

### Key Points— Exercise Control

- There are two general requirements for exercise control:
  - "Each exercise must be conducted, controlled, evaluated, and critiqued effectively and reliably." (DOE O 151.1C, *Comprehensive Emergency Management System*, Attachment 2, *Contractor Requirements Document*, Paragraph 6, *Exercises*)
  - "The flow of the scenario timeline and events must be effectively controlled and the response of the Participants must be realistic and professional." (DOE G 151.1-3, *Programmatic Elements Emergency Management Guide*, Chapter 3, *Exercises*, Section 3.2, *General Approach*)

More specific guidance is contained in DOE G 151.1-3, Chapter 3, *Exercises*, and Chapter 4, *Readiness Assurance*.

- The Control Organization is responsible for controlling the exercise and is usually depicted on an organizational chart showing the categories of Controllers and lines of communication. The size of the Control Organization varies in number depending on the exercise scope
- The Exercise Director has overall responsibility for exercise planning, development, conduct, and evaluation. He/she also provides the opportunity to meet exercise objectives and starts, suspends, and terminates the exercise
- The Senior Controller oversees all exercise functions, including setup and takedown of an exercise, such as prop placement, signs, removal of debris, and positioning of Controllers and Evaluators. He/she is responsible for communications with Controllers and Evaluators. The Senior Controller also issues exercise materials via the Lead Controller or assigned Controller(s) to Responders/Players as required. The Senior Controller monitors exercise progress, and makes decisions regarding any deviations or changes. He/she coordinates any required modifications and debriefs Controllers and Evaluators in the Post-exercise Briefing
- The Timeline Coordinator is responsible for ensuring the exercise timeline remains on schedule, and is responsible for specific tasks or actions from the Control Cell. He/she is typically co-located with the Senior Controller, and receives timeline status reports from Lead Controllers and provides this information to the Senior Controller and the Exercise Director
- A Lead Controller coordinates the activities of several Controllers. He/she introduces, maintains, and coordinates exercise events in accordance with the Master Scenario Events List. He/she also ensures delivery of injects promptly as directed by the Senior Controller, observes and reports exercise artificialities that interfere with realism, and notifies the Senior Controller of events or need for changes
- A Control Cell is a simulation center located away from the Responders/Players. It is staffed by experienced Controllers (and/or Actors) who simulate or role-play Non-participating Organizations who would normally be involved in responding to an emergency
- Actors/Players are Controllers who simulate members of Non-participating Organizations and role-play key individuals, such as injured personnel
- A Controller Team delivers input to Responders/Players as described in the Master Scenario Events List and/or as directed by the Senior Controller and/or Lead Controller. The Controller Team also notifies the Lead Controller of events or need for changes

### Key Points— Exercise Evaluation

- There are general requirements for exercise evaluation according to DOE Order 151.1C:
  - "Each exercise must have specific objectives and must be fully documented (e.g., by scenario packages that include objectives, scope, timelines, injects, controller instructions, and evaluation criteria). Exercises must be evaluated. A critique process, which includes gathering and documenting observations of the Participants, must be established. Corrective action items identified as a result of the critique process must be incorporated into the emergency management program." (DOE Order 151.1C, Chapter IV, *Operational Emergency Hazardous Material Program*, Paragraph 4.b, *Exercises*)
  - "Each exercise must be conducted, controlled, evaluated, and critiqued effectively and reliably." (DOE O 151.1C, Attachment 2, *CRD*, Paragraph 6, *Exercises*)

More specific guidance is contained in DOE G 151.1-3, Chapters 3 and 4.

- The Evaluation Organization may vary in number depending on the exercise scope
- The value of exercise evaluation is the ability to provide constructive feedback (positive or negative) to improve and enhance the effectiveness of an organization's response to emergencies. Accurate and detailed documentation is critical in facilitating a full record of all the events in an exercise and an understanding of Responders/Players and Controllers actions
- The Lead Evaluator is a senior-level person who understands command and decision-making processes and interagency coordination, as well as specific response functions. He/she coordinates all evaluation functions including preparation of the After Action Report. He/she also observes, documents, and evaluates Controller and Responder/Player performances and adequacy of facilities and equipment. The Lead Evaluator also ensures collection of all evaluation data, Exercise Evaluation Guides, and materials after the exercise
- Evaluators observe, document, and evaluate Controller and Responder/Player performance and adequacy of facilities and equipment in assigned facility/area(s). They record key events and times as they occur. They also collect data information as it is distributed during the exercise

### Key Points— Roles and Responsibilities – Introduction

- Assignment of staff to Controller positions is the responsibility of the Senior Controller in coordination with the Exercise Director or Lead Exercise Planner
- Assignment of staff to Evaluator positions is the responsibility of the Lead Evaluator in coordination with the Exercise Director or Lead Exercise Planner
- Potential Controllers and Evaluators are identified from multiple sources, including the following:
  - Members of the Exercise Design Team
  - Experienced members of Participating Organizations and the Emergency Response Organization who are not involved in the exercise play
  - Professionals in similar agencies in adjacent or nearby jurisdictions
  - DOE/NNSA and contractor employees from other DOE/NNSA facilities and/or sites

- A Controller and Evaluator maintain confidentiality of exercise information by considering what he/she says and to whom, by protecting sensitive materials from inadvertent disclosure, and takes care in positioning himself/herself while observing an exercise activity to ensure his/her actions do not divulge specific information to Responders/Players
- The roles of each Controller are as follows:
  - Maintains safety and security precautions and limitations
  - Provides overall direction and control of an exercise
  - Ensures the continuity of the scenario
- The roles of each Evaluator are threefold:
  - Observes and documents performance of Controllers and Responders/Players as they seek to accomplish their objectives
  - Evaluates the performance against the exercise objectives, augmented by evaluation criteria contained in the EEGs
  - Provides input to develop the After Action Report

### **Key Points— Roles and Responsibilities – Prior to an Exercise**

- Each Controller and Evaluator reviews appropriate emergency plans, procedures, and checklists/tools used by Responders/Players to demonstrate their objectives
- Each Controller and Evaluator reviews appropriate emergency documentation for his/her assigned facility/area(s)
- The Controller must understand the Emergency Plans and Implementation Procedures being used by the Responders/Players he/she is controlling in order to understand the dynamics of an action or activity as it unfolds in the exercise play
- The Evaluator must understand the Emergency Plans and Implementation Procedures being used by the Responders/Players he/she is evaluating. The evaluation includes an assessment of Responders/Players' implementation of the plans and procedures, as well as an assessment of the adequacy of these plans and procedures
- Failure to review current plans and procedures results in Evaluator errors and skews evaluation results
- The Lead Evaluator ensure that all Evaluators receive plans and procedures far enough in advance to allow for a thorough review and that those Evaluators understand the importance of the plan and procedure review
- Each Controller and Evaluator reviews appropriate Controller and Evaluator materials. They receive their exercise materials at the Controller and Evaluator Exercise-specific Training

- The Controller and Evaluator (C/E) Handbook supplements the Exercise Plan (EXPLAN) by presenting more detailed information about the exercise scenario and describes exercise Controller's and Evaluator's roles and responsibilities
- A Controller and an Evaluator reorganizes his/her materials so information critical to his/her specific assignment is readily accessible when brought to the exercise
- The following tools are used by a Controller and/or an Evaluator:
  - Instructions list general information that each Controller or Evaluator needs for pre-exercise setup, exercise conduct and exercise evaluation
  - Protocols are ground rules or rules of conduct to remind exercise Participants of drillsmanship and safety issues
  - Organizations and assignments are illustrated in simple or complex charts depending on the scope and need of the exercise
  - Scenario materials may include the exercise objectives, scenario narrative, Master Scenario Events List, messages and injects, and general and facility-specific information and/or exercise data that varies depending on the type and scope of the exercise
  - Safety and Security Plans contain physical security, safety precautions and concerns, and information security to help a Controller and Evaluator to ensure all exercise Participants comply accordingly
  - Observation Sheets are forms used by each Controller and Evaluator to document his/her notes from the onset of pre-exercise activities through the conclusion of exercise activities
  - Several communication directories are used in an exercise:
    - A Controller/Evaluator Directory is provided to Controllers and Evaluators for communication within the Control and Evaluation Organizations
    - An Exercise Directory or Control Cell Directory is provided to Control Cell Controllers so they can contact Responders/Players as appropriate
    - A Responder/Player Directory is provided to Responders/Players so they can contact simulated organizations
  - Exercise Evaluation Guides (EEGs) are the primary tools used by an Evaluator to analyze the response. The EEGs list the exercise objectives to be demonstrated, and the criteria for meeting each objective. Based on the information observed and documented on Observation Sheets, the Evaluator fills out the EEGs after the exercise. Finally, the EEGs include the definitions of the rating system used to document performance
- Prior to an exercise, each Controller and Evaluator has the following tasks:
  - Attends required Controller and Evaluator Exercise-specific Training
  - Attends Responder/Player and Observer Briefings
  - Reports to the staging area

- Each Controller also:
  - Sets-up approved simulations
  - Conducts pre-start safety checks

### Key Points— Roles and Responsibilities – During an Exercise

- Each Controller provides overall directions and control of the exercise by:
  - Starting the exercise
  - Maintaining safety and security
  - Presenting scenario simulations
  - Using scenario messages
  - Presenting scenario information
  - Allowing free play
  - Maintaining exercise pace and focus
  - Continuity of scenario and exercise timeline
- Each Controller and Evaluator documents what he/she observes
- Each Controller documents the time of all significant activities associated with his/her part of the exercise, to include the following:
  - Message delivery and the effects of message(s) on play and any unexpected activities, and reports any discrepancy/deviation in scenario progress immediately to the Senior Controller
  - Contingency message delivery
  - Responders'/Players' key decisions and mitigation actions
  - Free play
  - Conversations with Responders/Players, other Controller, Evaluators, Observers/VIPs and Non-exercise Participants
- An Evaluator observes and documents Responders/Players and Controller performance activities during the exercise. An Evaluator uses the following techniques for effective observation and documentation:
  - Observes Responders/Players' actions, including free play, and hears conversations without interfering with those activities
  - Takes detailed notes concerning activities observed, including the time of occurrence
  - Stays in close proximity to Responders/Players decision makers

- Focuses on critical activities
- A Controller and an Evaluator watches for pitfalls such as the inability of Responders/Players to implement management directives, inability of technical support to monitor and assess actions being taken, inability to communicate, inability of Incident Command System to dispatch agencies, deviations from plans and procedures affecting response, and free play decisions that result in unanticipated actions
- Each Controller also:
  - Reports status of the response and any significant unplanned activities in his/her assigned facility/area(s) to the Lead Controller
  - Suspends exercise activities in the assigned facility/area(s) and reports suspension to the Senior Controller
  - Re-assembles the Responders/Players and restarts the exercise upon direction from Exercise Control
  - Receives termination notice from the Senior Controller and announces exercise termination to all Participants in the assigned facility/area(s). A Controller then monitors safety as the Responders/Players pack their equipment and return to service. An Evaluator notes the time and circumstances associated with the termination

### Key Points— Roles and Responsibilities – After an Exercise

- Each Controller and Evaluator:
  - Attends the Responders'/Players' Hotwash
  - Participates in the exercise evaluation process
  - Participates in the exercise organization's Post-exercise Briefing and the exercise report-writing processes
- The Lead Evaluator works with other Evaluators and Controllers during the evaluation process to complete the picture of Responders'/Players' and Controllers' actions and assesses whether objectives were met, and what improvements or corrective actions are needed
- The Post-exercise Briefing is conducted without Responders/Players or Managers (other than exercise management) being present. During this meeting, the following is accomplished:
  - Major issues are identified
  - Interfaces with offsite agencies are identified and evaluated
  - An actual timeline is constructed
  - Evaluators are divided into teams to complete their Exercise Evaluation Guides
  - Evaluators make the initial determination of whether the objective was met
- Once the EEGs are completed and documentation collected, the Lead Evaluator consults with individual Evaluators when questions are generated within the EEGs or clarifications are needed

**Key Points— After Action Report**

- The After Action Report (AAR) is prepared by the Evaluation Team to document evaluation of overall exercise performance. This report is the responsibility of the Lead Evaluator
- The AAR documents the observations and evaluations made by the Evaluators, Controllers, Responders/Players (self-critiques), and other Participating Organizations
- Once the AAR is drafted, the Evaluators review the report for accuracy. Observations are reviewed to ensure Responders/Players are measured against the evaluated organization's plans and procedures