[Exercise Name]

Controller/Evaluator Handbook

[Date]

The Controller/Evaluator (C/E) Handbook describes the roles and responsibilities of exercise controllers and evaluators, and the procedures they should follow. Because the C/E Handbook contains information about the scenario and about exercise administration, it is distributed to only those individuals specifically designated as controllers or evaluators; it should not be provided to exercise players. [For exercises with complex scale or scope, the Control Staff Instructions (COSIN) and Evaluation Plan (EvalPlan) can be used in place of the C/E Handbook.]

# Exercise Overview

|  |  |
| --- | --- |
| **Exercise Name** | [Insert the formal name of exercise, which should match the name in the document header] |
| **Exercise Dates** | [Indicate the start and end dates of the exercise] |
| **Scope** | This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters]. |
| **Focus Area(s)** | [Prevention, Protection, Mitigation, Response, and/or Recovery] |
| **Capabilities** | [List the capabilities being exercised] |
| **Objectives** | [List exercise objectives] |
| **Threat/Hazard** | [List the threat or hazard (e.g. natural/hurricane, technological/radiological release)] |
| **Scenario** | [Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences) |
| **Sponsor** | [Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable] |
| **Participating Organizations** | [Insert a brief summary of the total number of participants and participation level (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies). Consider including the full list of participating agencies in Appendix A.] [Delete Appendix A if not required.] |
| **Point of Contact** | [Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)] |

# General Information

## Exercise Schedule

[The full exercise schedule can be found in Appendix B]

| **Event** | **Date** | **Location (if needed)** |
| --- | --- | --- |
| Participant Registration | [Date] | [Location] |
| Participant Brief | [Date] | [Location] |
| Start of Exercise (StartEx) | [Date] | [Location] |
| End of Exercise (EndEx) | [Date] | [Location] |
| Hotwash | [Date] | [Location] |
| Controller/Evaluator Debrief | [Date] | [Location] |

Table 1. Exercise Schedule

## Objectives

The following exercise objectives in [Table 2] describe the expected outcomes for the exercise. The objectives are linked to capabilities, which are distinct critical elements necessary to achieve the specific focus area(s). The objectives and aligned capabilities are guided by senior leaders and selected by the Exercise Planning Team.

| **Exercise Objective** | **Core Capability** |
| --- | --- |
| [Insert objectives] | [Insert capability aligned to objective] |
| [Insert objectives] | [Insert capability aligned to objective] |
| [Insert objectives] | [Insert capability aligned to objective] |
| [Insert objectives] | [Insert capability aligned to objective] |
| [Insert objectives] | [Insert capability aligned to objective] |

Table 2. Exercise Objectives and Associated Capabilities

## Scenario

[Insert the scenario description necessary for Controller and Evaluator awareness, including scenario impacts]

More detailed scenario information is located in [Appendix C/the Ground Truth].

## Exercise Assumptions and Artificialities

In any exercise, assumptions and artificialities may be necessary to complete play in the time allotted and/or account for logistical limitations. Artificialities and constraints, such as the exercise assembly area, may detract from realism.

### *Assumptions*

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

* This exercise is conducted in a no-fault learning environment where systems and processes, not individuals, will be evaluated.
* The exercise scenario is realistic and plausible; events occur as they are presented.
* The goals and objectives of the exercise are consistent with functional area operations and technical plans and procedures, whenever possible.
* Exercise simulation contains sufficient detail to allow players to react to the information and situations as they are presented as if the simulated incident were real.
* Participants may need to balance exercise play with real-world emergencies. Real-world emergencies take priority.
* Exercise participants will comply with real response procedures unless otherwise directed by the control staff.
* [Additional assumptions as needed]

### *Artificialities*

During this exercise, the following artificialities apply:

* Exercise communication and coordination will be limited to participating exercise organizations, venues, and the Simulation Cell (SimCell).
* Only communication methods listed in the Communications Plan are available for players to use during the exercise.
* Participating agencies may need to balance exercise play with real-world emergencies. Real-world emergencies will always take priority.
* For this exercise, the weather used will be based on [simulated] weather which can be found in [Appendix C/the Ground Truth].

# Exercise Logistics

## Communications

The primary means of communication among Control Staff will be [radio, cellular phone, etc.] with [radio, cellular phone, etc.] as the secondary method.

The Exercise Director will initiate exercise play by transmitting the STARTEX via [the controller communications network].

All communications during the exercise will begin and end with the statement, [**“This is an exercise”]** or [**“Exercise. Exercise. Exercise.”]**

Exercise participants who place telephone calls or initiate communication with the SimCell must identify the agency, organization, office, or individual with whom they wish to speak.

The Exercise Director will cease exercise play by transmitting the End of Exercise (ENDEX) via [the controller communications network].

Key communication times during the exercise will be [key communication times].

The full Communications Plan can be found in Appendix [D]

## Safety and Real-World Emergencies

All participating organizations must recognize the importance of conducting an exercise of this magnitude as safely as possible. Safety will be an integral part of the exercise process.

### *General*

Exercise participant safety takes priority over exercise events. Although the organizations involved in this exercise come from various groups, they share the basic responsibility for ensuring a safe environment for all personnel involved in the exercise. Professional health and safety ethics should guide all participants to operate in their assigned roles in the safest manner possible. It is important to be aware that operating in an operations-based exercise environment is inherently dangerous.

The following general requirements apply to the exercise:

* A Safety Controller is responsible for participant safety; any safety concerns must be immediately reported to the Safety Controller. The Safety Controller and Exercise Director will determine if a real-world emergency warrants a pause in exercise play and when exercise play can be resumed. [The safety officer for this exercise is [Name].
* All controllers, evaluators, and other exercise staff will serve as safety observers while exercise activities are under way. Any safety concerns must be immediately reported to the Safety Officer.
* Participants will be responsible for their own and each other’s safety during the exercise. All persons associated with the exercise must stop play if a real-world safety problem exists. After the problem is corrected, exercise play may resume.
* All organizations will comply with their own environmental, health, and safety plans and procedures, in addition to appropriate federal, state, and local environmental health and safety regulations.

The following procedures will be used in case of an actual emergency or unsafe act:

* The controller(s) will suspend exercise play.
* The controller(s) will notify the Exercise Director or Lead Controller.
* The Exercise Director or Lead Controller will evaluate the situation and decide if the exercise can safely resume.

### *Accident Reporting and Real Emergencies*

For an emergency that requires assistance, use the phrase [**“real-world emergency.”]**

The following procedures should be used in case an emergency occurs during the exercise:

* Anyone who observes a participant who is seriously ill or injured will advise the nearest controller and (if possible) render aid, provided the aid does not exceed his or her training.
* The controller who is made aware of an emergency will provide the following information to the MCC Director and Exercise Director:
  + - Venue and function,
    - Location within the venue and function,
    - Condition, and
    - Requirements.
* The relevant VCC or other exercise location(s) shall be notified as soon as possible if an emergency occurs.
* If the nature of the emergency requires suspension of the exercise at the venue or function, all exercise activities at that facility will cease immediately. Exercise play may resume at that venue or function after the situation has been addressed and resolved.
* Exercise play at other venues and functions should not cease if one venue or function has declared an emergency unless they rely on the affected venue or are ordered to do so by the Exercise Director.
  + If a real-world incident requires resources committed to the safe conduct of the exercise, exercise leadership, in coordination with other leaders as appropriate, will convene to discuss potential courses of action.

### *Weapons Policy [delete section if not applicable]*

All participants will follow the relevant weapons policy for the exercising organization or exercise venue. [Please see the Weapons Safety Policy document for a detailed description of the weapons policy.]

### *Fire Safety [delete section if not applicable]*

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

[Insert any organization- or venue-specific guidelines or protocols.]

### *Emergency Medical Services [delete section if not applicable]*

The sponsor organization will coordinate with local emergency medical services in the event of a real-world emergency. [Insert any organization- or venue-specific guidelines or protocols.]

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

All applicable electrical and generating device safety requirements should be documented prior to the start of the exercise. [Insert any organization- or venue-specific guidelines or protocols.]

### *Refreshments*

[Insert information regarding food and beverage availability, procedures, and schedule. Include restrictions, if any, for food/beverage use in the venue]

## Security

### *Site Access*

To prevent unauthorized access to, confusion during, and interruption of the exercise sites and control cells, each venue will control entry to their site(s). The Master Control Cell/Venue Control Cells will be limited to exercise staff only. Players should be instructed to advise a member of the control staff if an unauthorized person is present. Each organization should follow its internal security procedures, augmented as necessary to comply with exercise requirements.

Master Control Cell access procedures include:

* [Attendees must]

### *Media/VIP/Observer Coordination [delete section if not applicable]*

Organizations with media personnel and/or observers attending the event should coordinate with the sponsor organization for access to the exercise site. Media/Observers are escorted to designated areas and accompanied by an exercise controller at all times. Sponsor organization representatives and/or the observer controller may be present to explain exercise conduct and answer questions. Exercise participants should be advised of media and/or observer presence. The media/VIP/Observer controller for this exercise is [Name, email, phone as applicable]. [Insert photo and camera policy if applicable].

### *Exercise Identification [delete section if not applicable]*

All exercise staff and observers will wear and display proper identification. Support staff, in coordination with venue security will issue appropriate identification information and guidance.

| Group | Color |
| --- | --- |
| Controllers | [White] |
| Evaluators | [Red] |
| Support Staff | [Green] |
| Players | [Blue] |
| Safety Controller | [Orange] |
| Observer | [Gray] |
| Media | [Purple] |
| Actors | [Yellow] |
| VIP | [Black] |

Table 3. Exercise Identification

# Post-exercise Activities

### Hotwash

At the conclusion of exercise play, site evaluators will facilitate a hotwash to allow players to discuss strengths and areas for improvement and allow evaluators to seek clarification regarding player actions and decision-making processes. Evaluators should actively participate in these hotwashes to validate their initial observations and gather new information. If controllers do not conduct a hotwash, evaluators should attempt to resolve any outstanding questions with exercise players before leaving the site. Evaluators should include details from these hotwashes and other follow up discussions in their EEGs and raw notes. All participants may attend; however, observers are not encouraged to attend the meeting.

[The Master Control Cell (MCC) will…]

### [Each Venue Control Cell (VCC) will,,,]

### Participant Feedback Forms

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

### Controller and Evaluator Debriefing

Controllers and evaluators attend a facilitated controller/evaluator debriefing immediately following the exercise [immediately following exercise activities each day and/or at the discretion of each site.]. During this debriefing, controllers and evaluators provide an overview of their observed [functional areas] and discuss strengths and areas for improvement [observed during that day].

**After Action Meeting**

Once the draft After Action Report is complete, senior leaders, evaluators, and program managers will come together for the After-Action Meeting (AAM) to finalize the AAR and create the Improvement Plan (IP). The AAM is scheduled for [date] located [place].

# Controller Information and Guidance

## Exercise Control Overview

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

## Exercise Control Structure

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

**See Figure 4.2 in HSEEP doctrine for further guidance**

Figure 1. Sample Exercise Control Structure [edit as needed or delete if not applicable]

## Exercise Control Documentation

### *Controller Package*

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

## *Master Scenario Events List*

MSEL injects are designed to stimulate exercise play and promote expected player actions. Each inject contains an implementer (occasionally referred to as the “script”) that contains the information needed to stimulate player response actions per the appropriate plan, policy, or procedure. Implementers may also contain related attachments to drive exercise play (e.g., maps, weather reports).

Controllers and simulators should review and understand each MSEL inject required for their segments of the exercise. If an inject is not understood, the controller should request clarification from his or her department/agency control cell representative. Certain MSEL injects contain specific information required by the player. This information should not be readily provided until the players have executed the relevant standard operating procedures.

Site controllers will report [insert MSEL reporting procedures for site controllers]

### *MSEL Tracking System Methodology*

[Insert MSEL tracking procedures]

### *MSEL Inject Release Process*

[Insert the MSEL inject release process]

### *Ad Hoc Contingency Inject Process*

Not all MSEL injects are preplanned or pre-scripted. Some will be ad hoc or contingency injects as expected player actions evolve. [Insert Ad Hoc inject process]

### *[Simulation Tools]*

[Insert information about any simulation tools used by controllers and simulators during the exercise]

### *[WebEOC (Delete if not needed)]*

[Insert information about how WebEOC will be used for control and simulation]

# Exercise Simulation

Because the exercise is of limited duration and scope, certain details will be simulated. The physical description of what would actually occur at the incident sites and surrounding areas will be relayed to players by simulators or controllers. The [SIMCELL] will simulate the roles and interactions of nonparticipating organizations or individuals, based on committed resources and capabilities as identified in individual extent of play forms.

## *[Control Cell/SIMCELL] Simulation*

The [Control Cell/SIMCELL] are responsible for simulation, control of exercise play, and any simulated field assets. The [control cell] will be responsible for all simulation not governed by [the SIMCELL].

Simulation is supported by department/agency subject-matter experts and is designed to replicate actions by departments, agencies, and field assets not participating in the exercise or ad hoc actions by participating departments and agencies where the segment of the department or agency that would normally take action is not participating. Actions by the simulators must be effectively synchronized with the exercise MSEL.

### *Overnight and Weekend Simulation Procedures*

[Insert guidance related to overnight and weekend simulation procedures].

### *Simulated Resource Tracking*

### [Insert simulated resource tracking procedures as applicable]

## Exercise Controller Instructions

Exercise Controllers fall into three categories:

* **Control Cell Controllers** operate in the MCC or VCCs, and their primary purpose is to monitor the performance of agency objectives. MCC controllers work closely with simulators to maintain oversight of their organization’s exercise play. VCC controllers will control and simulate for each VCC’s respective playing organizations at the direction of the VCC lead.
* **Venue Controllers** operate at site locations and player facilities. The purpose of site controllers is to monitor play and advise the control cell controller. They also advise players on aspects of simulation that are in play.
* **Simulators** operate at the appropriate control cell and provide subject-matter expertise and simulation for all nonplaying entities under their jurisdiction. Simulators generate injects for their organization, receive player responses, and are responsible for monitoring the status of expected player actions.

Controllers should follow these instructions:

### *Before the Exercise*

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

### *During the Exercise*

* Wear controller identification items (e.g., badge).
* Avoid personal conversations with exercise players.
* If you have been given injects, deliver them to appropriate players at the time indicated in the MSEL (or as directed by the Exercise Director). **Note:** If the information depends on some action to be taken by the player, do not deliver the inject until the player has earned the information by successfully accomplishing the required action.
* When you deliver an inject, notify the [Senior Controller or Control Cell] and note the time that you delivered the inject and player actions.
* Begin and end all exercise communications with the statement, [**“This is an exercise.”]**
* Do not prompt players regarding what a specific response should be, unless an inject directs you to do so. Clarify information but do not provide coaching.
* Ensure that all observers and media personnel stay out of the exercise activity area. If you need assistance, notify the Exercise Director.
* Do not give information to players about scenario event progress or other participants’ methods of problem resolution. Players are expected to obtain information through their own resources.

### *After the Exercise*

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

The Lead Venue Controller must ensure that subordinate site controllers are prepared to monitor play and advise players on aspects of simulation that are in play.

### Controller Responsibilities

The following table details controller responsibilities. For controller assignment details, see [Appendix E].

| Controller Responsibilities |
| --- |
| **Exercise Director** |
| * Oversees all exercise functions * Oversees and remains in contact with controllers and evaluators * Oversees setup and cleanup of exercise, and positioning of controllers and evaluators |
| **Senior Controller** |
| * Monitors exercise progress * Coordinates decisions regarding deviations or significant changes to the scenario * Monitors controller actions and ensures implementation of designed or modified actions at the appropriate time * Debriefs controllers and evaluators after the exercise * Oversees setup and takedown of the exercise |
| **Safety Controller** |
| * Monitors exercise safety during exercise setup, conduct, and cleanup * Receives any reports of safety concerns from other controllers or participants |
| **Public Information Officer (PIO)** |
| * Provides escort for observers * Provides narration and explanation during exercise events, as needed * Performs pre-exercise and post-exercise public affairs duties * May act as media briefer and escort at exercise site * Serves as safety officer for his or her site |
| **Venue Controller** |
| * Issues exercise materials to players * Monitors exercise timeline * Provides input to players (i.e., injects) as described in MSEL * Serves as safety officer for his or her site |
| **Simulation Cell (SimCell) Controller** |
| * Role plays as nonparticipating organizations or individuals * Monitors exercise timeline * Provides input to players (i.e., injects) as described in MSEL |

Table 4. Controller Responsibilities

### *Problem Resolution*

[Problem resolution procedures]

[Overall control of the exercise will be the responsibility of the Exercise Director, Deputy Exercise Director, and the personnel staffing at the various positions in the MCC. Although overall control of the exercise resides with the MCC, VCCs generally operate independently and ensure that the exercise Master Scenario Events List (MSEL) for a particular venue is executed as planned. Although the VCCs operate independently, it is the responsibility of the MCC to ensure that all venue activities are aligned with and in support of the identified control and simulation architecture.]

## *Master Control Cell and Exercise Venue Briefings and Meetings*

[Insert information for any daily briefings control staff will be required to attend or conduct. Could also include in Appendix B Exercise Schedule]

# Evaluator Information and Guidance

## Exercise Evaluation Overview

Exercise evaluation assesses an organization’s capability to accomplish a mission, function, or objective. Evaluation provides an opportunity to assess performance of critical tasks to capability target levels. Effective evaluation will facilitate thorough analysis of exercise events and help identify key issues, potential best practices, and areas for improvement.

## Evaluation Structure

During conduct, evaluators will observe, and document exercise play at various exercise locations. Evaluators should be located so they can observe player actions and hear conversations without interfering with those activities. In certain conditions, more than one evaluator may be needed in a particular setting or area. As shown inFigure [#], the evaluation team will have members in the [Master Control Cell (MCC) or Simulation Cell (SIMCELL)] to coordinate and communicate with evaluators through [the Venue Control Cells (VCCs)]. Evaluation staffing within the various exercise locations will differ depending on site requirements. Evaluation will be coordinated through the MCC.] For specific evaluator assignments, see [Appendix E]. For exercise site maps highlighting key locations, see [Appendix F]

**See Figure 5.2 in HSEEP doctrine for additional guidance**

Figure 1: Evaluation Structure

### Documentation

### *Evaluator Package*

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

*Participant Feedback Forms*

Participant Feedback Forms provide players and exercise staff, including evaluators, the opportunity to comment on exercise activities and exercise design on a non-attributable form. [Feedback forms will be available at the beginning of the exercise to allow players to capture information throughout their individual play.] Evaluators should collect completed forms, in coordination with site controllers, at the conclusion of exercise play at their respective evaluation sites.

### *Raw Notes*

Evaluators should also keep separate [hard copy/electronic files] of raw notes taken during exercise conduct. These notes should inform their completion of the EEGs but will also serve as an overall record of evaluation observations from the exercise. Evaluators should submit all notes and EEGs to the Lead Evaluator at the conclusion of the exercise.

### *Exercise Evaluation Guides*

EEGs are structured to capture information specifically related to the evaluation requirements developed by the Exercise Planning Team. Evaluators should complete these guides as fully as possible, with clear assessments of how players completed the critical tasks. These critical tasks reflect the policies and procedures outlined in the following plans:

* [List the plan, policies, and procedures being evaluated during the exercise]

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

### Exercise Evaluator Instructions

Effective evaluation is based on the following techniques:

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

### *Evaluator Training*

Evaluators are required to attend at least one session of evaluator training. This training provides comprehensive information on evaluators’ specific roles and responsibilities during the exercise as well as best practices for exceptional data collection in support of exercise evaluation. Evaluators will learn what to expect from exercise conduct, how to navigate the EEGs, and how to submit their completed evaluation materials.

Evaluators are also encouraged to complete the Emergency Management Institute’s (EMI’s) recently-updated exercise evaluation training course, [IS-130.a - How to be an Exercise Evaluator](https://training.fema.gov/IS/courseOverview.aspx?code=IS-130.a). Anyone who has not previously evaluated an exercise should complete this short online course in addition to the evaluator training.

### *Using Exercise Evaluation Guides*

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

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

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

### *Recording Events*

Although numerous events may occur simultaneously, evaluators do not need to record every single action. Knowing which events are important eliminates superfluous information and provides the type of data most useful for evaluation. Individuals preparing the AAR will analyze the results provided by all evaluators to develop an accurate representation of exercise plans and capabilities. Their analysis will focus on the timing of key events, decisions made, and actions taken. Observation notes should include *if* and *how* quantitative or qualitative targets were met. For example, a capability target might state, “*Within 4 hours of the incident….”* Notes on that target should include the actual time required for exercise players to complete the critical tasks. Additionally, observations should include:

* How the target was or was not met;
* Timeliness of actions;
* Pertinent decisions made and information gathered to make decisions;
* Requests made and how requests were handled;
* Resources utilized;
* Plans, policies, procedures, or legislative authorities used or implemented;
* Communication among players and organizations;
* Key decisions made and the times these decisions are made;
* Deviations from plans and implementation procedures;
* Equipment issues in relation to player efforts; and,
* Any other factors contributed to the results.

Evaluators should also note if an obvious cause or underlying reason resulted in players not meeting a capability target or critical task. However, the evaluators should not include recommendations in the EEGs.

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

**Performed without Challenge (P):** The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws.

**Performed with Some Challenges (S):** The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified.

**Performed with Major Challenges (M):** The targets and critical tasks associated with the capability were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws.

**Unable to be Performed (U):** The targets and critical tasks associated with the capability were not performed in a manner that achieved the objective(s).*Placement and Monitoring*

## Evaluator Roles and Responsibilities

### *General*

* Avoid personal conversations with players.
* Do not give information to players about event progress or other participants’ methods of problem resolution. Players are expected to obtain information through their own resources.

### *Before the Exercise*

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

### *During the Exercise*

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

### *After the Exercise*

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

The evaluation team will deliver an initial draft of the After-Action Report (AAR) for review by [Date]. To meet this deadline, the evaluation team requests that evaluators provide their completed EEGs and notes to the AAR team by [date]. All evaluation data should be emailed to [POC]. To the extent possible, all notes and EEG submissions should be typed and electronically submitted. This rapid data collection will allow the evaluation team to begin drafting the AAR immediately following conduct and deliver a final draft into concurrence in a timely manner.

### *Daily Evaluator Coordination Calls (delete if not applicable)*

[Insert]

# Appendix A: Exercise Participants

| **Participating Organizations** |
| --- |
| **Federal** |
| [Federal Participant] |
| [Federal Participant] |
| [Federal Participant] |
| **State** |
| [State Participant] |
| [State Participant] |
| [State Participant] |
| **[Jurisdiction A]** |
| [Jurisdiction A Participant] |
| [Jurisdiction A Participant] |
| [Jurisdiction A Participant] |
| **[Jurisdiction B]** |
| [Jurisdiction B Participant] |
| [Jurisdiction B Participant] |
| [Jurisdiction B Participant] |

# Appendix B: Exercise Schedule

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

| Day 1: [Date] | Personnel | Activity | Location |
| --- | --- | --- | --- |
| [Time] | Controllers, evaluators, and exercise staff | Controller and Evaluator Briefing | [Location] |
| As needed | Controllers and exercise staff | Set up control cell and walkthrough | [Location] |

| Day 2: [Date] | Personnel | Activity | Location |
| --- | --- | --- | --- |
| [Time] | Controllers and exercise staff | Check-in for final instructions and communications check | [Location] |
| [Time] | Media | Media Briefing | [Location] |
| [Time] | VIPs and selected exercise staff | VIP Controller Briefing | [Location] |
| [Time] | Controllers and evaluators | Controllers and evaluators in starting positions | [Location] |
| [Time] | All | Controllers provide player briefs | [Location] |
| [Time] | All | Exercise starts | [Location] |
| [Time] | All | Exercise ends | [Location] |
| Immediately Following the Exercise | All | Venue Hotwashes/turn in all Participant Feedback Forms | [Location] |

| Day 3: [Date] | Personnel | Activity | Location |
| --- | --- | --- | --- |
| [Time] | Controllers, evaluators, and elected and appointed officials | Controller and Evaluator After Action Review | [Location] |

#### 

# Appendix C: Exercise Scenario

## Scenario

[Insert the detailed exercise scenario narrative or scenario ground truth, including scenario information across all venues and functions. This should establish a common understanding of the scenario for all controllers and evaluators.]

## Weather

[Insert weather for the exercise day(s) including if it is real weather or simulated.]

## Major Events

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

### [Venue Name]

* [Insert a list of major exercise events at each venue, including both simulated scenario events and important expected player actions.]
* [Insert event description.]
* [Insert event description.]

# Appendix D: Communications Plan

## Controller Directory

| **Name** | **Agency** | **Location** | **Phone** | **Email** |
| --- | --- | --- | --- | --- |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |

## Simulation Cell Directory

| **Name** | **Simulating Agency** | **Phone** | **Email** |
| --- | --- | --- | --- |
| [Name] | [Agency] | [Phone] | [Email] |
| [Name] | [Agency] | [Phone] | [Email] |
| [Name] | [Agency] | [Phone] | [Email] |
| [Name] | [Agency] | [Phone] | [Email] |
| [Name] | [Agency] | [Phone] | [Email] |
| [Name] | [Agency] | [Phone] | [Email] |

## Evaluator Directory

| **Name** | **Agency** | **Location** | **Phone** | **Email** |
| --- | --- | --- | --- | --- |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |
| [Name] | [Agency] | [Location] | [Phone] | [Email] |

# Appendix E: Controller and Evaluator Assignments

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

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

# Appendix F: Exercise Site Maps

Figure E.1: [Map Title]

[Insert map]

Figure E.2: [Map Title]

[Insert map]

# Appendix G: Acronyms

| **Acronym** | **Term** |
| --- | --- |
| C/E | Controller/Evaluator |
| DHS | U.S. Department of Homeland Security |
| HSEEP | Homeland Security Exercise and Evaluation Program |
| SME | Subject Matter Expert |
| [Acronym] | [Term] |
| [Acronym] | [Term] |
| [Acronym] | [Term] |