisor asks the project engineer to provide a computer model of the projected travel of material within the water distribution system.

At 9:20 am, the water utility shuts down service and water distribution for public drinking water pending analysis. The water utility director requests activation of the city emergency operations center (EOC), and begins notifying the drinking water customers in the pressure zone closest to the raw water source. The police officer on scene calls the water utility and indicates the tanker truck contains a 10,000-gallon tank that appears to be empty. There are no personnel at the truck, and it appears the pump has been running for an indeterminate time. There is a distinct odor of bitter almonds at the nozzle of the tanker. The city police have isolated the area around the truck, and have notified the mayor and city manager.

One of the regional hospitals (City General Hospital) reported to the county health official that there has been a significant and unusual increase in what appears to be cyanide poisoning cases. Total numbers of cases discovered over the last hour is 12. Victims were complaining of eye and upper respiratory irritation, difficulty breathing, and reddening of the skin.

The county health official notifies the city water utility and the state department of health. In each of the cases analyzed, the affected person drank city water. These victims smelled a distinct odor of bitter almonds when running the water from the tap before they were overcome by the smell. These victims lived within four blocks of each other and represented five families.

Weather conditions are currently 75 degrees Fahrenheit, with winds calm. No precipitation is projected, and the winds are expected to remain less than 8 miles per hour throughout the day with temperatures rising to the mid 80s.

The utility director completes notification to the department of health, county health, local fire and law enforcement, and the city manager and mayor. The EOC is staffed by 10:00 am with the utility director, M&O, emergency management, director of public safety, and public information officer.

They confirm notification to the water customers and the public through a news release prepared and released by the public information officer. The utility director contacts the water treatment plant supervisor and directs samples to be taken (where, how, by whom and to whom these samples are taken and transported must be determined during the exercise).

Meanwhile, the water treatment plant supervisor has begun increasing the chlorine levels within the distribution system. In addition, he has isolated the raw water source field. The utility director arranges for alternate water sources from a neighboring system, and warns other systems to be alert to any signs of contamination or tampering with their water systems. City has a need for additional water for flushing, fire protection, etc.

At 10:30 am, the utility director learns from the testing laboratory that there is a significant amount of hydrogen cyanide within the water samples. The department of health recommends isolating water distribution from this utility, and flushing the entire system with chlorine in high concentration. The utility director initiates full isolation of the system and arranges for prolonged alternate water sources. The city manager and mayor notify federal, state, and local officials, including the federal bureau of investigation (FBI), governor, centers for disease control, and state health department. The police chief discussed the need for isolation of areas potentially impacted by the contamination event. The police chief also requests approval from the mayor to evacuate populations along the primary water distribution system in both directions from the point of chemical agent injection to a distance of 3 miles.

Based on input from the utility manager, the public information officer prepares a news release instructing the public to drink only bottled water, and to expect additional direction for flushing water taps. The utility director initiates the development of a recovery plan, including the procurement and distribution of alternative water supplies (*e.g.*, bottled water) to the public.

At 10:40 am, the media arrives at the EOC location and requests an interview with the mayor. Questions they ask include the details of the contaminant, the significance of drinking this contaminant on adults, children, and animals, and the intent of the city to restore service. Additionally, they are asking about the long-term effects of the cyanide. The mayor directs the public information officer to prepare a press conference with the media for 11:00 am, to be conducted outside the EOC in a conference room.

At 11:10 am, the utility director receives word from the department of health that water restrictions have been placed in effect for the neighboring communities. The department of health indicated they had received threats that the entire area has been targeted for additional acts of terrorism, largely because of the strategic location along the river, and the presence of one of the larger active department of energy sites. The chief of police has increased the security posture for these communities, and has deployed security protection to the key locations in the cities. The EOC has been secured, and only personnel authorized entry to the EOC are allowed in. The media has been relocated to a conference room in one of the local hotels.

At 11:15 am, the FBI confirms through their hazardous material sampling teams and through conversation with the supporting laboratories that the chemical involved is hydrogen cyanide of strong concentration. They theorize that the cyanide was produced by mixing potassium cyanide from local ore mining operations with a strong acid. In checking with local mining operations, there were reports of large quantities of potassium cyanide stored in unattended buildings. Inspection of these buildings revealed a significant amount (estimated at 5,000 pounds) was missing. The FBI also indicated that three of the exposure victims (all from the same family) have lapsed into unconsciousness. The remaining nine victims seem to be recovering from the effects of the cyanide intake. The FBI, state department of health, and county health department are joining forces with the water system to determine the magnitude of travel of the cyanide in the water distribution system. They estimate it will take an additional 4-6 hours to complete the survey.

At 11:30 am, the governor contacts the mayor and requests a situation briefing on the events that have occurred. The governor is meeting with the federal task force consisting of department of homeland security, federal emergency management agency (FEMA), department of interior, department of health and human services, FBI, department of transportation, and U.S. Environmental Protection Agency (EPA). The purpose is to discuss the path forward for state declaration of increased security posture and possible restriction on water service throughout the state. The governor asks the mayor for recommendations based on what has been found in city, and requests this information within the next half-hour.

At 12:00 pm, the mayor requests a status of actions from the representatives in the EOC. He indicates he needs status reports on the positive identification of the chemical agent, the medical effects of this agent, the number of personnel impacted and injured, the number of customers impacted by the contamination, status of public notification, and recovery planning for returning service to the customers. He would like this information within the next 30 minutes.

Note: At completion of the briefing to the mayor, the EOC members should assist the mayor in determining priorities for recovery. Once these priorities have been established, the tabletop exercise will be terminated.

Scenario #2 - Biological Contamination:

At 8:00 am, the southwest medical center reported to the county health official that there has been a significant and unusual increase in botulism infection cases. Total numbers of cases discovered over the last 6 hours are 8 cases. The county health official notifies the city water department and the state department of health of the increased incidence of botulism cases.

In each of the cases analyzed, the common indication is that the affected person drank water provided by the water department. At 8:10 am the water system operator reported to his supervisor, who in turn reported to the city police, that a tank truck was observed at the reservoir, dispensing some form of liquid into it. The county health official requests any indications of contamination in the reservoir, such as increased use of chlorine or fluoride. At 8:20 am, the water department begins shutting down the reservoir pending further analysis.

The public works director requests activation of the city emergency operations center (EOC), and begins notifying the drinking water customers. The police officer who responded to the tank truck at the reservoir calls the water department and indicates the truck contains a 10,000-gallon tanker that appears to be empty. There are no personnel at the truck, and it appears the truck's pump has been

running for several hours. There is amber- to brownish-colored liquid around the nozzle that has the consistency of light syrup. The police officer has isolated the area surrounding the reservoir and truck, and is working with the water system operator in establishing incident command to control the response to this event.

Weather conditions are currently 55 degrees Fahrenheit, with winds calm. No precipitation is projected, and the winds are expected to remain less than 8 miles per hour throughout the day.

The operations manager completes notification to the state department of health, county health official, local fire and law enforcement, and the city manager and mayor. EOC is staffed by 10:00 am with the city manager, director of public works, emergency management, police chief and public information officer.

They confirm notification to the customers using water, and the public, through a news release prepared and released by the public information officer.

The operations manager contacts the water supervisor and directs water samples to be taken. (Where to, how, and by whom these samples are taken and transported must be determined during the exercise).

Meanwhile, the water supervisor has begun increasing the chlorine levels within the distribution piping system for the utility, and has isolated the reservoir and tower. The operations manager arranges for alternate water sources from other districts, but warns these districts to be alert to any signs of contamination or tampering with water systems.

At 10:30 am, the operations manager learns from the testing laboratory that there is a significant amount of botulism toxin within the water samples. The state department of health recommends isolating the entire distribution piping system and flushing the entire system with high concentrations of chlorine. The operations manager initiates full isolation of the distribution piping and arranges for prolonged alternate water sources.

The city manager and mayor notify federal, state and local officials, including the federal bureau of investigation (FBI), governor, centers for disease control, and state health department. Based on input from the operations manager and field staff, they prepare news releases to the public to drink only bottled water, and to expect additional direction for flushing water taps. The operations manager initiates the development of a recovery plan.

The city manager and mayor notify federal, state and local officials, including the FBI, governor, centers for disease control, and state health department. The police chief discusses the need for isolation of areas potentially impacted by the contamination event. The police chief also requests approval from the mayor to evacuate populations along the primary water distribution system in both directions from the point of biological agent injection to a distance of three miles. Also, the police chief recommends to the county health department that local hospitals prepare to receive additional casualties in numbers that could exceed their capability for treatment.

At 10:40 am, the media arrives at the EOC location and requests an interview with the mayor. Questions they ask include the details of the contaminant, the significance of drinking this contaminant on adults, children, and animals, and the intent of the city to restore service.

Additionally, they are asking about the long-term effects of botulism toxin. The mayor directs the public information officer to prepare a press conference with the media for 11:00 am, to be conducted outside the EOC in a conference room.

At 11:10 am, the operations manager receives word from the state health department that water restrictions have been placed in effect for the city and a neighboring community. The state health department indicated they had received threats that the entire area surrounding these communities has been targeted for additional acts of terrorism, largely because of the strategic location along the river. The chief of police has increased the security posture for these communities, and has deployed security protection to the key locations in the cities. The EOC has been secured, and only personnel authorized entry to the EOC are allowed in. The media has been relocated to a conference room in one of the local hotels.

At 11:15 am, the FBI confirms through their hazardous material sampling teams and through conversation with the supporting laboratories that the agent involved is botulism toxin of strong concentration. They theorize the toxin was obtained from clandestine laboratories affiliated with a terrorist organization in North America. The FBI, state department of health, and county health department are joining forces to determine the magnitude of travel of the botulism in the water distribution system. They estimate it will take an additional 4-6 hours to complete the survey.

At 11:30 am, the governor contacts the mayor and requests a situation briefing on the events that have occurred. The governor is meeting with the federal task force consisting of department of homeland security, federal emergency management agency (FEMA), department of interior, department of health and human services, FBI, department of transportation, and U.S. environmental protection agency (EPA). The purpose is to discuss the path forward for state declaration of increased security posture and possible restriction on water service throughout the state. The governor asks the mayor for recommendations based on what has been found in city, and requests this information within the next 30 minutes.

At 12:00 pm, the mayor requests a status of actions from the representatives in the EOC. He indicates that he needs status reports on the positive identification of the biological agent, the medical effects of this agent, the number of personnel impacted and injured, the number of customers impacted by the contamination, status of public notification, and recovery planning for returning service to the customers. He would like this information within the next 30 minutes.

Note: At completion of the briefing to the mayor, the EOC members should assist the mayor in determining priorities for recovery. Once these priorities have been established, the tabletop exercise will be terminated.

NOTE: This scenario is depicted in the exercise package template format

Water System Emergency Response Tabletop Exercise

Participating Facility:	Exercise Type: Tabletop, Water System contamination (biological)	Exercise ID Number:
Date Scheduled:	Initiation Time: 0800	Duration of the Exercise: 4 hours
Technical Lead:		Exercise Director:
<p>Participant Organizations:</p> <ul style="list-style-type: none"> XXX Water Treatment Plant Staff, to include director, operations, engineering, Municipal Emergency Manager Local and State Health Department, including drinking water lead County Sheriff's Department Municipal Law Enforcement Municipal Fire Protection District Public Information Officer (utility and municipality) Laboratory and Testing representative Regional Manager, State Department of Health <p>Observers: as determined from utility, local, state and federal officials</p>		
<p>Exercise Purpose/Scope:</p> <p>Purpose of this tabletop exercise is to test the ability of xxx water treatment plant to respond to a biological contamination event using existing emergency plans and procedures.</p> <p>Scope of this exercise involves the initial notification, response and coordination with other government agencies for a biological contamination event within the water utility that impacts continuation of service to the customers. Scope includes the activation and operation of the utility emergency operations center/management team and other support personnel to provide initial response, decision making, notifications, and recovery planning for this event.</p>		

Exercise Objectives:

TERMINAL OBJECTIVE:

Given a scenario involving a biological agent contamination to a drinking water system, direct the emergency notification, response, coordination, and recovery planning for the xxx water utility.

ENABLING OBJECTIVES:

Test the capability of the xxx water treatment plant to respond to an emergency within the utility's operating systems.

Validate procedures within the emergency response plan.

Provide emergency operations center/management team review and direction of response requirements to an emergency.

Provide interface with local, state and federal response support agencies.

Test the notification process to onsite personnel, member agencies, offsite response agencies, and regulators.

Determine the need for activation of the EOC using the event emergency action level table, and activate accordingly.

Test the ability of the utility personnel to recognize and report an emergency event.

Test the public information response to the event.

Exercise Scenario Narrative Summary:

At 7:00 am, three of the metropolitan hospitals have reported to the county public health official that there has been a significant and unusual increase in what appears to be Ricin infection cases. A total numbers of 12 cases have been discovered over the last 6 hours. Within the first two hours, four of the victims died from pulmonary edema. The county public health official notifies the (NAME) water utility and the state department of health.

In each of the cases analyzed, the common indication is three of the affected persons were employed by the (NAME) water utility, and the remainder drank water processed from the (NAME) water utility. At 7:40, the (NAME) police department reported to the county public health official that an intrusion was discovered at an outlet of the (NAME) pump station dispensing some form of liquid into the water stream. The county public health official notifies the (NAME) water utility and requests sample results from the last 48 hours, with new samples required expeditiously.

At 7:50 am, the (NAME) water utility shuts down service and water distribution for public drinking water pending analysis.

At 8:00 am, an operations technician inspecting the water pumps notices that there are several 5-gallon plastic containers in the area of the pumps. Upon inspecting the containers, the technician starts coughing, has difficulty breathing, and has severe chest pains. He radios for immediate assistance to the treatment plant operator.

At 8:10 am, the treatment plant operator requests 911 emergency aid for the technician. He informs the water treatment plant supervisor of the event scene. The supervisor then calls the exercise director and they determine that the problem is significant enough to activate the EOC/management team. The exercise director calls the city manager who requests activation of the city EOC. Weather conditions are currently 55 degrees Fahrenheit, with winds calm. No precipitation is projected, and the winds are expected to remain less than 8 miles per hour throughout the day.

At 8:15 am, the ambulance and fire department arrive on-scene and evacuate the injured technician. They inform the utility director that they noticed an amber colored liquid in the plastic containers, and have isolated the containers in sealed drums. All personnel responding to the 911 call are directed to report to the nearest hospital for monitoring and decontamination.

The water utility director completes notification to the state department of health, county public health officials, local fire and law enforcement, and the city manager and mayor. EOC is staffed by 8:30 am with the city manager, utility director, director of public works, emergency management, director of public safety, and public information officer.

They confirm notification to the customers using water, and the public, through a news release prepared and released by the public information officer. The utility director contacts the water utility manager and directs samples to be collected immediately

Meanwhile, the water utility manager has begun increasing the chlorine levels within the piping distribution at the utility, and has isolated all intakes to the plant. The utility director arranges for alternate water sources from other districts, but warns these districts to be alert to any signs of contamination or tampering with water systems.

At 8:40 am, the sheriff's deputy arrives at the pump station, followed by the county public health official. and a discussion of sampling requirements begins. The primary concern is to find a laboratory capable of sampling for Ricin contamination, and to counter the possible biological effects during sampling. They decide to notify the FBI and Centers for Disease Control for assistance.

At 9:15 am, the media contacts the utility concerning the contamination problem with the water system. They request information to be able to inform the public about water problems. The utility director contacts the public information officers from the utility and city to deal with the media requests.

At 10:00 am, the mayor and city manager request preparation for a press conference for 10:40 am. The PIOs are asked to prepare the mayor for the press conference.

At 10:25 am, ten additional victims are reported from the hospitals with similar symptoms for Ricin, and noticeably blue coloration in skin and lips. They are having difficulty breathing, and show signs of upper respiratory congestion. These victims were from an area located adjacent to the location of the first victims.

At 10:30 am, the FBI arrives at the water utility with an assessment team and technical assistance for biological agent detection. They recommend support from state assets such as the civil support team, HAZMAT teams, and laboratories.

At 11:10 a.m., the utility director completes arrangements for alternate water supplies.

At 11:20 am, recovery planning is discussed, and will involve cleaning the reservoir, flushing of the distribution system, getting the school decontaminated. Contamination of botulism toxin was confirmed.

11:30 am Exercise terminated, participants take a 10 minute break.

11:40- 12:00 Debrief

Exercise Criteria Reference:

Water utility emergency response plan and associated procedures.



Section 6 – Sample Simulations and Ground Rules

1. Field actions will not actually take place.
2. All calls will be made to outside agencies, unless otherwise directed by the lead controller.
3. No calls will be made to the public, nor news releases transmitted outside the exercise players unless otherwise directed by the lead controller.
4. All exercise messages will be preceded and followed by "This is an exercise."
5. Any outside resources to be called in for assistance will be notified, and expected time of response collected. The outside resources will not be directed to respond unless otherwise directed by the lead controller.
6. Questions may be asked of the controllers on information concerning the response. However, questions about expected actions will not be allowed.
7. Observers will not be able to interact with the players. Observers may ask questions of the controllers.
8. The lead controller will direct termination of the event. An actual emergency will take precedence over continuation of the exercise.



Section 8 – Sample Controller Guidelines

1. Review the exercise objectives and controller package for your area of responsibility.
2. Using the master scenario event list, highlight the specific messages for which you are responsible.
3. Report to your designated area at least 3 minutes prior to the start of the exercise.
4. Obtain the necessary communications equipment and test it to ensure satisfactory communication between controllers, the lead controller, the timeline coordinator, and/or the control cell.
5. Wear controller identification, such as the required badge, arm band, or vest.
6. Synchronize your watch with the lead controller to ensure that the exercise timeline and the controller logs are consistent.
7. Do not enter into personal conversations with any exercise responders.
8. Deliver the messages you have been assigned at the time indicated. Caution: If the information depends on some action to be taken by the responder, do not deliver the message until the responder has earned the information by successfully accomplishing the required action.
9. When you deliver a message, notify the lead controller with the message number and the time delivered.
10. Begin and end all communication over the radio or telephone with the phrase: “This is an Exercise.”
11. If you are to deliver specific data, deliver it as directed on the message instructions. (Example: Do not deliver symptoms of an accident victim until the incident command organization attempts the appropriate actions for obtaining these.
12. Record all activities and the time on your “chronology of key events and observations.” Do not write opinions; rather, write about specific actions.
13. If responders do not perform as expected and a contingency message is not provided, notify your lead controller immediately and ask for direction. No unplanned simulations should be allowed without the lead controller’s approval. This differs from free play, which is action taken by a responder that is appropriate in solving the problem in a unique way.
14. Do not prompt a responder as to what a specific response should be unless a contingency message directs you to do so. Clarify information as long as it does not provide coaching.

15. Ensure that all observers stay out of the exercise activity. If you need assistance, notify your lead controller or security.
16. Do not provide information to the responders regarding scenario event progress or resolution of problems encountered by others. Responders are expected to obtain information through their own resources.
17. All simulations must be pre-approved in the exercise design package. If other simulations become necessary through the course of the exercise, the exercise director must approve the simulation.
18. Under certain conditions, such as actual alarms or real incidents, exercise activities will be placed on “hold” until these conditions or situations can be resolved. Participants and/or players will be instructed by controllers to observe these holds, and resume activities only when authorized to do so by a controller.
19. All standing facility/site safety and health related rules, policies and procedures shall be followed during the conduct of the exercise. Controllers are not exempt from these requirements.
20. Controllers will continue their roles until they receive notification from the exercise director that the exercise has been “terminated.” The exercise will be terminated with the exercise director, in conjunction with the lead controller, determines that all objectives have been met, or enough time has elapsed for the objectives to be demonstrated. At this time, controllers shall pass this information on to the responders and terminate further exercise play.
21. Pick up copies of responder logs and pertinent documentation prior to the post-exercise critique. This information should be given to the lead controller. Coordinate this task with the Evaluator in your area.
22. At exercise termination, summarize your notes and prepare for the local area critique. Have the summary ready to turn over to your lead controller. The facility lead controller shall provide this documentation to the exercise director.



Section 9 – Sample Evaluator Guidelines

1. Review appropriate emergency response plans, procedures, and documents prior to the exercise.
2. Prior to the exercise, review appropriate exercise package materials including the objectives, scenario, messages, security plans, and evaluator instructions.
3. Attend required training and briefing sessions at the designated times as stipulated by the exercise package.
4. All standing site health and safety related rules, policies, and procedures shall be followed during the exercise. Evaluators are not exempt from these requirements.
5. Obtain appropriate evaluator identification (badge, hat, vest, armband, or combination thereof) and don just prior to the start of the exercise.
6. Observe the performance of the responders during the exercise and document their actions using evaluation modules or checklists.
7. Observe the performance of the control organization in controlling and directing the exercise.
8. Evaluate responder performance and the adequacy of procedures, facilities, and equipment based on specific evaluation criteria.
9. Refrain from interfacing with responders to prevent interrupting or prompting their decisions or actions. Evaluators may ask controllers for clarification. Participants should not ask evaluators for information or clarification of scenario information. Direct them to a controller for this information.
10. Evaluators will continue their roles until they receive notification that the exercise has been “terminated.”
11. Document observations of key events, any errors or problem areas in the scenario or conduct of the exercise on the observation form.
12. Attend all post-exercise hotwash and critiques.
13. Present their evaluations and recommendations in a formal critique.



Section 10 – Sample Observer Guidelines

1. Observers are not allowed to participate in, control, or evaluate the exercise.
2. All official observers will be identified with a badge, hat, vest, armband, or combination thereof.
3. Observers shall refrain from interfacing with responders to prevent interrupting or prompting their decisions or actions. Observers may ask a controller for clarification.
4. Observers shall remain clear of response activities and not get in the way of the responders.
5. Observers may attend the participant critiques; however, they shall refrain from providing feedback at the critique unless requested by the exercise director.



Section 11 – Sample Responder Guidelines

1. Actual incidents take precedent over exercise activities.
2. Players shall not have prior knowledge of the scenario. Players who have gained knowledge of scenario specifics prior to the exercise are expected to consult with the exercise director to determine their eligibility to participate in the exercise.
3. The exercise scenario shall not include any actions or situations that degrade the conditions of systems, equipment or affect the detection and assessment of actual emergencies, or of the capability for response to actual emergencies.
4. No actions shall be initiated which involve actual operation of equipment or affect operating capability.
5. Emergency response facilities will not be pre-activated and response personnel will not be pre-staged. Players will follow their normal work routines until exercise events cause them to initiate emergency response actions.
6. Response personnel will respond to and implement all protective actions as directed by the incident commander or EOC director.
7. Except for the actions identified in the list of actions to be simulated, or as otherwise directed by exercise controllers, players are to respond to exercise events and information as if the emergency were real.
8. Exercise participants shall take no action that reduces the safety of the public.
9. Controllers will only provide players with the information that they are specifically designated to disseminate in their assigned functional area. Players are expected to obtain other necessary information through existing emergency information channels.
10. In the event that players do not initiate actions critical to the successful completion of the exercise scenario, controllers will issue contingency messages that direct players to initiate specific actions.
11. All exercise messages and communications shall be preceded and followed by the phrase, “THIS IS AN EXERCISE.”
12. In some cases, it may be necessary for a controller to countermand responder actions to preserve the continuity and objectives of the exercise. Responders must accept the controller’s word as final and proceed.
13. Responders shall operate under the principles of good drillsmanship, including, but not limited to the following:

- a. Understand the scope of the exercise. If you are not sure about a certain organization or agency's participation in the exercise, ask a controller.
- b. If the scenario seems to be incredible, don't complain. Recognize that the exercise has objectives that must be satisfied and may require doing things that may not be as realistic as hoped for.
- c. Speak out loud when taking action. Recognize that a controller or evaluator cannot give credit for a "thought process." Talk and act out actions as much as possible.
- d. Act on all controller instructions. With the exception of safety issues, even if you do not agree with what the controller is telling you, do not argue. Complete the required actions and make a note to discuss your disagreement at the end of the exercise during the critique. Remember, the controller has the final word.
- e. Don't engage in casual conversations with the controllers. If you are asked a question, give a short concise answer. If you are busy and cannot immediately respond, indicate that, but report back with an answer at the earliest possible time.
- f. Do not engage in any conversations with observers or evaluators. If an observer or evaluator persists in talking with you, ask a controller for assistance.
- g. Maintain a log of your activities. Many times this will be the only documentation of activities that may have been missed by a controller or evaluator.



Section 12 – Sample Security Plan

Introduction

This Section provides an example of a security plan for a tabletop exercise. The example is generic and is incomplete in that necessary site/facility-specific information is *not* included. It provides a recommended preliminary draft for an exercise-specific security plan.

Example Security Plan

Scope

This security plan is prepared for the purpose of providing a “same message” approach to security issues concerning this exercise. It is included in the exercise package so that participants are better able to anticipate and recognize security requirements.

Pre-exercise security requirements

Identify access control and badging requirements for TT exercise staff and participants.

Establish a registration system to ensure invited and approved participants are identified before entry to the TT exercise location.

Personnel assignments

(Note: This section should detail any necessary clarification of special personnel assignments and functions related to security measures.)

The controller Organization section of the exercise package identifies personnel assignments. No changes shall be made without assurances that personnel qualifications and notifications are equal to circumstances prior to the changes.

Security provisions

Exercise participants should be provided security information and security procedures to be observed prior to the start of the exercise.

The exercise director has the authority to place the exercise into an administrative hold for any security reason.

Special security provisions

Classified material/documents potentially impacted – classified materials/documents will not normally be used or involved in these tabletop exercises. Should the need arise for classified documents to be used, they shall not be left unattended and shall be properly removed/stored at the end of the exercise. Required security notifications - *identify special provisions.*

Other security provisions

(Note: This section should detail any additional clarification of security measures not addressed in above paragraphs.)

Approval

APPROVED BY: _____ DATE: _____
Exercise Director



Section 13 – Sample Public Information Plan

Introduction

This appendix provides an example of a public information plan for a tabletop exercise that involves participation by the media, and involvement of off-site authorities and interested outside officials. The example is generic and is incomplete in that necessary site/facility-specific information is *not* included. It provides a recommended preliminary draft for an exercise-specific plan.

Example Public Information Plan

Scope

This plan establishes the framework for a coordinated, efficient media relations in support of the (specify) /exercise to be conducted at the (site/facility). The plan provides the methods, techniques and assignments/responsibilities for ensuring:

- Broadened public/media understanding and acceptance.
- Increased (site/facility) employee support/participation.
- Reduced uncertainty.
- Minimized liabilities.
- Enhanced coordination and operating relationships.

Objectives

Ensure that the public and media are aware of the planned exercise and that no unwarranted concerns are generated as a result of the exercise planning and/or conduct.

Provide the public and media with an understanding of the site's/facility's commitment to ensuring public health and safety through development of a comprehensive emergency management system.

Coordinate with state, local, tribal and various federal agency authorities in reaching out to potentially affected populations concerning the development and conduct of emergency response drills/exercises.

Provide the local media an opportunity to observe and report on the activities leading up to and during conduct of site/facility emergency response drills/exercises.

Audiences

(Note: This section should indicate what specific groups are the audience for the Public Information Plan.)

General public located in the geographic area of the exercise.

Community leaders and decision makers within those areas that will potentially be impacted by the exercise scenario including those leaders who would have reason to comment publicly on an emergency event at the site.

Print and broadcast media in local area including newspapers, local television and cable stations, and local radio stations.

Nonparticipating offsite response groups.

Messages

(Note: This section should identify information the audience should know.)

A major emergency response exercise is planned for the (site name) on (date of exercise) that will test and evaluate regional emergency plans and responses.

Emergency response drills/exercises are conducted to evaluate a facility/site emergency management system. Drills/exercises are also used to enhance communications between agencies and practice their policies, notifications, and procedures in cooperation with (the site name) procedures. In the event of an actual emergency, officials will, in turn, be better prepared to handle public health and safety issues.

Emergency response drills/exercises are an important responsibility of government at all levels. Therefore, this emergency exercise will involve federal, state, local, and tribal agencies and other offsite organizations to ensure that all affected communities receive proper notifications and promoting the highest level of public and employee health and safety.

Participants in drills/exercises may include water utility emergency response organizations, federal, state, local, and tribal emergency organizations including police, fire, and hospital, county decision makers, and other agencies responsible for public safety and emergency response.

Drills/Exercises demonstrate and test complex integration and coordination of information and resources between governmental agencies at the federal, tribal, and state levels, as well as community agencies, site employees and the general public.

Strategic actions

(Note: This section should identify the actions to be taken to get the messages to the Audiences.)

Identify a team of site/facility and community officials to disseminate information by:

- briefing local elected and Tribal leaders;
- developing a fact sheet for public dissemination;
- providing media opportunities for reports; and
- providing information to other Federal and state agencies for widest dissemination.

Produce and distribute a media kit specifically designed to be used prior to and during the exercise.

Produce and distribute public service announcements (PSAs) to run on local TV, cable, and radio stations as necessary.

Products and Scheduling

(Note: This section should indicate what needs to be produced or assembled and the associated timetable.)

Identify audiences and interested parties. (target date)

Identify a team of site/facility, federal, state, local, and tribal officials and spokespersons to participate in the exercise development process. (target date)

Schedule meetings, presentations, and briefings. (target date)

Produce a media kit to include the following. (target date)

- Press releases.
- Background material/information and acronym list.
- Hazardous materials background materials.
- Still photographs.
- Maps.
- News/informational articles on emergency preparedness at the site.
- Media kit folder.
- Distribute media kits to identified media. (target date)
- Produce radio PSAs. (target date)
- Produce video PSAs. (target date)
- Distribute radio and video PSAs. (target date)
- Write articles to appear in site employee newsletters. (target date)

Approval

DEVELOPED BY: _____ DATE: _____
Site Public Information Officer

APPROVED BY: _____ DATE: _____
Exercise Director



Section 14 – Sample Schedule of Events

ACTIVITY	DATE	TIME	LOCATION
Participant Briefing	MM/DD/YY	8:00 a.m.	In place
Controller/Evaluator Training	MM/DD/YY	8:00 a.m. 11:00 a.m.	Building
Controller/Evaluator Briefing	MM/DD/YY	1:00 p.m.	Building
Observer Briefing	MM/DD/YY	3:00 p.m.	Building
Controller/Evaluator Communication Pick-up	MM/DD/YY	6:30 a.m.	Building
Exercise	MM/DD/YY	8:00 a.m.	Site-wide
Responder Hotwash	MM/DD/YY	Immediately after the Drill or Exercise	In place
Controller/Evaluator Critique	MM/DD/YY	8:00 a.m.	Building
Lead Controller/Lead Evaluator Critique	MM/DD/YY	1:00 p.m.	Building
Management Briefing	MM/DD/YY	9:00 a.m.	Building
Public Meeting on Results	MM/DD/YY	7:00 p.m.	
Exercise Report Completed	MM/DD/YY		
Exercise Report Results entered Into tracking system	MM/DD/YY		



Section 15 – Sample Exercise Termination Criteria

The exercise may be terminated under the following circumstances:

1. If all emergency response actions have been completed in accordance with the exercise objectives.
2. If an actual on-site emergency condition develops coincident with the exercise.
3. If an actual off-site emergency impacts the response actions of exercise participants

If an actual on-site emergency develops, the following actions will be taken (example):

1. The exercise director will determine the extent of impact on continuation of the exercise.
2. The exercise director shall direct either “Exercise Hold” or “Exercise Termination.”
3. The exercise director will be responsible for directing the actions of the controllers, evaluators, and observers.
4. The exercise director shall inform all participants of the status of exercise continuation or termination.

For normal exercise termination, the following actions will be taken:

1. The exercise director and the lead controller/controllers will reach an agreement that there is sufficient demonstration of objectives to terminate the exercise.
2. The exercise director, lead controllers, and the external organization controllers will agree on the time of termination.
3. If external organizations desire to continue to play for training purposes, support from the exercise director will be coordinated and appropriate contingency messages will be issued.
4. The exercise director will ensure a coordinated termination of the exercise and confirm a message is given to responders.
5. The exercise director will ensure all participants are notified.



Section 17 – Sample Customer Feedback Form

EXERCISE INFORMATION	Instructor Name
D/E Name	D/E No.
STUDENT	D/E Date
Name	Company/Bldg.
Job Position:	Phone:

I am:

A Responder
 An Observer
 A Controller
 An Evaluator

My participation in this exercise was:

Required
 Optional
 To develop work skill
 To perform work safely
 Other (specify)

Has this course made an improvement in your work performance? Check the appropriate box below:

<input type="checkbox"/> No improvement. Not worth training time	<input type="checkbox"/> Slight improvement. Not worth training time	<input type="checkbox"/> Some improvement. Not sure training was worth time away from job	<input type="checkbox"/> Improvement. Time in training was worth time away from job	<input type="checkbox"/> Significant improvement. Training was well worth time away from job
--	--	---	---	--

What would make this course more effective back on the job? Use the following scale:

1	2	3	4	5	
Needs major improvements	Needs some improvement.	Needs no improvement	Was handled well	Was handled very well	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Training facilities
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exercise Control
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Appropriate amount of information (Indicate: <input type="checkbox"/> MORE or <input type="checkbox"/> LESS needed)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Time allotted to exercise (Indicate: <input type="checkbox"/> MORE or <input type="checkbox"/> LESS needed)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Instructional organization (sequencing, timing, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Scenario material was accurate and up-to-date
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Explanation of the scenario by the controllers
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exercise used same processes and equipment used on the job
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Opportunity to practice/apply classroom training during exercise
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	exercise focused on what <u>responders</u> need to do in their job
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Plans/procedures were accurate and up to date
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Job aids were accurate and up to date
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Feedback to the responders about performance

Continue to Page 2



Section 18 – Sample Administration/Logistics Plan

Introduction

This appendix provides an example of an Administration/Logistics Plan for a tabletop exercise. The example is generic and is incomplete in that necessary site/facility-specific information is *not* included. It provides a recommended preliminary draft for an exercise-specific plan.

Example Administration/Logistics Plan

Scope

This plan is prepared for the purpose of ensuring the requisite administrative and logistics activities associated with the exercise planning, preparations, conduct, and follow-up are accomplished. It consists of a series of checklists for use by the exercise planning organization.

Exercise Package Development, Production, and Distribution

Development

The following sections have been approved by the SDG:

	Scheduled	Actual Completion Date
<input type="checkbox"/> Scope		
<input type="checkbox"/> Objectives		
<input type="checkbox"/> Scenario narrative		
<input type="checkbox"/> Design and development guidelines		
<input type="checkbox"/> Security plan		
<input type="checkbox"/> Public Information Plan		
<input type="checkbox"/> Timeline of key exercise events		
<input type="checkbox"/> MSEL		
<input type="checkbox"/> Message injects		
<input type="checkbox"/> Exercise data		
<input type="checkbox"/> Exercise control		
<input type="checkbox"/> Exercise evaluation		
<input type="checkbox"/> Administration and logistical planning		
<input type="checkbox"/> Glossary of acronyms		

Production and Distribution

Scheduled Actual Completion Date

- Technical writing review
- Produce final draft
- Develop concurrence distribution list
- Distribution of draft
- Concurrence by participating organizations
(list each for check-off purposes)
- Insert final comments
- Develop distribution list
- Reproduce exercise package
- Controlled distribution

Security Administration/Logistics Checklist

(Note: This list should correlate with the security plan.)

- Badging complete
- Registration for participants, observers, and other official guests complete

Media Checklist

(Note: This checklist is required if the exercise will generate off-site interest. The administrative and logistics requirements should correlate with the Public Information Plan.)

- Video/audio
- Press badges
- Validate phone numbers for media calls
- Coordinate actual media attendance
- Press release announcing exercise
- Develop and publish viewing itinerary

Meeting Checklist

(Note: This checklist should be used for each pre- and post exercise planning and evaluation meeting.)

- Scheduled date and time
- Number of attendees
- Meeting purpose or function
- Schedule facility
- Schedule audio/visual equipment
- Develop agenda
- Publish and distribute announcement
- Arrange for food/drinks
- Produce handouts or other support materials
- Arrange for recorder for taking minutes
- Ensure facility setup
- Produce sign-in sheet
- Produce draft of minutes
- Finalize and distribute minutes

Training Session Checklist

(Note: The pre-exercise training sessions normally include responder briefings, generic and exercise specific evaluator and controller training, and observer briefings.)

- Scheduled date(s) and time(s)
- Number of students
- Training course or class name
- Schedule facility
- Identify travel, transportation, and room requirements for out-of-town participants
- Schedule audio/visual equipment
- Develop schedule
- Publish and distribute announcement
- Arrange for food/drinks
- Sign-in sheet
- Produce handouts or other support materials
- Ensure setup of facility
- Arrange for support during conduct of the class
- Publish class roster
- Issue completion certificates

Pre-Exercise Logistics/Simulations Checklist

- Participant meals ordered and pre-staged
- Meal distribution plan developed
- Pre-exercise meeting schedule published
- Pre-exercise meetings (use meeting checklist)
- Procure transportation to evaluator, controller, and observer locations, if needed
- Evaluator, controller, observer, and exempt personnel vests or identification means pre-staged
- Restroom facilities identified or pre-staged
- Exercise mementos identified, procured, and pre-staged
- Simulation aids are setup and tested

Conduct of Exercise Administration/Logistics Checklist

- Participant rosters distributed
- Meals distributed
- Spare communications equipment distributed, on request
- Movement of controllers and evaluators, on request
- Public inquiries handled as needed
- Media inquiries handled as needed

Post-Exercise Administration/Logistics Checklist

- Meeting (critique) locations are setup and ready (use meeting checklist)
- Participant rosters collected
- Critique sheets distributed and collected
- Critique minutes collected
- Evaluator sheets collected
- Communications equipment returned, checked, and accounted for
- Vests or other participant identification devices collected
- Mementos distributed
- Simulations disassembled, cleaned, operation checked, and returned
- Special support equipment collected and returned
- Trash collected
- Letters of participation developed and distributed
- Training records of all participants updated
- Letters of appreciation distributed to organizations and/or individuals
- Post exercise controller/evaluator meetings conducted (use meeting checklist)
- Financial information requested, totaled, and submitted to management
- Lessons learned report developed (used for the planning, development and conduct of the exercise - not the same as the evaluation report.)
- Evaluation report developed, approved, and published
- Findings added to the tracking system

Approval

PREPARED BY: _____
Exercise Planner

DATE: _____

APPROVED BY: _____
Exercise Director

DATE: _____



Section 19 – Sample Report Format

*Exercise Final Report
Conducted on
MMDDYY*

- I. Narrative Summary:
 - Exercise scope/extent of play
 - Objectives
 - Participants
 - Overall performance rating

- II. Evaluation Results: *(detailed findings for each objective supported by documentation)*
 - Positive comments
 - Negative comments

- III. Conclusions/Recommendations

- IV. Corrective Actions

- V. Supporting Documentation
 - Timeline of Key Events
 - Evaluation Criteria
 - References



Section 20 – Sample Corrective Action Tracking Form

TRACKING NO.	DATE ENTERED:
Responsible Manager:	
Organization:	
Phone:	
Exercise Date:	
Short Description of Finding:	
Cause Determination:	
Detailed Description of Corrective Action:	
Estimated Completion Date:	
<i>For Internal Use Only</i>	
Entered By/Date: _____	Date Action Completed: _____



Section 21 – Sample Outline for Memo of Follow-up Actions

DATE:

TO: (All exercise participants and any other organizational representatives who are expected to undertake activities as a result of the exercise.)

FROM: Emergency Management Program Manager

CONTENTS:

1. Thanks for participation
2. General success of the exercise.
3. Follow-up assignments
 - action/recommendation
 - assigned to
 - expected completion date
 - report progress to whom, when

ATTACHMENTS:

1. Exercise report
2. Corrective action tracking form