

# Managing Exercises

## A handbook for Tasmanian Government agencies



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# Introduction

## About this handbook

This handbook has been developed by the Tasmanian Government to assist government agencies to run Exercises.

The handbook:

- provides a simple overview of the Exercise management process
- provides a step-by-step guide through the phases of Exercise management
- can be used for single-agency, multi-agency or whole-of-government Exercises
- has been designed to support small Exercises, while also providing more comprehensive information for larger or more complex Exercises
- includes useful templates and resources.

## Who is this handbook for?

The handbook is aimed at:

- managers running a small Exercise – perhaps for the first time
- members of an Exercise Planning Team for larger Exercises
- Exercise Directors or other senior managers who have Exercise management responsibilities
- anyone with an interest in Exercise management in the Tasmanian Government.

## How to use this handbook

This handbook is broken into the four phases of Exercise management:

- Phase 1: Concept
- Phase 2: Plan
- Phase 3: Conduct
- Phase 4: Evaluate and Learn

For each phase the handbook includes useful templates and resources to help guide the user to effectively run their Exercise. Interactive versions of these templates are available with the electronic version of this handbook. These include more detailed information and instructions about how to complete them.

If you do not have an electronic version, please contact the State Emergency Service on [ses@ses.tas.gov.au](mailto:ses@ses.tas.gov.au) or (03) 6173 2700.

This handbook is intended as a guide for all Exercises – large and small. Exercise planners are encouraged to use and adapt the areas of the handbook that are most useful to their particular Exercise.

## Acknowledgments

This handbook was developed in consultation with a steering committee comprising emergency services personnel and representatives from relevant Tasmanian Government agencies.

Revisions to this document were made by a steering committee coordinated by the State Emergency Management Advisory Group (SEMAG) Capability and Capacity Sub-Committee.

The Tasmanian Government acknowledges:

- the work done by the Australian Government Attorney-General's Department in consultation with emergency management professionals and subject-matter experts
- the work undertaken by the United States Federal Emergency Management Agency's National Preparedness Directorate as part of the Department of Homeland Security
- the contributions of Cameron Scott, Senior Adviser, Security and Emergency Risk, Emergency Risk and Resilience, Department of Economic Development, Jobs, Transport and Resources, Government of Victoria
- the Australia-New Zealand Counter-Terrorism Committee whose processes this handbook is based on and intended to complement.

For more information about the Exercise management principles outlined in this handbook, please refer to:

- Australian Emergency Management Institute, Managing Exercises Handbook 3 of the Australian Emergency Management Handbook Series
- Australia-New Zealand Counter-Terrorism Committee, Exercise Management and Exercise Evaluation Course notes, February 2015
- Homeland Security Exercise and Evaluation Program, series of manuals
- National Directorate for Fire and Emergency Management, Department of the Environment, Heritage and Local Government, Guidance Document 4, A Guide to Planning and Staging Exercises, May 2011.



# Before you start

## What is an Exercise?

An Exercise is a controlled, objective-driven activity that is used to test or practise the procedures or processes in place to manage an emergency or the capability of an organisation (or multiple organisations) to deal with a particular emergency situation.

An Exercise can range from small and simple (such as a planning group discussing an emergency plan) to large and complex (such as a major multi-agency event involving several organisations and participants enacting a real-life scenario).

## Why hold an Exercise?

Well-designed and executed Exercises are the most effective means of:

- testing, enhancing and validating policies, plans, procedures, training, equipment and interagency arrangements
- validating training and clarifying roles and responsibilities
- improving interagency coordination and communication
- identifying gaps in resources
- improving individual performance
- identifying opportunities for improvement
- building confidence
- providing opportunities for discussion and feedback.

Exercises are an essential component of emergency preparedness and should be used to enhance the capability of an organisation and contribute to continuous improvement.

To be most effective, Exercises must be tailored to meet the identified need, aim and objectives, so they should be structured and managed.

## Scale of Exercise

### Small Exercises



Small Exercises generally test a specific function and involve just one agency. For example, it could be a school testing its fire management procedures.

### Large Exercises



Large Exercises usually involve more than one agency and are usually referred to as multi-agency or whole-of-government.

*Multi-agency Exercises* are conducted by more than one agency and the need for such an Exercise is usually identified through:

- an evaluation of data collected by the Interagency Exercise Coordination Group (IECG)
- a particular agency or agencies identifying the need(s)
- the IECG Strategic Exercise Plan.

*Whole-of-government Exercises* are undertaken where the IECG identifies a need in its strategic plan to test the government's capability as a whole to respond to a particular situation, or where information that comes to the IECG's attention identifies the need for all government agencies to be involved in an Exercise.

**The scale of each of the three main types of Exercise – Discussion, Functional and Field – can be large or small. For more information on Exercise types, see section 2.3.**

## The Tasmanian Government's approach

### The Tasmanian Government Exercise management process

The Tasmanian Government has developed a process for Exercise management that can be adapted to suit the type and scale of Exercise. This approach is based on best practice Australian Exercise management principles including those employed by the Australia-New Zealand Counter Terrorism Committee (ANZCTC).

While acknowledging that each agency, particularly in the emergency management sector, has its own processes for planning and conducting Exercises, the government recommends a structured approach to Exercise management to:

- ensure Exercises are coordinated and conducted in a systematic way
- reduce duplication of Exercise management activities within and across government agencies
- maximise resources across agencies
- learn from the findings of Exercises conducted across government
- ensure a consistent approach across all government emergency management agencies.

Figure 1 outlines the Tasmanian Government's Exercise management process for single-agency, multi-agency and whole-of-government Exercises.

### The Interagency Exercise Coordination Group

The Interagency Exercise Coordination Group (IECG) comprises representatives from various government agencies and provides both a strategic Exercise plan for government and specific guidance for individual Exercises.

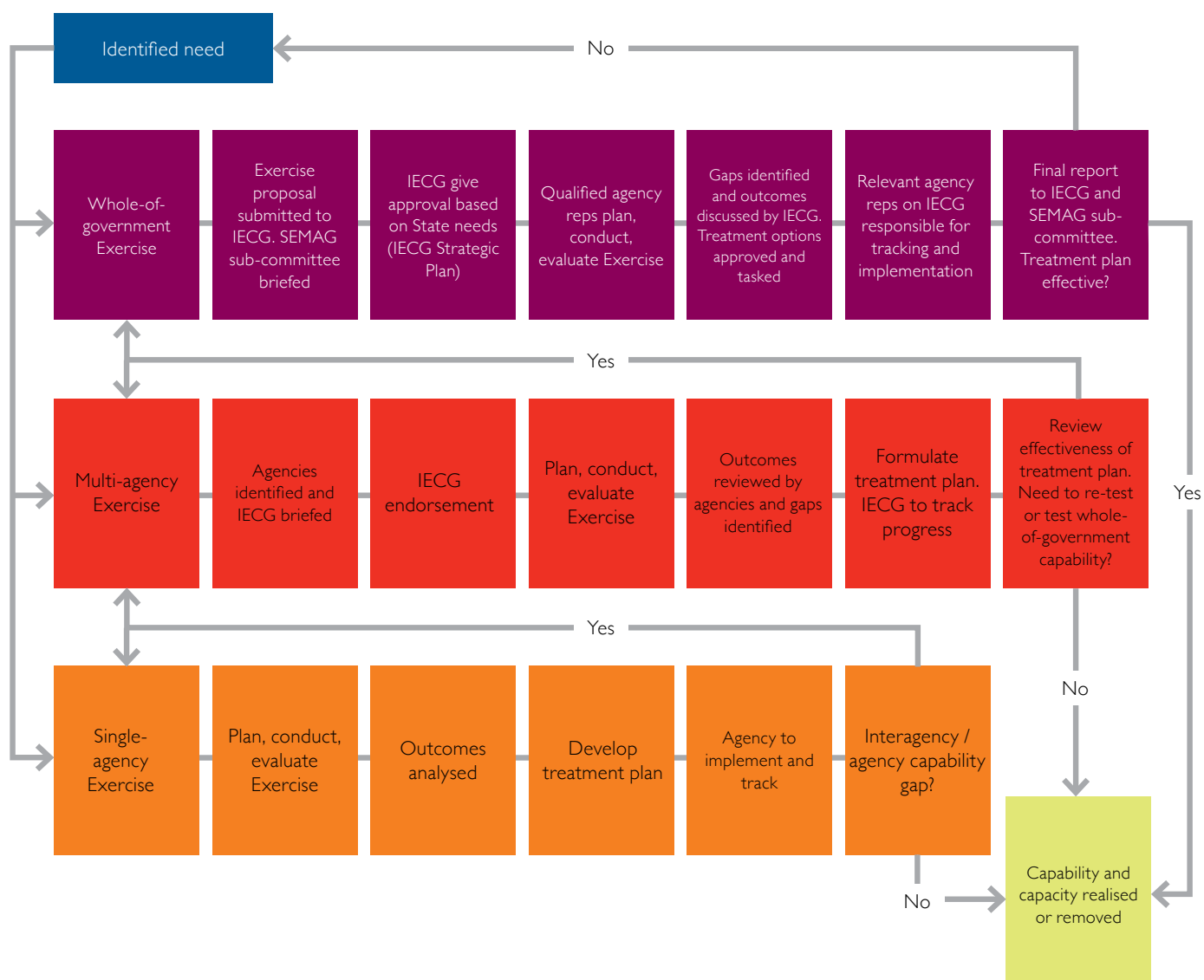
This approach ensures there is:

- a needs-based and objective-driven State-level approach to multi-agency Exercises
- an effective evaluation of performance and identification of capability gaps.

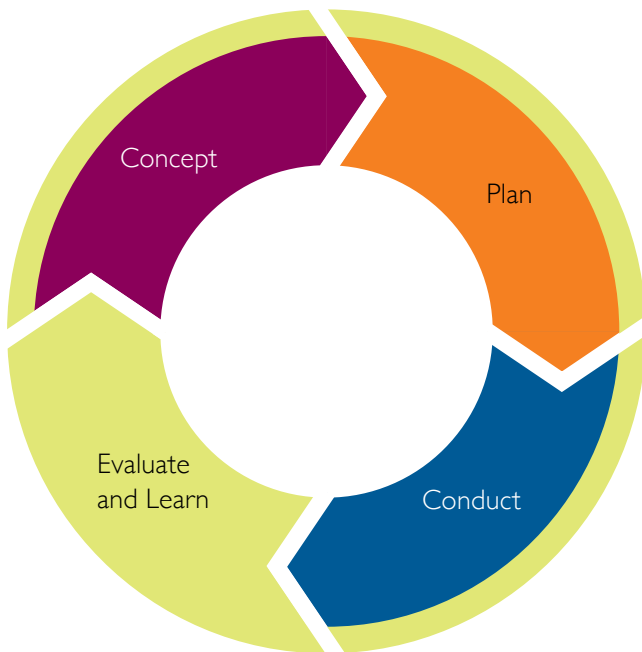
If you are running an Exercise, you should be aware of who your agency representative on the IECG is.

By engaging with the IECG and agency-specific appointed officials routinely, you will ensure your Exercise has the support necessary to succeed.

Figure 1: Preferred Tasmanian Government process for different levels of Exercise



## The Exercise management model



**Figure 2: Exercise management model**

The Exercise management model outlined in Figure 2 highlights the four phases of Exercise management. It highlights the importance of planning for your evaluation throughout the process. This handbook outlines the steps required in each phase to ensure your Exercise is effective and successful.

Regardless of the size of an Exercise, following these steps will help you to take a structured approach to conceptualising, planning, conducting and evaluating your Exercise. The level of detail in each stage can be scaled according to the needs of the particular Exercise.



# I Phase I Concept

# Phase I. Concept

In this section you will understand the steps to:

- ☒ identify and analyse the need for an Exercise
- ☒ clarify the Exercise Director
- ☒ seek input from others
- ☒ develop an Exercise Proposal

## I.1 Identify and analyse the need

The first phase of Exercise management is determining whether there is a need for an Exercise and developing a proposal to seek authority to proceed.

There are several ways the need for an Exercise might be identified, such as:

- a review of agency policies and procedures
- observations of agency operations
- changes to arrangements, policies or plans
- new equipment, procedures or practices
- identified gaps in the skills and capability of personnel
- legislative or regulatory requirements
- lessons learned during a previous Exercise evaluation.

An Exercise may also be deemed necessary by the Interagency Exercise Coordination Group (IECG) through its Strategic Exercise Plan or as an outcome of IECG meetings.



**An important step in starting any new Exercise is to determine whether it is necessary to test any lessons learned from previous Exercises. In other words, to assess whether treatment options implemented as a result of the last Exercise were successful. This aspect of Exercise planning is a critical part of continuous improvement of an agency's capability. These lessons will be found in previous Exercise Evaluation Reports.**

Once a need has been identified, look at it carefully to determine if an Exercise is the most effective and efficient way to meet that need. It may be that there are other more appropriate solutions such as training, education or developing and communicating a new procedure.

When considering if an Exercise is the best solution, some factors to consider include:

- the cost of running the Exercise
- the timing and size
- the logistics (including location, infrastructure, and impact of the weather)
- the resource implications and availability of relevant personnel
- any administrative arrangements
- legislative requirements.

You should also check whether a similar Exercise has been run in the past by your agency or by another, and review the Exercise Evaluation Report for any lessons learned before you start. The Interagency Exercise Coordination Group (IECG) can be a good source of this information.

## 1.2 Clarify the Exercise Director

Exercise Directors provide strategic oversight and direction on the planning, conduct and evaluation of the Exercise. They are responsible for approving the Exercise Proposal and all other supporting documentation during the Exercise.

In most cases the Exercise Director will represent the sponsoring agency, that is the agency that will have the lead in supporting, conducting and/or financing the Exercise.

There may be more than one Exercise Director for multi-agency Exercises, as each of the major participants will often provide their own Exercise Director for strategic advice and authority.

Exercise Directors provide the authority to conduct the Exercise; however, they do not have a hands-on role in the planning or conduct phases and will appoint others to take on specific roles during the concept development, planning, conduct and evaluation of an Exercise.

The Exercise Director may have already been appointed and may have tasked you with developing the Exercise. Or you may need to clarify who the Exercise Director is that you will be reporting to.

The Exercise Director will be ultimately in charge of the Exercise and provide the IECG with the final Exercise Evaluation Report.



## I.3 Seek input from others

Talking to others about the Exercise need will help to clarify the concept and provide input that will assist in developing the Exercise Proposal.

For larger Exercises, it may be useful to convene a meeting of relevant people to help you.



**A Concept Development Meeting Agenda template is provided at Template I.1 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## I.4 Develop an Exercise Proposal

Once you have decided on an Exercise, you will need to develop an Exercise Proposal. This gives a broad overview of what is to be achieved and how. It provides a conceptual framework around the planning of an Exercise, as well as background information, objectives, governance structure, an overview of the scenario and key participating agencies. It may also be used to gain funding to run an Exercise.

Once approved by the Exercise Director, the Exercise Proposal provides the authority to formally begin planning activities.

The Exercise Proposal should include:

- a summary of the proposal including the title, lead agency and sponsor, costings and contact details
- information about the capability gap including the Exercise need (based on your findings from identifying and analysing the need), a gap analysis and the expected outcomes
- a summary of the proposed Exercise Plan including
  - Exercise aim
  - Exercise objectives
  - Exercise scope
  - Exercise type
  - governance
  - participating areas and stakeholders
  - Exercise schedule
  - resources required
  - risk management
  - work health and safety
  - proposed budget
- an evaluation strategy and reporting schedule.



**An Exercise Proposal template is provided at Template 1.2 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



**A detailed example of a completed Exercise Proposal is included with the electronic version of this handbook.**

## Exercise aim

The Exercise aim states what you intend to achieve by undertaking the Exercise.

The aim should be presented as a simple statement; it can be as generic or as specific as required to meet the needs of the Exercise.

There should be only one Exercise aim – you will be able to outline more detail when you prepare the Exercise objectives.

The Exercise aim should be an action (use words like 'produce', 'test', 'assess'), be positive, clear, concise and achievable, and should provide context (such as 'in accordance with standard operating procedures').

The following table outlines some verbs that are commonly used when writing an Exercise aim.

Verb	Definition/Application
Test	to evaluate the abilities, aptitudes, skills or performance of a capability or aspects of that capability in addressing a task or a challenge or combination of both
Assess	to determine the value, significance or extent of, or to appraise a capability, plan, process or procedure
Practise	to improve a capability's performance
Develop	to grow into a more mature or advanced state a capability, plan, process, or procedure
Review	to exercise in the context of going over a plan, process, or procedure with a view to improve it, or ensuring that it is contemporary best practice
Explore	to examine the potential of a capability, plan, process or procedure
Validate	to establish the soundness of, or to corroborate a plan, process or procedure
Demonstrate	to display or exhibit the operation or use of a capability, resource, process or procedure.



#### Example of an Exercise aim for a small Exercise:

*To practise the response of the Tasmania Fire Service and stakeholders in a simulated, bulk fuel spill and fire at Self's Point Fuel Distribution Terminal.*

## Exercise objectives

Exercise objectives are specific statements describing what individuals, groups or agencies participating in the Exercise will achieve. While there should only be one Exercise aim, you can have many Exercise objectives.

Exercise objectives:

- must be agreed on very early in the concept development phase
- must be clear and concise
- should be simple and written in commonly understood language
- should be measurable and avoid words such as 'timely', 'effective' and 'efficient' (unless these terms can be quantified and measured).

It is recommended that you follow the SMART approach to developing Exercise objectives.

**Exercise objectives should be:**

Specific	clear and unambiguous and state <i>exactly</i> what is expected
Measurable	clear about what is being measured
Achievable	realistic and attainable within the parameters imposed by the Exercise
Relevant	relevant to the Exercise aim and the needs of participants
Task-related	based around activities that can be performed by Exercise participants and observed by Exercise Control (EXCON) staff, so that progress can be made towards achieving the objective being measured.

The extent to which the Exercise achieves these objectives will be measured throughout the Exercise and reported on in the Exercise Evaluation Report at the end of the process.

Being clear from the start about what is being measured will:

- help the planning team design the detail of the Exercise
- assist facilitators to guide participants during the Exercise
- help evaluators to measure performance during the Exercise.

Involving evaluators early can help ensure that the Exercise objectives are appropriate and that they can be measured. Breaking objectives down into smaller component sub-objectives can also help evaluators understand the focus areas for evaluation.

Ideally there should be performance measures or standards in place as part of existing operating procedures, or that are to be developed before the Exercise is conducted.

These standards provide evaluators with a benchmark against which to assess performance, and are used to quantify the Exercise objectives to reflect aspects of the task that are critical to successful performance. These aspects will determine what evaluators will measure and use as evidence to support their conclusions about performance during the activity.



**It is recommended that you refer to *Phase 4—Evaluate and Learn* of this handbook before finalising your Exercise objectives to ensure that you understand the evaluation process and can plan with this in mind.**

**S****Example of Exercise objectives for a small Exercise:**

1. *To assess the effectiveness of the Caltex Hobart Terminal Self's Point Response Plan.*
2. *To practise and assess the response of Tasmania Fire Service (TFS) to a large flammable liquid fuel leak and fire.*
3. *To practise the mobilisation and demobilisation of the TFS Portable On-Demand Foam System (PODS) from Cambridge.*
4. *To practise initial response arrangements at a significant incident, and management of the incident pending the arrival of a TFS District Officer.*

**Exercise scope**

The Exercise scope describes the boundaries in which the Exercise will be conducted so you know what is and isn't included. Defining the scope makes it easier to avoid 'scope creep' (doing more than you planned to).

The Exercise scope should:

- be broad enough to achieve the Exercise objectives
- consider the level of commitment of key participating agencies, including any private sector parties involved
- not be beyond the capability of participants (the aim is to test but not to break)
- consider the level of involvement of participants (first response only, up to an incident control centre, or district/regional or state coordination centre).

**S****Example of Exercise scope for a small Exercise:**

*Transfundo will include participation from Tasmania Fire Service (TFS), Caltex and stakeholders occupying the Self's Point precinct. This Exercise will aim to practise and assess TFS response to a fuel spill and subsequent bund fire. The Exercise will be tailored to address specific agency needs relating to response capability. It will allow concentration on priority areas relating to overall deployment of resources and the operational process of dealing with the situation.*

*Response by other partner agencies in support of the incident will be notional and out of scope of this Exercise.*

**Exercise type**

At this stage you do not need to provide great detail about the Exercise. However, your Exercise Proposal should state the type of Exercise, that is whether it is a discussion, functional or field Exercise and a brief summary of what is intended.

For more information see *Choose an Exercise type* on page 32 of Phase 2.

**S****Example of an Exercise type for a small Exercise:**

*Field Exercise: The Exercise will require a response to the site of a simulated fuel spill and fire. The fire will be notional.*

## Governance

Your proposal should outline the governance structure for your Exercise.

This should include:

- the names of the Exercise Director/s
- details of the Exercise Planning Team (or teams).

For a large Exercise, you should also include an outline of the proposed governance arrangements for the conduct phase if known.

For more information on governance see *Appoint an Exercise Planning Team* on page 24 of Phase 2.

**S****Example of Exercise governance for a small Exercise:**

<i>TFS Chief Officer</i>	<i>Exercise Sponsor</i>
<i>District Officer Planning and Capability</i>	<i>Exercise Director</i>
<i>District Officer Hobart Operation/ HAZMAT Working Group</i>	<i>Exercise Steering Committee/Planning Team</i>

## Participating areas and stakeholders

Your Exercise Proposal should include the names of any other participating areas, such as other government agencies or other business units within your own agency.

It should also outline the key stakeholders who will be involved in, or affected by, the Exercise.

## Exercise schedule

Your Exercise Proposal should include a summary of the Exercise schedule, noting that the detailed planning has not yet occurred. This should include the proposed dates to hold the Exercise.

## Resources required

Your proposal should include a summary of the key resources required to conduct the Exercise. This could include people, equipment and venues.

## Risk management

A detailed risk management process will occur during the planning process, but your Exercise Proposal should include a summary of the key risks and the mitigation processes that will be in place to manage them.

## Work health and safety

Outline any arrangements that will be made to manage work health and safety issues that arise during the Exercise.

## Proposed budget

Provide an indication of the budget required to plan, conduct and evaluate the Exercise. This should include venues, travel and administration, any training required and involvement of specialised expertise.

## Evaluation strategy and reporting schedule

Your Exercise Proposal should outline what you will be measuring in the Exercise and how.

Section 2.4—Plan your Exercise evaluation on page 37 provides detail about planning an Exercise evaluation.

### S

#### **Example of an evaluation strategy for a small Exercise:**

*All Exercise activities will be subjected to evaluation using the Tasmanian Exercise Framework Evaluation Methodology. The evaluation will be conducted using TFS evaluators. The Evaluation Team will be responsible for the planning, conduct and reporting of all evaluations.*

*At the completion of the Exercise activities, a formal debrief will be conducted to identify key issues, insights, gaps and potential treatment options. The outcomes will feed into the Exercise Evaluation Report.*

*At the completion of the Exercise activities, an Exercise Evaluation Report will be drafted that will include a summary of any key issues/gaps/insights identified during the Exercise. The report will go through a validation/resolution process at an agency level. The final report will be submitted to the Exercise Director and the TFS representative on the Interagency Exercise Coordination Group for consideration.*

*Follow-up action will be taken as appropriate in line with the Tasmanian Exercise Framework's Evaluation Findings Resolution Process.*



**It is strongly recommended that you read Phase 4—Evaluate and Learn of this handbook before you develop your evaluation strategy as you will need to consider evaluation throughout the whole Exercise management cycle.**



## 2 Phase 2 Plan



# Phase 2. Plan

In this section you will understand the steps to:

- ☒ appoint an Exercise Planning Team
- ☒ conduct Exercise planning meetings
- ☒ plan and design the Exercise
- ☒ plan your Exercise evaluation
- ☒ prepare Exercise planning documents

## 2.1 Appoint an Exercise Planning Team

The role of an Exercise Planning Team is to plan and design the Exercise. As you should now already have an approved Exercise Proposal (developed in Phase 1), you already have a general idea of the size and complexity of the Exercise you plan to undertake.

The Exercise Planning Team is not necessarily the same as the team who will conduct the Exercise (the Exercise Control or 'EXCON' Team) but typically there will be several people who are in both teams.

### Exercise Planning Team structure

The size and composition of the Exercise Planning Team will vary with the size, type and complexity of the planned Exercise. In a large Exercise there may be a number of sub-teams working on specific functions, while in smaller Exercises a small team might perform several functions, or one person might manage the whole process. Regardless, it is important to consider the functions of each role and ensure that relevant issues are considered in the planning.

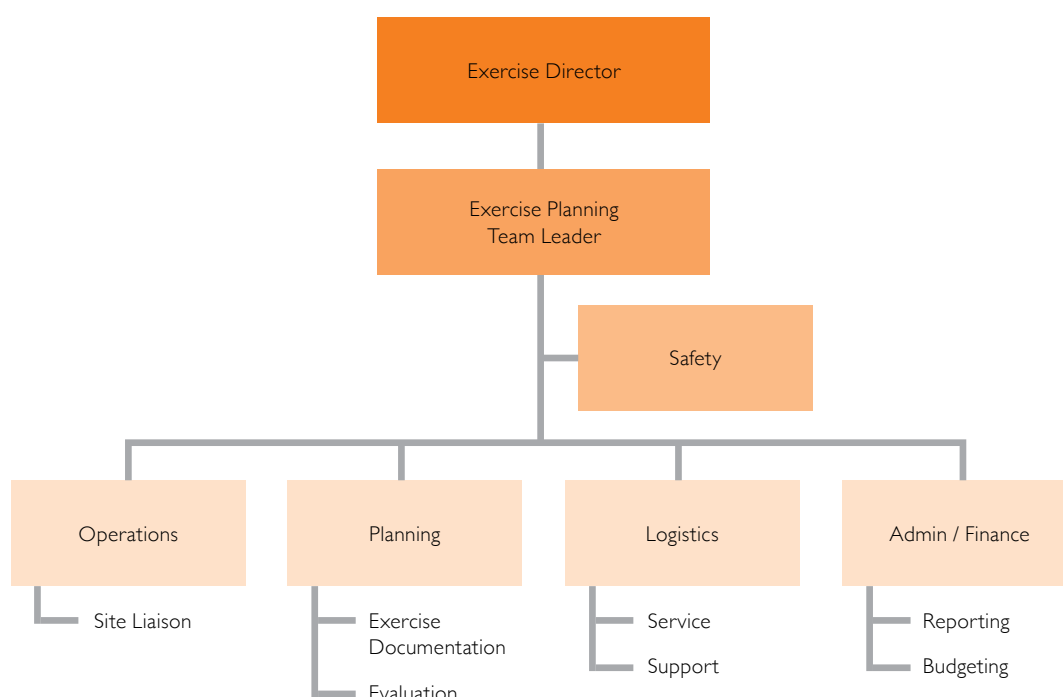
A small Exercise usually involves one agency with a focus on a single, specific operation or function. The type and complexity of the Exercise will dictate the size of the planning team.

Large Exercises usually involve personnel across several agencies, so the Planning Team will be much bigger and typically contains sub-teams with specific functions. The Planning Team for large Exercises is made up of those directly involved in planning the Exercise and should include representation from all participating agencies.

Members of the Exercise Planning Team will develop the Exercise Plan and the supporting documents that sit beneath it as they plan the Exercise.

The Exercise Planning Team will also appoint the EXCON Team, that is the team who will be involved in conducting the Exercise (see *Phase 3*). The Exercise Planning Team will usually include members of the EXCON Team.

Figure 3 outlines the typical structure of an Exercise Planning Team and the functions that need to be covered in the team. However, in a very small Exercise one person may perform several functions. Additionally, as the Exercise grows in complexity, more than one person may be involved in each function.



**Figure 3: Sample Exercise Planning Team structure**

### Exercise Director(s)

If you followed Phase 1 of this handbook, you have already determined who the Exercise Director (or more than one for a large Exercise) is who will provide strategic oversight and direction on the planning, conduct and evaluation of the Exercise.

The Exercise Director will usually have a role in appointing the Exercise Planning Team Leader and Exercise Planning Team.

### Exercise Planning Team Leader

The Exercise Planning Team Leader assigns Exercise activities and responsibilities, provides guidance, establishes timelines, and monitors the development process.

In a small Exercise, the role of Exercise Planning Team Leader might be taken on by the Exercise Director, or they may appoint someone who has a good understanding of conducting and evaluating an Exercise.

The Planning Team Leader role is typically taken on by the person who will be the Exercise Controller during the conduct phase.

## Safety Team

The Safety Team (or Safety Coordinator) is responsible for developing the Risk Management Plan. Taking a systematic risk management approach throughout the Exercise will reduce the degree of uncertainty and increase decision-making accuracy and the likelihood of positive outcomes.

As part of the risk management process, the Exercise team should consider risks that may occur during the conduct phase (such as urgent duty driving or the safety of venues) as well as risks to the Exercise itself (such as the impact of a real event arising on the day), the risk of contravening workplace health and safety or industrial relations regulations.

Other safety considerations include:

- Has a risk management plan been prepared and hazard control options initiated?
- Is everyone trained to undertake their task during the Exercise?
- Has everyone been briefed about the safety requirements of the Exercise?
- Are there any standard operating procedures required for the Exercise and have they been prepared?
- Are Safety Officers required to monitor the Exercise?
- What contingency plans are in place?

Outputs from the Safety Team may include:

- a Risk Management Plan.

See 2.5—*Prepare Exercise planning documents* on page 40 of this handbook.

## Operations Team

Your team should include staff who can provide operations expertise, that is have input into the technical and functional aspects of the Exercise to enable the scenario to be properly developed, rolled out and evaluated. This means developing all of the operational documents necessary for conducting the Exercise.

The Operations Team will also need to secure a venue for the Exercise that is appropriate to its size and type. They should consider availability and suitability when choosing a venue and take the following factors into account:

- work health and safety
- visibility of Exercise activities to the public/media
- realism
- vulnerability to damage
- rehabilitation issues
- access
- available services (for example, power).

The team should conduct a site inspection before the Exercise. A professional assessment/inspection may be required to assess a venue's suitability or risk, and a contingency plan may be required in case a venue becomes unavailable.

When a field Exercise is being conducted at a venue, it is vital to ensure that arrangements are in place in relation to legal indemnities or any damages that occur.

Outputs from the Operations Team include key operational documents such as the:

- Master Schedule of Events
- Exercise Control Instructions
- Exercise Control Documents
- Exercise Inputs.

See 2.5 – Prepare Exercise planning documents on page 40 of this handbook.

### **Planning Team**

The Planning Team is responsible for compiling and coordinating all Exercise documentation and collecting and reviewing policies, plans, and procedures that will be assessed in the Exercise. The team also plans and coordinates all aspects of the Exercise evaluation and writes the Exercise Evaluation Report.

This team is also responsible for identifying evaluation roles and requirements during the planning process, and ensuring that team members involved in this have the relevant subject-matter expertise.

The Planning Team also develops the communication plans for the planning phase, as well as for the Exercise itself. This includes developing real and pseudo media strategies.

**Real media** refers to media and public information strategies throughout the planning and conduct phases of the Exercise, such as:

- briefing government, industry partners and stakeholders
- developing a public information strategy that outlines strategies to identify and inform residents and businesses close to the Exercise site who could be concerned or alarmed by the activities, or whose day-to-day activities could be interrupted.

Depending on the Exercise aim and objectives, Exercises can benefit from community involvement. Exercise planners should consider whether it is appropriate to include the community in the actual conduct of the Exercise. Local involvement (such as in a community evacuation Exercise) promotes resilience in the community by raising awareness of local plans and encouraging preparedness. Community members or representatives can be involved throughout the Exercise management process and can provide invaluable advice about possible Exercise needs that exist or plans that the community would like to practise or test.

The Planning Team should also involve community stakeholders during planning wherever the Exercise might disrupt normal community activities. It is important in the planning phase to identify all messages early and ensure they are clear and consistent. As a minimum, the local community needs to be engaged so it understands and is aware of any impact or disruption the Exercise may cause.

**Pseudo media** refers to the simulated media required for the Exercise, that is the media activity that would be required if the Exercise were real. Pseudo media can add realism and pressure to Exercise scenarios and may include pre-prepared news reports, as well as live footage or online reporting.

Members of the team may also be part of the EXCON Team during the conduct phase to manage any media issues that arise during the Exercise.

Outputs from the Planning Team may include:

- an Exercise Plan and other planning documents (including collating documents prepared by other teams)
- an Exercise Evaluation Plan including
  - appointing an Evaluation Team
  - evaluator data collection plans and tools
  - evaluator briefings
  - evaluator report templates
- role player appointment and briefing
- communication plans (internal and external) and supporting documents (such as media strategies and media releases for real media and pseudo media activity).

See 2.5—*Prepare Exercise planning documents* on page 40 of this handbook.

## **Logistics Team**

The Logistics Team is responsible for identifying, sourcing, setting up, maintaining and repatriating the physical resources and services required to conduct the Exercise. This can include services such as transportation, barricading, signage, catering, real-life medical capability, and Exercise security. Other support services might be communications, purchasing, general supplies, managing observers, and recruiting and managing role players.

A member of the team should be appointed as Logistics Officer in the EXCON Team during the Exercise (see *Phase 3—Conduct*).

The Logistics Team is also responsible for coordinating any observers of the Exercise, including VIPs. This involves balancing expectations, Exercise requirements, agency interests, safety and security restrictions and available resources. Some of these activities include:

- arranging transport and accommodation
- managing cultural and protocol issues
- receiving visiting personnel
- organising social and after-hours activities
- catering.

### **Administration/Finance**

The team also requires someone who can provide administration and financial management support while planning and developing the Exercise. This could include identifying the need for legal advice in relation to the Exercise such as:

- contingent liability
- applicable legislative issues
- liaison on legal issues related to the Exercise.

All stakeholders should also have a clear understanding of the financial arrangements in place for the Exercise, including:

- management of any Exercise budget
- guidelines for Exercise expenditure
- approval and payment of any overtime
- responsibility for the rehabilitation of damaged facilities
- how the budget will be reported.

## **2.2 Hold Exercise planning meetings**

Larger Exercises should have at least three meetings during the planning phase:

- an initial planning meeting
- mid-planning meeting(s) and
- a final planning meeting.

Meetings should be scheduled in advance, compulsory to attend, minuted, and should include an action list to ensure identified activities are completed on time.

Planning meetings are more effective when stakeholders ensure the same representatives attend throughout the planning phase.

Specialist working groups or teams may need to meet separately and more often to work on specific tasks or functions.

### **Initial planning meeting**

The initial planning meeting is the most important of the planning meetings: it produces broad agreement on the Exercise framework, allowing further planning towards conducting the Exercise.

The Exercise Proposal should be used as the basis for discussions, and as many stakeholders as practicable should be included in this process.

The outcomes of the initial planning meeting should be:

- broad agreement on the scope and purpose of the Exercise, including the General Idea and Special Idea (see *Develop the Exercise scenario* on page 34)
- sufficient guidance and agreement to enable the Exercise Plan to be developed
- Planning Teams/Coordinators tasked to develop documentation associated with the Exercise.



**For a small Exercise, you may only need an initial planning meeting.**



**For a large Exercise, the initial planning meeting may be a conference that extends over a number of days and involves sub-teams breaking away to meet separately.**



**An Initial Planning Meeting Agenda template is provided at Template 2.1 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Mid-planning meetings

The purpose of mid-planning (or ongoing) meetings is to design the Exercise, discuss and refine Exercise management arrangements and review the status of the Exercise planning.

These meetings also allow any issues that arise to be identified and managed.

Depending on the complexity of the Exercise, it may be necessary to conduct several ongoing planning meetings.



**A Mid-planning Meeting Agenda template is provided at Template 2.2 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Final planning meeting

The final planning meeting allows for review of all Exercise planning and lets you confirm that planning is complete and all arrangements are in place for participants, Exercise staff and logistics.

At this point, the Exercise scenario and all documents should be validated by conducting a trial run of all or part of your Exercise.

Avoid introducing any new planning detail at this stage. The meeting should identify any outstanding issues and allocate responsibility for their resolution.

The final planning meeting should be held a number of weeks before the Exercise and preferably before related activities (such as workshops or training) begin that brief or involve participants.



**A Final Planning Meeting Agenda template is provided at Template 2.3 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



## 2.3 Plan and design the Exercise

Part of the planning phase includes designing the detail of the Exercise, including:

- the Exercise type
- the Exercise scenario
- the 'General Idea' (broad background information issued in advance of the Exercise)
- the 'Special Idea' (the information used to drive the Exercise on the day).

This information is collated in the Exercise Plan.

### Choose an Exercise type

Exercises can be simple or complex. They might involve a small team practising a relatively simple drill, or a range of organisations simulating a major emergency. There are three main Exercise types:

	Discussion	Functional	Field
<b>Exercise format</b>	<ul style="list-style-type: none"> <li>• Seminar</li> <li>• Agency presentation</li> <li>• Hypothetical</li> <li>• Syndicate progressive</li> <li>• Red teaming</li> </ul>	<ul style="list-style-type: none"> <li>• Related to discussion Exercises, but take place in an operational environment and require participants to perform the functions of their roles</li> </ul>	<ul style="list-style-type: none"> <li>• Simulates an incident as realistically as possible. Event communicated to responders in the same way as a real event</li> <li>• Personnel responding to the scene of the incident proceed to the scene where they see a mock emergency (e.g. plane/ rail crash with victims)</li> <li>• Actions at the scene serve as an input to the simulation taking place at interagency coordination centres</li> </ul>
<b>Exercise purpose</b>	<ul style="list-style-type: none"> <li>• To familiarise (new) personnel with (new) procedures</li> <li>• To share resources and procedural information</li> <li>• To build networks and develop a shared understanding of different agency capabilities and approaches</li> </ul>	<ul style="list-style-type: none"> <li>• To test or practise a particular function, e.g. managing an incident or emergency in an Incident Management Team using maps and notional resources</li> <li>• To conduct functions within the environment as if a real event were happening outside</li> </ul>	<ul style="list-style-type: none"> <li>• To provide the ultimate testing of functions which, because of the expense involved, should be reserved for the highest priority hazards and functions</li> </ul>

	Discussion	Functional	Field
<b>Exercise purpose (cont.)</b>	<ul style="list-style-type: none"> <li>To make a presentation to an audience</li> <li>To examine strategic, political or complex issues</li> <li>To identify alternative solutions to a common problem</li> <li>To explore the consequences of player decisions and actions (red teaming)</li> </ul>	<ul style="list-style-type: none"> <li>To test procedures as a prerequisite to a field Exercise</li> </ul>	
<b>Led by</b>	<ul style="list-style-type: none"> <li>Experienced facilitator, who presents information and guides discussions</li> </ul>	<ul style="list-style-type: none"> <li>Exercise Director, umpires, observers, role players/simulators</li> </ul>	<ul style="list-style-type: none"> <li>Exercise Director, umpires, observers, simulators/role players</li> </ul>
<b>Players required</b>	<ul style="list-style-type: none"> <li>Those who will be required to respond to the situation/emergency</li> <li>Representatives from various functions/levels within the agency</li> </ul>	<ul style="list-style-type: none"> <li>Number and type depends on the functions/agencies being tested</li> </ul>	<ul style="list-style-type: none"> <li>Number and type depends on the functions/agencies being tested</li> </ul>
<b>Facilities required</b>	<ul style="list-style-type: none"> <li>Conference room (laid out to promote discussion and eye contact between teams/groups)</li> <li>Audio/visual presentation equipment</li> </ul>	<ul style="list-style-type: none"> <li>Coordination centres</li> <li>Separate areas/rooms required for simulators/role players</li> <li>Equipment such as telephones, radios, email, television, maps etc. to achieve realism</li> </ul>	<ul style="list-style-type: none"> <li>Event unfolds in a realistic setting (e.g. rail crash on rail line)</li> <li>Coordination centres</li> <li>Separate areas/rooms for simulators/role players</li> </ul>
<b>Duration</b>	<ul style="list-style-type: none"> <li>1–2 hours to a full day or more</li> </ul>	<ul style="list-style-type: none"> <li>4–6 hours to a full day</li> </ul>	<ul style="list-style-type: none"> <li>4–6 hours to a full day or more</li> </ul>
<b>Planning required</b>	<ul style="list-style-type: none"> <li>Simple to prepare (2 weeks is usually enough, though multi-agency Exercises may take months)</li> <li>Participants need no previous training</li> </ul>	<ul style="list-style-type: none"> <li>Plan about 6 months in advance because participants and directing staff require training; and it may require significant allocation of resources and a major commitment of personnel</li> </ul>	<ul style="list-style-type: none"> <li>Plan at least one year in advance. Should follow relevant discussion Exercises and functional Exercises</li> <li>Requires extensive investment of time, effort, resources and finance</li> </ul>



### **Red Teaming: a new approach**

*Red teaming Exercises are scenario-driven, facilitated discussions between participants. A team of subject-matter experts (the red team) is located in another room and provide their responses through facilitator/s. The aim is to challenge the participants' responses to highlight gaps and identify areas for improvement. For more information refer to Template 2.5 – Red Teaming Guidelines in the Templates and Resources section.*

You should choose the type of Exercise that will best meet your Exercise aim and objectives. The Exercise Planning Team does not have to choose just one type of Exercise – a progressive Exercise program (one that becomes more complex as you complete it) can be very useful, as can different types of Exercise (for example, using meetings, field Exercises and real-life scenarios in a series or combination) to increase participant learning.

Consider the following when choosing your Exercise type:

- the skills or experience of the Exercise Planning Team and EXCON Team
- training needs
- commitment of key staff
- venue availability
- participant availability
- other commitments
- lead time
- time available to conduct the Exercise
- available resources and budget
- any associated risks.

## **Develop the Exercise scenario**

### **General Idea**

The General Idea is a broad statement of background information designed to provide Exercise participants with the knowledge that would be available during a real incident or emergency. It may also give detailed information about specific industries, local events or background information on particular hazards (such as chemicals or seasonal threats).

The General Idea is usually issued to participating agencies or personnel well in advance as part of Exercise briefings.



### Example of a General Idea

*Airport X is located 15km from the CBD and services a population of 100,000 people with commercial domestic passenger, freight and private aircraft flying to and from mainland Australia.*

*The airport facilitates 10 flights a day between the hours of 6 am and 10 pm.*

*Commercial domestic aircraft are Boeing 737-800 aircraft capable of carrying 164 passengers. Private aircraft range from single-engine aircraft to twin-engine executive jets.*

*The airport has one fire and rescue appliance with a crew of five personnel on duty during its operating hours. This crew is supported by three adjacent volunteer fire brigades.*

## Special Ideas

Special Ideas are used to drive the Exercise. They provide realistic problems, incidents or information for participants to react to as they would on the job.

They are fed into the Exercise as it unfolds and are also referred to as 'injects'. Personnel with specific roles are issued with Special Ideas at predetermined times to control the flow of events.

Special Ideas are used to:

- progressively develop the Exercise scenario
- provide additional information to participants
- pose problems for participants to solve
- place limits on participants' actions
- force action by participants.



### Example of a Special Idea

*At 0625hrs an incoming Boeing 737-800 freighter with a crew of three and cargo of general freight reports an engine fire and hydraulic system failure – its ETA is 0650.*

*At 0655 aircraft touches down with a fire in its port-side engine; it overshoots the runway and crashes into trees beyond the airport's southern boundary.*

*At 0710 crew manages to evacuate the aircraft.*

*At 0712 hot brakes ignite spilt fuel and fire impinges aircraft fuselage.*

### Further developing the scenario

The scenario is further developed and documented through inputs and activities that are built into the Exercise planning documents. See *detailed scenario documentation* in 2.5—*Prepare Exercise planning documents* on page 45.

### Exercise Writing Teams

Larger Exercises may require a team who is in charge of writing the Exercise. The role of the Exercise Writing Team is to ensure the information provided for the Exercise is realistic and accurate.

An Exercise Writing Team may have only two or three people for a small Exercise, or many for a large Exercise. The team should include subject-matter experts to ensure the information used in the scenario is accurate, realistic and able to be understood by others.

An Exercise Writing Team should have appropriate writing skills, along with an understanding of the aims and objectives of the Exercise, to be able to develop the scenario and communicate in a way that those involved in the Exercise can understand.

Very large Exercises may require more specific expertise so you should consider:

- Do they have formal training in writing Exercises?
- Do they have relevant skills and experience in the subject area for which they will be writing Exercise problems?

To ensure continuity throughout the Exercise, members of the Exercise Writing Team(s) should be appointed to roles in the Exercise Control (EXCON) Team during the conduct of the Exercise.

#### S

#### For a small Exercise the Writing Team may:

- *be drawn from existing planning staff*
- *comprise only a few people*

#### L

#### For a large Exercise the Writing Team may:

- *be drawn from several agencies and/or locations*
- *include many people from within an agency or across agencies*

## Selecting role players

Using people to role play disaster victims or other roles can add realism to an Exercise. However, it does add an extra element of risk that needs to be managed.

When selecting people to role play, consider the following:

- Some individuals may react adversely to receiving moulage (using make-up to simulate injuries) and being placed in a scenario that might cause them to recall painful experiences. Exercise managers should ensure appropriate debriefing and psychological First Aid is available, if required.
- Role players should fully understand the nature of the required role.
- Role players should not have experienced a major incident in the past that is still a sensitive issue for them.
- Role players should not have any existing conditions that may affect their role in the Exercise, for example, pregnancy or medical conditions such as asthma, epilepsy, blood pressure anomalies, cardiac conditions, back problems, sensitive skin or claustrophobia.
- Role players should not be on medication that might affect their role.
- Use of minors in an Exercise has legal ramifications, including consent, and is not recommended. Children are also more likely to act outside their role.

Exercise planners should also consider if there are any work health and safety requirements or other such legislation that affects using role players and the extent of their duty of care that applies. They should also seek advice about issues such as insurance coverage.

## 2.4 Plan your Exercise evaluation

### Why evaluate?

Planning your evaluation is a critical part of the planning process and will enable you to effectively evaluate:

- the Exercise itself and the extent to which it achieved its objectives
- the conduct of the Exercise, including what worked and what didn't, so as to identify areas of improvement for running future Exercises.

Planning your Evaluation early on enables you to:

- clarify what you will be evaluating and how you will measure it
- ensure you have measures in place to assess whether your Exercise has met the objectives
- ensure you have people in place to observe and assess everything you want to measure
- appoint evaluators who are skilled to assess their particular areas
- brief your evaluators on what is required of them on the day.



**It is recommended that you review the *Phase 4—Evaluate and Learn* section of this handbook as part of the planning process.**

## Develop an Evaluation Plan

The Evaluation Plan outlines what the Exercise is evaluating and how it will be evaluated. The plan will detail who your evaluators are and their responsibilities. The plan should be reviewed throughout the planning process and evaluators should be included in this.

For a small Exercise the Exercise Evaluation Plan may be included in the Exercise Plan.

For more information on writing an Evaluation Plan see page 48.

## Identify evaluators

Evaluators need to have appropriate skills and expertise in evaluation. They also need to either have subject-matter expertise or be able to identify requirements for and to manage subject-matter experts to help the evaluation where required. An evaluator may also be called on to provide impartial and supportive guidance. The role of evaluator is not meant to be adversarial or confrontational.

During Exercises, evaluators will be assigned to observe different activities based on their subject-matter expertise. They may be assigned to look only at individual tasks or capabilities. They may be asked to look at organisations or at particular functions across the Exercise or organisations (e.g. command within an organisation or command, control, coordination, communication and information management across an agency or across multiple agencies). This will affect your choice of evaluators.

## Responsibilities of evaluators

Pre-Exercise	<ul style="list-style-type: none"> <li>• Examine the Exercise aim, objectives and Exercise Control Instructions and documents</li> <li>• Help clarify the objectives, and the measures by which they will be assessed</li> <li>• Identify key and trigger points of the activity</li> <li>• Develop a data collection plan to enable objective reporting on the performance of capabilities against the stated objectives (through demonstrated performance and evidence)</li> </ul>
During the Exercise	<ul style="list-style-type: none"> <li>• Gather evidence to be able to demonstrate/report on performance within the specific capability</li> <li>• Participate in scheduled meetings/briefings as required</li> <li>• Act as a forward observer for EXCON staff to report on activities in real time versus Exercise time</li> <li>• Where requested and after consultation with EXCON staff, provide inputs into the Exercise to help it flow</li> <li>• Be contactable</li> <li>• Provide feedback to participants and make clarifying observations (e.g. during the debrief)</li> <li>• Assess situational awareness of participants</li> <li>• Assess flow of information and analyse root cause of problems</li> <li>• Consult with other evaluators about the effect of good or poor performance</li> <li>• Act as Safety Officers during the Exercise</li> </ul>
Post-Exercise	<ul style="list-style-type: none"> <li>• Compile and review the data collected to make comments and recommendations</li> <li>• Analyse and summarise outcomes</li> <li>• Develop treatment options</li> <li>• Identify good as well as poor performance</li> <li>• Articulate findings in the Exercise Evaluation Report</li> </ul>

The focus for evaluators should be reporting against the Exercise objectives, although they may occasionally identify other issues that merit reporting.



## Brief and train evaluators

Evaluators must be briefed and may also need to be trained before the Exercise. Briefing and training should address all aspects of the Exercise, including the Exercise aim and objectives; the scenario; participants; and evaluator roles, responsibilities and assignments. During or before the training, evaluators should be provided with copies of the following materials to review:

- Exercise documents, such as the scenario for discussion-based Exercises, or the Exercise Plan, Evaluation Plan and Master Schedule of Events for functional or field Exercises
- evaluation materials and tools and evaluator assignments
- appropriate plans, policies, procedures, legislation and agreements of the participating organisations.

Any training provided should also address the roles and responsibilities of evaluators during the various stages of an Exercise.

The Exercise Planning Team Leader (or Evaluation Team Leader in a larger Exercise) should brief evaluators to ensure they understand their roles, responsibilities and assignments. For functional and field Exercises, this briefing often includes a tour of the Exercise site, so that evaluators become familiar with the venue and know where they should position themselves to best observe activity.

If an evaluator is from another agency or an external organisation, they must be briefed on jurisdictional and agency variations.

## 2.5 Prepare Exercise planning documents

Documents that need to be developed when planning an Exercise may be just a brief Exercise Plan for a small Exercise, or multiple documents prepared by various sub-teams for a large Exercise. In the latter case the Exercise Plan is the governing document, and the planning sub-team has responsibility for coordinating all of the documents.

### Types of documents

The following are the types of documents that may be required for a large Exercise and the teams responsible for completing them. Templates for these documents are provided in the Templates and Resources section.



#### **A note about confidentiality:**

*Some Exercises may be 'in confidence' or 'secret'. All documents require appropriate classification and should always have 'Exercise use only' watermarked on them to ensure no public alarm is raised if they are accidentally disclosed.*

Type of document	Required for			Distributed to	Prepared by
	Discussion Exercise	Functional Exercise	Field Exercise		
Exercise Plan	✓	✓	✓	Planners, Director	Exercise Controller/ Director/ Planning
Facilitator's Guide	✓			Facilitators	Operations
Participant Handbook		✓	✓	All	Operations
Detailed scenario documentation					
• Master Schedule of Events	✓ <sup>*</sup>	✓	✓	EXCON staff, evaluators and role players	Operations
• Exercise Control Instructions		✓	✓	EXCON staff, evaluators and role players	Operations
• Exercise Control Documents		✓	✓	EXCON staff, evaluators and role players	Operations
• Exercise Input Documents	✓	✓	✓	EXCON staff, evaluators and role players	Operations
Communication Plans and supporting documents		✓	✓	Media outlets, community and EXCON staff	Information
Evaluation Plan	✓	✓	✓	EXCON staff and evaluators	Planning
Evaluation Tools	✓	✓	✓	Evaluators	Planning
Risk Management Plan		✓	✓	All	Safety

\* Optional

## Exercise Plan

An Exercise Plan sets out the Exercise aim (most of which can be taken from the Exercise Proposal developed in Phase 1). It also builds on the detail of the Exercise itself by including information about the Exercise and building on the scenario. It will list the governance arrangements including the names of the Exercise Director and Planning Team members and include a timeline for activities.

### *For a small Exercise*

As the Exercise Plan may be the only document necessary for a small Exercise, it may incorporate some of the other documents such as the Evaluation Plan.



**An Exercise Plan template is provided at Template 2.4 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



**For an example of a completed Exercise Plan for a small Exercise, see Sample 2.1 in the Templates and Resources section of the electronic version of this handbook.**

***For a large Exercise***

The Exercise Plan is the overriding document for a large Exercise, supported by a range of other documents. As well as outlining the key information for the Exercise, the Exercise Plan will list and reference the supporting documents required.



**An Exercise Plan template is provided at Template 2.4 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



**An example of a completed Exercise Plan for a large Exercise is available with the electronic version of this handbook.**

## Facilitator's Guide

A Facilitator's Guide is designed to help a facilitator to manage a discussion-based Exercise. It usually outlines instructions and key issues for discussion during the event, and provides background information to help the facilitator answer questions from participants or players. This guide may also include an evaluation or observation methodology to be used, as well as essential materials required to execute their specific functions.



**A Facilitator's Guide template is provided at Template 2.6 in the Templates and Resources section of this handbook. This template includes useful instructions to help you complete the form.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Participant Handbook

Participant Handbooks are provided to Exercise participants and EXCON staff in advance of the Exercise. While all instructions will contain similar information, they may need to be tailored to their respective audiences. They should provide enough information and be accompanied by any pre-reading that the participants or staff members require to take part in the Exercise.

The Participant Handbook may include:

- joining instructions
- an Exercise overview
- contact information
- the situation (General Idea)
- other relevant information.



**A Participant Handbook template is provided at Template 2.7 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Detailed scenario documentation

The type and size of the Exercise will influence the required level of scenario documentation.

The various scenario documents provide a detailed plan for how the Exercise will unfold, with the Master Schedule of Events as the key document.

Through these documents the Special Ideas (the specific details used to drive the Exercise) will be fed into the Exercise. They provide realistic problems, incidents or information for participants to react to as they would in real life. Some Special Ideas may be provided to participants in advance, while others are released to participants during the Exercise.

Scenario documentation includes the:

- Master Schedule of Events
- Exercise Control Instructions
- Exercise Control Documents
- Exercise Inputs.

Any scenario documentation should be clearly marked as 'Exercise material only'.

### ***Master Schedule of Events***

The Master Schedule of Events is used to:

- detail the sequence of events, particularly on the day of the Exercise
- indicate the timing of each event
- identify who is responsible for tasks
- provide EXCON staff with a 'script'
- provide guidance for the pace and direction of the Exercise.

Managing timing is an integral part of the Master Schedule of Events. Some Exercises require time to be compressed. For example, a flood discussion Exercise might require a period of 48 hours to be compressed into six hours to achieve the outcome required. On the other hand, a field Exercise requiring participants to apply practical skills may need to run in real time (or extended time) to meet its objectives. Varying time must be managed carefully given that, for example, compressing time too much can seriously reduce realism.

To be effective, a Master Schedule of Events should contain:

- a serial number to identify each event, activity or input
- the timing of each event, activity or input
- the intended responder to event
- a short summary of the event (scenario information)
- the desired or expected outcome

- links to relevant Exercise Control Documents (cross referenced by serial number)
- the EXCON member (or functional area) responsible for the input or activity
- a notes section to record completion time or other instructions.

The complexity of the Master Schedule of Events will depend on the size and scale of the Exercise. While a Master Schedule of Events should be prepared for a discussion Exercise, it will be a much simpler document.

The Exercise Controller uses the Master Schedule of Events to control the Exercise while it is happening. They will ensure any problems are rectified and make alternative arrangements to keep the Exercise flowing. The Exercise Controller can modify the flow and progress of the Exercise to ensure the objectives are met. This may require a temporary halt to the Exercise, changes in its direction, speeding it up or slowing it down.

When developing an Exercise, it is important for the planning team to anticipate and analyse the potential range of possible responses to a given activity or input. In some cases, the Master Schedule of Events may need to account for alternative directions the Exercise may take depending on the action taken by participants.



**A Master Schedule of Events template for a small Exercise is provided at Template 2.8 in the Templates and Resources section of this handbook.**



**An interactive version of this template is available with the electronic version of this handbook.**



**A Master Schedule of Events template for a large Exercise is provided at Template 2.9 in the Templates and Resources section of this handbook.**



**An interactive version of this template is available with the electronic version of this handbook.**

### ***Exercise Control Instructions***

Exercise Control Instructions are provided for Exercise Control (EXCON) staff. They provide details surrounding Exercise control and conduct including:

- EXCON staff (appointments and responsibilities)
- EXCON facilities
- Exercise briefings
- time zones
- communication
- media and visitors
- Exercise termination (and exit strategy)
- Exercise facilities (diagrams and equipment details).



**An Exercise Control Instructions template is provided at Template 2.10 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

### ***Exercise Control Documents***

Exercise Control Documents provide any information to participants that may support their decision-making, such as plans, maps and weather forecasts. For example, in a large Exercise testing the responsiveness of emergency services to an aeroplane crash, it could be the number of passengers and detail about the cargo on board the plane, weather conditions, road works information that may affect access or response, or other information that responders may request to help them make decisions.

Exercise Control Documents can also be used to record background information and profiles (such as information on people, businesses or places mentioned in the scenario) that help build context around the Exercise.



**An Exercise Control Document template is provided at Template 2.11 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

### ***Exercise Inputs***

Exercise Inputs are details that will be fed to participants throughout the Exercise. These could be details of messages that will be relayed to participants. For example, in a large Exercise testing the responsiveness of emergency services to an aeroplane crash, it could be the pager message to responders that initiates the Exercise.



**An Exercise Input template is provided at Template 2.12 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



## **Communication Plans**

As part of the Exercise planning process, a number of communication plans may need to be developed by the Exercise Planning Team. They may include:

### ***Planning Groups Communication Plan***

This plan enables effective communication across the planning sub-teams during the planning of the Exercise (such as phone numbers and email).

### ***Exercise Communication Plan***

The Exercise Communication Plan enables effective communication between EXCON staff, Exercise participants and stakeholders (radio channels) during the Exercise.

There will normally be two components to this: one for participants and one for EXCON staff.

You need to plan how EXCON staff will contact one another while the Exercise is being conducted. This is most commonly achieved by using mobile phones and/or a separate radio network (control network). Normal communication protocols are appropriate for the control network.

It is crucial that Exercise staff protocols are identified and agreed to before the day of the Exercise and communicated to all members of EXCON prior to the Exercise beginning. Ideally there should be a phone network uninterrupted by external calls. Receiving other business calls during an Exercise can be extremely distracting and disruptive to the Exercise.

You also need to plan how participants will communicate with one another. This is normally on radio channels monitored by Exercise staff and other agency personnel. To avoid confusion with real events, Exercise messages sent on normal agency communication channels must be prefixed by the word 'Exercise'.

In field and functional Exercises in particular, maintaining a separate communications network between the participants and EXCON needs to be considered. This provides a platform for the managed introduction of Exercise Special Ideas and/or inputs and also serves as a control mechanism for the Exercise Controller.

### ***Media strategy***

A media strategy may include:

- any 'real' public communications required such as a media release to advise residents or businesses that the Exercise is occurring
- any pseudo media strategies required such as a pseudo media release advising the details of the 'emergency' the Exercise is enacting.

## **Evaluation Plan**

The Evaluation Plan outlines what the Exercise is evaluating and how it will be evaluated. This includes:

- the Exercise outcomes – how the Exercise performed against its objectives
- what was learned – and what could be improved for a future Exercise.

An Evaluation Plan should contain:

- Exercise information
- aim, objectives, scope and focus of the evaluation (these may be different from those of the Exercise)
- key evaluation questions
- methods for data collection and analysis
- security, safety and ethics
- risk management strategy
- evaluator preparation – including training and briefings
- reporting requirements
- time frames
- aide-memoires, evaluation tools.



**An Evaluation Plan template is provided at Template 2.13 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Evaluation tools

Evaluation tools are used by the Exercise evaluators to collect information throughout the conduct phase so they can thoroughly evaluate the Exercise. The Evaluation tools are prepared during the planning and design phase and may include various documents, checklists and/or templates provided to participants, facilitators, observers or evaluators to collect appropriate information.



**An Evaluation Data Collection Form template is provided at Template 2.14 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



**An Exercise Evaluator Aide-Memoire template is provided at Template 2.15 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

### **Risk Management Plan**

The Management Plan will outline all risks associated with the Exercise and the management strategies in place, and will include a Risk Assessment.

For a field Exercise, a risk assessment may need to be conducted on the Exercise site to identify any hazards and develop mitigation strategies and control options to reduce any risks to Exercise participants and/or damage to assets. The risk assessment should be carried out using your agency-specific format or template.

A generic risk assessment template is available with the electronic version of this handbook.



# 3 Phase 3 Conduct

# Phase 3. Conduct

In this section you will understand the steps to:

- ☒ appoint the EXCON team
- ☒ run pre-Exercise activities
- ☒ brief participants and stakeholders
- ☒ conduct the Exercise
- ☒ debrief the Exercise

## 3.1 Appoint EXCON Team

The people who run the Exercise are known as 'Exercise Control (EXCON) Team'. Their role is to ensure the Exercise is conducted in a safe and effective manner.

EXCON staff are drawn from participating agencies and should be identified early so clear lines of command and communication can be established. Early identification of these staff will also enable rehearsal of EXCON functions.

EXCON staff are separate from Exercise participants; they should avoid any unnecessary interference and wear clearly identifiable tabards or lanyards during the Exercise.

EXCON staff should monitor participants, help create a realistic atmosphere, keep the Exercise running smoothly, make rulings for participants, introduce scenario information and guide participants towards achieving the stated objectives.

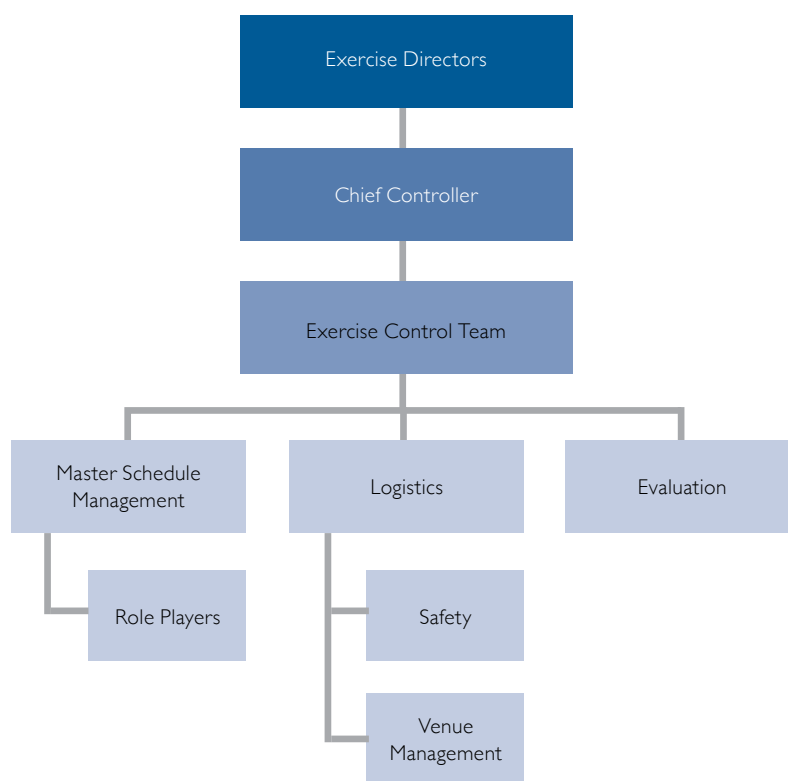
There are many factors that will determine the number of people, size and extent of the EXCON structure for your Exercise.

### For a small Exercise

For small Exercises, the EXCON Team may be just one person or a small team. A generic Exercise control structure, highlighting the functions to be considered (whether by one person or a team), is illustrated in Figure 4 below.

### For a large Exercise

For a large Exercise, many people may be required to fill the various functions required. An example of a generic Exercise control structure for a large Exercise is illustrated in Figure 5 below.



**Figure 4: Generic EXCON Team structure for a small Exercise**

### Exercise control

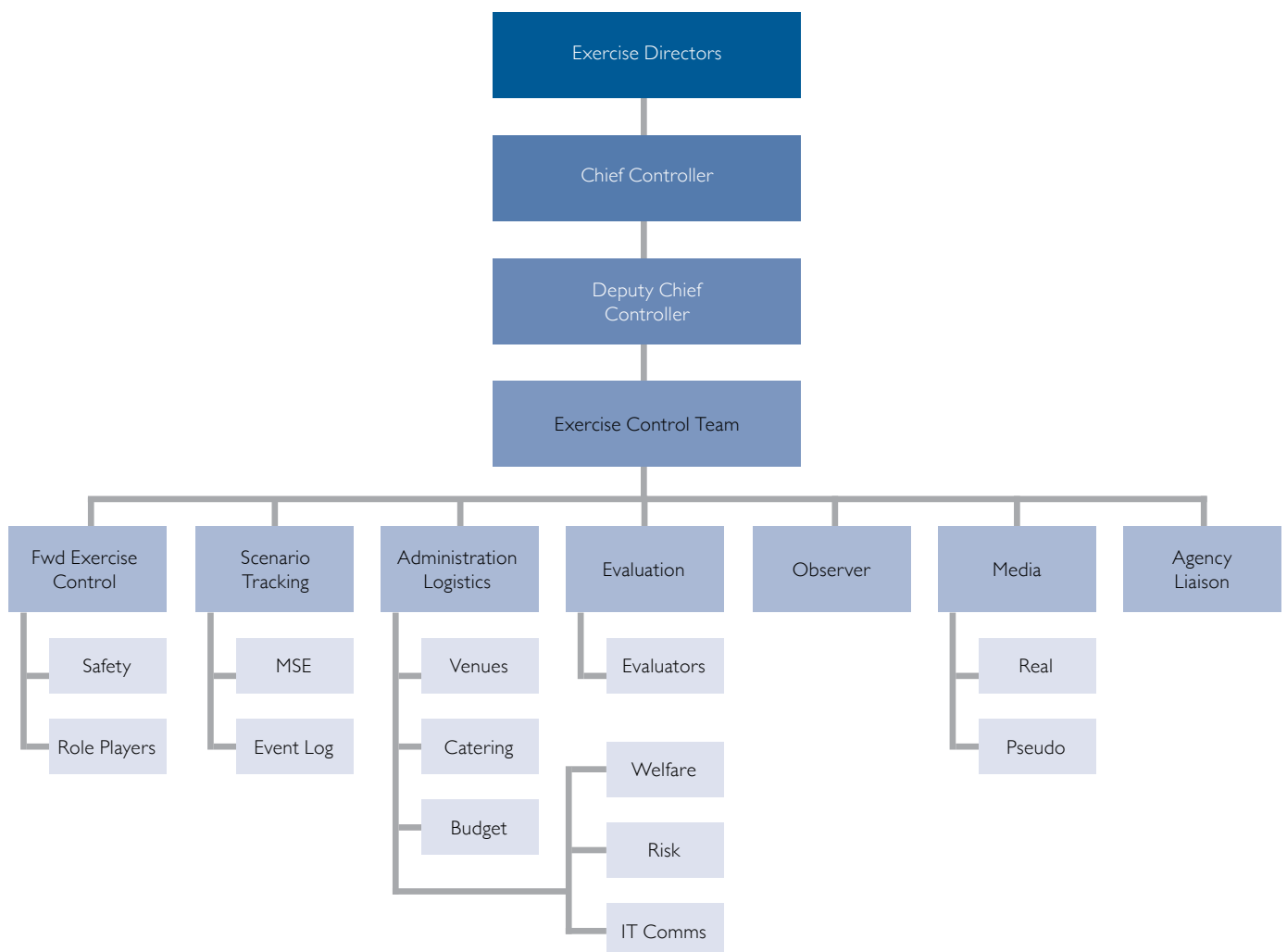
The Exercise Director(s) appoints an Exercise Controller who is responsible for selecting and appointing people to the various functions required to conduct the Exercise. Larger Exercises may have several Exercise Controllers.

The Exercise Controller is responsible for:

- managing all Exercise conduct activities to ensure adequate opportunities to achieve the Exercise objectives
- managing safety and risk during the conduct phase in accordance with the approved plans.

The Exercise Controller leads the EXCON Team, which is responsible for:

- overseeing the conduct of the Exercise
- ensuring that participants have the opportunity to achieve the aim and objectives
- managing the Master Schedule of Events
- simulating activities not performed by the participants
- contributing to the Exercise Evaluation Report.



**Figure 5: Recommended EXCON structure for a large Exercise**

### Safety Officer

Safety must take precedence over Exercise activities and Safety Officers must intervene immediately if safety is compromised. Depending on the size of the Exercise, more than one Safety Officer may be required, in which case they will report to a Chief Safety Officer. Safety Officers should be located in the field so they can monitor activities where they occur.

It is recommended that the EXCON Safety Officer is appointed from members of the Safety Exercise Planning Team.

### Scenario tracking

The Scenario Tracking Team monitors the progress of the Master Schedule of Events and injects scenario information wherever required to progress the Exercise. This team may also simulate the roles of organisations that are not participating in the Exercise.

Where possible, the EXCON Scenario Tracking Team should contain at least one member appointed from members of the Operations Exercise Planning Team.

### **Administration/logistics**

An Administration or Logistics Officer may be appointed to coordinate and manage logistic requirements. This role may involve:

- liaising with venue owners or operators
- coordinating catering and welfare requirements
- arranging transport of personnel and equipment
- commissioning the construction of props, models or other elements required for the scenario
- procuring additional equipment, consumables and resources (such as lighting, portable toilets)
- setting up registration or administration areas for Exercise control.

The EXCON Logistics Officer should be appointed from members of the Logistics Exercise Planning Team.

### **Evaluation**

The Evaluation Coordinator will manage the evaluators during the conduct of the Exercise. This includes ensuring that evaluators are able to move between venues to observe key parts of the scenario and be present at the various debriefs. The Evaluation Coordinator's role continues until the evaluators have submitted their reports at the conclusion of the Exercise.

### **Observer**

Exercises may attract observers, ranging from VIPs to members of participating organisations. To ensure observer safety and minimise potential disruption to the Exercise, an Observer Coordinator should be appointed to:

- develop an observer program
- distribute invitations, detailing a meeting time and place on the day, along with an overview of the Exercise and arrangements in place on the day
- thoroughly brief any personnel escorting observers on the Exercise scenario, aim and objectives
- establish an Exercise viewing area, if possible, where observers have access to the Exercise, but cannot interfere with proceedings, and allocate responsibilities to personnel that may include
  - meeting and escorting observers to predetermined viewing areas
  - explaining the Exercise aim and objectives
  - providing a running commentary on the Exercise
  - answering observers' questions.

The EXCON Observer Coordinator should be appointed from members of the Logistics Exercise Planning Team.



## Media

The EXCON Media Coordinator is responsible for handling any real or pseudo media requirements during the Exercise.

Real media responsibilities could include distributing a media release before the Exercise begins, coordinating video footage and interviews to promote the Exercise in news media, coordinating media attendees on the day, and ensuring the media are briefed about the scenario and appropriately positioned at the Exercise site. The EXCON Media Coordinator must ensure any media releases are approved by all relevant agencies and the Exercise Controller.

Pseudo media responsibilities on the day could include producing pseudo media releases about the Exercise scenario, testing that appropriate media protocols and processes are in place, dealing with the pseudo media role players, and providing a media statement or coordinating media spokespersons.

The EXCON Media Officer should be appointed from members of the Exercise Planning Team.

## Agency liaison

The Agency Liaison Officer is responsible for ensuring all relevant people within the participating agencies have the information they need.

## Other possible roles

For very large Exercises, it may be necessary to appoint personnel to fill additional roles as outlined below.

### *Role Player Manager*

Role players are integral to the conduct of many field Exercises, providing realism and creating an emotional perspective to the activity. They adopt the roles of casualties, victims, bystanders and other people affected during an Exercise and are often made up to appear injured (known as moulage). Sometimes role players are also used to act as media representatives or political figures, particularly in field Exercises.

However, the success of an Exercise can depend on how well role players are briefed and work within the parameters of the Exercise, so they must be closely managed.

The Role Player Manager's duties include:

- ensuring role players are registered on arrival. All role players must be registered before they are deployed into the Exercise area and then deregistered before leaving the Exercise area
- briefing role players pre-Exercise, including details of expected 'role' behaviour and possible reactions during the Exercise
- coordinating moulage (simulating injuries with make-up)
- positioning the role players pre-Exercise
- managing role player welfare (including hydration, shade, warmth, sunscreen) during the Exercise
- arranging for debriefing and deregistration of role players when the Exercise concludes. A formal debriefing for role players provides them with a vital forum to share their experiences of the Exercise and will provide unique insight into how responders dealt with the situation

- thanking role players for participating
- facilitating role players to de-role following an Exercise. They may need to go through a process of 'stepping out of character' to minimise any unexpected psychological effects. This can occur naturally as part of the Exercise debrief or may require a conscious activity where the role player has been in-role for some time, or the role has been particularly demanding.

### ***Staging Area Manager***

The Staging Area Manager manages deployment of participants from a predetermined staging area during field Exercises.

### ***Security Manager***

Exercises may need to be cordoned off from the public. Equipment, props and other resources may also need to be protected. A Security Manager may be appointed to:

- manage site access
- coordinate protection of physical assets
- establish perimeters
- prevent unauthorised filming and photography and the disclosure of operational procedures.

### ***Damage Control Officer***

The Damage Control Officer is responsible for assessing, recording and reporting on any damage caused during the Exercise. In some instances, damage may need to be repaired and the venue/site returned to pre-Exercise conditions. The Damage Control Officer should ensure that pre- and post-Exercise venue inspections are completed.

### ***IT and Communications Support Manager***

The IT and Communications Support Manager manages systems used during the Exercise.

## 3.2 Run pre-Exercise activities

Pre-Exercise activities prepare agencies and individuals for their participation in the Exercise and may include:

- notifying
  - agency staff
  - political representatives
  - senior officials
  - the community
  - media
- rehearsals or training
- a final review of Exercise documentation
- a final check of technology and communication requirements
- establishing facilities
- familiarising people with equipment
- discussion Exercise(s), seminar(s) and/or workshops
- developing or reviewing plans and procedures.

### 3.3 Brief participants and stakeholders

For the best opportunity to achieve the Exercise objectives, it is essential to conduct briefings with participants, role players, EXCON, evaluators and observers.

#### Style of briefings

All Exercise briefings should follow a consistent format for ease of understanding and support any instructions people have received prior to the Exercise.

Briefings should be accurate, concise and sequential. Many emergency management agencies use the **SMEACSQ** format, which is recommended because it presents the important information in a logical sequence:

<b>Situation</b>	Describes what has happened and perhaps what has been done
<b>Mission</b>	Describes what is to be achieved (aim, objectives)
<b>Execution</b>	Describes how objectives are to be achieved: what needs to be done, not how to do it
<b>Administration and logistics</b>	Describes administrative and logistical arrangements (such as transport, catering)
<b>Command and communication</b>	Describes command structure and communication arrangements for the Exercise
<b>Safety</b>	Includes information relating to: <ul style="list-style-type: none"> <li>• site-specific considerations (such as hazards, out of bounds areas)</li> <li>• 'No Duff' arrangements</li> <li>• identifying, managing and reporting hazards</li> <li>• the process for reporting any injuries incurred during the Exercise</li> <li>• monitoring environmental conditions</li> <li>• monitoring participant welfare throughout the Exercise (including stress-related health issues)</li> </ul>
<b>Questions</b>	Provides the opportunity for participants to ask questions



#### No Duff

*If an authentic injury or incident occurs, all messages relating to it must be prefixed by the phrase 'No Duff'.*

*Should such an event occur, the Safety Officer, in consultation with the Exercise Controller, may pause or stop the Exercise to manage the real event.*

## Key areas to brief

Briefings should be arranged for all key role areas:

### EXCON staff

Briefing EXCON staff is essential to allow them to clarify their roles during the Exercise and ensure they understand the scenario and how it will unfold. In some cases it may be appropriate to conduct a rehearsal with EXCON staff to confirm timings and familiarise them with the Exercise environment.

Exercise briefings usually include details relating to the General Idea, Special Ideas, Master Schedule of Events and safety instructions, and amplify information contained in the Exercise Plan. The EXCON briefing should include the:

- Exercise aim and objectives
- key aspects of the Exercise scenario
- roles and responsibilities of EXCON staff
- communication plan (including organisational structure)
- information, communication and technology systems
- intervention strategies (circumstances under which EXCON will intervene and re-guide participants)
- actions in the event of unforeseen circumstances
- post-Exercise requirements.

Individual staff may receive separate instructions tailored for their specific function, such as:

- site-staging instructions
- arrangements for media and visitors
- damage control
- specific safety instructions.

### Observers

Observers should be briefed on any restrictions placed on them and reminded that they are only observing the Exercise and should not provide input at any time, other than in the case of a safety issue.

### Role players

It is essential that role players are fully briefed on their involvement before the Exercise begins, particularly on use of the term 'No Duff' in the case of a real injury or incident.

Role players should be informed that they may withdraw from the Exercise if they feel unsafe, unwell or anxious about events. The role player briefing should include information about the withdrawal process.

## Participants

Briefing participants will allow them to fully engage in the Exercise. This briefing should include:

- Exercise aim and objectives
- evaluation focus and expectations
- roles and responsibilities during the Exercise
- Exercise scope and rules
- information, communication and technology systems
- actions in the event of unforeseen circumstances
- 'No Duff' arrangements in the case of a real injury or incident
- post-Exercise arrangements
- safety.

## Evaluators

In addition to a general briefing on the Exercise aim and objectives, evaluators need to understand their role as articulated in the Exercise Evaluation Plan including:

- observing participants' responses and recording their observations
- observing and assessing processes, procedures and techniques
- evaluating and reporting on the achievement of Exercise objectives.

For more information on what may need to be included in an evaluator's briefing of particular types of Exercise, see *Evaluating during the Exercise* on page 63.



**An Exercise Evaluator Briefing template is available at Template 3.1 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## Media

Any media attending need to be briefed about the Exercise, including any access issues or restrictions on information to be published.

## 3.4 Conduct the Exercise

### Starting the Exercise

For the Exercise to start effectively, several activities need to be completed just before the scheduled start time. These may include:

- a final test of information, communication and technology systems
- a last-minute briefing for all Exercise staff, confirming readiness to proceed
- positioning of simulated casualties, props and special effects
- positioning of EXCON staff and support personnel
- positioning of Exercise participants
- advice to the Exercise Controller that all is ready.

An Exercise can start in many ways, all of which must be coordinated by the Exercise Controller.

**Discussion Exercises** usually begin with the facilitator introducing the subject to the participants.

**Functional Exercises** may start with an incoming message or a written script that introduces the first piece of scenario information.

**Field Exercises** begin via a radio or telephone message communicating that an incident has taken place, followed by some type of response by a participating agency.

### Running the Exercise

If an Exercise has been well planned, running it is then a matter of running it according to the plan.

EXCON staff manage the Exercise in accordance with the Master Schedule of Events and all other Exercise documentation.

Throughout the Exercise, the Exercise Controller can call a temporary halt to change the Exercise direction, speed it up or slow it down to ensure the Exercise objectives can be achieved.

EXCON staff support the Exercise Controller by ensuring all is proceeding well at each location and that appropriate inputs occur in accordance with the Master Schedule of Events.

EXCON staff need to be prepared to react to participant responses and take appropriate action.

The EXCON team should conduct regular briefings during the Exercise to ensure effective management, to maintain momentum and achieve the objectives. By maintaining communication in this way, EXCON maintains control and an overview of Exercise activities. Situational awareness may also be achieved by:

- monitoring the actions of participants and role players
- using audio/video and/or other information technology aids
- receiving field reports from EXCON staff.

During conduct, EXCON staff may:






- pause and guide (if participants and Exercise activities are moving away from the objectives)
- stop, debrief and reset (if Exercise activities move well outside the intended objectives)
- stop the Exercise (in the event of a major safety issue)
- let mistakes run to see if the participants can overcome barriers to the achievement of the objectives
- let perceived mistakes run to see if the participants develop a new method for achieving the objectives.

## Managing Exercise conduct issues

### Identification of Exercise staff

In all Exercises, the proper identification and roles of Exercise staff is essential. This serves to differentiate them from participants and role players and, in large multi-agency Exercises, to identify particular roles. This is normally achieved through the use of tabards, lanyards, name plates or arm bands depicting role title (e.g. Safety Officer).

The following coloured lanyards are generally used to identify Exercise Control members, evaluators, media, role players and observers:

	Exercise Control	Yellow
	Evaluators	Blue
	Media	Purple
	Role players	Black
	Observers	Red

### Managing real events

The term 'No Duff' should be used to indicate that a real event or injury has taken place. It will then be the decision of the Exercise Controller as to whether the Exercise needs to pause or stop.

## Evaluating during the Exercise

During the Exercise, the evaluators will be observing and evaluating the Exercise and collecting data as outlined in the Evaluation Plan. The way they observe and collect data may differ between discussion and functional/ field Exercises.

### Discussion Exercises

Discussion Exercises tend to focus on higher-level issues involving the plans, policies and procedures of an organisation/jurisdiction. As such, many discussion Exercises break participants into syndicate groups to facilitate smaller group discussions. In these smaller group discussions, evaluators and/or scribes may record proceedings and capture observations and outcomes.



After the syndicate groups have finished their discussions, the entire group usually reconvenes to address any multi-agency issues or conflicting opinions. Although individual evaluators are assigned to record discussions within a designated group, all evaluators should capture the information aired in this open discussion.

A debrief with the Exercise Planning Team, facilitators and evaluators should be held immediately afterwards to collect observations and thoughts about the Exercise conduct. This will provide an opportunity for evaluators to clarify any points.

Following the Exercise, evaluators may also supplement the data collected during the discussions by collecting additional data from participants through interviews or questionnaires.

### **Functional and field Exercises**

Evaluation of functional or field Exercises requires evaluators to observe activities where they are occurring. After an Exercise, the information recorded by evaluators is used to analyse whether or not the activities and tasks were successfully performed and the objectives achieved.

During Exercises, evaluators need to keep accurate records of their observations. Evaluators should take detailed notes as well as consider other means of recording data, such as the use of personal recording devices. Any electronic recording of Exercises should be in accordance with the policies/procedures of the participating organisations.

Because numerous Exercise activities may occur simultaneously, evaluators need to plan to be in place to observe those activities most relevant to the objectives they are evaluating.

Some examples of evaluators' observations include:

- any deviations from plans or procedures
- timeliness of response/completion of tasks
- effectiveness of, or shortcomings in, command and control
- processes and arrangements that work well and should be maintained and/or enhanced
- creative, adaptive problem-solving
- equipment issues that affect participant efforts
- Exercise management issues that affect the ability of participants to achieve objectives.

Evaluators should not interfere with or disrupt the conduct of the Exercise. However, it may be necessary for an evaluator to interact with participants during the Exercise if he or she has a question about something observed. These questions should not influence the manner in which participants respond to the scenario and should be as brief as possible.

When making observations, evaluators consider the fundamental inputs to capabilities under the P2OST2E model, and record in the corresponding data entry field.

- People – roles, responsibilities and accountabilities, skills
- Process – plans, policies, procedure, processes
- Organisation – structure and jurisdiction
- Support – infrastructure, facilities, maintenance
- Technology – equipment, systems, standards, interoperability, security
- Training – capability qualifications/skill levels, identifying courses required
- Exercise management – Exercise development, structure, management, conduct.

### **Collecting supplementary data**

The evaluation team may wish to collect additional data immediately after the Exercise. For example, useful sources of information could include logs, message forms and maps. These records can help evaluators validate their observations and identify the effect of inaccurate information on performance.

### **Evaluator report**

You may require individual evaluators to develop an Evaluator Report summarising their observations and outcomes of any debriefs they are involved in to provide to the author of the final Exercise Evaluation Report.

The author(s) of the Exercise Evaluation Report will be determined by the Exercise Director(s) and will include input from the Evaluation Team. The report should include:

- a description of the Exercise
- a narrative of key events
- an evaluation summary addressing the attainment of the Exercise aim, objectives and standards
- key observations and possible treatment options.



**An Evaluator's Report template is available at Template 3.2 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

## **Finishing the Exercise – ENDEX**

Finishing the Exercise is a controlled activity. The Exercise Controller is responsible for finishing the Exercise in a pre-arranged manner and communicating an appropriate message to all participants. An accepted term for concluding the Exercise is 'ENDEX'.

The Exercise may end in accordance with:

- a designated time, according to the Master Schedule of Events
- achievement of all objectives
- completion of designated tasks
- it not being safe to continue with the Exercise
- other activities (including a safety breach or actual responses) hindering the progress of the Exercise or rendering the objectives unachievable.

In any case, the Exercise Controller must consider strategies, should it be necessary, to terminate the Exercise before the pre-arranged time.

During a field Exercise, a progressive stand-down of agencies/capabilities can begin when they have achieved their respective objectives, as long as it does not affect the continuing functions of other participants and has been approved by the Exercise Controller. It is important not to overlook the activities required to repatriate the Exercise site and return equipment to its pre-Exercise state. While this will largely be the responsibility of logistics, the time and effort required should not be underestimated, and the staff involved must be given every opportunity to participate in designated post-Exercise activities.

### 3.5 Debrief the Exercise

An immediate or 'hot' debrief should be conducted at the end of an activity or at the end of the whole Exercise. It should be provided for all participants and staff to capture information and feedback while it is still fresh in people's minds. This debrief is normally conducted by the team leader or supervisor of a functional area to help identify issues or concerns.

A hot debrief enables all participants to gain insight into how the Exercise was conducted and how their role may have influenced its conduct.

The hot debrief should include:

- what worked well
- what didn't work well
- safety issues
- what, if any, immediate action is required.

It may not be possible to capture the responses of all participants in a face-to-face forum. Consider developing a participant survey that can be completed remotely and collated as part of Exercise evaluation.



**A Participant Evaluation Questionnaire template is available at Template 3.3 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



# 4 Phase 4 Evaluate and Learn

# Phase 4. Evaluate and Learn

In this section you will understand the steps to:

- ☒ review the evaluation data
- ☒ hold a formal evaluation meeting
- ☒ develop an Evaluation Report
- ☒ develop an action plan for identified findings
- ☒ communicate summary of findings
- ☒ use improvement planning to support continuous improvement



## **An important note about evaluation**

*While a formal evaluation is the final phase of an Exercise, planning your evaluation starts at the beginning. It is assumed that, before beginning your formal evaluation, you have taken steps to plan your evaluation as outlined throughout this handbook.*

*If you have not already read it, you should consider the following information already provided in this handbook about evaluation:*

*Evaluation strategy and reporting schedule in Phase 1–Concept (see page 22)*

*Plan your Exercise evaluation in Phase 2–Plan (see page 37)*

*Evaluation Plan in the Prepare Exercise planning documents section also in Phase 2–Plan (see page 48)*

*Evaluating during the Exercise in Phase 3–Conduct (see page 63)*

*The information in this section will help you finalise your evaluation and ensure your findings and conclusions can contribute to your organisation's ongoing learnings.*

## 4.1 Review the evaluation data

Your formal Exercise evaluation will be informed by:

- outputs from the Exercise planning process and planning meetings
- observations from Exercise staff
- outputs from the Exercise debriefs
- observations and reports from the Exercise evaluator(s).

Reviewing this data and evaluating your Exercise enable critical information to be collated and lessons learned to be documented so others can learn from them in the future.

## 4.2 Hold a post-Exercise evaluation meeting

A formal post-Exercise evaluation meeting provides an opportunity for key agency representatives and Exercise staff to formally debrief and highlight areas of concern as well as the Exercise's positive outcomes.

For a large Exercise, this meeting is led by an experienced facilitator and should focus on strategic multi-agency aspects of the Exercise that may require further discussion and clarification, and possibly recommend future actions. For a smaller Exercise, it may be just a meeting of a few key people.

Participants' contributions can be verbal or written. In either case, information collected at formal debriefings must be recorded so it can be used in the Exercise Evaluation Report.

As with briefings, a standard format for debriefings should be adopted and an agenda distributed and followed.

At the start, the facilitator should clearly state the aim and objectives of the debrief. Issues that may be covered in a formal Exercise debrief include:

- analyse the Exercise to determine what worked well, what didn't work well and areas for improvement without apportioning blame
- address specific questions that arise from the achievement or non-achievement of objectives
- acknowledge good performance
- seek constructive information
- focus on improving procedures and training
- explore the appropriateness and effectiveness of the Exercise
- record relevant information to enable compilation of reports
- summarise major points and suggest follow-up actions.



**A Post-Exercise Evaluation Meeting Agenda template is available at Template 4.1 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**

### 4.3 Develop an Exercise Evaluation Report

The information gathered during the evaluation process is collated in an Exercise Evaluation Report. Even the smallest of Exercises should have an Exercise Evaluation Report.

The information in this report can be used to:

- establish how any specific corrective actions or recommended treatment options will be undertaken (such as delegating actions or seeking advice from subject-matter experts)
- identify and act on any capability gaps
- seek approval from agency management on the implementation of treatment options, and task and track proposed treatment options
- inform the Interagency Exercise Coordination Group (IECG) about Exercise outcomes and treatment option data including timelines and plans (this is done by the Exercise Director through the agency representative). Exercise data can then be used by IECG to identify trends and future planning
- gain commitment from agency management to implement treatment options within specified time frames
- ensure ongoing accountability for action.

Exercise data collated through the Evaluation process can also be used to identify trends and any future planning needs.

The Exercise Evaluation should report on:

- Exercise outcomes (performance against Exercise objectives)
- what was learned (what the Exercise Management Team learned or would improve).

For each of these components, the Exercise Evaluation Report should attempt to answer the following questions:

- What did we plan to do (what were the objectives)?
- What did we achieve – how did this differ from what was planned (were objectives met and, if not, how did the outcomes differ)?
- Why did it happen (what led to the objective(s) not being achieved as planned)?
- What can be done differently in the future (what improvements need to be made)?

Outcomes from an Exercise should contribute to an organisation's learning and improvement.

Evaluation methods are not designed solely for use during Exercises; they are also transferable to real-time operations and other activities (e.g. training, performance reviews). While real-time operations will not be structured and pre-planned as Exercises (particularly in terms of the scripting aspect), the design of objectives for the evaluation can be modified to reflect the active, operational situation and gather lessons from the real-time deployment of capabilities. These types of lessons are an indispensable input to the development of any capability.

The Evaluation Report might include observations, findings, treatment options or recommendations based on the information gathered during the Exercise. The outcomes from one Exercise may not be appropriate to all situations and therefore any treatment option needs to be carefully considered.



**An Exercise Evaluation Report template is provided at Template 4.2 in the Templates and Resources section of this handbook.**

**An interactive version of this template is available with the electronic version of this handbook.**



**A detailed example of a completed Exercise Evaluation Report is included with the electronic version of this handbook.**

## 4.4 Develop an action plan for identified gaps

Your Exercise Evaluation Report will also identify what was learned from the Exercise and any gaps in your organisation's capability. This report will include an action plan to allocate responsibility and timings for taking remedial action and treatment options. It is critical that your Exercise Evaluation Report identifies all issues, mitigations and treatments. Not doing so diminishes the value of conducting the Exercise.

The following resolution process will help with your identified gaps. It is adapted from the ANZCTC Evaluation Findings Resolution Process. The aim of the process is to ensure appropriate action is taken to address the issues and findings resulting from the Exercise.

### Resolution process

This suggested resolution process aims to involve appropriate subject-matter experts in resolving issues resulting from the Exercise. The steps can be broken into four major stages:

- I Consider Findings – Your action plan for identified gaps should be considered by the appropriate subject-matter experts in your agency, referred to as the Lead Action Group. The Lead Action Group may choose to either accept or reject the findings. If the finding is rejected, they will need to inform the Exercise Evaluation Team of the reasons (e.g. it is already being addressed by another body). If the finding is accepted, treatment option(s) can be considered.



- 2 Consider Treatment Option(s) – If a finding is accepted, the Lead Action Group will consider treatment option(s). Once the Lead Action Group has considered treatment options and identified a viable treatment option, they are to advise the Evaluation Team. If the Lead Action Group is unable to identify a viable treatment option, this must also be reported to their agency Interagency Exercise Coordination Group representative for advice.
- 3 Development and Approval – Once a treatment option(s) has been accepted, an appropriate course of action needs to be determined and resolution action identified. This action plan may need to be approved by the appropriate governing body, referred to as the Oversight Group. The Oversight Group may provide the necessary guidance to implement the action plan.
- 4 Implementation and Close – The Lead Action Group will provide a summary of, or reference to, the resolution action to the Exercise Evaluation Team, including findings that remain unresolved. The proposed course of action, as detailed in the action plan, is to be implemented by the Lead Action Group and tracked by the Oversight Group. Once the course of action proposed to resolve a finding is finalised, the finding is closed.

The resolution process is intended to supplement existing processes that exist within your agency.

## 4.5 Use improvement planning to support continuous improvement

Identifying strengths, areas for improvement, and treatment options through Exercises helps agencies build capabilities as part of a larger continuous improvement process. By continually examining the implementation of corrective actions, agencies can identify capability gaps, as well as determine which corrective actions require validation through future Exercises. In this way, improvement planning activities can help shape an agency's Exercise program priorities and support continuous improvement in building and sustaining core capabilities.



# Templates and Resources

# Templates and Resources

## Templates

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## Samples

Sample 1.1	Completed Exercise Proposal	Available electronically
Sample 2.1	Completed Exercise Plan	Available electronically
Sample 3.1	Completed Exercise Evaluation Report	Available electronically

## Template 1.1 Concept Development Meeting Agenda

### Template 1.1 Concept Development Meeting Agenda

#### **AGENDA**

*<Insert name of exercise>*

**AIM:** To discuss, agree on and further develop the broad Exercise concept and key parameters including aim, objectives, evaluation concept, core dates, Exercise localities and participants.

**INPUTS:** Exercise scoping documents

**OUTCOME:** General agreement and sufficient guidance to develop the Exercise Proposal.

- AGENDA:**
1. Aim of the Exercise
  2. Objectives for the Exercise
  3. Planning milestones, key events and related activities
  4. Participating agencies and level of participation
  5. Planning limitations and risk assessment
  6. Resource requirements
  7. Action plan

## Template 1.2 Exercise Proposal

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 1.2 Exercise Proposal

#### **Tasmanian Exercise Framework Exercise Proposal**

*<insert name of Exercise>*

##### **PROPOSAL SUMMARY**

Title of Exercise PROPOSAL

Lead agency / capability

Sponsor

Executive summary

Costings

Proposal contact and attachments

- Contact
- Attachments

##### **SECTION 1 – IDENTIFICATION OF THE CAPABILITY GAP**

- 1.1 New Exercise or an enhancement to a previously agreed activity?
- 1.2 Related projects and/or previously agreed activity/ies (if applicable)
- 1.3 Exercise need / capability gap

##### **SECTION 2 – EXERCISE PLAN**

- 2.1 Exercise aim
- 2.2 Exercise objectives
- 2.3 Exercise scope
- 2.4 Exercise type
- 2.5 Governance
- 2.6 Exercise participation
- 2.7 Other stakeholders
- 2.8 Exercise location
- 2.9 Exercise schedule
  - Proposed dates
  - Key milestones

This template is part of Managing Exercises – A handbook for Tasmanian Government agencies

Templates and Resources

- 2.10 Resources
- 2.11 Risk management
- 2.12 Budget

### **SECTION 3 – EVALUATION AND REPORTING**

- 3.1 Evaluation strategy
- 3.2 Reporting schedule

## Template 2.1 Initial Planning Meeting Agenda

### Template 2.1 Initial Planning Meeting Agenda

#### **AGENDA**

*<insert name of Exercise>*

**AIM:** To agree on and refine the Exercise parameters as presented in the Exercise concept document.

**INPUTS:** Exercise concept document

**OUTCOMES:** Broad agreement on the Exercise parameters and sufficient guidance to refine the Exercise Plan before final endorsement.

- AGENDA:**
1. Business arising from the concept development meeting
  2. Review Exercise concept
  3. Refine objectives and identify standards/measures
  4. Determine dates, duration and location/s of Exercise-related activities
  5. Determine aims and objectives for each activity
  6. Determine management arrangements for each activity
  7. For each Exercise-related activity, determine participation to prepare relevant invitations to attend
  8. Determine EXCON arrangements and determine staffing requirements for:
    - a. Exercise control team (EXCON)
  9. Determine logistical requirements and identify staff for:
    - a. logistics team
    - b. administration and support
  10. Determine public relations and media requirements and identify staff for:
    - a. public relations and media team
  11. Determine Exercise evaluation requirements and identify staff for:
    - a. Exercise evaluation team
  12. Determine Exercise writing requirements and identify staff for:
    - a. Exercise writing team/s
  13. Determine actions and allocate responsibilities

(Agenda may need to be tailored to suit multiple activity and single Exercise programs)

## Template 2.2 Mid-planning Meeting Agenda

### Template 2.2 Mid-planning Meeting Agenda

#### **AGENDA**

*<insert name of Exercise>*

**AIM:** Refine Exercise management arrangements and review the status of Exercise planning including major issues. At the conclusion of the mid-planning meeting those appointed to the various Exercise management teams should have sufficient detail to initiate their respective activities.

**INPUTS:** Endorsed Exercise concept document  
Exercise plan  
Activities list  
Activity summary sheet/s  
Draft activity (or Exercise) instructions  
Draft scenario documents

**OUTCOMES:** Broad agreement on Exercise management plans and sufficient guidance to refine the Exercise instruction/s before endorsement.

Confirmation of Exercise scenario and agreed master schedule of events.

**AGENDA:**

1. Business arising from the initial planning meeting
2. Review any further development to the Exercise concept
3. Confirm Exercise objectives and standards/measures
4. Confirmation of scenario detail and documentation requirements
5. Review EXCON arrangements, including:
  - a. EXCON structure and appointments
  - b. facilitators
  - c. public relations and media
  - d. visitor and observer arrangements
6. Further develop logistical and administration requirements
7. Determine actions to be achieved before the final planning meeting and allocate responsibilities

(Agenda may need to be tailored to suit multiple activity and single Exercise programs)



## Template 2.3 Final Planning Meeting Agenda

### Template 2.3 Final Planning Meeting Agenda

#### **AGENDA**

*<insert name of Exercise>*

**AIM:** Review all Exercise planning and confirm that planning is complete.

**INPUTS:** Activity (and/or Exercise) Instructions  
Scenario documents

**OUTCOMES:** Identify and resolve any outstanding issues.

**AGENDA:**

1. Confirm key Exercise management arrangements, including revised or additional matters
2. Confirm timing of remaining key milestones and/or activities
3. Validate the Exercise scenario and associated documentation
4. Identify and resolve outstanding issues

(Agenda may need to be tailored to suit multiple activity and single Exercise programs)

## Template 2.4 Exercise Plan

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 2.4 Exercise Plan

#### **Tasmanian Exercise Framework Exercise Plan**

*<Insert name of exercise>*

##### **1. Introduction**

- 1.2 Exercise Need
- 1.3 Exercise Overview
- 1.4 Exercise Aim
- 1.5 Exercise Objectives
- 1.6 Exercise Scope
- 1.7 References
- 1.8 Participants

##### **2. Exercise Format**

- 2.1. Type and Style of Exercise
- 2.2 Scenario

##### **3. Governance**

- 3.1 Planning Phase Governance

##### **4. Program of Activities**

##### **5. Exercise Control**

- 5.1 Exercise Briefings
- 5.2 Exercise Documentation
- 5.3 Safety and Security
- 5.4 Media and visitors
- 5.5 Exercise Termination Strategy

##### **6. Exercise Evaluation**

- 6.1 Purpose of the Evaluation
- 6.2 Process of the Evaluation

##### **7. Administration**

- 7.1 Budget
- 7.2 Logistical Requirements
- 7.3 Catering
- 7.4 Travel and Accommodation

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Templates and Resources

## Template 2.5 Red Teaming Guidelines

### Template 2.5 Red Teaming Guidelines

#### **Tasmanian Exercise Framework Red Teaming Guidelines**

<insert name of Exercise>

This type of discussion Exercise will push the boundaries and seeks to deal with the 'what if' aspects. It creates an added challenge for the participants and will push them beyond the standard/accepted way of doing things. To make it work it is therefore crucial that the participants, right from the outset, are made very aware that the red teaming method used in the Exercise is not about individual performance. Rather it is designed to delve deeply into the way business is currently done – and to ask, 'Why?'

#### **Red teaming is done:**

- to identify any flaws and identify any need for change or improvement
- not to criticise individuals for helping to identify gaps or areas for capability improvement, but to focus on improving outcomes.

#### **What is the point of using this method?**

The red team's role is to challenge the participants' responses and look at alternative solutions because, even if decisions are based on experience and appear sound, there may be untested assumptions underlying otherwise sound reasoning. In many respects the red team should be viewed as the 'gatekeepers of realism'.

#### **Red team objectives**

##### **The objectives of the red team are to:**

- challenge traditional thinking, implicit and explicit assumptions
- look at alternative perspectives
- take a critical look at plans, processes and procedures to identify areas where these could go wrong, oversights, flaws in reasoning etc.

#### **Red teaming ground rules and considerations**

##### **The red team must:**

- assess the participants' responses in relation to all aspects of the scenario
- develop their response/s to expose gaps in current processes and/or planning procedures displayed by participants
- consider all parties affected when developing a response
- provide all injects/responses through the facilitator/s.

##### **The role of the red team is to:**

- act as all parties involved in the scenario, including the opposing side
- act as all characters involved in the Exercise scenario. Examples include terrorists, witnesses, senior officers, legal advisers, media, specialist units

- constantly question if the response is realistic/achievable/rational and/or just what is expected
- look at actual daily resources and operational conditions including personnel, equipment, weather, business continuity.

This method is very good for addressing knowledge, process and communication gaps. In order for it to work, the facilitator of the Exercise must promote an environment that encourages participants to contribute without fear of retribution in the event of a mistake (a 'no fear of failure' culture). The focus of the Exercise should be on agency performance and processes, not individual performance.

## Template 2.6 Facilitator's Guide (for discussion Exercises)

### Template 2.6 Facilitator's Guide

#### **Tasmanian Exercise Framework Facilitator's Guide**

*<insert name of Exercise>*

#### **1. Introduction**

- 1.1 Exercise Need
- 1.2 Exercise Overview
- 1.3 Exercise Aim
- 1.4 Exercise Objectives
- 1.5 Exercise Scope
- 1.6 References
- 1.7 Participants

#### **2. General Information**

- 2.1 Scenario
- 2.2 Exercise Structure

#### **3. Exercise Guidelines**

#### **4. Exercise Assumptions**

#### **5. Exercise Evaluation**

#### **6. Exercise Schedule**

#### **7. Exercise Modules**

- 7.1 Module 1:
  - Scenario details
  - Key Issues
  - Questions
  - Resources
- 7.2 Module 2:
  - Scenario details
  - Key Issues
  - Questions
  - Resources

## Template 2.7 Participant Handbook

### Template 2.7 Participant Handbook

## PARTICIPANT HANDBOOK

*<insert name of Exercise>*

### INTRODUCTION

Handling instructions (security classification)

### BACKGROUND INFORMATION

Overview

Aim

Exercise objectives

Exercise format

Exercise context

Exercise assumptions

- In-Exercise/out-of-Exercise areas
- No-go zones

Participant guidance

### SITUATION

General idea

Technical briefs/detail

Maps

### COMMAND AND CONTROL

### EXCON

- Facilitators
- Evaluators
- Points of contact

Participant command, control and coordination

- What levels are playing
- How to interact with EXCON
- Refer to Exercise contact directory

## **ADMINISTRATION AND LOGISTICS**

Exercise dates and locations

Travel arrangements

Accommodation

Climate conditions

Dress code

Entry and security procedures

Catering

Communication

Points of contact

Expenses

- Incurring/approval of expenditure
- Allowances and claims

Safety instructions

- Risk

## **PARTICIPATING AGENCIES**

### **PRE-EXERCISE ACTIVITY**

Pre-Exercise training

Briefings

Activity schedule

### **POST-EXERCISE ACTIVITY**

Debriefings

Evaluation

## **ATTACHMENTS – IF REQUIRED**

Communication instructions

Timeline

Contact directory

Risk assessment or summary if applicable

## Template 2.8 Master Schedule of Events – small Exercise

### Template 2.8 Master Schedule of Events – small Exercise

<insert name of Exercise>

Exercise inputs, Day #					
Serial	From	To	Time	Input, action or activity	Comment



## Template 2.9 Master Schedule of Events – large Exercise

Exercise (Name) Master Schedule of Events										
Version compiled: (Date) <i>Note: Dates in the MSE will correspond with AEST times.</i>										
Master Serials	Actual Date	In Exercise Date	Day	AEST	Administration / Notional / Actual	Agency	Location	Event	Objective	Control Documents
								PRE-EXERCISE ACTIVITIES		
001										
002										
					Actual	All Agencies	All Sites	STARTEX		
								Exercise Date - E.g. Saturday 15/11/2014		
003										
004										
	6-Oct-14	15-Nov-14	Saturday	1500hrs	Actual	EXCON	All Sites	ENDEX	include hot debrief	To
								Evaluator Debrief		
005										
006										

Exercise (Name) Master Schedule of Events										
Version compiled: (Date) <i>Note: Dates in the MSE will correspond with AEST times.</i>										
Event	Objective	Control Documents	Injected By	Injected To	How?	Desired Outcomes	Critical Completion Time	Resources	Comments	
PRE-EXERCISE ACTIVITIES			E.g. Sent by ExCon	E.g. POC						
			Injected By	Injected To	How?					
E.g. Saturday 15/11/2014			E.g. Sent by ExCon	E.g. GEOC						
include hot debrief	To								Evaluators to conduct hot debrief in situ at each exercise location	
Evaluator Debrief										

## Template 2.10 Exercise Control Instructions

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 2.10 Exercise Control Instructions

#### **Tasmanian Exercise Framework Exercise Control Instructions**

<Insert Exercise name>  
<Insert Exercise Date>

##### **1. Exercise Control Staff and Responsibilities**

Exercise Control (EXCON) Team

Role	Sub-role (if applicable)	Name

##### **2. EXCON Facilities**

Location (room number, address, security access, parking)

Catering

Ablutions etc.

##### **3. Exercise Briefings**

Brief	Person Responsible	Time / Date
Exercise Staff		
Observers		
Role players		
Evaluators		
Media		

##### **4. Time Zones**

##### **5. Communication**

##### **6. Media and visitors**

##### **7. Exercise Termination Strategy**

##### **8. Exercise Facilities**

## Template 2.11 Exercise Control Document

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 2.11 Exercise Control Document

CONTROL DOCUMENT #1

EXERCISE XXXXXX

EXERCISE MATERIAL ONLY

**Includes:**

- biographies of persons of interest
- insurance information
- car registration information

EXERCISE MATERIAL ENDS

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Templates and Resources

## Template 2.12 Exercise Input

### Template 2.12 Exercise Input

#### **INCIDENT/INFORMATION INPUT**

*<Insert name of exercise>*

Message number:			
Date/time of inject:		Time injected:	
Injection means:	phone/fax/email/other		
From:			
To:			

**Message:**

**Attachments:**

---

**Instructions:**

## Template 2.13 Evaluation Plan

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 2.13 Evaluation Plan

#### **Tasmanian Exercise Framework Evaluation Plan**

<insert name of Exercise>

- |  |   |
|--|---|
| <ol style="list-style-type: none"> <li><b>1. Introduction</b></li> <li><b>2. Background</b></li> <li><b>3. Exercise Aim</b></li> <li><b>4. Aim of the Evaluation</b></li> <li><b>5. Exercise Objectives</b> <ol style="list-style-type: none"> <li>5.1 Exercise Sub-Objectives</li> </ol> </li> <li><b>6. Key Question(s)</b> <ol style="list-style-type: none"> <li>6.1 Sub-Questions</li> </ol> </li> <li><b>7. Parameters of the Evaluation</b> <ol style="list-style-type: none"> <li>7.1 Constraints / Limitations / Assumptions</li> </ol> </li> <li><b>8. Key Risks / Mitigation Strategy</b></li> <li><b>9. Security, Safety and Ethics</b></li> <li><b>10. Resources</b> <ol style="list-style-type: none"> <li>10.1 Budget/Administrative</li> </ol> </li> </ol> | <ol style="list-style-type: none"> <li><b>11. Governance Structure</b></li> <li><b>12. Management of the Evaluation</b></li> <li><b>13. Data Collection and Analysis Methods</b> <ol style="list-style-type: none"> <li>13.1 Data Collection</li> <li>13.2 Analysis</li> <li>13.3 Quality Control</li> </ol> </li> <li><b>14. Communication Strategy</b></li> <li><b>15. Report</b></li> <li><b>16. Validation/Resolution/ of Evaluation Findings</b></li> <li><b>17. Timeframe/Milestones</b> <ul style="list-style-type: none"> <li>Evaluation Plan by</li> <li>Exercise Conduct between</li> <li>Analysis between</li> <li>Draft Report by</li> <li>Final Report by</li> </ul> </li> </ol> |
|--|---|

#### **Appendices**

Appendix A: Evaluator Nominations and Selection Process  
 Appendix B: Evaluator Briefing / Preparation / Training  
 Appendix C: List of Evaluators

## Template 2.14 Evaluation Data Collection Form

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 2.14 Evaluation Data Collection Form

#### Exercise Evaluation Data Collection Form

<Insert name of exercise>

Evaluator's Name:	
Date:	Time:

Location of Evaluation:

•

#### Evaluation of objective 1:

Key Performance Indicators	Strongly Agree	Agree	Not Applicable	Disagree	Strongly Disagree
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

#### Observations for objective 1:

People – roles, responsibilities and accountabilities, skills
Observations:
Process – includes plans, policies, procedures, processes
Observations:
Organisation – structure and jurisdiction
Observations:
Support – infrastructure, facilities, support
Observations:
Technology – equipment, systems, standards, interoperability, security
Observations:
Training – capability, qualifications/skill levels, identify courses required
Observations:
Exercise Management – Exercise development, structure, management, conduct
Observations:

<repeat for each objective>

Additional Notes:
-------------------

## Template 2.15 Exercise Evaluator Aide-Memoire

### Template 2.15 Exercise Evaluator Aide-Memoire

#### Evaluator Aide-Memoire

Attachment [\*] to evaluation plan

The following evaluation checklist describes the evaluator's responsibilities before, during and after the Exercise.

##### Before the Exercise:

- Review the Exercise plan, scenario, master schedule of events, evaluation sub-plan, safety/risk instructions and other Exercise documents, with special emphasis on the objectives, standards and key issues identified to facilitate data collection.
- Complete evaluator training/briefing requirements.
- Familiarise yourself with the legislation, plans, policies, procedures, and processes applicable to your assigned location/jurisdiction/agency/capability.
- Familiarise yourself with the Exercise communications and IT systems and tools.
- Identify and review the templates you may be required to fill out.
- Attend the EXCON and evaluator briefing at your assigned location.

##### On arrival at start of shift:

- Check in with the Evaluation Coordinator.
- Receive a shift change brief from the outgoing evaluator if applicable.
- Check in with Exercise participants to advise you are on site (incident controller or similar).

##### During the Exercise:

- Observe the Exercise and record your observations.
- Identify schedule for and attend evaluator briefings/conferences/teleconferences.
- Identify schedule for and attend key operational briefings/conferences/teleconferences and other key events as per your collection plan.
- You may need to interview participants to clarify events and gain insight into decisions and actions.
- Collect supplementary data, which may include the following:
  - situation reports, intelligence summaries, briefings, debriefings
  - logs/running sheets (e.g. communications log, daily log)
  - requests for Information (RFI) and RFI logs
  - media releases
  - technical data products (e.g. GIS products, maps, plume model results)
  - incident action plans and other planning documents
  - quantitative data (times, numbers, equipment, resources).
- Be sure to note the date and time of each piece of supplementary information along with your location (reference points) so it can be related back to the relevant part of the Exercise.
- Collect participant feedback forms, where used, for those personnel whose Exercise involvement is completed.

**During downtime, after your shift or after ENDEX:**

- Progress the completion of the applicable templates.

**At the end of shift:**

- Conduct a shift change brief with your replacement.
- Contact the Evaluation Coordinator at EXCON to advise your status.

**After ENDEX:**

- Attend and document relevant debriefs.
- Participate in the EXCON debriefs.
- Collect any remaining participant feedback forms.
- Complete Exercise **Evaluation Report**.
- Forward your completed report to the Evaluation Coordinator by the agreed date.



## Template 3.1 Exercise Evaluator Briefing

### Template 3.1 Exercise Evaluator Briefing

#### Exercise Evaluator Briefing

Attachment [\*] to Evaluation Plan

##### **PART A**

##### **Evaluator specific briefing(s)**

1. General overview of Exercise
2. Exercise aim
3. Exercise objectives
  - a. What is the jurisdiction/agency trying to get out of the Exercise
  - b. What are the key focus areas (strategic/operational/tactical)
  - c. What should evaluators be focusing on or not
  - d. What is being tested
  - e. Last-minute changes
4. Scope of Exercise
5. Exercise parameters
  - a. Agencies participating and their role
  - b. Agencies not participating
  - c. Notional agency involvement
  - d. Notional elements/Exercise management artificiality
  - e. Relevant Exercise history/Exercise manager's rationale for why particular aspects/activities are included (or not included)
  - f. Any previously identified issues/lessons learned that are being revisited
6. Jurisdiction/organisation arrangements/current issues
  - a. Environment: organisational, jurisdictional, political
7. Scenario
  - a. Master schedule
  - b. Critical scenario developments/key timings
  - c. Key events relevant to evaluators
8. Exercise management structure
  - a. Key timings
  - b. Briefings/meetings
  - c. Evaluator brief/debrief times
9. Evaluator administration
  - a. General instructions
  - b. Administration details
  - c. Meals
  - d. Accommodation
  - e. Security/access
  - f. Transport/hire cars
  - g. Identification/tabards
10. Questions

## **PART B**

### **Agency/capability-specific briefing/discussions**

1. Evaluators to visit/meet with the relevant agency/capability area to discuss specific details
2. Detail of agency/capability objectives
3. Critical scenario developments/key timings for that agency/capability
4. Focus areas
5. Discuss/agree evaluator role

## **PART C**

### **General Exercise briefings that evaluators need to attend**

1. Safety
  - a. Risk assessment/management
2. Communications
3. Logistics
4. Media
5. Site visits
6. Other relevant meetings/briefings
7. Role player briefings
8. Debrief(s)

## Template 3.2 Evaluator's Report

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 3.2 Evaluator's Report

#### Tasmanian Exercise Framework Evaluator's Report

Exercise Name:	
Evaluator:	
Agency / Capability:	
Location of Evaluation:	
Due Date:	
Recipient:	

#### Summary of Evidence

Objective 1:	
OBSERVATIONS	
What worked well and why?	
What didn't work well and why (Categorise each point by P <sup>2</sup> OST <sup>2</sup> E)	
People	
Process	
Organisation	
Support	
Technology	
Training	
Exercise	
ISSUE(S)	
TREATMENT OPTION(S)	
>	
Was the objective achieved:    yes    no    partially	
Why / why not?	

<repeat for each objective>

## Template 3.3 Participant Evaluation Questionnaire

### Template 3.3 Participant Evaluation Questionnaire

#### Exercise Evaluation Sheet – Participant Feedback

Exercise:

Exercise Date:

Agency:

Role: Player ☐ Observer ☐ Umpire ☐ Directing Staff ☐

#### Part 1: Recommendations and Corrective Actions

1. Based on the Exercise today and the tasks identified, list the top 3 areas that need improvement.
2. Is there anything you observed in relation to the Exercise that the umpire(s) might not have been able to experience, observe, and record?
3. Identify the corrective actions that should be taken to address the issues identified in 1. above. For each corrective action, indicate if it is a high, medium, or low priority.
4. Describe the corrective actions that relate to your area of responsibility. Who should be assigned responsibility for each corrective action?
5. List the applicable equipment, training, policies, plans, and procedures that should be reviewed, revised, or developed. Indicate the priority level for each.

#### Part 2: Participant Assessment

Assessment Factor	Strongly Disagree			Strongly Agree	
a. The exercise was well structured and organized.	1	2	3	4	5
b. The exercise scenario was plausible and realistic.	1	2	3	4	5
c. The Director/directing staff were knowledgeable about the area of play and kept the exercise on target.	1	2	3	4	5
d. The exercise documentation provided to assist in preparing for and participating in the exercise was useful.	1	2	3	4	5
e. Participation in the exercise was appropriate for someone in my position.	1	2	3	4	5
f. This exercise allowed my agency to practice and improve priority capabilities.	1	2	3	4	5
g. After this exercise, I believe my agency is better prepared to deal successfully with the scenario that was exercised.	1	2	3	4	5

## Template 4.1 Post-Exercise Evaluation Meeting Agenda

### Template 4.1 Post-Exercise Evaluation Meeting Agenda

#### **AGENDA**

**AIM:** Finalise the Exercise program and related reports.

**INPUTS:** Facilitator/s checklists and Exercise notes  
Exercise debrief notes  
Draft Exercise report

**OUTCOMES:** Finalised Exercise report  
Recommendations for future Exercise programs  
Identified arrangements for implementing recommendations

**AGENDA:**

1. Review Exercise planning:
  - a. concept development
  - b. detailed planning
  - c. conduct
  - d. post-Exercise
2. Review Exercise **Evaluation** Report
3. Process for dissemination of Exercise **Evaluation** Report
4. Recommendations for future activities
5. Arrangements for implementation of recommendations

## Template 4.2 Exercise Evaluation Report

*Note: this is a representation of the information required for this document.  
Please refer to the digital copy for the full version and explanation.*

### Template 4.2 Exercise Evaluation Report

#### **Tasmanian Exercise Framework Exercise Evaluation Report**

*<insert name of Exercise>*

Author(s):

#### Executive Summary

*<one page introducing Exercise>*

#### **1. Background**

- 1.1 Background to the Exercise
- 1.2 Exercise management
- 1.3 Exercise aim
- 1.4 Expected Exercise objectives
- 1.5 Exercise scope
- 1.6 Participating organisations

#### **2. Exercise Evaluation Report**

- 2.1 Structure of the report
- 2.2 Commentary (for each outcome)
  - 2.2.1 Objective
  - 2.2.2 Rationale of the objective
  - 2.2.3 Observations
  - 2.2.4 Recommendations

#### **3. Conclusion**

#### **4. Attachments**

- 4.1 Consolidated list of recommendations
- 4.2 Glossary of terminology and acronyms
- 4.3 Exercise diagrams



