

**NATO/EAPC UNCLASSIFIED**

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**NOTICE**  
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**SENIOR CIVIL EMERGENCY PLANNING COMMITTEE  
IN EAPC FORMAT**

**GUIDELINES FOR PLANNING, CONDUCT AND ASSESSMENT OF INTERNATIONAL  
EAPC EXERCISES**

**NOTE BY THE HEAD OF CIVIL EMERGENCY PLANNING**

Reference: EAPC(SCEPC)R(2006)0013

1. In accordance with the Polish proposal, presented during the SCEPC Plenary meeting on 9 November 2006, to develop exercise planning and assessment guidelines for EAPC exercises, an EADRCC Drafting Team was established in 2007 to draft such guidelines.
2. The guidelines developed by the Team, consisting of representatives of Finland, the Netherlands, Poland, the United Kingdom, the United States and the EADRCC have been discussed in SCEPC on 26 October 2009 and amendments to the draft were suggested. The revised guidelines attached correct a formatting problem of the previous version and incorporate the suggested amendments.
3. As the paper is a living document, Nations are invited to inform the EADRCC about lessons learned/best practises from the planning, conduct and assessment of national exercises.

(Signed) Carsten Th. Fausboll

Annex 1: Guidelines for Planning, Conduct and Assessment of International EAPC Exercises

1 Annex

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9 Appendices

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**GUIDELINES FOR PLANNING, CONDUCT AND ASSESSMENT OF INTERNATIONAL  
EAPC EXERCISES****1. INTRODUCTION**

1.1. This manual has been drafted in order to aid in the planning, conduct, and assessment of exercises in accordance with the Civil Emergency Planning Exercise policy<sup>1</sup>. The manual is a list of guidelines, not rules, and the suggestions found in this manual should be adapted as circumstances require. These guidelines have been produced based on experiences from a number of EADRCC/CEP international consequence management field exercises and tabletop exercises.

1.2. The best way to ensure a rapid and effective response to a civil emergency is to train decision makers and emergency workers appropriately, provide them with the necessary equipment, and maintain a sufficient level of readiness. Training exercises are an effective way to ensure readiness and assess response capabilities. Well-executed exercises provide an environment to test coordination procedures between international government officials and emergency workers, and help ensure that a response to an actual emergency would be effective.

1.3. Tabletop exercises are a cost effective means of training for the decision making and managerial aspects of emergency preparedness, while avoiding some of the challenges of planning a traditional training exercise. Although these guidelines in this manual are generally focused on conducting International Field Exercises, each chapter contains a description of "Special Considerations for Table Top Exercises". The requirements and comments for Command Post Exercises are found in the text.

1.4. The Guidelines are divided into the following chapters:

1.4.1. Pre-Planning Phase

1.4.2. Planning Phase

1.4.3. Execution Phase

1.4.4. Assessment and Lessons identified

1.4.5. In addition, there are several Appendices that offer supplemental details and data

**2. Pre-planning Phase**

2.1. During the pre-planning phase, the key issues that must be addressed are: the type of exercise, main aims and objectives, general scenario, time and location for the exercise, financing, and a preliminary time table.

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<sup>1</sup> EAPC(SCEPC)D(2004)0003-REV3+AS1

2.2. Planners should also consider the type and number of participants. The focus of the exercise and type of participants often determine the level of effort and detail needed in the planning process.

### 2.3. **Preliminary Planning Arrangements**

2.3.1. NATO CEP/EADRCC and the host nation are the two lead partners in planning international exercises carried out under EAPC auspices. For these two bodies a responsible single point of contact (unit, division, department, etc.) should be identified.

2.3.2. A preliminary planning meeting (PPM) is normally carried out as a bilateral meeting with NATO CEP/EADRCC and the host nation. In order to give enough time for the coming planning process, this meeting should be held not less than 12 months, but if possible, 18 months prior to the exercise. In the PPM, the following issues should be discussed and, if possible at this stage, agreed upon by both parties:

2.3.2.1. Type of exercise

2.3.2.2. Exercise Aim

2.3.2.3. Exercise Objectives

2.3.2.4. General Scenario

2.3.2.5. Anticipated Participation

2.3.2.6. Exercise Venue/Location

2.3.2.7. Exercise Time

2.3.2.8. Planning Process, Time-table and Milestones

2.3.2.9. Financial Arrangements and Budget

2.3.2.10. Response phases

2.3.3. In these meetings, it is important to make the host nation aware of the very heavy burden that lies on them and the various obligations which they must fulfil, including their financial responsibility.

2.3.4. During the PPM an “Exercise Management Planning Team (EMPT)” should be created to manage all planning related activities between the planning conferences (see para 3.2.1.) This EMPT should consist of not more than 6-10 people from nations and organisations that provide the most financial and organisational resources to the exercise. The team should be co-chaired and convened by a representative from NATO CEP/EADRCC with the other co-chair being a representative from the host nation. (EMPT see fig. 3.2).

### 2.4. **Special Considerations for Tabletop Exercises**

2.4.1. Tabletop exercises benefit from having a well-defined scope or focus. For example, a tabletop exercise consisting of policy discussion and decision-making is significantly different than a tabletop of a tactical response.

## 2.5. Types of Exercises

2.5.1. NATO CEP/EADRCC organises Field Training Exercises (FTX), Command Post Exercises (CPX) and Table-top Exercises (TTX). In the EAPC exercise environment, the CPX is normally a part of the preparation phase of a Field Exercise.

2.5.2. The Field exercise (Operation based) is designed to test command and control, communication, coordination, interoperability as well as procedures involving deployment of consequence management teams to the field from the host nation as well as from interested EAPC nations, International Organisations (IO) and Non Governmental Organisations (NGO). Field exercises require very detailed and realistic preparations and simulations, and consequently a larger and more flexible DISTAFF

2.5.3. The Command Post exercise (Discussion Based) is a very useful way to exercise the tasks of the command elements, focusing on decision-making, interrelation and coordination. The CPX could also be executed as a final test of the command and communication system prior to a field exercise

2.5.4. Table-top exercise (Discussion based) can address the processes of consultation, decision making and co-ordination. It is typically carried out in an office environment, but can also take place in other venues (i.e. conference facilities). Table-top exercises are carried out with the involvement of responsible bodies or individuals, as specified in relevant procedures. No deployment of personnel and equipment to the field is involved. This makes table-top exercises a flexible and cost-effective way of training and exercising.

2.5.5. Exercises, especially field exercises, require a long planning process and are quite expensive for participating nations. Therefore, it is important that the exercise is carried out effectively in order to serve as an important part of the learning and preparation process for real consequence management operations.

2.5.6. It may be necessary to conduct a tabletop or command post exercise in order to conduct a successful field exercise. If that is the case, these activities should be incorporated as part of the planning process for the final field exercise.

2.5.7. To make the field exercise more attractive for VIPs, observers, and visitors, additional activities can be included such as a special Demonstration Day, where all participating teams can demonstrate their equipment and capabilities. It may also be helpful to have a parallel sequence of seminars which cover current relevant issues. These seminars can be very useful for introducing new methods and procedures or serving as a starting point for further discussions.

## 2.6. Exercise Aim and Objectives

2.6.1. The aim of the exercise needs to reflect the interests of the major organisers. The desired results of the exercise are listed as Exercise Objectives. The objectives can function as a guide for the planning process and also as a marketing tool to attract interest of EAPC nations. The objectives should be realistic and attainable, as well as relevant to the participating nations.

2.6.2. It is vital that the specified objectives be measurable and observable. Otherwise, an effective assessment/evaluation of the exercises is impossible.

2.6.3. Objectives guide decision making regarding the layout of the exercise, the scenario selected and so on. The objectives and the scenario are interdependent and practical considerations can require compromise solutions.

2.6.4. The main purpose of international consequence management field exercises is to train and improve the co-operation and co-ordination between the stricken country and assisting nations. Some standard objectives are:

2.6.4.1. Co-ordination with other international bodies

2.6.4.2. Co-ordination and communication by the Local Emergency Management Authority (LEMA) and the UN-model On-Site Operations Co-ordination Centre (OSOCC) with national and international consequence management elements

2.6.4.3. Training of the LEMA and the liaison officers from assisting nations

2.6.4.4. Regional co-operation among neighbouring countries

2.6.4.5. Deployment of various civil or military teams to the stricken nation

2.6.4.6. Reception and host nation support for civil or military teams

2.6.4.7. Training and testing of communication procedures

2.6.4.8. Co-operation between international and national teams

2.6.4.9. Development of standards in emergency planning

2.6.4.10. Enhancement of interoperability

2.6.5. Depending on the chosen scenario, other important objectives can be added to these standard ones.

2.6.6. The Exercise Management Planning Team (EMPT) should select not more than five objectives, if possible. This will assure that the exercise remains focused and the objectives achievable. The selected objectives should be specific and measurable and clearly stated in the Exercise Instructions. Conversely, objectives that are not subject of this particular exercise may also be stated there.

## 2.7. **General Scenario**

2.7.1. The choice of the general scenario for a field exercise should be based upon the needs and assessment presented by the host nation. The scenario should focus on the most likely incident/disaster scenarios and events that require a response with special skills.

2.7.2. The scenario should be realistic, and it is also important to choose a scenario that supports a large number of injects. An international field exercise is expensive for both the organisers and the participating teams, so it is important that the exercise include sufficient and interesting opportunities for the participants.

## 2.8. **Anticipated Participation**

2.8.1. At this stage of pre-planning activities, it is of course difficult to estimate the number and type of participants. However, it is vital to make a rough estimate of the

expected participation in order to decide on the size and the location of the exercise sites, to make a preliminary budget and to produce the first draft of exercise objectives.

2.8.2. At this stage, it is also important to consider which other international organisations might be invited to participate, primarily UN-OCHA (United Nations Office for the Coordination of Humanitarian Affairs) and maybe other UN-bodies such as INSARAG (International Search and Rescue Advisory Group). In addition, it is important to recognise other international organisations such as the OPCW (Organisation for Prohibition of Chemical Weapons), the IAEA (International Atomic Energy Agency), the WHO (World Health Organisation), the EU (European Union), the International Red Cross and the most important NGOs (Non Governmental Organisations). These organisations will likely be involved during a real disaster and it is therefore of great importance, depending on the scenario, to invite these organisations to take active part in the exercise.

## 2.9. Location

2.9.1. The location of the exercise has great impact upon both the planning and the execution of the exercise. The location must be appropriate for the scenario, provide good conditions for the DISTAFF and the simulation team, realistic conditions for the LEMA and the OSOCC, and provide suitable accommodation for the teams and the observers. It should also provide the necessary conditions for possible supplemental activities, such as demonstrations and/or seminars.

## 2.10. Exercise Time

2.10.1. The selection of the exercise timing should account for other international activities. If the exercise is close to another exercise or, if the first announcement is made less than 6-9 months in advance, it will seriously limit the number of participants. Preferably, the first announcement should be made at least one year before the actual exercise.

2.10.2. The selected scenario also has an effect on the timeframe of the exercise. If the type of incident normally occurs seasonally, the exercise ought to be held in that season.

2.10.3. The duration of the field activities must be determined, as well as whether the exercise will be conducted continuously, day and night, or be a daytime-only exercise. The available financial resources will always put a limit on the duration of an exercise.

2.10.4. A field exercise will normally include several days training before the actual exercise. Training can be conducted by group speciality (for example, CBRN, medical or search and rescue), and assignments can be either practical and/or theoretical.

2.10.5. A TTX is often chosen (in contrast to the field exercise) to have the possibility to exercise and assess vital functions in a short time, with a limited number of participants and at low cost.

## 2.11. Planning Process and Time-table

2.11.1. The planning conferences with representatives from all participating EAPC nations and international organisations are a crucial part of the planning process. However, most of the planning work has to be done before, between and after these conferences.



2.11.2. Preparing and planning a major international field exercise is a great challenge and requires a great deal of teamwork. The preparations and planning are primarily the responsibility of the Exercise Management Planning Team (EMPT).

2.11.3. The plan, or Exercise Project Plan (EPP) can, for example, be based around a Gantt diagram, with a vertical axis listing activities and tasks at the left margin, and a horizontal time axis marked off along the upper margin.

## 2.12. **Financial Arrangements and Budget**

2.12.1. If the exercise is hosted by an EAPC nation which is eligible for financial support by NATO it is important to make the first calculation of costs, the first draft of the financial arrangements and budget during the pre-planning stage. The EADRCC and the host nation must discuss and agree to the calculated costs.

2.12.2. The primary financial responsibilities which lie on the host nation are the costs for the main and final planning conferences, (the initial planning conference is held at NATO HQs), site preparations, and the exercise conduct.

## 2.13. **Response Phases During a Disaster**

2.13.1. The response to an incident which requires international assistance to consequence management operations can be divided into six steps:

2.13.1.1. The government decision within the stricken nation to request international assistance;

2.13.1.2. The international response to the request by the host country for assistance;

2.13.1.3. The transport, by road, by air or by sea, to the area of operation, including border crossings, visa procedures, insurance etc;

2.13.1.4. The reception, deployment and tasking of the arriving international teams;

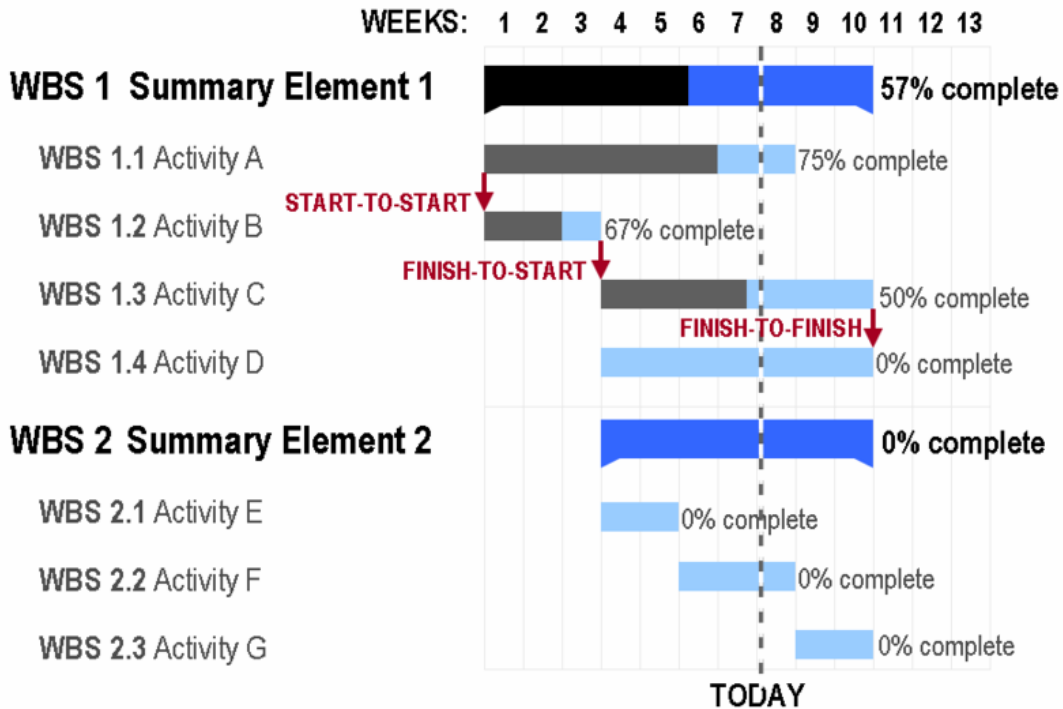
2.13.1.5. The performance and skills of the consequence management teams; and

2.13.1.6. The redeployment of the team back home

2.13.2. When deciding which parts of this response process should be exercised, it is important to be aware that these decisions set the frame for the whole exercise.

2.13.3. A Field Training Exercise can cover all phases above. Steps 1 and 2 might be conducted as a table-top exercise at national level followed by a field exercise that covers steps 3 to 6. However, the decision lies with the participating nations based on the agreed exercise objectives and requirements.

Figure 2.10, Example of Exercise Project Plan (EPP)



### 3. Planning Phase

3.1. The final Exercise Project Plan is a diagram in which the various activities are plotted against time, and to which the job descriptions are attached as an appendix. The diagram should also include the dates of all projects, planning conferences and working group meetings, as well as the dates of all important decisions.

#### 3.2. Timelines

3.2.1. The planning process for a field exercise comprises the time between the decision to run the exercise and the start of the exercise. This period should generally be around 18 months, but definitely not less than 12 months. Besides the time needed for the actual planning work, communication with participating EAPC nations and international bodies is quite time consuming. An example of a detailed Planning Timeline is found in **Appendix 1**.

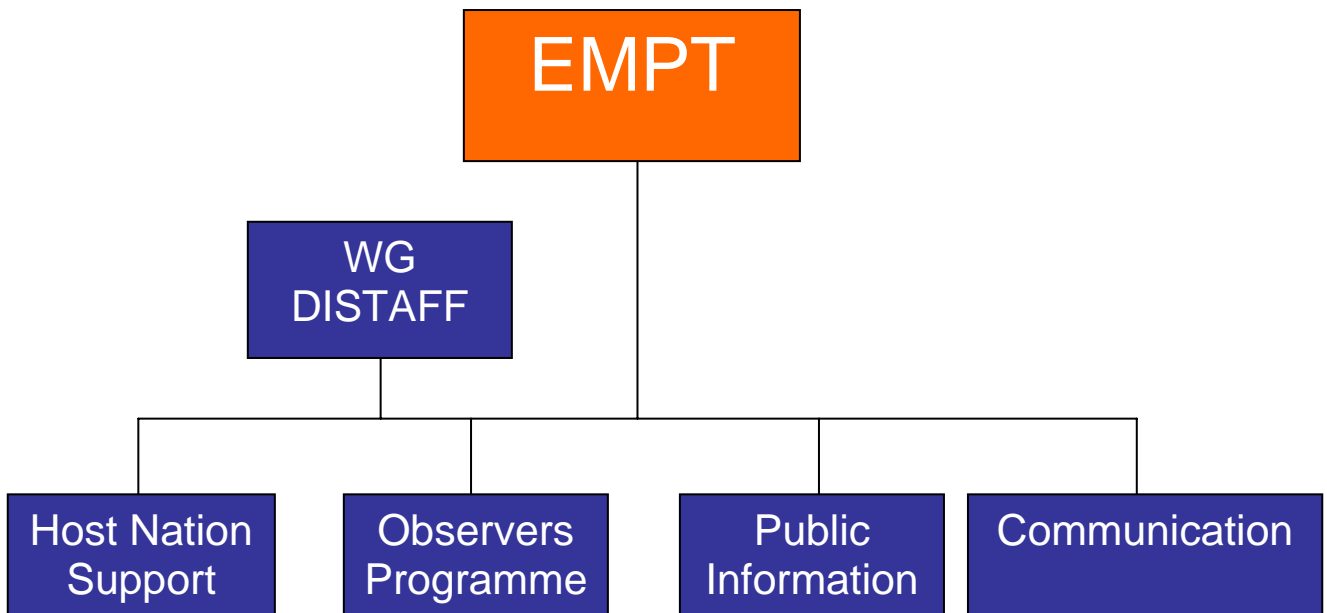
3.2.2. A Table Top exercise allows a shorter planning process. The most important factor is to ensure the participation of key persons. Therefore, starting the planning 9 months in advance, but definitely not less than 6 months prior the exercise is advisable.

#### 3.3. Organisation of the Planning Process

3.3.1. Exercise Co-ordinators oversee all aspects of the exercise. Normally, the Co-ordinators include a representative of NATO's EADRCC and the host nation. During the planning process, these co-ordinators chair the Exercise Management Planning Team.

During the exercise, the head of the DISTAFF has the primary responsibility for exercise conduct but reports to the exercise co-ordinators.

**Figure 3.2: Example of organising an exercise (FTX)**



3.3.2. The Exercise Management Planning Team (EMPT) should not be more than 6-8 persons and comprise of the following planners:

Chairman                      NATO CEP/EADRCC

Co-chairman                 Host Nation

Members:

- Head of DISTAFF
- National Head of DISTAFF
- Head of Assessors
- Head of OSOCC
- Representative from international org. (as appropriate)

3.3.3. The EMPT may establish a number of working groups, as presented in the organisational structure above. The Host Nation Support group will cover issues such as border crossings and customs clearance, accommodation, hygienic sanitary facilities, medical, safety and security.

3.3.4. It is important that no player be allowed to take part in the EMPT.

3.3.5. Most of the work of the EMPT can be done via e-mail. If meetings are necessary, they can be scheduled in conjunction with planning conferences.

3.3.6. In addition to general exercise planning, the EMPT is also responsible for preparing and conducting the three major planning conferences. The EMPT will regularly report to the Head CEP/EADRCC and the host nation's responsible organisation.

#### 3.4. **Planning Conferences**

3.4.1. Successful planning conferences are vital to the planning process. In these conferences, planners from the organisers, participating nations and international organisations will be informed about the planning work and requested to give their views and advice related to the design and conduct of the exercise.

3.4.2. There should generally be three planning conferences:

3.4.2.1. Initial Planning Conference – IPC, to be held 8-9 months prior to the exercise

3.4.2.2. Main Planning Conference – MPC, to be held 5-6 months prior to the exercise

3.4.2.3. Final Planning Conference – FPC, to be held 2-3 months prior to the exercise

3.4.3. The recommended agenda items of the planning conferences can be found in **Appendix 2**.

3.4.4. The IPC is normally held in Brussels at NATO Headquarters, while the MPC and FPC must be held in the host nation close to the exercise location.

3.4.5. In order to have an overall picture about intended participation, EAPC nations should be asked to return the first questionnaire about their participation with teams and/or exercise officers to CEP/ the EADRCC not later than one month before the MPC. The questionnaire should be attached to the report on the IPC.

3.4.6. During the MPC, EAPC nations will be requested to confirm their participation. The second questionnaire and final registration on detailed participation, including names of participants, teams and their capacity and capability, number and types of vehicles and equipment and specifications on communication equipment should be sent after the MPC so that the Exercise Instructions can be finalised.

3.4.7. Before the Final Planning Conference, the CEP/EADRCC will circulate the final draft of the Exercise Instructions.

3.4.8. After the FPC, the nations will be asked to submit the final registration for VIPs and observers. The EMPT will continue to plan final details. The EADRCC will circulate the finalized Exercise Instructions no later than one month prior to the exercise.

#### 3.5. **Exercise Participation**

3.5.1. A successful exercise requires information about international and national participation. In order to get that information, the EADRCC has developed a questionnaire, which is at **Appendix 5**.

3.5.2. When all major contributors to the exercise management have been identified, responsibilities will be divided between participants. Responsibilities and other relevant issues must be laid down in the Exercise Instructions. **(See 3.10)**

3.5.3. All nations participating with teams must also provide a liaison officer for command, control, and co-ordination assistance. Liaison officers are necessary for the smooth information flow between the command elements and teams. They must be familiar with their respective teams' capabilities and international guidelines related to consequence management operations.

### 3.6. **Host Nation Responsibility**

3.6.1. The greatest responsibility and workload lies with the host nation. The host nation must provide most of the people in the working groups that support the Exercise Management Planning Team. In addition, hosting an international field exercise will require economic resources, which must be reflected in the budget calculations.

3.6.2. The areas and responsibilities which should be covered by the host nation are listed amongst the Exercise Instructions' items at **Appendix 3.**

3.6.3. Planning for each of these activities and services must be included in the Exercise Project Plan in order to be properly co-ordinated with all other planning activities.

### 3.7. **Scenario Development**

3.7.1. In this context, the word "scenario" means an imaginary sequence of events occurring in an environment which leads up to a major incident. The scenario is normally built/based on:

- 3.7.1.1. Fixed Conditions
- 3.7.1.2. Risk Assessment
- 3.7.1.3. Prior History
- 3.7.1.4. Incident Development
- 3.7.1.5. Immediate Consequences
- 3.7.1.6. Development of Consequences
- 3.7.1.7. Additional Events

#### 3.7.2. **Fixed Conditions**

3.7.2.1. Select the location or geography for the incident, as well as the time of year and day. Establish the weather conditions and their development. A consequence management operation is always dependent upon weather conditions and by changing these conditions exercise play can be made easier or harder for the participants. Either actual or simulated weather can be used. If the latter, it is advisable to have it designed by a meteorologist. If possible, including the designing meteorologist in the exercise will contribute to quality play. He or she can then interpret forecasts and make valuable contributions to long term decision-making.

#### 3.7.3. **Risk Development**

3.7.3.1. The most effective way to create a realistic scenario is to base the exercise upon identified current and future threats to the host nation. It is helpful to conduct a risk assessment for the host nation, and choose the scenario accordingly.

#### **3.7.4. Prior History**

3.7.4.1. The prior history is the chain of events leading up to the incident. A credible prior history is very important to ensure that the incident will not be regarded as impossible or too artificial. Prior history can have “open” and “closed” parts. “Open” prior history consists of occurrences which are known to the public. Examples could be technical difficulties in a chemical production plant, problems in a nuclear power plant, or other things, which could have been covered by the media. The “closed” prior history is information which is accessible only after internal research or can be revealed only after the exercise begins.

#### **3.7.5. Incident Development**

3.7.5.1. Incident development is the chain of events that leads to intervention by emergency responders. It builds upon the prior history and should be credible and technically correct.

#### **3.7.6. Immediate Consequences**

3.7.6.1. Immediate consequences are those which arise as a direct result of the incident, such as human casualties and damage to property and the environment. The casualties are often described in a list known as the “injury panorama”. The immediate consequences should be presented at the beginning of the exercise to the management element of the relief elements.

#### **3.7.7. Development of Consequences**

3.7.7.1. Consequence development refers to the direct consequences of the initial event as they develop over time. This can only be determined in advance up to the time when the first teams arrive at the site and start their operations. After that time, the interventions will affect the development of consequences in a positive or negative way. A list of additional injects must be prepared in order to add more problems or direct the actions in a certain direction. This list of additional injects is to be kept closed for participants.

#### **3.7.8. Additional Events**

3.7.8.1. For further development of the incident, an extensive list of events and injects must be prepared. These can be either virtual or real injects or preferably, both. All real events and injects must be possible to simulate in a realistic way. It is also important to coordinate the production of events for each exercise site so that the total exercise play will produce realistic consequences and workload both for the command, control and coordination bodies as well as the participating teams. This list of additional events must be kept closed for all participants.

#### **3.8. Directing Staff – DISTAFF**

3.8.1. Any major international exercise which involves many nations and/or more than a thousand people will require an extensive command structure. For that purpose, a properly manned DISTAFF must be organised. The task of the DISTAFF is to direct and control the exercise play in order to achieve the agreed aims and objectives. Instructions issued by the DISTAFF are binding on all players. DISTAFF must be fully independent,

physically separated from the players and have complete freedom of action and free access to all information in order to be able to properly direct the exercise.

3.8.2. Two individuals lead the DISTAFF--one international and one national. These two people carry the responsibility for developing the detailed scenario and all the additional events and injects. They are also members of the Exercise Management Planning Team.

3.8.3. The DISTAFF Working Group develops the detailed list of events that will be used during the exercise to inject new situations and tasks for the players. The DISTAFF WG can meet, in separate session, during the planning conferences.

3.8.4. The DISTAFF is organised with both national and international officers. The numbers of people in the DISTAFF depends on the number of participants, the number of sites and whether the exercise will run around the clock or during daytime hours only. The Head of DISTAFF together with a number of DISTAFF officers (national and international) should remain close to the Local Emergency Management Authority (LEMA) throughout the exercise. The other DISTAFF officers will serve at different exercise sites (at least one international and one national on each site). The international DISTAFF members should represent as many nations as possible. DISTAFF need not be limited to those nations and/or organisations being exercised. All DISTAFF locations must be provided with interpretation and communications. To serve the DISTAFF the host nation will set up a Simulation Team and a number of Exercise Casualties.

### 3.9. **Assessment/Evaluation Preparations**

3.9.1. Assessment work is one of the most important parts of an exercise. An effective assessment should inform officials and participating teams about the overall success of the exercises and give specific feedback to the participants on areas that need improvement. The Assessors Team (AT) should have representatives from as many nations as possible. The Assessors Team need not be limited to those nations and/or organisations being exercised.

3.9.2. The Assessment organisation should be formed well before the exercise and also take part in the planning process. The DISTAFF and the Assessors Team will work in close co-operation and the Assessors Team should also be aware of all planned events and injects. The planning process and the preparations for the exercise are also to be part of the assessment/evaluation.

3.9.3. During the Final Planning Conference, the evaluation process and its methods should be presented for the representatives of all participating nations. National representatives can inform their participants on how the assessment/evaluation process is being conducted. (See 5.0 Assessment and lessons identified).

### 3.10. Exercise Instructions

3.10.1. The CEP/EADRCC produces and circulates the Exercise Instructions. The first draft should be circulated to all EAPC countries several weeks before the Main Planning Conference. During the planning conferences, the Exercise Instructions will be used as a working document with the final version to be circulated around one month prior to the exercise.

3.10.2. The Exercise Instructions serve as the “Manual” for the exercise and specify all the information, rules, and regulations for participation in the exercise. A detailed list of recommended items of the Exercise Instructions is in **Appendix 3**.

### 3.11. Command, Control and Co-ordination

3.11.1. Command, control and co-ordination of national relief elements in a major international incident are one of the most important objectives for exercises.

3.11.2. CEP/EADRCC exercises use a Command, Control, and Co-ordination System that has been tested in several field exercises and has improved significantly over time. The planning process should include opportunities to thoroughly familiarise participants with the system. See **Appendix 4** for details on the command and control system.

### 3.12. Communication Systems

3.12.1. Communication Systems are vital to the success of the exercise and must be adapted to meet the needs of the Command, Control, and Co-ordination System as well as the support personnel (e.g. DISTAFF and Assessors Team). Communications are a prerequisite for co-ordination; therefore, the Local Emergency Management Authority (LEMA) must be equipped with sufficient radio communication equipment, telephones, faxes and computer equipment, which also can be utilised by Liaison Officers of National Teams.

3.12.2. The OSOCC should be self-sufficient with its communications and resources. Communication between the OSOCC and the International Teams will normally go through their respective Liaison Officers.

3.12.3. Radios and telephones will be used as the primary communication links between the LEMA, OSOCC and participating national and international teams. For radio communication, both semi-duplex and simplex mode will be used.

3.12.4. Taking into account that the semi-duplex operation mode can be used for communication between radio stations in the whole exercise area, this operation mode should be used for strategic and co-ordinating communications. In order to ensure that radio coverage is adequate in the whole exercise area, repeater stations operating in the VHF frequency band must be in place. The simplex operation mode will be used only for communication among users in the exercise area.

3.12.5. Each On-Site Commander must be equipped with two radio stations, one capable of operating in semi-duplex mode for the strategic and co-ordinating communication with the LEMA, and one operating in simplex mode for communication with the participating teams.



3.12.6. International assisting teams shall be self sufficient in communications means and resources for their internal use.

3.12.7. On-Site DISTAFF members must have radio connections at their disposal for communication with the Head of the DISTAFF in the LEMA and for communication among themselves. DISTAFF will always communicate on a separate radio channel.

3.12.8. Working and backup channel frequencies for semi-duplex and simplex operation modes, code word groups or codes must be determined once the final exercise plan is in place, and will be communicated to participating teams one month before the exercise.

3.12.9. As GSM coverage may not be available throughout the whole exercise area, use of GSM for communication between individual team members will not be used.

3.12.10. Teams using their own equipment for internal communication should co-ordinate the use of frequencies with the host nation and exercise staff. Information about each participating nation's actual frequencies is vital to the success of any relief mission. This information should be received by the host nation at least two months before the exercise. This requirement for co-ordination of frequencies is also emphasised in the "Oslo Guidelines" on the Use of Military and Civil Defence Assets in Disaster Relief and the Tampere Convention" in the "Provision of Telecommunication Resources for Disaster Mitigation and Relief Operations".

3.12.11. In addition to communications links between participating national elements and the LEMA, sufficient communications must be in place to allow for appropriate communications between the LEMA, the actual lead Ministry, the CEP/EADRCC in Brussels and other international players such as UN OCHA Geneva.

### **3.13. Interpreters**

3.13.1. While strategic communications will be conducted in English, the internal tactical communications can be conducted in national languages.

3.13.2. Depending on which nations choose to participate in the exercise, it may be necessary to provide interpreters to enable communication between organizers and teams. Because a specialized terminology is used by those responding to international incidents, the interpreters must be familiar with these professional terms for all languages being used in the exercise. If such interpreters cannot be found, special language training must be conducted as a prior exercise activity. Individual interpreters will be needed for the Head of the DISTAFF, the Head of the Assessors Team, the LEMA and the OSOCC. Separate interpreters will also be needed on each site for the On-Site DISTAFF, the On-Site Assessors Team, and the On-Site Commanders.

3.13.3. Finally, interpreters will be also needed for VIPs and observers as well as for continuous media coverage and press conferences.

### **3.14. Operational and Planning Maps**

3.14.1. The host nation needs to provide each participating nation and international organisations with accurate maps for operational use during the exercise itself as well as for planning use prior to the exercise. The planning maps have to be provided at the Main

Planning Conference while the operational maps will be distributed upon arrival at the exercise.

**3.15. Medical Plan**

3.15.1. The host nation is responsible for providing a Medical Plan for the exercise. The plan is not intended to cover medical activities which will be part of the scenario and exercise events, but rather real injuries, which might occur during the exercise. The plan should include the following information:

3.15.1.1. Medical Care Management

3.15.1.2. Medical Care in the Base of Operations (Camp Site) and at the Exercise Sites

3.15.1.3. Medical Evacuation (transportation resources by land and by air)

3.15.1.4. Alert System

3.15.1.5. Advance information about dedicated hospitals

3.15.1.6. Medical Logistics

**3.16. Safety and Security**

3.16.1. The host nation has the responsibility to provide a Safety and Security Plan. This plan should include the following information:

3.16.1.1. Transportation Escort

3.16.1.2. Traffic Security

3.16.1.3. Security of the Accommodation and Exercise Sites

3.16.1.4. Security Measures for VIP guests

3.16.1.5. Communication Systems

**3.17. Public Information**

3.17.1. The plan for Public Information is a mutual responsibility of the EADRCC and the host nation. The following information can normally be found in the plan:

3.17.1.1. General Remarks – Public Information Strategy

3.17.1.2. Website with actual information before and during the exercise

3.17.1.3. Public Announcements

3.17.1.4. Information Centre

3.17.1.5. Hot Line

3.17.1.6. Media Coverage

3.17.1.7. Arrangements before the exercise

3.17.1.8. Accreditation Procedures

3.17.1.9. Press Releases

3.17.1.10. Press Briefings

3.17.1.11. Written Material

3.17.1.12. Interviews

3.17.1.13. Video Feed Point

3.17.1.14. Video and Photo Teams

3.17.1.15. Press Tour

3.17.2. Public information as part of consequence management will normally be part of the exercise and has to be managed by the LEMA and evaluated by the Assessors Team.

### 3.18. **Observers and VIP Programme**

3.18.1. If VIPs and Observers are invited to the exercise, special care should be taken to ensure that there is an interesting programme. Such a program has to be developed in close co-operation with the DISTAFF in order to allow the observers to witness the most interesting, exciting, and informative activities.

3.18.2. Preferably, each day will start with a briefing by the Head of DISTAFF about the present stage of the exercise and the coming activities of the day. Then, a short visit to and briefing by the LEMA and the OSOCC followed by a tour to the most interesting sites should be provided. At each site, persons should be appointed to brief and explain to the observers what is going on and the result of all activities at the site.

### 3.19. **Additional Activities**

3.19.1. In addition to the field exercise, an effective observers programme can include other activities like a Demonstration Day, Field Exhibition/Static Display, and Seminars covering actual and/or important issues.

3.19.2. A Demonstration Day could serve as the conclusion of the exercise and observer programme with the purpose of allowing each team to demonstrate and show their capability and capacity in front of an audience.

3.19.3. A Field Exhibition could also serve as a way to let VIPs and Observers take a closer look at vehicles and equipment and talk directly to the rescue personnel.

3.19.4. A well-developed seminar programme could also attract observers and planners and serve as input for important future projects. Examples of general topics could be "Border Crossing Procedures", "Command, Control and Co-ordination Procedures" etc. However, there should also be specific seminars relating to the nature of the exercise.

### 3.20. **Special Considerations for Tabletop Exercises**

3.20.1. Because tabletop exercises require fewer resources to plan, fewer planning conferences may be required. Much of the planning can be done by the Exercise Management Planning Team either separately, or during planning team meetings. Planning conferences for tabletop exercises may be useful to increase attention and participation.

3.20.2. It is important to clearly identify the scope of a tabletop exercise. Exercise scope should include the type of emergency exercised, the location, the functions that will be tested, and the participating organizations and individuals.

3.20.3. Tabletop exercises benefit from clearly defined objectives. Objectives aid in the design process and provide guidance in exercise conduct and assessment. Objectives for tabletop exercises should include:

3.20.3.1. An observable action

3.20.3.2. The conditions under which the action will be performed

3.20.3.3. The level of performance

3.20.4. Objectives for tabletop exercises should be simple, measurable, achievable, realistic, and task oriented. The better the objective, the easier it is to design an exercise that will meet it and the easier it will be to assess performance.

3.20.5. Tabletop exercises benefit from a good narrative. A good exercise narrative will describe the events that have occurred up to the minute the exercise begins. An exercise narrative should set the mood for the exercise and motivate participants.

3.20.6. Maps, photos, media reports, situation reports, and other documents are useful when designing the exercise and to increase realism.

3.20.7. Tabletop exercises consist of a series of problem statements. These problem statements should be designed in order to achieve each of the objectives. Problem statements can be used to provoke discussion, review procedures, discuss policy, or identify lessons and best practices.

3.20.8. Facilitators are responsible for the conduct of tabletop exercises. They are responsible for delivering the problem statements, facilitating discussion, and staying on schedule. Tabletop exercises also benefit from assessors who determine if the discussions achieve the objectives. Facilitators and assessors may coordinate during the course of the exercise to ensure that objectives are met.

3.20.9. If interpreters are used, facilitators should take care that the pace of the discussion does not outstrip the interpreters' ability to translate.

#### **4. Execution Phase**

##### **4.1. Exercise Preparation**

4.1.1. In addition to the final exercise preparations that the host nation must fulfil shortly before the arrival of the exercise participants, the DISTAFF, with its Simulation and Assessor Teams, will have to prepare the exercise sites and the schedule of the exercise itself.

4.1.2. For a major international field exercise, these exercise preparations will likely take at least two days to complete. The Head of DISTAFF (HDS) is in charge of these preparations. With some of his officers, he will run the exercise from the DISTAFF Centre located by the LEMA/OSOCC. The Head of the Assessors Team (HAT) and interpreters will also be located nearby. At each exercise site, there will be a group comprised of On-Site DISTAFF (OSDS) officers (international and national), representatives from the Simulation Team with exercise casualties, the On-Site Assessor Team, and interpreters.

4.1.3. On the first preparation day, the group on each site should run through all of their events and injects one by one, prepare the sites, place the casualties, decide on signals and signs, and perform communication checks with the DISTAFF.

4.1.4. The second preparation day is used to check the co-ordination between all sites and the DISTAFF Centre. The last adjustment of injects and the order of injects should be made. It is also important to clarify which injects on each site can be made independently of other events and injects at different other sites and in the LEMA/OSOCC.

#### **4.2. Information and Training Activities**

4.2.1. Before the start of the field exercise, it is useful to spend at least one day on information and training. Many of the LEMA/OSOCC staff officers, team leaders and team members may not be completely updated on the exercise framework and other important documents and issues. Scheduling one day of training and information can prevent miscommunication and mistakes on the first exercise day. If, for some reason, it will not be possible to schedule a day of information and training, it is vital that several hours be reserved to provide an exercise briefing.

4.2.2. The information and training activities are best conducted in separate groups such as:

4.2.2.1. LEMA/OSOCC staff members and Liaison Officers

4.2.2.2. On-Site Commanders and Team Leaders

4.2.2.3. Assessors

4.2.2.4. Team Members

4.2.3. On the Training day it is also advisable to execute a Command Post Exercise which is a proven way of making sure that the staff elements have a good ability to communicate and cooperate effectively.

4.2.4. It is important that no exercise participants be allowed to visit and examine the exercise sites.

4.2.5. This day can also be used to provide necessary exercise information to media personnel and observers.

#### **4.3. Exercise Start and Sequences**

4.3.1. The starting time of the field exercise will depend vary by exercise. Normally, the starting point will be the arrival of the international teams at the incident area, and that can be any time during the day. If the exercise is only performed during daytime hours and the teams are allowed to rest at night, it is best to start early in the morning. If the exercise is running around the clock, the exercise can start at any time.

4.3.2. The start of the field exercise is the most important sequence in the whole exercise. It begins with the DISTAFF presenting the actual situation for the LEMA. When the international assisting teams arrive at the incident area, it will be the task of the co-located LEMA/OSOCC to plan and decide the use of the assisting resources. This is one of the most difficult and important parts of a major relief operation and the result of this

planning and decision making activity will have the greatest impact upon the result of the whole operation.

4.3.3. The co-operation between the LEMA and the OSOCC, how they divide the responsibilities and the tasks, is the foundation of their ability to produce a good mutual result. Real incidents show that if these two bodies do not work properly alone and together, resources are wasted or not used at all.

4.3.4. The Head of the DISTAFF must supervise this cooperation carefully and allow enough time for the LEMA and OSOCC to perform. The time schedule must be flexible. If the LEMA and OSOCC have not been able to reach a common understanding and a method for working, the Head of DISTAFF must interfere and guide them on to the right track.

4.3.5. After the LEMA and OSOCC decide (general decision and action plan) on how and where to use all national and international resources, these orders will be shared with On-Site Commanders and Team Leaders.

4.3.6. Then the different teams will start to leave the Base of Operations (Camp Site) for their assigned exercise sites to perform their duties. Upon arrival at the exercise site, teams will be supervised by the On-Site Commander and controlled by the On-site DISTAFF. Teams will work on the sites until their mission is completed or until the exercise actions end by some other reason (end of day or end of exercise).

#### 4.4. **Summary of the Exercise Sequences:**

4.4.1. The actual situation is presented to the LEMA/OSOCC, who analyse the situation, decide on the action plan, the response, and deployment.

4.4.2. LEMA/OSOCC distributes the action plan and orders; Injects are transmitted.

4.4.3. Alerted teams leave the Base of Operations and transport themselves to the actual sites.

4.4.4. Teams arrive at the site, analyse the situation and decide on the working plan.

4.4.5. Teams work at the exercise sites. Developments in the situation may require redeployment of some teams.

4.4.6. LEMA/OSOCC does the situation follow-up, produces situation reports and performs short and long term planning.

4.4.7. Teams return to Base of Operations. After this, the exercise will continue according to the scenario and timeframe.

#### 4.5. **DISTAFF and LEMA/OSOCC**

4.5.1. The DISTAFF Centre should perform its own follow-up with maps and plotting, based on the reports from the On-Site DISTAFF. These maps and reports, together with the detailed scenario and list of events and injects, are essential information for conducting the exercise. However, the DISTAFF Centre has to be flexible and able to produce new virtual injects, especially for the LEMA/OSOCC in order to force them into the proper short and long term planning, public information, follow up procedures and report production.

4.5.2. It is advisable to appoint two to three DISTAFF officers to continuously follow the work of the LEMA/OSOCC with the mandate to intervene and/or produce appropriate new virtual injects if necessary to accomplish the exercise objectives.

#### 4.6. **Regular Briefings**

4.6.1. During the exercise, it will be important to have regular briefings in order to get feedback from the participants of the DISTAFF and for the DISTAFF and Assessors Team to give their first impressions and/or advice to the participants.

4.6.2. If the exercise takes place only during the day, these briefings can be held at the end of each day. If the exercise is non-stop, it is suitable to take a break for briefings one or two times during the exercise. A final exercise briefing should also be held at the end of the exercise.

4.6.3. All commanders, chiefs of sections in the LEMA and OSOCC, team leaders, and all DISTAFF officers and Assessors Team members should participate in the briefings.

4.6.4. Depending on the performance of the LEMA/OSOCC, it might be necessary to have a special briefing just for them to discuss working methods, information exchange and so on.

4.6.5. The Head of DISTAFF conducts the briefings. Briefings are not intended to criticise players or other exercise participants and should promote a positive learning environment.

4.6.6. Short written reports on these briefings will be part of the total evaluation process.

#### 4.7. **Special Considerations for Tabletop Exercises**

4.7.1. Preparation for the tabletop exercise includes developing and duplicating hand-out materials, setting up registration tables, and ensuring that audio visual equipment works.

4.7.2. Facilitators should ensure that the exercise start “sets the stage” for the tabletop activities:

4.7.2.1. Participants are welcomed

4.7.2.2. Tabletop exercise procedures, objectives, and ground rules are briefed

4.7.2.3. Exercise narrative is introduced

4.7.3. The purpose of tabletop exercises is resolving problems or making plans as a group. This means that in-depth problem solving is an important goal. Facilitators should steer the discussion to push players past superficial solutions.

4.7.4. Facilitators can control and sustain action by using multiple-stage events, varying pacing, maintaining balance among participants, and watching for signs of frustration or conflict.

## **5. Assessment and Lessons Identified**

5.1. The Assessment process should be taken into consideration in all phases when organising an exercise. However, we have chosen to discuss the assessment entirely in this chapter. We have divided the process into the following 4 stages:

5.1.1. Planning and Organizing the Assessment/Evaluation (Step 1)

5.1.2. Observing the Exercise and collecting data (Step 2)

5.1.3. Analyzing data (Step 3)

5.1.4. Reporting and Lessons Identified (Step 4)

### **5.2. Planning and Organizing the Assessment/Evaluation (Step 1)**

#### **5.2.1. Appoint the Head of the Assessor Team**

5.2.1.1. Early in the planning process, the head of the Exercise Management Planning Team (EMPT) should appoint a Head of the Assessor Team, who should participate fully as a member of the (EMPT). The Head of the Assessor Team should preferably be a senior-level individual having the management skills needed to oversee, coordinate and analyse the work carried out by the Assessor Team (AT) during an extended process. A deputy Head of AT may also be needed.

#### **5.2.2. Develop and Define Assessment Requirements**

5.2.2.1. Prior to recruiting and assigning the assessment team, the EMPT should define the requirements for the Assessment by considering exercise scope and objectives. The scope and objectives will be the first indicators to determine the tools, plans and personnel needed to effectively observe the exercise, collect data, and analyse information.

5.2.2.2. The exercise scope consists of, but is not limited to, the type of exercise, the days and hours of the exercise, the location/sites for the exercises execution, and the number of teams and participants. Defining the scope helps determine the number of assessors needed and where assessors should be placed for observation.

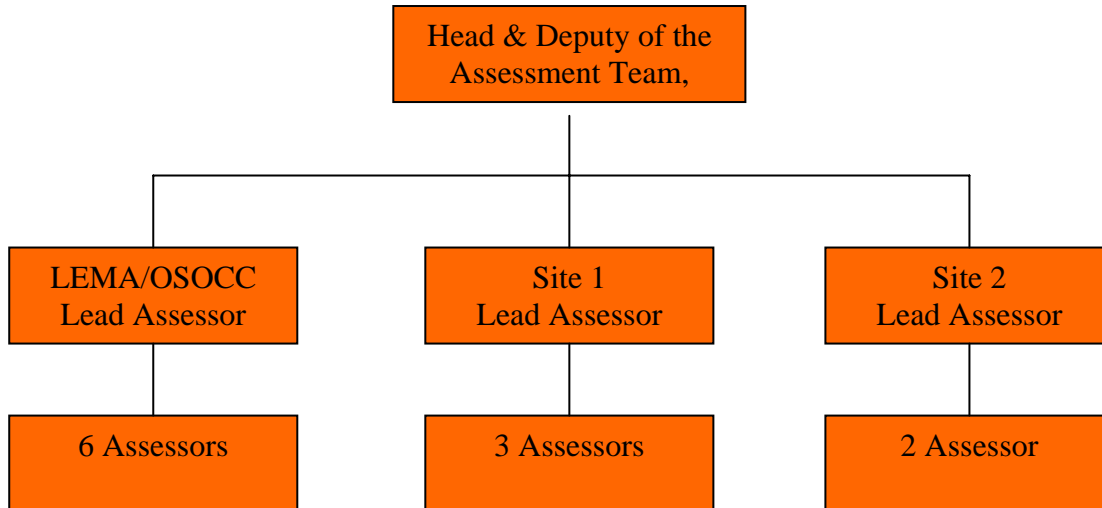
5.2.2.3. Without specified objectives, there can be no assessment, which is why it is necessary to set objectives that are clearly defined, and are easily observed and evaluated. When conducting a Table Top Exercise, the objectives provide the exercise facilitator with suggestions to steer the exercise discussion to the capabilities being evaluated.

#### **5.2.3. Determine the Assessor Team Structure/Organisation**

5.2.3.1. The EMPT and the Head of the Assessor team should determine the structure and organisation of the assessor team based on the scope of the exercise; the exercise objectives; and the associated capabilities, activities and tasks that will be validated during the exercise. (See Figure 5-1)

5.2.3.2. Figure 5-1, Example of an Assessment Organisation:



**Figure 5 -1, Example of an Assessment Organisation**

#### 5.2.4. Recruit, Assign and Train Assessors

5.2.4.1. Once assessment requirements have been defined the head of the Assessor team oversees the recruiting, assigning, and (if needed) the training of assessors.

5.2.4.2. Assessors should have experience and subject-matter expertise in the functional area that they are assigned to observe (e.g. command and control, fire, law and enforcement, public information, emergency medical service, etc.).

5.2.4.3. Training for the assessors must take place at least one day prior to the exercise, and should include the exercise goals and objectives; the scenario; participants; and assessors' roles, responsibilities, and assignments. During the training, the assessors should be provided with copies of the following materials to review before exercise play:

5.2.4.3.1. Assessment materials/tools

5.2.4.3.2. Exercise agenda and schedule, List of Injects

5.2.4.3.3. Appropriate plans & Policies

#### 5.2.5. Finalize the Assessment/Evaluation Plan

5.2.5.1. Once exercise requirements have been defined and assessment planning to meet those requirements has been completed, the Head of the Assessor team has to finalize the Assessment Plan. For an example of an Assessment/Evaluation plan see **Appendix 6**

### 5.2.6. **Controller and Assessment Briefing**

5.2.6.1. Before the exercise begins, the Head of the assessor team should meet with the assessors to verify roles, responsibilities, and assignments and to provide any significant updates (changes to scenario, new assignments, etc.). This is a time for the assessors to ask questions and to ensure complete understanding of their roles and responsibilities.

### 5.3. **Observe the Exercise and Collect Data (Step 2)**

5.3.1. Exercise observation and data collection can differ between Field Exercises, (operations based) and Table Top Exercises (discussion based), for which reason, the two exercise types are discussed separately in this section.

#### 5.3.2. **Field Training Exercises (FTX)**

5.3.2.1. Assessment of operation-based exercises requires detailed observations at the task and activity level. Based upon the objectives of the Exercise requirements, the assessors will be strategically pre-positioned in locations and at sites where they can gather useful data, and must track and record participants actions carefully.

5.3.2.2. As participants/players make decisions and take actions, assessors should take notes that capture the following information:

5.3.2.2.1. Who (by name or position) performed the action or made the decision?

5.3.2.2.2. What occurred (The observed action)?

5.3.2.2.3. Where (the location) did the action or decision take place?

5.3.2.2.4. When (the time) was the action completed?

5.3.2.2.5. How was the action performed and how was decision made (the process)?

5.3.2.3. The notes can be made on pre designed templates or other adequate documents.

#### 5.3.3. **Conducting a Hot Wash Up Briefing**

5.3.3.1. The Hot Wash Up is conducted as soon as possible after the exercise, preferably the same day. It should be coordinated and steered by the Head of the assessor team, assisted if necessary by the lead assessors. It provides a general assessment of how entities performed in the exercise. In addition, it also provides the assessors with the opportunity to clarify points or collect any missing information.

5.3.3.2. It is also important that the assessors have a briefing after every exercise day. Each assessor might also provide the Head of the Assessor team with a first short written report before leaving the exercise.

#### 5.3.4. **Collecting Supplemental Data**

5.3.4.1. The Head of the Assessment team assigns one or more members of the Assessment team to collect supplemental data immediately after the exercise. Such data is critical to fill in gaps during exercise evaluation. For example, one useful source of information could be records produced by automated systems or communications network.

### 5.3.5. Table Top Exercise (TTX)

5.3.5.1. In Table Top exercises it is common to use Breakout sessions and other exercise techniques different from those used in the Field exercises. In the Breakout session the facilitator frames the scenario and poses direct questions, players then break out into subgroups. In such discussion based exercises there must be assessors and if needed, note takers present in each group.

5.3.5.2. During the exercises, based on the objectives, each Assessor uses the evaluation form to record data for critical topics and subjects that the head of the Assessor Team has assigned him/her to assess.

5.3.5.3. Assessors generally record the following types of information from player discussions:

5.3.5.3.1. What plans, policies, and procedures would be implemented to recover from the present situation?

5.3.5.3.2. Are roles and responsibilities of the various authorities and organisations clearly defined?

5.3.5.3.3. How are various decisions made? Who has authority to make decisions?

5.3.5.3.4. What information about the scenario, the hazard, the victims, and the participants and the public is collected? Who collects it, and what do they do with it?

5.3.5.3.5. How is information shared with other agencies?

5.3.5.3.6. How are national and regional resources requested? Who makes the request? How are the resources distributed and controlled?

5.3.5.3.7. What mutual aid agreements (MAA) exist? How would they be activated?

5.3.5.3.8. What recommendations for improvements are made by the group?

### 5.4. Analyze Data (Step 3)

5.4.1. During the analysis, the assessment team consolidates the data collected during the exercise and transforms it into a narrative/story that addresses the course of exercise play, demonstrated strengths, and areas for improvement.

5.4.2. Field Exercises (operation based) tend to yield higher amounts of data than Table Top Exercises and Command Post exercises (discussion based). As a result, operations-based exercises require a more comprehensive data analysis phase than many discussion-based exercises. Consequently, this step addresses the two categories of exercises separately.

### 5.4.3. Field Training Exercises

5.4.3.1. In order to make useful recommendations, the assessment team needs to know not only what events took place during the exercise, but also why events unfolded as they did. Each task that is not completed as expected must be examined by the assessors.

5.4.3.2. As soon as possible following the Hot Wash Up, an assessment debrief will take place. The briefing gives each assessor opportunity to provide an initial overview over the functional area they observed and to discuss strengths and areas for improvement.

5.4.3.3. Following the assessment debrief the assessors use an analysis sheet to develop a story/narrative for each capability and associated activity that describes what participants did during the exercise. Then the assessors, using all available data, identify strengths and areas of improvements for each capability being exercised.

5.4.3.4. The Head of the Assessor team will coordinate the process by using the narratives to reconstruct a timeline of exercise events as they occurred. The process of developing an event-reconstruction narrative can range from hours to days or weeks and depends on the size and scale of the exercise and the amount of the data collected. The final product should be a master timeline that captures all key points relevant to the capabilities being exercised. This should combine to provide the Head Evaluator with the foundation needed to summarize the exercise in the Evaluation Report from the Assessor team.

#### 5.4.4. **Tabletop Exercises**

5.4.4.1. A debrief with the EMPT, facilitators and assessors should be held immediately following the exercise. The debrief allows the assessors to collect observations and thoughts about the conduct of the exercise, and leads to the development of preliminary analyses of exercise observations.

5.4.4.2. Following the debrief, assessors should review their notes from the discussion and begin to develop preliminary analyses of the exercise. Preliminary analyses involve developing a chronological description of relevant discussion for each capability as well as its associated activities.

5.4.4.3. The Head of the Assessor team may assign the preliminary analyses for each activity to an individual or group of assessors with relevant functional expertise, or the Assessment team can jointly develop all required preliminary analyses. This description should highlight strengths and areas for improvements.

5.4.4.4. When writing preliminary analyses, evaluators should consider the following questions:

5.4.4.4.1. Were the objectives of the exercise met?

5.4.4.4.2. Did the discussion show that all personnel would be able to successfully complete the task necessary to execute each activity? Why or why not?

5.4.4.4.3. What are the key decisions associated with each activity?

5.4.4.4.4. Did the discussion show that all personnel are adequately trained to complete the activities/tasks needed to demonstrate a capability?

5.4.4.4.5. Did the discussion identify any resource shortcomings that could inhibit the ability to execute an activity?

5.4.4.4.6. Do the current plans, policies, and procedures support performance of activities? Are players familiar with these documents?

5.4.4.4.7. Do personnel from multiple agencies or jurisdictions need to work together to perform a task, activity, or capability?

5.4.4.4.8. What should be learned from this exercise?

5.4.4.4.9. What strengths were identified for each activity?

5.4.4.4.10. What areas for improvement are recommended for each activity?

#### **5.5. Reporting and Lessons Identified (Step 4)**

5.5.1. The Reporting from the Exercise normally contains the following:

5.5.1.1. Written First Impression Report from all involved

5.5.1.2. Evaluation Report from the Assessors Team

5.5.1.3. Post Exercise Report from the EADRCC

5.5.1.4. Post Exercise Meeting as appropriate

#### **5.5.2. Written First Impression Report**

5.5.2.1. Participating national and international civil and military elements, the DISTAFF, On-Site Commanders, the Local Emergency Management Authority, and the OSOCC should each submit a written First Impression Report to the EADRCC. These First Impression Reports should be written in a common structure and sent no later than two weeks after the exercise.

5.5.2.2. The recommended structure of the First Impression Report includes the following:

5.5.2.2.1. Exercise Planning

5.5.2.2.2. Achievement of the Exercise Aim

5.5.2.2.3. Exercise Concept/Scenario

5.5.2.2.4. Achievement of the Exercise Objectives

5.5.2.2.5. Deployment Procedures

5.5.2.2.6. Interoperability of participating Civil and Military Elements

5.5.2.2.7. Duration of the Exercise

5.5.2.2.8. Exercise Participation

5.5.2.2.9. Problem areas experienced during the conduct of the Exercise

5.5.2.2.10. Communications

5.5.2.2.11. Experience, practical knowledge gained and lessons learned

5.5.2.2.12. Other appropriate aspects

#### **5.5.3. Report from the Assessors Team**

5.5.3.1. After each team intervention, the Assessor(s) should perform a First Impression Report based on an interview with the involved team leader and his team.

5.5.3.2. Immediately after the exercise, the Assessors Team should meet to summarise the exercise. Each assessor has to submit a written report of his/hers observations during the exercise to the Head of Assessors Team. He will then produce the Final Evaluation Report and send it to each evaluation officer for final comments and then to the EADRCC no later than one month after the exercise.

#### 5.5.4. **Post Exercise Report/Lessons Identified**

5.5.4.1. Based on all above described information and reports, the EADRCC will prepare a Post Exercise Report that will be circulated to all EAPC nations and participating international organisations.

5.5.4.2. It is most important that findings and lessons from exercises are communicated to the bodies that can make improvements in the future. The identified lessons learnt will serve as a guide when planning and conducting other exercises. **Appendix 7** offers a possible matrix for forwarding recommendations.

#### 5.5.5. **Post Exercise Meeting**

5.5.5.1. A Post Exercise Meeting marks the end of the whole exercise process. Participants can discuss lessons learned from the exercise and how to implement lessons to improve the ability of the EAPC to respond to real incidents. The lessons identified will also be included in the appropriate database.

**PLANNING TIMELINES**

1. International Field Exercises

Phase	Activity	Associated Materials	Estimated start of activity/delivery
Pre Planning phase	Bilateral Meeting Exercise Management Type of Exercise, Aims & Objectives Partners & Responsibilities General Scenario Calculated Participation Location Exercise Time & Financial Arr. Information, Marketing & Invitation Planning Process & Time Table Final Exercises Decision		- 12 – 18 Months
The Planning Phase	Exercise Organisation - Start - Exercise Manager - Exercise Management Planning Team (EMPT) - Planning Working Groups		- 11 Months

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APPENDIX 1  
ANNEX 1  
EAPC(SCEPC)N(2009)0032-REV1

<b>Phase</b>	<b>Activity</b>	<b>Associated Materials</b>	<b>Estimated start/delivery</b>
Planning Process cont.	First Draft on Exercise Instructions		- 9 Months
	Initial Planning Conference, IPC		- 8 - 9 Months
	Submit of the First Preliminary Questionnaire on Participation		- 7 - 8 Months
	Main Planning Conf., MPC		- 5 - 6 Months
	Submit of the Second Questionnaire and final registration on participation of teams and individual exercise officers		- 3 Months
	Final draft of Exercise Instruction		- 3 Months
	Final Planning Conference, FPC		- 2 – 3 Months
	Final Exercise Instruction		- 1 Month
	Two days of exercise preparation by the DISTAFF, Simulation Team, Assessment Team		- 3 days
	Information and training day for all participants		- 1 day

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Phase	Activity	Associated Materials	Estimated start/delivery
The Execution of the Exercises	Start of the Exercise		+/- 0 Days
	Running of the Exercise		0 + 2 Days
	Additional Activities		+ 3 Days
Assessment and Lesson Learning	First Impression Report		+ 2 Weeks
	Final Evaluation Report		+ Month
	Post Exercise Meeting		+ 3 – 6 Months

2. International table Top Exercises (+\*Appropriate activities are chosen from FTX planning timeline above)

Phase	Activity	Associated Materials	Estimated start of activity
Pre Planning Phase	Bilateral meetings Objectives +*		- 12 Months
			- 9 Months
Planning Phase	Initial Planning Conference Final Planning Conference +*		- 9 Months
			- 3 Months
The Execution phase of the Exercise	Running the Exercise +*		1 day
Assessment and Lesson Learning	Final Assessment Report +*		+ 1 Month

## RECOMMENDED AGENDA ITEMS FOR PLANNING CONFERENCES

### 1. Initial Planning Conference

1.1. The Initial Planning Conference could include the following items

- Lessons learned from previous exercises
- The Disaster Relief Organisation of the Host Nation
- General aims and Objectives
- Scenario Framework
- Nations expectations and preliminary participation
- Input of Ideas from nations
- Exercise information and instruction
- Exercise Location
- Host Nation Support
- Cross Border Arrangements and Customs Clearance
- First Questionnaire about participation
- Financial Arrangements

### 2. Main Planning Conference

2.1. The Main Planning conference could include the following items

- Presentation of the announced participation
- More detailed scenario, examples of injects and events
- Exercise Organisation and Management
- Exercise Instruction
- Host Nation Support
- Geographic and Topographic information and Maps
- Communication Procedures
- Visit to the Exercise Location and Sites
- VIPs and Observers Programme
- Financial Arrangements
- Additional Activities

**3. Final Planning Conference**

3.1. The Final Planning Conference could include the following items

- Exercise Instruction
- Official Lead-In Scenario
- Exercise Participation
- Exercise Conduct
- Evaluation of the Exercise
- Host Nation Support and Exercise Arrangements
- Public Information, Visitors and Ceremonies
- VIPs and Observers Programme
- Financial Arrangements

## STRUCTURE OF THE EXERCISE INSTRUCTIONS

1. The Exercise Instructions
  - 1.1. The recommended contents of the exercise instructions as following
    - General information
    - Exercise Location and Timeframe
    - Exercise Participation
    - Exercise Aims
    - Exercise Objectives
    - Mission
    - Execution
    - Co-ordination Instructions
    - Command
    - Communication and Information Systems
    - Evaluation
  - 1.2. In addition there will be a number of annexes
    - Background Information
    - Exercise Scenario
    - Exercise Participation
    - Co-ordination and Communications
    - Logistics and Host Nation Support (Appendix 8 contains a checklist for Host nation Support)
    - Safety and Security
    - Public Information
    - Observers Programme
    - Financial Arrangements
    - Timetable of Planning Events
    - Evaluation
2. List of Abbreviations

## COMMAND AND CONTROL

### 1. The Command, Control and Co-Ordination System

1.1. The local civil government of the affected state and its designated emergency operations centre is normally called the Local Emergency Management Authority (LEMA). In accordance with the agreed EAPC Policy on "Enhanced Practical Co-operation in the Field of International Disaster Relief", National Elements will remain under national control while deployed in the stricken nation as an asset of this LEMA.

1.2. In addition, in case of a major disaster, the United Nations Office for the Co-ordination of Humanitarian Affairs may deploy an On-Site Operations Co-ordination Centre (OSOCC) to assist the local government authorities in co-ordinating international assistance.

1.3. As all relief actions will remain under the overall responsibility of the receiving state, the LEMA will be the tasking authority. The Commander of the LEMA will be called the Rescue Commander. Normally, the LEMA will operate as the strategic control centre for all national resources.

1.4. The OSOCC, if required, would assist the LEMA with the co-ordination of all international assistance. Co-operation between these two entities is therefore of the utmost importance. Ideally, the LEMA and the OSOCC should be co-located in order to function as a single integrated "Strategic Co-ordination, Command, and Control Centre".

1.5. In order to be able to accomplish this, International Staff Officers, as well as Liaison Officers from all assisting nations will be deployed within the operational/planning staff of the OSOCC.

1.5.1. The main tasks of the National Liaison officers will be:

1.5.1.1. To inform the OSOCC of the composition and capabilities of the national teams;

1.5.1.2. To plan, together with the OSOCC, the optimal use of all international resources (tasks, rotation, etc.);

1.5.1.3. To serve as the point of contact between national elements and the OSOCC;

1.5.1.4. To inform the OSOCC about all activities which will be undertaken during the operations conducted by their National Element (progress in the relief operations, problems encountered, solutions for the problems, assistance needed, etc.); and

1.5.1.5. To transmit to the National Element all useful information and/or instructions available in the OSOCC.

2. Within the Chain of Command and Control and Co-ordination five functional levels have been identified:

2.1. The Policy Level assesses the situation and decides on the role of the entire relief operation, based on applicable laws and operational procedures. This level will normally be carried out at Ministry Level.

2.2. The Strategic Command decides on the level of preparedness and the operational framework. In addition, this level has the responsibility for the strategic and tactical use of all resources, national as well as international. This level will be carried out by the LEMA.

2.3. The Tactical Command conducts the integrated command of an ongoing operation at an operational site within the operational framework provided by the LEMA. Each operational site will need its own Tactical Command. This level will be carried out by a National On-Site Commander.

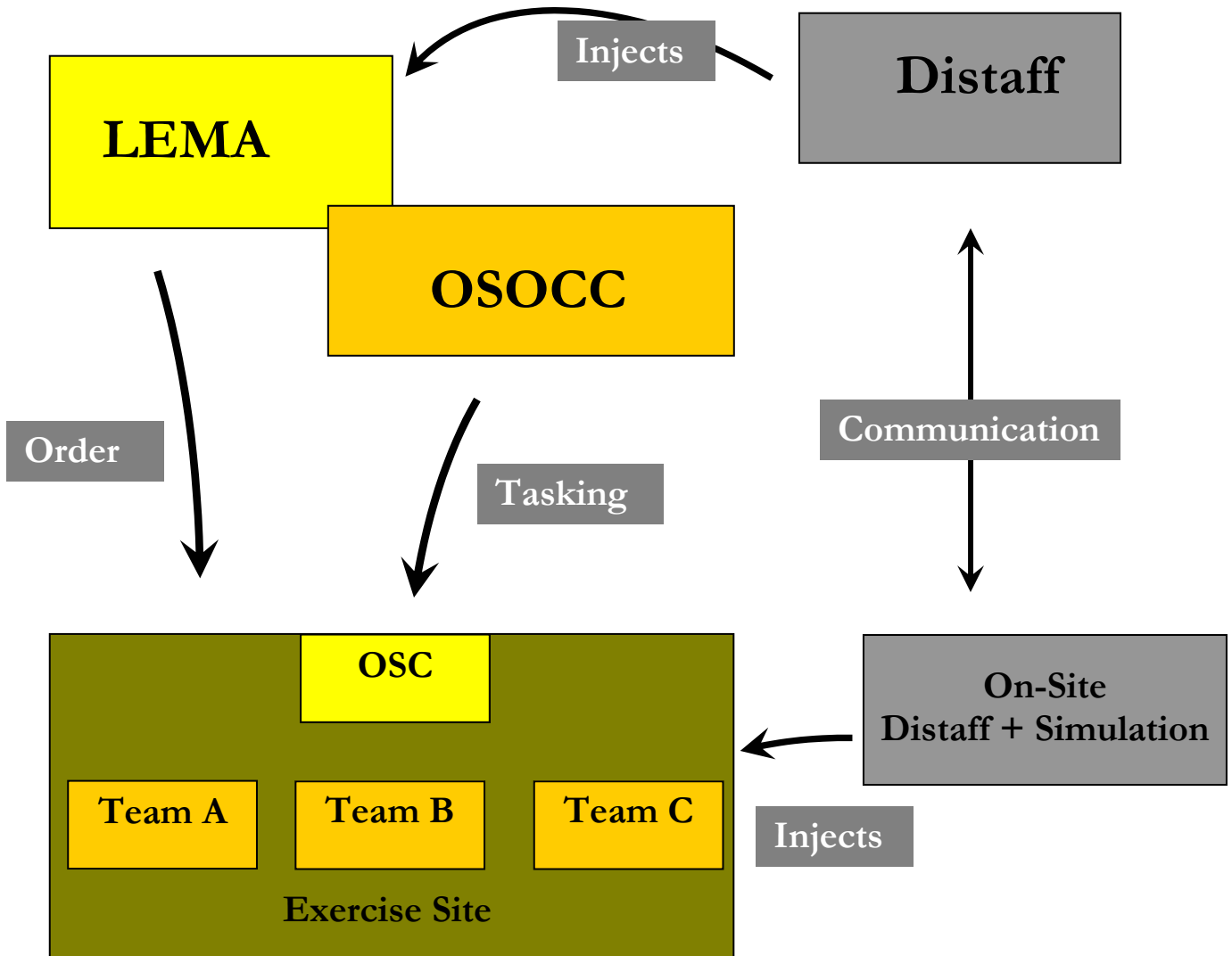
2.4. The Co-ordination of Individual Teams has the main task of preventing and managing conflicts and frictions among the teams and their tasks, through making adjustments and corrections among these teams. This co-ordination level will be performed by the Assistant On-Site Commanders.

2.5. The Command of Individual Team leads the team in its performance of the assigned tasks. Each individual Team Commander carries out this command level.

**3.** The Rescue Commander will make general decisions by deciding on the use of available resources in accordance with the operational plans submitted by the Operational Staff in the LEMA and the OSOCC. These orders (locations, tasks and resources) will then be provided to the On-Site Commanders who will communicate a separate tasking to the Commander of each individual team, which has been put at his disposal.

3.1. As each Individual Team Commander is responsible for his own team, he will have to agree, on the basis of the skills of the team and the equipment available, the tasks that will be assigned to his team taking into account their security and safety. Each Team Commander has to report the results of his operations to his On-Site Commander and to the OSOCC.

The Structure of Command and Control (Field Exercise)



**PARTICIPATION QUESTIONNAIRE  
TEAM AND PERSONNEL PARTICIPATION**

Country Name : \_\_\_\_\_  
Name of Department : \_\_\_\_\_  
Name of Responder : \_\_\_\_\_  
Address : \_\_\_\_\_  
Telephone : \_\_\_\_\_  
Fax : \_\_\_\_\_  
E-mail : \_\_\_\_\_

**Team 1** No. of Personnel \_\_\_\_\_  
Category/Speciality \_\_\_\_\_

**Team 2** No. of Personnel \_\_\_\_\_  
Category/Speciality \_\_\_\_\_

**Team 3** No. of Personnel \_\_\_\_\_  
Category/Speciality \_\_\_\_\_

**Team 4** No. of Personnel \_\_\_\_\_  
Category/Speciality \_\_\_\_\_

EADRCC Host nation  
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Fax.: + 32-2-707.2677  
e-mail: [eadrcc@hq.nato.int](mailto:eadrcc@hq.nato.int)  
POC:

Deadline: **DD MM YYYY**

This questionnaire is intended to provide the host nation and the EADRCC with a preliminary indication of the level of participation which is subject to confirmation during the Main Planning Conference.



**PARTICIPATION QUESTIONNAIRE  
EXERCISE SUPPORT STAFF**

Family name : \_\_\_\_\_ First name : \_\_\_\_\_  
Mr. / Mrs. / Ms. : \_\_\_\_\_  
Nationality : \_\_\_\_\_  
Organization : \_\_\_\_\_  
Function : \_\_\_\_\_  
Mailing address Street: \_\_\_\_\_  
City and Postal code: \_\_\_\_\_  
Country: \_\_\_\_\_  
Telephone : \_\_\_\_\_ Fax : \_\_\_\_\_  
E-mail : \_\_\_\_\_

**Will Participate as**

- Directing Staff (DISTAFF)
- DISTAFF Working Group
  
- Assessor
- OSOCC member

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POC:

Deadline: **DD MM YYYY**

This questionnaire is intended to provide the host nation and the EADRCC with a preliminary indication of the level of participation which is subject to confirmation during the Main Planning Conference.

## ASSESSMENT/EVALUATION PLAN

### A POSSIBLE STRUCTURE AND CONTENTS

#### 1. Introduction

Clarifying that this document is intended to support the facilitation of the assessment process and provide the members of the assessor team with valuable information. The Assessment plan also shows the requirements for the assessment by considering:

#### 2. Exercise Scope and Objectives

It is important that the overall scope is defined and presented as well as the listed objectives for the exercises which will be vital to mirror in the assessment work.

#### 3. Assessment Process

Describing the Documentation, the elements that has to be assessed, the methodology

#### 4. Briefings

During the days prior and during the exercise it is important that it is clear where and when the assessor team shall meet for briefings in order to give feedback and do adjustments if needed.

#### 5. Reports

Another most important matter is the reporting, what kind, where does it fit in and when it should be delivered. In addition, it should be decided what template the assessor should use.

#### 6. Terms of Reference

In these kinds of exercises there is an opportunity to exercise and test several EAPC procedures which are presented in a number of documents. A list of these documents is recommendable to facilitate the work.

#### 7. Role and Functions of Staff Elements

Describing the role and functions of the different Staff Elements

#### 8. Composition, task and roles the Assessor Team

Describes the responsibilities tasks and roles, including the most vital fact that the assessors are independent and have access to all exercises facilities and sites.

#### 9. Practical Arrangements

There are a number of practical issues that have to be clarified below this item such as: Muster Point, Briefings, Feeding, Welfare, Communication, Safety and Security, etc

TEMPLATE

HOW TO MANAGE LESSONS IDENTIFIED IN REPORTS

No	OBSERVATION/LESSON IDENTIFIED	REMEDIAL ACTION/RECOMMENDATION	ACTION BODY
<b>Objective/Section 1 – i.e. Exercise Participation</b>			
1.1	Aaaaaaaaaa	Bbbbbbbb	cccc
<b>Objective/Section 2 – i.e. Exercise Planning</b>			
2.1	Aaaaaaaaaa	Bbbbbbbb	cccc
2.2	Aaaaaaaaaa	Bbbbbbbb	cccc

**Definitions :**

**Observation**

An issue identified for improvement or something that worked well and might be useful to know for future reference (for this kind of observations it is not necessary to find a Remedial Action an Action Body, for there is no issue to improve)

**Lesson identified**

An observation for which a Remedial Action has been developed and an Action Body to carry out such action has been proposed

**Remedial Action**

A possible action that serves to rectify a fault or improve conditions

**Action Body**

Organization tasked to implement or to facilitate the implementation of an approved action

### **Checklist Host Nation Support (HNS)**

1. Points of entry (airports, seaports, border crossings) for international teams / assets
2. Border crossing arrangements
3. Visa requirements – letter of invitation – travel documents
4. Immigration procedures
5. Customs procedures
6. Exemption from duties, taxes and fees
7. Importation procedures for radio equipment, vehicles, watercraft, role equipment, pharmaceuticals, hazardous materials, consumables such as food / petrol / oil / lubricants, currencies, blood products, animals (search dogs), alcohol
8. Inland transportation from point of entry
9. Points of entry for re-supply
10. Re-deployment arrangements / procedures
11. Provision / rental of vehicles
12. Liability insurance for vehicle / equipment operators
13. Provision of / price of fuel and other POL products
14. Provision of compressed gases
15. Accommodation, billeting, ablutions, toilets, showers; Base of Operations i.a.w. INSARAG guidelines
16. Provision of accommodation furniture
17. Provision of maps
18. Provision of food and catering / dining / messing facilities
19. Provision of drinking water
20. Provision of electrical power
21. Internal communication of international teams – submission of information about frequencies, technical details, etc.
22. Permissible frequency ranges
23. Erection of telecommunication antennas
24. Access / link to telecommunication networks
25. Internet connectivity
26. Reimbursable / Non-reimbursable services

27. Access to banking facilities
28. Provision of mail services
29. Provision of personal welfare services
30. Provision of work / maintenance areas
31. Provision of office space and office equipment
32. Provision of security services for billeting and work areas
33. Provision of maintenance services
34. Provision of janitorial services
35. Provision of local procurement services
36. Provision of mechanical material handling equipment (MHE)
37. Provision of storage space / areas / safe storage
38. Provision of cold storage
39. Access to local labour
40. Provision of translation / interpretation services
41. Provision of medical services including dental
42. MEDEVAC and repatriation for medical reasons
43. Environmental regulations that have to be observed
44. Provision of waste / sewage disposal services
45. Legal Status of International Teams; Model Agreement, Annex I to Oslo Guidelines
46. Temporary work permits, temporary recognition of professional qualifications
47. Permission for (international) military teams to carry arms – (not) granted?
48. Application of local law / justice after criminal activity
49. Waiver for compensation claims in the event of un-wilful property damage
50. Press / media policy; Budapest Guidelines

**LIST OF ABBREVIATIONS**

ASS OSC	Assistant On-Site Commander
AT	Assessment Team
BCP	Border Crossing Point
BoO	Base of Operations
CBRN	Chemical, Biological, Radiological and Nuclear (agents)
CBR	Chemical, Biological and Radiological
CEP	Civil Emergency Planning
CIP	Critical Infrastructure Protection
CIS	Communication and Information System
CPX	Command Post Exercise
DISTAFF	Directing Staff
EADRCC	Euro-Atlantic Disaster Response Co-ordination Centre
EADRU	Euro-Atlantic Disaster Response Unit
EAPC	Euro-Atlantic Partnership Council
EMPT	Exercise Management Planning Team
EPP	Exercise Project Plan
EPT	Exercise Planning Team
ETD	Estimated time of departure
FTX	Field Training Exercise
FIR	First Impression Report
FPC	Final Planning Conference
HDS	Head of Directing Staff
HAT	Head of Assessor Team
HQ	Headquarters
IAEA	International Atomic Energy Agency
IDRA	International Disaster Relief Assistance
INSARAG	International Search and Rescue Advisory Group
IO	International Organisations
IPC	Initial Planning Conference
IPOC	Initial Point of Contact
LEMA	Local Emergency Management Authority
LO	Liaison Officer
MAA	Mutual Aid Agreements
MCDA	Military and Civil Defense Assets
MEDEVAC	Medical Evacuation
MHE	Material Handling Equipment
MPC	Main Planning Conference
MTF	Medical Treatment Facility
NGO	Non Governmental Organisations
OCE	Officer Conducting the Exercise
OPCW	Organisation for Prohibition of Chemical Weapons
OSC	On-Site Commander

OSDS	On-Site Directing Staff (Distaff)
OSE	On-Site Evaluation
OSOCC	On-Site Operations Co-ordination Centre
PC	Press Centre
PfP	Partnership for Peace
PIC	Public Information Centre
POC	Point of Contact
POL	Petroleum Oils(s) and Lubricants
PPM	Preliminary Planning Meeting
PWP	Partnership Work Programme
RC	Rescue Commander
SAR	Search and Rescue
SCEPC	Senior Civil Emergency Planning Committee
SSAR	Specialised search and rescue
TC	Team Commander
t.b.d.	To be determined
t.b.c	To be confirmed
TTX	Table-Top Exercise
UN	United Nations
UN-OCHA	United Nations Office for the Co-ordination of Humanitarian Affairs
UNDAC	United Nations Disaster Assessment and Co-ordination Team
VIP	Very Important Person
WG	Working Group
WHO	World Health Organisation