



Ice Storm Event



Explosive Event



Anthrax Release



Pan Flu Epidemic



Instruction Manual

Tabletop, Functional,
and Full-Scale Exercises

January 2009

Prepared by:



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INSTRUCTION MANUAL
FOR
TABLETOP, FUNCTIONAL, AND FULL-SCALE EXERCISES

Prepared for

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Office of Emergency Preparedness

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1.0 INTRODUCTION

The Minnesota Department of Health (MDH) Office of Emergency Preparedness (OEP), in collaboration with Regional Healthcare Preparedness Coordinators (RHPC), coordinates emergency preparedness planning activities with hospitals, clinics, emergency medical services, public health, emergency management, and other healthcare system partners. Each year MDH prepares the Healthcare System Preparedness Program (HSPP) Work Plan, which identifies preparedness activities for MDH, health care partners, and other stakeholders. One of these major activities is to develop the tools to implement a training and exercise program. The HSPP Work Plan also recommends that the training and exercise program complies with the U.S. Department of Homeland Security Exercise Evaluation Program (HSEEP). All exercises sponsored with federal funds are required to use HSEEP standards and framework. At this time, the Office of the Assistant Secretary for Preparedness and Response (ASPR) does not require HSEEP compliance for healthcare exercises, but many of our federal partners are required to meet HSEEP compliance requirements and we strongly encourage you to work with them utilizing the HSEEP compliant protocols. The HSEEP standards and framework provide a best practices approach to exercise development and implementation.

As described in the HSPP Work Plan, MDH and an Exercise Planning Team (EPT), consisting of representatives from across Minnesota, developed (1) a suggested training and exercise program schedule, and (2) four scenario-based workbooks containing HSEEP-compliant Table Top (TTX), Functional (FE), and Full Scale (FSE) exercises that can be customized to meet the specific needs of each region.

This instructional document is designed to complement the workbooks by providing (1) an overview of HSEEP compliance requirements and a brief explanation about the design and development of the training and exercise program schedule and scenario workbooks, and (2) guidance on how to use the scenario workbooks and tailor them to meet each region's specific needs and requirements.

Please note that this document is neither a HSEEP instructional document nor a certifiable training HSEEP tool; it is a general instructional document intended to complement MDH's exercise workbooks.

2.0 OVERVIEW

This section provides a brief overview of the HSEEP compliance requirements. Detailed information about HSEEP can be found at https://hseep.dhs.gov/pages/1001_HSEEP7.aspx.

HSEEP is a capabilities and performance-based exercise program that provides exercise designers with (1) a general format for designing a self sustaining, multi-year training and exercise program; and (2) a standardized methodology and consistent terminology for designing, conducting, and evaluating exercises. Through conducting a variety of types of exercises, agencies obtain objective assessments of their preparedness and response capabilities so that gaps, deficiencies, and vulnerabilities are identified and remedied prior to a real incident.

HSEEP recommends designing a training and exercise program that implements select capabilities from the DHS Target Capability List (TLC). HSEEP also recommends that the training and exercise program include a cycle, mix, and range of exercise activities of varying degrees of complexity. This includes a mix of discussion-based and operational-based exercises such as TTXs, FEs, and FSEs. The multi-year training and exercise program should follow a building block approach with increasingly complex exercises that build upon lessons learned from previous exercises.

MDH's HSPP goal is to provide tools to implement a multi-year training and exercise program with a mix of TTXs, FEs, and FSEs that are HSEEP compliant. In order to be considered HSEEP compliant, organizations must satisfy four distinct performance requirements (as detailed at https://hseep.dhs.gov/pages/1001_About.aspx):

1. Conduct an annual Training and Exercise Plan Workshop, and develop and maintain a Multi-year Training and Exercise Plan which includes a mix of trainings and exercises including seminars, workshops, TTXs, games, drills, FEs, and FSEs.
2. Plan and conduct exercises in accordance with the guidelines set forth in HSEEP Volumes I-III.
3. Develop and submit a properly formatted AAR/IP.
4. Track and implement corrective actions identified in the AAR/IP.

The following sections describe how MDH developed the training and exercise program and exercise workbooks to meet the performance requirements.

#1: Conduct an annual Training and Exercise Plan Workshop, and Develop and Maintain a Multi-year Training and Exercise Plan:

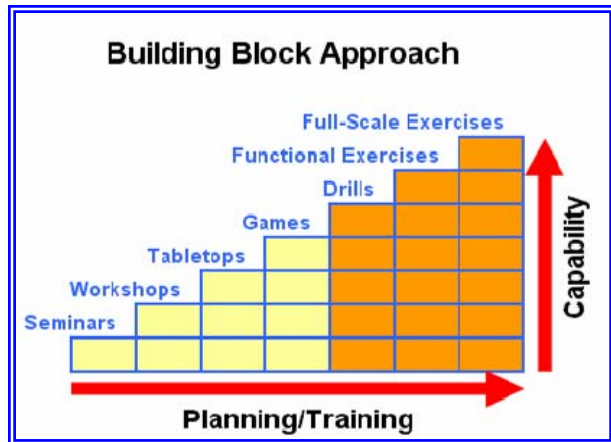
To design the training and exercise program, MDH selected an EPT that consisted of RHPCs and other healthcare partners including representatives from MDH, the University of Minnesota, MN Department of Homeland Security and Emergency Management, and public health. In July 2007, the EPT conducted a Training and Exercise Plan Workshop at which participants discussed the HSEEP process—specifically, development of a multi-year training and exercise program schedule.

MDH selected four scenarios for this exercise program: an ice storm, a pandemic influenza outbreak, an explosive incident, and an anthrax release. The hazard scenarios were selected based on government grant requirements and Minnesota hazard vulnerability assessments. They were also selected because they capture a diverse range of public health outcomes on a scale that would challenge local capability and capacity. The EPT then selected specific target capabilities from the DHS TCL that were most applicable to a health incident. Through discussion, the EPT selected the following target capabilities for each scenario (Table 1):

**TABLE 1
TARGET CAPABILITIES FOR THE FOUR SCENARIOS**

| ICE STORM | PANDEMIC FLU | EXPLOSIVE EVENT | ANTHRAX RELEASE |
|--|--|---|---|
| Emergency Public Information and Warning | Isolation and Quarantine | Critical Resource Logistics and Distribution <i>(Bed Tracking and Resource Management)</i> | Citizen Evacuation and Shelter-In-Place <i>(Hospital Evacuation)</i> |
| Communications <i>(Interoperable)</i> | Medical Supplies Management and Distribution | Medical Surge <i>(Alternate Care Sites)</i> | Emergency Operations Center Management <i>(Jurisdiction Incident Management)</i> |
| Mass Care | Medical Surge | Mass Care | Mass Prophylaxis |
| On-Site Incident Management <i>(Incident and Unified Command)</i> | Volunteer Management and Donations | Fatality Management Plans | Critical Resource Logistics and Distribution <i>(Mobile Medical Assets/Facilities)</i> |
| | | Emergency Triage and Pre-Hospital Treatment <i>(Hospital Notification)</i> | Critical Resource Logistics and Distribution <i>(Pharmaceutical Caches)</i> |
| | | | WMD/Hazardous Materials Response and Decontamination |
| | | | Responder Safety and Health <i>(PPE)</i> |

This figure demonstrates the HSEEP concept of a building block approach (a variety of exercises from lesser to greater degrees of complexity). The EPT's training and exercise program, which is presented in Attachment 1, describes a four-year schedule that includes target capabilities first practiced in TTXs and FEs, and then tested in a more complicated FSE. It is suggested that other training opportunities, such as seminars, workshops, games, and drills, be implemented into the four-year schedule.



#2: Plan and Conduct Exercises in Accordance With the Guidelines Set Forth in HSEEP Volumes I-III.

Once the suggested training and exercise program schedule was finalized, the EPT met periodically throughout the year to develop four scenario-specific workbooks. The concept of the workbook is to provide each user with all the tools and documentation necessary to readily implement HSEEP-compliant and scenario-specific TTXs, FEs, and FSEs.

Each workbook provides all regions with a common baseline in terms of scenario-specific (and approved) language, procedures, and protocols. MDH and the EPT selected the target capabilities, designed the objectives to test procedures and protocols, and developed each of the four scenarios. In the event that a user has already practiced the target capabilities in their region through past exercises, the workbooks are designed to be flexible and easily customized.

Each of the four scenario-specific workbooks contains all of the required HSEEP documentation for implementing a TTX, FE, and FSE. The HSEEP documentation is nearly complete; however, the user will have to fill in region-specific information when implementing the exercises. Some of the documents may also require modification based on the disciplines of the Players invited to participate in the exercises.

Table 2 presents the HSEEP documentation included in each workbook. A brief description of each document is provided after the table (detailed descriptions can be found at https://hseep.dhs.gov/pages/1001_About.aspx).

TABLE 2
HSEEP DOCUMENTATION IN EACH WORKBOOK

| TABLE TOP EXERCISE | FUNCTIONAL EXERCISE | FULL SCALE EXERCISE |
|---|---|---|
| Situation Manual | Exercise Plan | Exercise Plan |
| Exercise Evaluation Guides | Player's Manual | Player's Manual |
| Participant Feedback Sheets | Controller/Evaluator Manual | Controller/Evaluator Manual |
| After Action Report / Improvement Plan | Master Scenario Events List | Master Scenario Events List |
| PowerPoint Slides | Exercise Evaluation Guides | Exercise Evaluation Guides |
| | Participant Feedback Sheet | Participant Feedback Sheet |
| | After Action Report / Improvement Plan | After Action Report / Improvement Plan |

Situation Manual (SITMAN): the SITMAN is a participant handbook for discussion-based exercises, particularly TTXs. It provides background information on exercise scope, schedule, and objectives. It also presents the scenario narrative that will drive participant discussions during the exercise.

Exercise Plan (ExPlan): the ExPlan typically applies to operations-based exercises (FEs and FSEs), provides an exercise synopsis, and is published and distributed to Players and Observers prior to the start of the exercise. The ExPlan addresses exercise objectives and scope, and assigns roles and responsibilities that must be carried out for successful exercise execution. The ExPlan does not contain detailed scenario information.

Controller and Evaluator (C/E) Manual: the C/E Manual supplements the ExPlan, containing more detailed information about the exercise scenario and describing exercise Controllers' and Evaluators' roles and responsibilities. Because the C/E Handbook contains information on the scenario and exercise administration, it is distributed only to those individuals specifically designated as Controllers and Evaluators.

Master Scenario Events List (MSEL): the MSEL is a chronological timeline of expected actions and scripted events (injects) to be inserted into exercise play by Controllers in order to generate or prompt Player activity. It ensures necessary events happen so that all exercise objectives are met.

Exercise Evaluation Guides (EEGs): the EEGs provide Evaluators with information on what tasks they should expect to see accomplished or discussed during an exercise.

#3: Develop and Submit a Properly Formatted AAR/IP.

Each workbook contains a draft HSEEP-compliant AAR/IP that the EPT is required to complete after finishing a TTX, FE, or FSE.

#4: Track and Implement Corrective Actions Identified in the AAR/IP.

Each exercise in each workbook contains a draft Improvement Plan Matrix (located at the end of the AAR). The Improvement Plan Matrix requires participants to identify areas of weakness and document a responsible party/agency to implement the activities required to improve the weakness by a specified date or the next scheduled exercise.

3.0 HOW TO USE THE WORKBOOKS

MDH will officially roll out the suggested training and exercise program and the four scenario workbooks in January, 2009. During this time, various healthcare system partners, including each RHPC, will receive (1) a copy of this instructional book, and (2) a disc containing the suggested training and exercise schedule and the contents of the four scenario workbooks (HSEEP documents). The documents are in Microsoft Word and can be modified.

As discussed previously, the scenario workbooks were developed to provide each user with all the tools and documentation necessary to readily implement an HSEEP-compliant training and exercise program and scenario-specific TTXs, FEs, and FSEs. The workbooks are nearly complete; they just need to be customized to include additions based on disciplines of the Players invited to participate. An interagency, multi-discipline EPT must be formed so that the workbooks can be tailored. It is recommended that the newly formed EPT schedule and conduct the following HSEEP meetings before implementing an exercise (whether the exercise is a TTX, FE, or FSE). Attachment 2 provides a checklist for EPT members to use during each meeting.

Concept and Objectives (C&O) Meeting: During this meeting, the EPT will decide if objectives, in addition to those objectives already developed in the workbooks, will be required based on the disciplines of the invited Players. For example, if representatives of the fire department are invited to participate in the exercises, they may have objectives different from the healthcare system partner's objectives.

Initial Planning Conference (IPC): During the IPC, the EPT assigns responsibilities for tasks associated with completing the draft exercise documents. For example, the scenario may be customized based on specific regional information. Or, logistical information such as where the exercise will occur needs to be incorporated into the draft documents.

Midterm Planning Conference (MPC): If necessary, the MPC is an appropriate forum to review and modify draft exercise documentation (i.e., scenario, ExPlan, Controller and Evaluator Handbook, MSEL). During this meeting, the EPT may determine the Controllers, Facilitators, Evaluators, Observers, etc.

Master Scenario Events List (MSEL) Conference: The MSEL Conference, which is not required for discussion-based exercises, should focus on MSEL development. A draft MSEL is already provided in the workbook; however, it may be customized based on the disciplines of the invited Players. For example, if representatives of the fire department participate in the exercise, their expected actions will need to be scripted and included in the MSEL.

Final Planning Conference (FPC): The FPC provides a forum for finalizing the draft exercise documents. EPT members should receive final drafts of all exercise materials prior to the FPC. No major changes to the design or scope of the exercise or its supporting documentation should take place at this stage.

ATTACHMENT 1
SUGGESTED TRAINING AND EXERCISE PROGRAM SCHEDULE

SUGGESTED TRAINING AND EXERCISE PROGRAM SCHEDULE
(SUMMARY OF EXERCISE SCENARIOS AND TESTED TARGET CAPABILITIES)

| YEAR 1 (Exercise Development) | YEAR 2 (Conduct TTX, FE, and FSE Exercises) | | | | YEAR 3 (Conduct TTX, FE, and FSE Exercises) | | | | YEAR 4 (Conduct TTX, FE, and FSE Exercises) | | | | |
|------------------------------------|--|-------------------------------|------------------------------|-------------------------------|--|---------------------------------|--------------------------------------|-------------------------------|--|--------------------------------------|-----------|------------------------------------|--|
| Scenario 1: Ice Storm | TTX | | FE | | | FSE | | | | | | | |
| | Emergency Public Info & Warning | | | | | Emergency Public Info & Warning | | | | | | | |
| | Interoperable Communications | | Interoperable Communications | | | Interoperable Communications | | | | | | | |
| | Mass Care (Sheltering) | | Mass Care (Sheltering) | | | Mass Care (Sheltering) | | | | | | | |
| | Incident and Unified Command | | | | | Incident and Unified Command | | | | | | | |
| Scenario 2: Pan Flu | | TTX | | FE | | | | FSE | | | | | |
| | | Isolation/Quarantine | | Isolation/Quarantine | | | | Isolation/Quarantine | | | | | |
| | | Medical Supplies Mgmt & Dist. | | Medical Supplies Mgmt & Dist. | | | | Medical Supplies Mgmt & Dist. | | | | | |
| | | Medical Surge Capabilities | | Medical Surge Capabilities | | | | Medical Surge Capabilities | | | | | |
| | | Volunteers - ESAR-VHP | | Volunteers - ESAR-VHP | | | | Volunteers - ESAR-VHP | | | | | |
| Scenario 3: Explosive Event | | | | | TTX | | FE | | | FSE | | | |
| | | | | | Bed Tracking and Resource Management | | Bed Tracking and Resource Management | | | Bed Tracking and Resource Management | | | |
| | | | | | Alternate Care Sites | | | | | Alternate Care Sites | | | |
| | | | | | Mass Care Sites | | | | | Mass Care Sites | | | |
| | | | | | Fatality Management | | | | | Fatality Management | | | |
| | | | | | Triage and Hospital Notification | | Triage and Hospital Notification | | | Triage and Hospital Notification | | | |
| Scenario 4: Anthrax | | | | | | | | | TTX | | FE | FSE | |
| | | | | | | | | | | Hospital Evacuation | | Hospital Evacuation | |
| | | | | | | | | | Jurisdiction Incident Mgmt | Jurisdiction Incident Mgmt | | Jurisdiction Incident Mgmt | |
| | | | | | | | | | Mass Prophylaxis Capabilities | | | Mass Prophylaxis Capabilities | |
| | | | | | | | | | Mobile Medical Assets / Facilities | | | Mobile Medical Assets / Facilities | |
| | | | | | | | | | Pharmaceutical Caches | | | Pharmaceutical Caches | |
| | | | | | | | | | | WMD/Hazmat PPE/Decon | | WMD/Hazmat PPE/Decon | |

ATTACHMENT 2
EXERCISE DESIGN CHECKLIST

EXERCISE DESIGN CHECKLIST

| Exercise Planning Tasks | Responsible Party | Contact Information | Due Date | Date Completed |
|--|-------------------|---------------------|----------|----------------|
| I. FOUNDATION | | | | |
| Develop exercise budget | | | | |
| Identify exercise work group participants | | | | |
| Schedule next conference date | | | | |
| II. DESIGN AND DEVELOPMENT | | | | |
| A. Planning Conferences | | | | |
| <i>1. Concepts and Objectives (C&O) / Initial Planning Conference (ICP)</i> | | | | |
| Prepare and send email invitations and read-ahead packets (i.e., background documents) | | | | |
| Develop agenda, presentation, and sign-in sheets | | | | |
| Determine exercise scope (including tested capabilities, objectives, and scenario) | | | | |
| Determine date for next planning conference | | | | |
| Assign responsibilities and due dates for tasks | | | | |
| Develop ICP minutes | | | | |
| Begin development of exercise documentation | | | | |
| <i>2. Mid-Term Planning Conference (MPC)</i> | | | | |
| Prepare and send email invitations and read-ahead packets (i.e., draft documents) | | | | |
| Develop agenda, presentation, and sign-in sheets | | | | |
| Determine date for next planning conference | | | | |
| Assign responsibilities and due dates for tasks | | | | |
| Conduct exercise site/venue visits | | | | |
| Develop MPC minutes | | | | |
| Continue development of draft exercise documentation | | | | |
| <i>3. Master Scenario Events List (MSEL) Conference</i> | | | | |
| Prepare and send email invitations and read-ahead packets | | | | |
| Determine date for next planning conference | | | | |
| Assign responsibilities and due dates for tasks | | | | |
| Develop MSEL chart | | | | |
| Continue development of draft exercise documents | | | | |

EXERCISE DESIGN CHECKLIST

| Exercise Planning Tasks | Responsible Party | Contact Information | Due Date | Date Completed |
|---|-------------------|---------------------|----------|----------------|
| 4. Final Planning Conference (FPC) | | | | |
| Prepare and send email invitations and read-ahead packets (i.e., draft documents) | | | | |
| Develop agenda, presentation, and sign-in sheets | | | | |
| Determine date for next planning conference | | | | |
| Assign responsibilities and due dates for tasks | | | | |
| Review all exercise materials, documents, and tasks | | | | |
| Develop FPC minutes | | | | |
| Finalize exercise documentation | | | | |
| B. Scope | | | | |
| Identify tested capabilities and exercise objectives | | | | |
| Identify exercise participants (players, controllers, evaluators, etc.) | | | | |
| C. Scenario | | | | |
| Identify threat/hazard and/or specific agent | | | | |
| Identify exercise venue/site | | | | |
| Determine exercise weather conditions | | | | |
| Determine date and time for scenario to take place | | | | |
| D. Documentation | | | | |
| Develop Exercise Plan (EXPLAN) | | | | |
| Develop Controller and Evaluator (C/E) Handbook | | | | |
| Develop Player's Handbook | | | | |
| Develop MSEL | | | | |
| Develop Exercise Evaluation Guides (EEG) | | | | |
| Develop participant feedback forms | | | | |
| Develop exercise schedule | | | | |
| Develop list of controller and evaluator assignments | | | | |
| Develop coresponding multi-media exercise presentation (powerpoint) | | | | |

EXERCISE DESIGN CHECKLIST

| Exercise Planning Tasks | Responsible Party | Contact Information | Due Date | Date Completed |
|--|-------------------|---------------------|----------|----------------|
| E. Exercise Site Areas | | | | |
| Determine exercise venue/site | | | | |
| Designate media/observer area | | | | |
| Designate registration area | | | | |
| Designate parking area | | | | |
| Define response routes | | | | |
| Designate assembly area | | | | |
| Determine SIMCELL location | | | | |
| F. Media - Public Information | | | | |
| Develop media release/public information brochure | | | | |
| Identify media/public liaison (communicates with media and public prior to exercise; escorts and briefs media and observers/VIPs before and during exercise) | | | | |
| Develop public announcement | | | | |
| Disseminate information to public and media (via print, television, radio, etc.) | | | | |
| Schedule and conduct press conference | | | | |
| Develop media policy | | | | |
| G. Logistics | | | | |
| Arrange for use of exercise venue (reserve room/use of facility) | | | | |
| Arrange for participant parking at venue | | | | |
| Arrange for audio/visual equipment (microphones, projectors) | | | | |
| Arrange for exercise supplies (i.e., pens, flipcharts) | | | | |
| Develop mailing lists (players, controllers, etc.) | | | | |
| Develop ID tags, vests, table tents, sign-in sheets | | | | |
| Provide food, refreshments, and water stations | | | | |
| Develop signage | | | | |
| Arrange for restrooms | | | | |
| Develop communication plan and radios | | | | |
| Provide props | | | | |
| Provide site security and perimeter barricading | | | | |
| H. Exercise Staffing | | | | |
| Determine exercise staff requirements | | | | |
| Select and train exercise staff and conduct briefings | | | | |

EXERCISE DESIGN CHECKLIST

| Exercise Planning Tasks | Responsible Party | Contact Information | Due Date | Date Completed |
|---|-------------------|---------------------|----------|----------------|
| I. Actors | | | | |
| Determine number of actors required | | | | |
| Identify source(s) of actors | | | | |
| Confirm recruited actors | | | | |
| Develop Actor Waiver Forms | | | | |
| Develop actor instructions | | | | |
| Arrange for moulage (actual materials, staff, and location for actor moulage) | | | | |
| Arrange necessary transportation for actors (determine mode, schedule, pick-up and drop-off locations, actor tracking system) | | | | |
| Develop casualty matrix | | | | |
| Develop symptomology cards/victim tags | | | | |
| Identify number and type of victim actors who will be at each location/exercise site | | | | |
| Provide necessary protection after decontamination process (i.e., blankets) | | | | |
| J. Safety | | | | |
| Identify safety coordinator | | | | |
| Develop exercise play rules | | | | |
| Arrange for dedicated ambulance unit for real emergencies | | | | |
| Determine real-world emergency procedures | | | | |
| Develop safety policy/plan | | | | |
| III. CONDUCT | | | | |
| A. Briefings | | | | |
| Multi-media exercise presentation | | | | |
| B. Documentation | | | | |
| Distribute exercise packets (Players) | | | | |
| Distribute EEGs (Controllers and Evaluators) | | | | |
| Distribute participant feedback form (All Participants) | | | | |
| C. Exercise Activities | | | | |
| Set up exercise site | | | | |
| Conduct/facilitate exercise | | | | |
| Conduct a hotwash | | | | |

EXERCISE DESIGN CHECKLIST

| Exercise Planning Tasks | Responsible Party | Contact Information | Due Date | Date Completed |
|---|-------------------|---------------------|----------|----------------|
| IV. EVALUATION | | | | |
| Develop hotwash minutes | | | | |
| Develop draft After Action Report (AAR) | | | | |
| Send draft AAR to exercise planning team for review | | | | |
| V. IMPROVEMENT PLANNING | | | | |
| A. After Action Conference | | | | |
| Schedule conference | | | | |
| Prepare email invitations | | | | |
| Conduct after action conference | | | | |
| Finalize AAR | | | | |
| Develop Improvement Plan (IP) | | | | |
| B. Improvement Planning | | | | |
| Share lessons learned, best practices, and successes identified in AAR/IP | | | | |
| Implement AAR/IP | | | | |
| Track AAR/IP implementation | | | | |