



EMERGENCY SERVICES SECTOR-SPECIFIC TABLETOP EXERCISE PROGRAM CONTROLLER/EVALUATOR HANDBOOK



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

Date:

Organization:



EXERCISE OVERVIEW

Exercise Name:

Exercise Start Date/Time:

Exercise End Date/Time:

Exercise Duration:

Exercise Location(s):

Exercise Parameters:

Mission Area(s):

Prevention

Protection

Response

Recovery

Core Capability(ies):

Planning

Intelligence and Information Sharing

Risk Management for Protection Programs and Activities

Public Alerts and Warnings

Objective(s):

Assess information sharing capabilities with the public, sector partners, and Federal, State, local, tribal, and territorial government departments and agencies in accordance with applicable plans and procedures.

Review intelligence and information sharing and dissemination processes in relation to a credible threat to domestic critical infrastructure owners/operators

Discuss private sector stakeholders' emergency preparedness plans and response procedures to a threat-initiated incident and the coordination activities under National Incident Management System (NIMS) with local, State, and Federal agencies.

Threat/Hazard:

Cybersecurity

Vehicle-Borne Improvised Explosive Device (VBIED)

Scenario:

Following a threat buildup concerning the hacking of utility control facilities and communications infrastructure, a VBIED is detonated in a populated restaurant district while the city is in a power outage and communications infrastructure is compromised or disabled.

Sponsor Organization:

Participating Organizations:

Point of Contact:



GENERAL INFORMATION

Exercise Objectives and Core Capabilities

The exercise objectives in Table 1 describe the expected outcomes for the exercise. The objectives are linked to core capabilities, which are distinct critical elements necessary to achieve the specific mission area(s). The objectives and aligned core capabilities are guided by elected and appointed officials and selected by the Exercise Planning Team. The exercise design objectives are focused on improving understanding of information sharing and incident management activities, identifying opportunities or problems, and developing recommended actions and procedural adjustments to address potential problem areas. Please see Appendix A: Core Capabilities for excerpts of Core Capabilities from the U.S. Department of Homeland Security’s National Preparedness Goal, September 2011. Only the relevant preliminary targets are listed.

Table 1: Exercise Objectives and Core Capabilities

Exercise Objective	Core Capabilities
Assess information sharing capabilities with the public, sector partners, and Federal, State, local, tribal, and territorial government departments and agencies in accordance with applicable plans and procedures.	Planning Intelligence and Information Sharing Public Alerts and Warnings
Review intelligence and information sharing and dissemination processes in relation to a credible threat to domestic critical infrastructure owners/operators.	Public Alerts and Warnings Intelligence and Information Sharing
Discuss private sector stakeholders’ emergency preparedness plans and response procedures to a threat-initiated incident and the coordination activities under National Incident Management System (NIMS) with local, State, and Federal agencies.	Planning Risk Management for Protection Programs and Activities
[Insert additional Exercise Objective, as necessary]	[Insert Additional Core Capability, as necessary]

Presidential Policy Directive-8: National Preparedness describes the Nation’s approach to preparing for the threats and hazards that pose the greatest risk to the security of the United States. National preparedness is the shared responsibility of our whole community. Every member, including individuals, communities, private and nonprofit organizations, faith-based organizations, and federal, state, local, tribal, and territorial governments, contributes. We describe our security and resilience posture through the core capabilities that are necessary to deal with risks, and we use an integrated, layered, whole-of-nation approach as our foundation. We define success as ‘A secure

and resilient Nation with the capabilities required across the whole community to prevent, protect against, mitigate, respond to, and recover from the threats and hazards that pose the greatest risk.’

Capabilities-based planning focuses on planning under uncertainty because the next danger or disaster can never be forecast with complete accuracy. Therefore, capabilities-based planning takes an all-hazards approach to planning and preparation that builds capabilities that can be applied to a wide variety of incidents. The capabilities defined here provide the foundation for development of this exercise’s objectives and scenario.

- Planning
- Intelligence and Information Sharing
- Risk Management for Protection Programs and Activities
- Public Information and Warning

Participant Roles and Responsibilities

The term participant encompasses many groups of people, not just those playing in the exercise. Groups of participants who may be involved in the exercise, and their respective roles and responsibilities, are as follows [remove specific roles/responsibilities if not used]:

- **Players.** Players are personnel who have an active role in discussing or performing their regular roles and responsibilities during the exercise. Players discuss or initiate actions in response to the simulated emergency.
- **Controllers.** Controllers plan and manage exercise play, set up and operate the exercise site, and act in the roles of organizations or individuals that are not playing in the exercise. Controllers direct the pace of the exercise, provide key data to players, and may prompt or initiate certain player actions to ensure exercise continuity. In addition, they issue exercise material to players as required, monitor the exercise timeline, and supervise the safety of all exercise participants.
- **Simulators.** Simulators are control staff personnel who role play nonparticipating organizations or individuals. They most often operate out of the Simulation Cell (SimCell), but they may occasionally have face-to-face contact with players. Simulators function semi-independently under the supervision of SimCell controllers, enacting roles (e.g., media reporters or next of kin) in accordance with instructions provided in the Master Scenario Events List (MSEL). All simulators are ultimately accountable to the Exercise Director and Senior Controller.
- **Evaluators.** Evaluators evaluate and provide feedback on a designated functional area of the exercise. Evaluators observe and document performance against established capability targets and critical tasks, in accordance with the Exercise Evaluation Guides (EEGs).
- **Actors.** Actors simulate specific roles during exercise play, typically victims or other bystanders.
- **Observers.** Observers visit or view selected segments of the exercise. Observers do not play in the exercise, nor do they perform any control or evaluation functions. Observers view the exercise from a designated observation area and must remain within the observation area during the exercise. Very Important Persons (VIPs) are also observers, but they frequently are grouped separately.



- **Media Personnel.** Some media personnel may be present as observers, pending approval by the sponsor organization and the Exercise Planning Team.
- **Support Staff.** The exercise support staff includes individuals who perform administrative and logistical support tasks during the exercise (e.g., registration, catering).

Exercise Assumptions and Artificialities

In any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and/or account for logistical limitations. Exercise participants should accept that assumptions and artificialities are inherent in any exercise, and should not allow these considerations to negatively impact their participation.

Assumptions

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

- The scenario for this exercise is artificial.
- The scenario is plausible and events occur as they are presented.
- There are neither hidden agendas nor any trick questions.
- All players receive information at the same time.
- Assume cooperation and support from other responders, agencies, and organizational entities.
- The scenario is not derived from current intelligence, but is influenced by real-world events.

Artificialities

During this exercise, the following artificialities may apply:

- Exercise communication and coordination is limited to participating exercise organizations, venues, and the SimCell.
- Only communication methods listed in the Communications Directory are available for players to use during the exercise.



EXERCISE LOGISTICS

Safety

Exercise participant safety takes priority over exercise events. The following general requirements apply to the exercise:

- A Safety Controller is responsible for participant safety; any safety concerns must be immediately reported to the Safety Controller. The Safety Controller and Exercise Director will determine if a real-world emergency warrants a pause in exercise play and when exercise play can be resumed.
- For an emergency that requires assistance, use the phrase “real-world emergency”. The following procedures should be used in case of a real emergency during the exercise:
 - Anyone who observes a participant who is seriously ill or injured will immediately notify emergency services and the closest controller, and, within reason and training, render aid.
 - The controller aware of a real emergency will initiate the “real-world emergency” broadcast and provide the Safety Controller, Senior Controller, and Exercise Director with the location of the emergency and resources needed, if any. The Senior Controller will notify the [Control Cell or SimCell] as soon as possible if a real emergency occurs.

Fire Safety [delete section if not applicable]

Standard fire and safety regulations relevant to the jurisdiction, venue, and organization will be followed during the exercise.

Insert any specific guidelines or protocols: .

Emergency Medical Services [delete section if not applicable]

The sponsor organization will coordinate with local emergency medical services in the event of a real-world emergency.

Insert any specific guidelines or protocols: .

Electrical and Generating Device Hazards [delete section if not applicable]

All applicable electrical and generating device safety requirements should be documented prior to the start of the exercise.

Insert any specific guidelines or protocols: .

Weapons Policy [delete section if not applicable]

All participants will follow the relevant weapons policy for the exercising organization or exercise venue.

Insert any specific guidelines or protocols:

Site Access

Security



If entry control is required for the exercise venue(s), the sponsor organization is responsible for arranging appropriate security measures. To prevent interruption of the exercise, access to exercise sites and the [Control Cell and/or SimCell] is limited to exercise participants. Players should advise their venue’s controller or evaluator of any unauthorized persons.

Media/Observer Coordination [delete section if not applicable]

Organizations with media personnel and/or observers attending the event should coordinate with the sponsor organization for access to the exercise site. Media/Observers are escorted to designated areas and accompanied by an exercise controller at all times. Sponsor organization representatives and/or the observer controller may be present to explain exercise conduct and answer questions. Exercise participants should be advised of media and/or observer presence.

Exercise Identification [delete section if not applicable]

Exercise staff may be identified by badges, hats, and/or vests to clearly display exercise roles; additionally, uniform clothing may be worn to show agency affiliation. Table 2 describes these identification items.

Table 2: Exercise Staff Color Identification

Group	Color
Exercise Director	White
Facilitator	White
Controllers	Blue
Evaluators	Red
Actors	Black
Support Staff	Gray
Observers/VIPs	Orange
Media Personnel	Purple
Players, Uniformed	Yellow
Players, Civilian Clothes	Yellow

POST-EXERCISE AND EVALUATION ACTIVITIES

Debriefings

Post-exercise debriefings aim to collect sufficient relevant data to support effective evaluation and improvement planning.

Hot Wash

At the conclusion of exercise play, controllers facilitate a Hot Wash to allow players to discuss strengths and areas for improvement, and allow evaluators to seek clarification regarding player actions and decision-making processes. All participants may attend; however, observers are not encouraged to attend the meeting. The Hot Wash should not exceed 30 minutes.

Controller and Evaluator Debriefing

Controllers and evaluators attend a facilitated C/E Debriefing immediately following the exercise. During this debriefing, controllers and evaluators provide an overview of their observed functional areas and discuss strengths and areas for improvement.

Participant Feedback Forms

Participant Feedback Forms provide players with the opportunity to comment candidly on exercise activities and exercise design. Participant Feedback Forms should be collected at the conclusion of the Hot Wash.

Evaluation

Exercise Evaluation Guides (EEG)

EEGs assist evaluators in collecting relevant exercise observations. EEGs document exercise objectives and aligned core capabilities, capability targets, and critical tasks. Each EEG provides evaluators with information on what they should expect to see demonstrated in their functional area. The EEGs, coupled with Participant Feedback Forms and Hot Wash notes, are used to evaluate the exercise and compile the AAR.

After Action Report (AAR)

The AAR summarizes key information related to evaluation. The AAR primarily focuses on the analysis of core capabilities, including capability performance, strengths, and areas for improvement. AARs also include basic exercise information, including the exercise name, type of exercise, dates, location, participating organizations, mission area(s), specific threat or hazard, a brief scenario description, and the name of the exercise sponsor and POC.

Improvement Planning

Improvement planning is the process by which the observations recorded in the AAR are resolved through development of concrete corrective actions, which are prioritized and tracked as a part of a continuous corrective action program.

After-Action Meeting



The After-Action Meeting (AAM) is a meeting held among decision- and policy-makers from the exercising organizations, as well as the Lead Evaluator and members of the Exercise Planning Team, to debrief the exercise and to review and refine the draft AAR and Improvement Plan (IP). The AAM should be an interactive session, providing attendees the opportunity to discuss and validate the observations and corrective actions in the draft AAR/IP.

Improvement Plan

The IP identifies specific corrective actions, assigns them to responsible parties, and establishes target dates for their completion. It is created by elected and appointed officials from the organizations participating in the exercise, and discussed and validated during the AAM.

PARTICIPANT INFORMATION AND GUIDANCE

Exercise Rules

The following general rules govern exercise play:

- Real-world emergency actions take priority over exercise actions.
- Exercise players will comply with real-world emergency procedures, unless otherwise directed by the control staff.
- All communications (including written, radio, telephone, and e-mail) during the exercise will begin and end with the statement, “This is an exercise.”
- Exercise players who place telephone calls or initiate radio communication with the SimCell must identify the organization or individual with whom they wish to speak.

Players Instructions

Players should follow certain guidelines before, during, and after the exercise to ensure a safe and effective exercise.

Before the Exercise

- Review appropriate organizational plans, procedures, and exercise support documents.
- Be at the appropriate site at least 30 minutes before the exercise starts. Wear the appropriate uniform and/or identification item(s).
- Sign in when you arrive.
- If you gain knowledge of the scenario before the exercise, notify a controller so that appropriate actions can be taken to ensure a valid evaluation.
- Read your Player Information Handout, which includes information on exercise safety.

During the Exercise

- Respond to exercise events and information as if the emergency were real, unless otherwise directed by an exercise controller.
- Controllers will give you only information they are specifically directed to disseminate. You are expected to obtain other necessary information through existing emergency information channels.

- Do not engage in personal conversations with controllers, evaluators, observers, or media personnel. If you are asked an exercise-related question, give a short, concise answer. If you are busy and cannot immediately respond, indicate that, but report back with an answer as soon as possible.
- If you do not understand the scope of the exercise, or if you are uncertain about an organization's participation in an exercise, ask a controller.
- Parts of the scenario may seem implausible. Recognize that the exercise has objectives to satisfy and may require incorporation of unrealistic aspects. Every effort has been made by the exercise's trusted agents to balance realism with safety and to create an effective learning and evaluation environment.
- All exercise communications will begin and end with the statement, "This is an exercise." This precaution is taken so that anyone who overhears the conversation will not mistake exercise play for a real-world emergency.
- When you communicate with the SimCell, identify the organization or individual with whom you wish to speak.
- Speak when you take an action. This procedure will ensure that evaluators are aware of critical actions as they occur.
- Maintain a log of your activities. Many times, this log may include documentation of activities that were missed by a controller or evaluator.

After the Exercise

- Participate in the Hot Wash at your venue with controllers and evaluators.
- Complete the Participant Feedback Form. This form allows you to comment candidly on emergency response activities and exercise effectiveness. Provide the completed form to a controller or evaluator.
- Provide any notes or materials generated from the exercise to your controller or evaluator for review and inclusion in the AAR.

Simulation Guidelines

Because the exercise is of limited duration and scope, certain details will be simulated. The physical description of what would fully occur at the incident sites and surrounding areas will be relayed to players by simulators or controllers. A SimCell will simulate the roles and interactions of nonparticipating organizations or individuals.

additional simulations to be used:



CONTROLLER INFORMATION AND GUIDANCE

Exercise Control Overview

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

Exercise Control Documentation

Controller Package

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

Incident Simulation

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

Scenario Tools

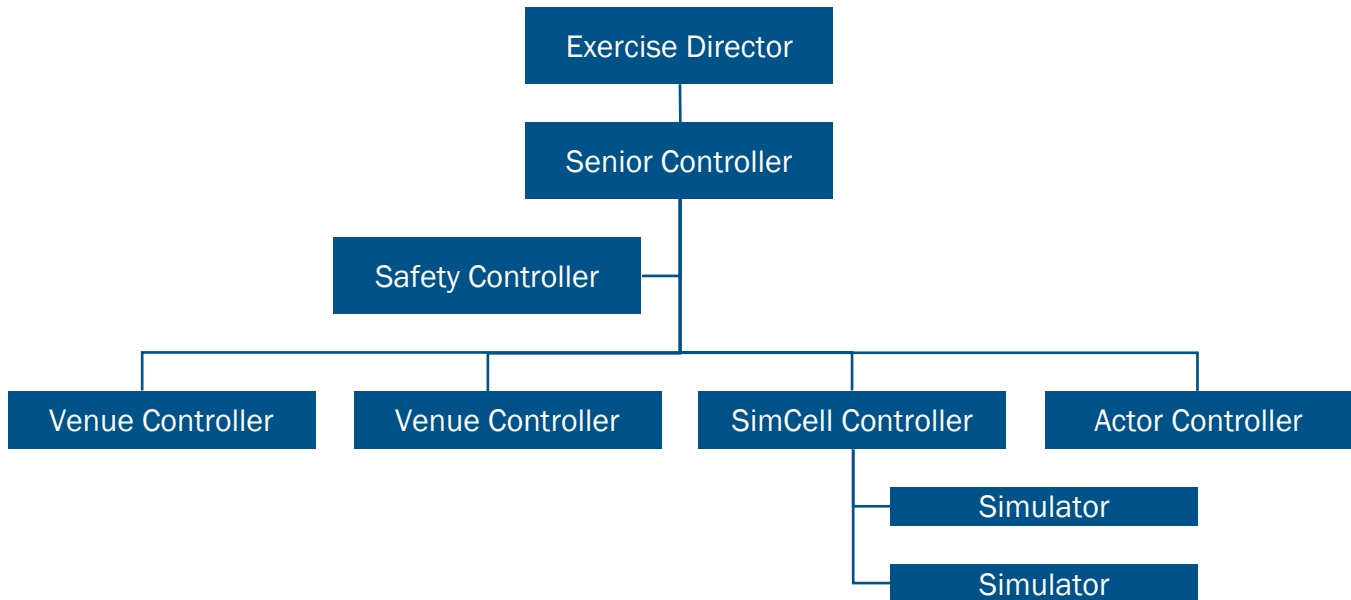
The MSEL outlines benchmarks and injects that drive exercise play. It also details realistic input to exercise players, as well as information expected to emanate from simulated organizations (i.e., nonparticipating organizations or individuals who usually would respond to the situation). The MSEL consists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

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

Exercise Control Structure

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



Figure 1: Sample Exercise Control Structure [Edit as needed or delete if not applicable]

Controller Instructions

Before the Exercise

- Review appropriate emergency plans, procedures, and protocols.
- Review appropriate exercise package materials, including the objectives, scenario, injects, safety and security plans, and controller instructions.
- Attend required briefings.
- Report to the exercise check-in location at the time designated in the exercise schedule, meet with the exercise staff, and present the Player Briefing.
- Be at the appropriate location at least 15 minutes before the exercise starts.
- Obtain, locate and test necessary communications equipment.

During the Exercise

- Wear controller identification items (e.g., badge).
- Avoid personal conversations with exercise players.
- If you have been given injects, deliver them to appropriate players at the time indicated in the MSEL (or as directed by the Exercise Director). Note: If the information depends on some action to be taken by the player, do not deliver the inject until the player has earned the information by successfully accomplishing the required action.
- When you deliver an inject, notify the [Senior Controller or Control Cell] and note the time that you delivered the inject and player actions.
- Receive and record exercise information from players that would be directed to nonparticipating organizations.
- Observe and record exercise artificialities that interfere with exercise realism. If exercise artificialities interfere with exercise play, report it to the Exercise Director.

- Begin and end all exercise communications with the statement, “This is an exercise”.
- Do not prompt players regarding what a specific response should be, unless an inject directs you to do so. Clarify information but do not provide coaching.
- Ensure that all observers and media personnel stay out of the exercise activity area. If you need assistance, notify the Exercise Director.
- Do not give information to players about scenario event progress or other participants’ methods of problem resolution. Players are expected to obtain information through their own resources.

After the Exercise

- Distribute copies of Participant Feedback Forms and pertinent documentation.
- All controllers are expected to conduct a Hot Wash at their venue and, in coordination with the venue evaluator, take notes on findings identified by exercise players. Before the Hot Wash, do not discuss specific issues or problems with exercise players.
- At exercise termination, summarize your notes from the exercise and Hot Wash, and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Exercise Director.

Controller Responsibilities

The following table details controller responsibilities. For controller assignment details, see Appendix G.



Table 3: Controller Responsibilities

Controller	Responsibilities
Exercise Director	<ul style="list-style-type: none"> • Oversees all exercise functions • Oversees and remains in contact with controllers and evaluators • Oversees setup and cleanup of exercise, and positioning of controllers and evaluators
Senior Controller	<ul style="list-style-type: none"> • Monitors exercise progress • Coordinates decisions regarding deviations or significant changes to the scenario • Monitors controller actions and ensures implementation of designed or modified actions at the appropriate time • Debriefs controllers and evaluators after the exercise • Oversees setup and takedown of the exercise
Safety Controller	<ul style="list-style-type: none"> • Monitors exercise safety during exercise setup, conduct, and cleanup • Receives any reports of safety concerns from other controllers or participants
Public Information Officer	<ul style="list-style-type: none"> • Provides escort for observers • Provides narration and explanation during exercise events, as needed • Performs pre-exercise and post-exercise public affairs duties • May act as media briefer and escort at exercise site • Serves as safety officer for his or her site
Venue Controller	<ul style="list-style-type: none"> • Issues exercise materials to players • Monitors exercise timeline • Provides input to players (i.e., injects) as described in MSEL • Serves as safety officer for his or her site
Simulation Cell Controller	<ul style="list-style-type: none"> • Role plays as nonparticipating organizations or individuals • Monitors exercise timeline • Provides input to players (i.e., injects) as described in MSEL

EVALUATOR INFORMATION AND GUIDANCE

Exercise Evaluation Overview

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

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

Evaluation Documentation

Evaluator Package

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

Exercise Evaluation Guides

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

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

After Action Report/Improvement Plan

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

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

Evaluator Instructions

General

- Avoid personal conversations with players.

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

Before the Exercise

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

During the Exercise

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

After the Exercise

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

Using Exercise Evaluation Guides

Terminology

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



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

Documenting Observations

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

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

Additionally, observations should include:

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

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

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

Assigning Ratings



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

- Performed without Challenge
- Performed with Some Challenges
- Performed with Major Challenges
- Unable to be Performed

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

Placement and Monitoring

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



APPENDIX A: CORE CAPABILITIES

The following excerpts are taken from the U.S. Department of Homeland Security's National Preparedness Goal, September 2011. Only the relevant preliminary targets are listed.

Planning (Protection)

Definition: Conduct a systematic process engaging the whole community, as appropriate, in the development of executable strategic, operational, and/or community-based approaches to meet defined objectives.

Preliminary Target: Develop protection plans that identify critical objectives based on planning requirements, provide a complete and integrated picture of the sequence and scope of the tasks to achieve the planning objectives, and implement planning requirements within the time frame contemplated within the plan using available resources for protection-related plans.

Intelligence and Information Sharing (Protection)

Definition: Provide timely, accurate, and actionable information resulting from the planning, direction, collection, exploitation, processing, analysis, production, dissemination, evaluation, and feedback of available information concerning threats to the United States, its people, property, or interests; the development, proliferation, or use of WMDs; or any other matter bearing on U.S. national or homeland security by Federal, State, local, and other stakeholders. Information sharing is the ability to exchange intelligence, information, data, or knowledge among Federal, State, local or private sector entities as appropriate.

Preliminary Target: Share relevant, timely, and actionable information and analysis with Federal, State, local, private sector, and international partners and develop and disseminate appropriate classified/unclassified products.

Risk Management for Protection Programs and Activities (Protection)

Definition: Identify, assess, and prioritize risks to inform Protection activities and investments.

Preliminary Target:

1. Ensure critical infrastructure sectors and Protection elements have and maintain risk assessment processes to identify and prioritize assets, systems, networks, and functions.
2. Ensure operational activities and critical infrastructure sectors have and maintain appropriate threat, vulnerability, and consequence tools to identify and assess threats, vulnerabilities, and consequences.

Public Alerts and Warnings (Protection)

Definition: Deliver coordinated, prompt, reliable, and actionable information to the whole community through the use of clear, consistent, accessible, and culturally and linguistically appropriate methods to effectively relay information regarding any threat or hazard and, as appropriate, the actions being taken and the assistance being made available.

Preliminary Target: Use effective and accessible indication and warning systems to communicate significant hazards to involved operators, security officials, and the public (including alerts, detection capabilities, and other necessary and appropriate assets).



Additional Information

National Preparedness Goal

<http://www.fema.gov/pdf/prepared/npg.pdf>



APPENDIX B: EXERCISE SCHEDULE

Note: Because this information is updated throughout the exercise planning process, appendices may be developed as stand-alone documents rather than part of the C/E Handbook.

Activity	Personnel	Location	Date & Time
Controller and Evaluator Briefing	Controllers Evaluators Exercise Staff		
Set up control cell and walkthrough	Controllers Exercise Staff		
Check-in for final instructions and communications check	Controllers Exercise Staff		
Media Briefing	Media		
VIP Controller Briefing	VIPs Selected Exercise Staff		
Controllers and evaluators in starting positions	Controllers Evaluators		
Controllers provide player briefs	All		
Exercise starts	All		
Exercise ends	All		
Venue Hot Washes Turn in Participant Feedback Forms	All		
Controller and Evaluator After Action Review	Controllers Evaluators Elected Officials Appointed Officials		



APPENDIX C: EXERCISE PARTICIPANTS

Enter each organization name and whether the organization is Federal, State, Local, Tribal, Territorial, Private, or other.

#	Organization Name	Federal / State / Local / Tribal / Territorial / Private / Other
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		



APPENDIX D: COMMUNICATIONS PLAN

The Communications Plan Template can be inserted here.



APPENDIX E: EXERCISE SITE MAPS

Figure E1: _____

[Insert map]

Figure E2: _____

[Insert map]



APPENDIX F: EXERCISE SCENARIO

Scenario

The TTX is comprised of three modules consisting of a domestic threat and the response. Players in this exercise will participate in the following exercise module elements:

- Module One: Threat Buildup
- Module Two: Response
- Module Three: Continuity of Operations

Each module begins with a scenario update that summarizes the key events occurring within that time period. A series of questions following the scenario summary will guide the facilitated discussion of critical issues in each of the modules. Based on exercise priorities, time dedicated to each module will be managed by the facilitator.

Immediately after the exercise, a hot wash should be conducted with the players and facilitators. A hot wash allows players the ability for self-assessment and discussion on their performance in the tabletop. To supplement the information collected during the player hot wash, participant feedback forms will be distributed to capture participants' feedback on the exercise. For each major event below, enter the event name, the venue where the event will occur, and an event description.

Major Events

Event Name:

Venue:

Insert event description:

Event Name:

Venue:

Insert event description:

Event Name:

Venue:

Insert event description:

Event Name:

Venue:

Insert event description:



APPENDIX G: CONTROLLER AND EVALUATOR ASSIGNMENTS

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

Table G1: Controller and Evaluator Assignments

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

APPENDIX H: ACRONYMS

Acronym	Term
AAR/IP	After Action Report/Improvement Plan
C/E	Controller/Evaluator
CISA	Cybersecurity & Infrastructure Security Agency
DHS	U.S. Department of Homeland Security
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
HSEEP	Homeland Security Exercise and Evaluation Program
LLIS	Lessons Learned Information Sharing
NIMS	National Incident Management System
PPD-8	Presidential Policy Directive 8: National Preparedness
SME	Subject Matter Expert
SSTEP	Sector-Specific Tabletop Exercise Program
TTX	Tabletop Exercise

