# Preparing Scotland

## Exercise Guidance

September 2018

# Preparing Scotland Exercise Guidance

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# Introduction

Exercises play a key role in assisting Scotland be prepared for dealing with emergencies. They can range from structured events where participants explore specific issues, to playing out live the response to an incident. The purpose of this guidance is to provide a practical tool to assist in the planning, delivery and evaluation of exercises.

The guidance sets out the factors involved in the exercise process and incorporates a set of templates that can be used across the diverse area of civil contingencies, from individual agency internal exercises to multi-agency live play exercises. Depending on the complexity of the exercise the various steps contained within the guidance may be lengthened or shortened to suit specific requirements. Templates may also be adjusted to accommodate individual agency or Regional Resilience Partnership (RRP) protocols.

Note: Reference to RRPs throughout this guidance can also apply to Local Resilience Partnerships (LRPs) or any other form of local emergency planning multi-agency group.

The guidance is presented in four colour-coded sections. Each section has three sub-sections as follows:

| | | | |
|---|---|---|---|
| **Introduction** | **Why** | **What** | **Who** |
| **Exercise Preparation** | **Commissioning** | **Planning** | **Exercise Instruction** |
| **Exercise Activity** | **Exercise Build Up** | **Exercise Main Play** | **Closing Play** |
| **Post Exercise** | **Cold Debrief** | **Post Exercise** | **Follow Up Meeting** |

The templates are included as Annexes but you can click on the links within the Guidance to open and save the templates which are available in Microsoft Word format. Please feel free to amend the templates to suit your needs.

If you're not sure how any sections of this guidance or the templates may apply to you, please consult your local emergency planning officer, RRP Learning and Development Coordinator or ScoRDS (Scottish Resilience Development Service).

# 1. Exercise Introduction

| Why | What | Who |
|-----|------|-----|

# Why Exercise?

The Civil Contingencies Act (CCA) requires Category 1 responders to train and exercise to ensure their emergency plans as well as business continuity plans are effective (CCA duties to maintain emergency plans and maintain business continuity plans – Regulations 19[a] and 19[b]).  Relevant planning documents must contain a statement about the nature of the training and exercising to be provided, and its frequency.

Other legislation exists which also require training and exercising to be carried out, notably in relation to COMAH (Control of Major Accident Hazards), pipeline, nuclear and airport regulations and licensing.

Often therefore the answer to the question 'why exercise' is around the requirement to:

- Validate plans
- Develop staff competencies and give them practice in carrying out their roles in the plans
- Test well-established procedures.

Exercises also plan a key role in assessing and exploring:

- The response to a risk, particularly a new risk that has been identified through the appropriate risk assessments
- Specific gaps in capability (including those identified under the Risk and Preparedness Assessment process) which requires urgent action
- Lessons identified from a previous event or operation to determine the extent to which these lessons identified have been learnt
- Different strategies, tactics, procedures or equipment by artificially simulating circumstances in a safe environment
- Preparation for a pre-determined event.

The most important question to ask prior to undertaking exercise planning is: Why is this exercise required?

# What to Exercise?

Exercises can be resource intensive, both in the planning phase and ensuring the right people are available to participate both before, during and after. It is therefore important that decisions around which areas are most in need of exercising are based on sound evidence.

RRPs use three key sources of evidence to identify what to exercise:

- Their plans (emergency plans and business continuity plans)
- Their Risk and Preparedness Assessment (an assessment of risks to the area and the consequences of these risks followed by an assessment of how prepared the partnership is to respond to the consequences)
- Lessons identified from previous incidents and exercises.

The following broadly outlines how training and exercising needs are identified by the RRPs, addressed and evaluated. It is a cyclical approach focused on continuous improvement.
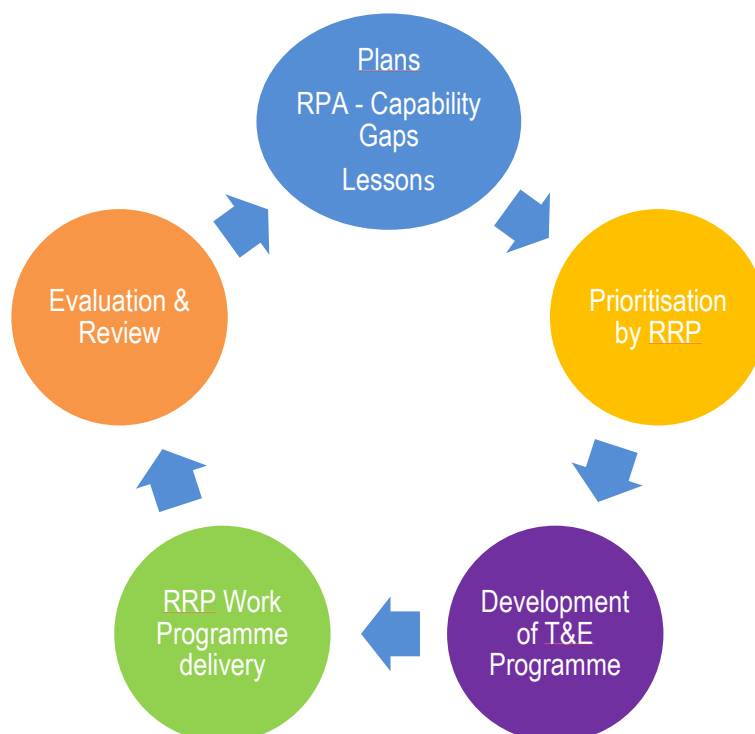
# An Exercise Programme

Within Scotland, exercises may be programmed under the following 3 broad levels:

| Level | Activity | Examples |
| --- | --- | --- |
| Single-agency | An individual organisation may have an exercise programme that is site or legislation specific. | Business Continuity plans or the functioning of a specific support centre. |
| Multi-agency | Resilience Partnership exercise programmes will address the different functional areas that exist within the RRP/LRP.<br><br>Exercises should be scheduled to allow for appropriate participation and for lessons to be identified and incorporated in plans and future exercises. | Multi-agency exercises of off-site plans, football stadia, prisons, media liaison, and mass crowd events. |
| National | National Exercises can address national risks and incorporate participation at Scottish Government level. | Pandemic Influenza, failure of the Critical National Infrastructure, Counter Terrorism, and mass fatalities exercises. |

An exercise programme should:

- Clearly state the aim and objectives of the programme
- Have an outline of what exercises will be needed to accomplish these objectives and the scope of each
- Be scheduled so that sufficient time is available for participants to be trained
- Continue to be reviewed to ensure objectives are being met
- Take account of the availability of organisations/individuals that are required to contribute to the development of the exercise
- Take into consideration the equality and diversity needs of the individuals involved in the exercise - e.g. access requirements, faith-based considerations etc
- Cover a cyclic period as changing processes (internal and external) and new risks with different consequences require plans to be updated and remain viable

- Give consideration to other exercise programmes to prevent any potential conflicts as well as consider if different exercise programmes (or components of these) could be used to achieve the aim and objectives
- Grow with the organisation's capability and level of maturity/preparedness (this is also applicable to the exercises themselves).

## Taking a Modular Approach

It is unlikely that all elements of emergency response and recovery can be assessed in a single exercise. To properly examine all aspects it is therefore advisable to take a modular approach. This involves identifying all the elements of emergency response and recovery arrangements such as:

- Incident Management components such as call-out, coordination and the use of control centres
- Communication between agencies and with the public
- Care for people
- Individual agencies responsibilities
- Specialist elements such as decontamination, casualties or search and rescue
- Recovery.

Then determining when and how best to assess each element. The end result is an auditable and transparent record showing the different elements and when and how different elements were last assessed.

The record may also include:

- Whether or not the success criteria has been met for each objective/ phase
- The method by which each of the criteria has been evaluated
- How this has been recorded to provide the evidence
- Any follow-up actions that have resulted following an exercise
- How the lessons will be communicated both up and down.

# Types of Exercise

When deciding what type of exercise to run you should consider exactly what you are trying to be achieve and the best way to achieve it. On occasion the type of exercise may be directed by legislation. If this is not the case it is essential to choose a format for the exercise which is the most appropriate and cost effective way of achieving the specific aim and objectives.

There are four main types of exercise:

## 1. Discussion Exercise

Discussion Exercises, also known as Workshops or Concept Reviews, are structured events where participants can explore issues in a less pressurised environment. The emphasis of this type of exercise is on a specific problem that has been identified with the aim being to find a possible solution, rather than the focus being on decision making.

These exercises may prove to be the most cost effective and less time consuming type of exercise. Examples of when a discussion exercise may be appropriate include:

- Informing participants of a new plan or procedure
- Introducing individuals to their new or potential future role
- Updating staff on new developments and ideology
- Assisting plan or procedural development
- Exploring possible approaches to a scenario to hopefully agree to and document best practice.

## 2. Table Top

Table Top exercises involve a realistic scenario and a time line which may run in 'real time' or may include 'time-jumps' to allow different phases of the scenario to be exercised. Participants or exercise players are expected to know the plan/s being exercised and they are invited to test how these plans work as the scenario unfolds.

Table Top exercises can be a realistic, cost effective and efficient method of testing plans, procedures and/or people, as well as familiarising players with a particular location or site, and promoting a better understanding of the roles to be carried out by their own and other departments and agencies.

Used appropriately, media input to the exercise will greatly enhance the realism and therefore the training value of the exercise.  During the planning phase of the exercise the role of media should be discussed and agreed.  An element of media awareness could be introduced under controlled conditions, such as the preparation of press releases, news injects or the use of trainee journalists to play the role of news reporters.

### 3.  Command/Control Post

Command Post exercises involve team leaders and key decision makers from all participating departments/organisations, working from the command locations that would be used in real events.  They should be supported by the information and communication systems that would be operational in a real event. The management teams involved may be at an operational, tactical or strategic level and could be located indoors, outdoors or a combination of both.

In these exercises, management teams are given information in a way that simulates a real event. The teams are then expected to deal with the situations that they encounter, linking in to other management teams as necessary.  The pace of exercise play can be controlled to provide collective training development.  Alternatively, players can be invited to respond as they would for real, in order to enable evaluation rather than development of a management team.  These exercises have the added advantage of testing information flow, communication and equipment, in addition to procedures, decision making and coordination.

### 4.  Live

Live exercises can range from a small scale test of one component of the response, for example evacuation, through to a full scale test of the whole organisation. Live exercises are designed to include everyone likely to be involved in that part of the response.

Live exercises are particularly useful where there is a regulatory requirement or where a high risk to an organisation has been identified and the response and recovery plans need to be fully tested.

These exercises are the most realistic way to train people and test emergency and business continuity plans. However, there are a number of challenges that by their nature might not always make a live exercise the most effective exercise format.  If planning for a Live exercise careful consideration needs to be given to:

- The high resource demand particularly during the development stages, as well as the overall financial cost
- Restricting knowledge of the exercise details to only those that need to know to assist the accurate testing of a contingency plan
- The reputation value for an organisation

| **What** |
|---|

- The possibility of exposing exercising players and organisations to negative publicity if the exercise is carried out in the public or media eye
- How any disruption to the normal operation of the organisation can be managed
- The need for a large number of Exercise Directing staff
- Planning the debriefing so that identification of lessons to be learnt is completed and co-ordinated for all levels and agencies involved.

## Methods of Delivery

In addition to these types of exercises a number of delivery methods may be used. These may include:

- Controlled or Free Play
- Computer simulation
- Paper feeds
- Talk through – walk through
- Demonstration
- Video conferencing
- Email
- Web-based
- Incorporating 'time-outs' or 'pauses' during exercise play to enable players to reflect and possibly re-focus (or 'play again')
- A mixture of all of the above!

## SUPPORTING DOCUMENTS

Annex A - Types of Exercise: 'Pros' & 'Cons' Matrix

Exercise Guidance -
Annex A.docx

# The Exercise Team

Each exercise has a number of key participants.  In large exercises, several people will be involved in managing the event.  For a small exercise, a single individual may take on many functions.

This section provides details of the various roles involved in exercises. While each role should be fulfilled, it is possible for numerous roles to be undertaken by the same person, depending on:

- The complexity of the exercise
- The number of agencies involved
- The nature of the exercise
- The exercise security classification
- The time available for planning.

**1.  Exercise Sponsor**

Each exercise should have a Sponsor who is accountable for the event.  The Sponsor will identify the need for the exercise, agree a budget, monitor delivery and is responsible for ensuring lessons are identified during the exercise and followed-up afterwards.

Rather than an individual the Sponsor is likely to be an organisation or a collection of organisations, for example a RRP. However, it is likely that an individual or small team will act as the representative of the agency and become the Sponsor for planning purposes.

**2.  Exercise Director**

The Exercise Director is accountable to the Sponsor for the management of the exercise.  This includes managing the planning, exercise play and post exercise procedures.  Although health and safety is not a delegated matter and each individual agency is responsible for its own resources the Exercise Director should also ensure that an overall exercise risk assessment is produced.

During the planning phase of the exercise the Exercise Director will retain an overview and ensure that the competing or conflicting objectives of the various agencies meet the overall exercise aim and objectives. The Exercise Director is responsible for seeking agreement on the parameters and defining the limits of the exercise in terms of:

- Type of exercise
- Level of participation
- Constraints (real play, geography, finance etc)
- Timeframe (when and for how long).

### 3. Exercise Planner

The Exercise Planner is responsible for planning the exercise in detail.  For most exercises it is impossible for all aspects of planning to be done by an individual and therefore an exercise planning team should be formed, comprising of members of the key agencies involved in the exercise.  The planner/planning team may be responsible for a number of areas including:

- Coordinating the activities of those involved in the preparation stages of the exercise
- Reporting the course and progress of planning to the Exercise Director on a regular basis
- Producing the draft Exercise Instruction for approval by the Exercise Director.

For larger exercises it may be advantageous if the Exercise Director and Exercise Planner are two separate individuals.

### 4. Exercise Directing Staff

During the running of exercises, there will be a number of Directing Staff who are responsible for controlling the pace and ensuring the continuity and smooth running of the exercise.

Intervention by any member of Directing Staff should be minimal and a last resort, to give the exercise players time to correct problems.  Nevertheless, Directing Staff should intervene when there is confusion about the scenario or an organisational problem out of the control of the players.  They should also intervene if the exercise objectives or safety of participants are threatened or when one person's action/inaction is jeopardising the opportunities afforded by the exercise.

For large events, there may be a requirement for several Directing Staff.

## 5. Exercise Controller

The position of Exercise Controller will often be filled by the Exercise Planner or Director on the exercise date. It is this individual who is responsible for coordinating exercise activity and is ultimately responsible for ensuring that when a Main Events List (MEL) is used the exercise is conducted in accordance with the agreed timeline. However, flexibility will allow the Controller to use their own judgement and experience in timing the specific inputs.

Information flows should be continuous and it is essential that communication structures and direction of information flows (up, down, sideways) are defined during the planning stage.

## 6. Exercise Facilitators

Depending on the type of exercise that is being delivered, the Exercise Facilitators will take on different roles. For Live Play and Command Post exercises, the Facilitators' functions could include the following:

**Safety Staff**
They are responsible for the safety of participants and the public.

**Role Players**
These should be those individuals who are deployed in and around those being exercised to bring realism to the exercise. They may act as casualties, or other role specific players. It is important they clearly understand the aim and objectives of the exercise, and that they clearly understand their role and the constraints placed on their actions.

**Multiple Role Players**
In some cases, people may be asked to play more than one role (e.g. at the end of a telephone or email link), to provide simulated input representative of a number of different roles that do not justify the use of a dedicated person for each.

**Trainers**
During an exercise staff may be allocated specifically to the task of delivering or assessing the training of those involved.

For Table Top and Syndicate exercises, it is common for each table to also have its own facilitator. His/her role is to ensure that the momentum and direction of play is maintained accordingly. Specifically a Table Facilitator should:

- Encourage everyone to contribute and ensure that the available time is not dominated by a few individuals
- Identify individuals in the group who have unique expertise to be brought to bear on the subject under consideration
- Move discussion on
- Capture players' input
- Concentrate on the process and not getting drawn into the content (i.e. avoiding value judgements on the views expressed)
- Check self and group understanding
- Identify broad areas of agreement and difference
- Encourage consideration of as many of the issues as possible
- Test the limits of the group's 'comfort zone' when issues are assumed to be unproblematic
- Summarise the group's output and assist the group report it in plenary session
- Communicate with the main facilitator to ensure that no important points are missed during feedback.

## 7. Exercise Players

Players are agency personnel who have an active role in responding to the simulated emergency and will perform and/or discuss their regular roles and responsibilities during the exercise.  Various events will prompt reaction and players should proceed in accordance with established plans and/or procedures.

'Non-playing' personnel should be clearly identifiable.  Tabards are most commonly used and identification of players should be clear by uniform or badge.

## 8. Umpires*

Umpires evaluate and assess the various exercise activities against set evaluation criteria to determine to what degree the objectives have been achieved. They are the eyes and the ears for the Exercise Director and Exercise Controller and need to be clearly briefed on what they should look for. They should have clear parameters regarding what advice or information they may give (if any) and to whom during the course of the exercise. Their role in advising on exercise progress and any concerns regarding welfare and safety matters and in debriefing participants at the conclusion of individual serials, or on completion of the exercise, is crucial.

**9. Observers***

The role of Observers should be a passive one and they must be clearly briefed to that effect.  They may be requested to visit the exercise for the purpose of assessing their own staff but not to assess the exercise itself. They may also visit the exercise to identify and learn lessons in preparation for future exercises.  Observers should where possible, be invited to attend the debriefing after the exercise. Those unable to attend should submit their comments to the respective personnel responsible for collating the lessons.

Too many Observers can, if not carefully managed, cause confusion and detract from the exercise.  They should have a real interest in the exercise and a quality briefing for them is essential prior to the exercise, highlighting the exercise aim, objectives and individual area of focus during the exercise. It may also be necessary to make available a member of the directing staff to explain events and procedures as the exercise unfolds.

**\*Note:**  Different organisations may use different terminology.  For example, those tasked as Observers may be engaged in evaluation tasks that are more consistent with the definition of Umpire above.

**SUPPORTING DOCUMENTS**

You may find the Exercise Checklist helpful as it is a two page overview of the key tasks required to plan, deliver and evaluate an exercise.

Annex B - Exercise Checklist

Exercise Guidance -
Annex B.docx

# 2. Exercise Preparation

| Commissioning | Planning | Exercise Instruction |
|---|---|---|

# Commissioning and Notification

## Commissioning

It is important that each exercise is properly commissioned by the Exercise Sponsor who will be accountable for its outcomes.  Exercises that 'fail' to meet their aim and objectives often do so because the commissioning process was not appropriately executed, resulting in participants not being clear on what they were trying to achieve, when and why.

Commissioning is required to design the exercise so that it achieves the Sponsor's aims.  The Exercise Planner can work through the process in detail, however the Sponsor is responsible for signing off the initial Business Case or Project Initiation Document (PID) which should address the following questions:

## Sponsor
- Who is sponsoring the exercise?
- Is it being run as one in a series of exercises and, if so, what series?

## Aim
- What is the aim of the exercise?
- Has the aim been agreed by the Sponsor?
- Has it been agreed by all participating agencies?

## Objectives
- What will the overarching objectives be?
  Note: If individual groups or agencies set their own objectives these must not contradict or compromise the overall objectives.
- What are your success criteria? How is it going to be measured?
  Overall, are your objectives **SMARTER**:

| **S**pecific | What are the exercise aims and objectives? |
|---|---|
| **M**easurable | How will you measure and demonstrate success? |
| **A**chievable | What type of exercise is best and fit for purpose? |
| **R**ealistic | Will the exercise scenario and resources deliver? |
| **T**imely | Are the timescales appropriate? |
| **E**valuation | What is the best evaluation method? |
| **R**eview | How is the exercise going to be debriefed and lessons |

**Who**
- Who should be exercised?
- Have the individuals' needs and any equalities issues been considered at the outset?
- Who will run the exercise? Planning and Directing Staff need to be agreed as part of the commissioning process.
- Who will validate/assess the exercise preparation and play?
- Who will produce the post exercise report on behalf of the Sponsor?
- Who is to receive the report(s)?

**How**
- How does the exercise fit within the local, RRP or national exercise programmes? Is it part of a series of exercises?
- How does it relate to the training of those being exercised?

**What**
- What type of exercise is it?
- What scale of exercise is it?

**When**
- When will the exercise take place? Define the time line and milestones.

**Where**
- Where will the exercise take place?
- Who owns the estate or property?
- Is the estate or property available at the time planned?

**Constraints**
- What constraints are placed upon the exercise in terms of:

  - Availability of resources
  - Finances
  - Estate and property
  - Security and disclosure
  - Technical
  - Time
  - Practical
  - Disruptions to service/ business continuity.

Answering these questions should guide how the next phase of exercise planning proceeds. As planning progresses, especially if the exercise is planned over a long period of time, it is essential that the exercise team continually revisit the answers to the above questions in order to ensure that their planning remains focused.

### Exercise Name

Exercises should be given a unique name for easy reference. Wherever possible, the name should normally consist of two words to distinguish it from a police operation. When the exercise is part of a series it may be desirable to link them with a colour (for example oil pollution exercises in the Firth of Forth Area are prefixed with Black) or simply a number/year.

### Notification

Notification involves letting the relevant organisations and groups know an exercise is being planned so that any conflicts with other exercises or priorities can be quickly identified. Early notification is essential to ensure buy-in, resourcing and identification of the right individuals is achieved from all the relevant organisations are involved.

Each of the 3 RRPs in Scotland have notification processes and protocols which must be followed. The Scottish Multi-Agency Resilience Training and Exercising Unit (SMARTEU) needs to be notified of any exercises involving Police, Fire or Ambulance.

Before completing an Exercise Notification Form it is vital that consideration is given to already planned exercises and events. An understanding of the current and planned exercise programmes will assist 'place in context' the proposed exercise. It may also help identify planned exercises that may be able to assist met the proposed exercise aim and objectives, rather than require a separate exercise.
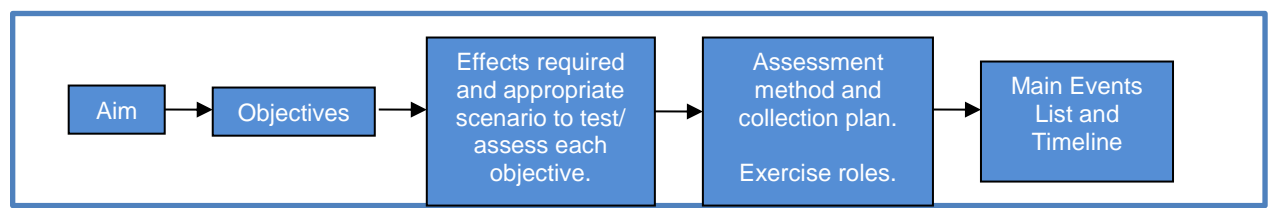
To confirm the exercise programme and notification processes relevant to your proposed exercise, the email contact addresses for the 3 RRPs and SMARTEU are provided below:

- North of Scotland RRP – NoSRRP@gov.scot
- East of Scotland RRP – EoSRRP@gov.scot
- West of Scotland RRP – WoSRRP@gov.scot
- SMARTEU – SMARTEU@scotland.pnn.co.uk

# The Planning Process

The actual mechanics of the process are likely to differ from exercise to exercise depending on how the planner decides to work. However, the principles of planning should remain constant. It relies on ensuring the objectives run through the exercise and inform its content and conduct from planning to the publication of the Post Exercise Report. Health and Safety, equality and diversity should be embedded in all stages of the planning process.

It can be easy for exercises to grow through 'mission creep' or for scenarios to inadvertently lead to the examination of issues or procedures out-with the intended scope of the exercise. It is therefore advisable for planning to adhere to the following order:

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Aim → Objectives → Effects required and appropriate scenario to test/ assess each objective. → Assessment method and collection plan.  Exercise roles. → Main Events List and Timeline
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**Functions of the Planning Group**

The planning group should meet as early as possible to discuss the answers to the questions raised in the previous stage. The meeting should be chaired by the Exercise Director or a representative of the Exercise Sponsor, and should involve representation from each agency. If the proposed exercise is a complex one this meeting should also be used to consider whether to create sub-groups to take forward particular functions of the planning process.

**Overall Responsibilities of the Planning Group**

- Where applicable coordinate the work of the function sub-groups
- Ensure appropriate integration and alignment with exercise programme
- Develop exercise activities that will test or assess each objective
- Develop an assessment method for each objective
- Assign Directing Staff to the assessment of exercise play/objectives/events
- Decide what play during the exercise will be notional
- Health & Safety
- Consideration of equality, diversity and dignity issues.

## Production of Exercise Material

- The scenario
- The Main Events List (MEL) - sometimes referred to as Sequence of Events (SoE)
- Information injects
- Timeline
- Additional information such as - press cuttings, media footage, photographic materials, radio transmissions etc.

Considerations for the scenario are set out in Annex C - Scenario Considerations

Exercise Guidance - Annex C.docx

## Logistics Coordination

- Planning, booking, purchasing, hiring and putting into place all of the resources and infrastructure required for the exercise
- Conduct a 'reconnaissance' of all locations, routes etc.
- Coordinate the logistics input from all of the agencies or groups involved
- Coordinate or put into place a health, safety and welfare support system for those involved including:

  o Feeding (including dietary needs)
  o Water
  o Accommodation
  o Provision of first aid, and
  o Consideration of diversity issues.

- Coordinate any transport and drivers required to support the exercise
- Identify any VIPs that may visit and their programme in advance

## Administration

- Taking notes from planning meetings and publishing minutes which identify who is actioning what and by when
- Issuing invitations for the exercise
- Producing name badges and registers
- Collating all documents produced for the exercise
- Issuing the exercise directives and instruction
- Maintaining a list of all those involved
- Gathering Post Exercise Report points
- Publishing the Post Exercise Report.

**Risk**

Risks should be properly assessed and recorded as part of the exercise planning process.  Common risks to a successful exercise can include:

- Disruption from severe weather
- Loss of key participants
- Loss of location
- Communication failures
- External disruptive or conflicting events.

It is good practice to identify and record the risks including consideration of their probability/likelihood and impact along with control measures or mitigation which has been put in place.

Please see Annex D - Exercise Risk Assessment

Exercise Guidance -
Annex D.docx

**Systems Communications**

- Responsible for the means by which those being exercised and those supporting the exercise will communicate - communication may be by radio, telephone, IT systems or video
- Production of the Systems Communications Plan and Systems Communications Map, which should include communication of participants and exercise staff
- Conducting a check on connectivity and transmission/reception for anticipated use of communication networks
- Coordinating the communications staff of the various agencies
- Communications protocol
- Ensuring that groups and agencies are able to communicate
- Replicating or simulating communication systems where required
- Providing technical support during the exercise
- Providing technical communications input to the post exercise report
- It is important that the duties are carried out by an individual/s that has the technical competence to understand the systems and processes involved.

| **Planning** |
| --- |

**Public/ Media Communications**

- In addition to public information and media play as part of the exercise (see Annex C - Scenario Considerations) it may be necessary to consider the publicity of the exercise and if the exercise is likely to come to the attention of the media or public early engagement is recommended
- Devise the exercise communications plan and real-world communications activity if necessary
- Where possible, public/ media communications experts should be involved from early in the planning process.

Note: *In the case of smaller exercises individuals will usually be responsible for completing multiple functions. However, it is important that responsibilities and the division of tasks are clear to those involved.*

**Finance**

As a general principle, exercises should be designed, planned and delivered on a co-production basis with the costs of participants being met by their own organisation. However, it is recognised that specific arrangements for cost recovery may be in place within RRPs, agencies and organisations. On such occasions the staff costs associated with planning, delivery and debriefing/report writing along with the costs of participants and other non-staff costs such as accommodation or materials should be fully recorded.

**Health and Safety**

Key Health and Safety considerations are set out in Annex E - Health and Safety Considerations.

Exercise Guidance - Annex E.docx

# Exercise Instruction

The Exercise Instruction is an important document that should be issued to those running the exercise as well as those being exercised. However, different groups of individuals are likely to require different levels of information and therefore it is recommended that much of the content is detailed within different annexes. The various annexes should then only be distributed to those who need them.

## SUPPORTING DOCUMENTS

[Annex F - Exercise Instruction Guidelines](#)

Exercise Guidance -
Annex F.docx

# 3. Exercise Activity

| Exercise Build Up | Exercise Main Play | Closing Play |
|---|---|---|

# Exercise Build Up

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The method of briefing depends on the type of exercise and the exercise aim. As a general rule it is advisable that each agency's representative on the exercise planning group takes responsibility for briefing their staff who are involved in exercise play, as well as providing their own staff with comprehensive exercise and joining instructions.  A briefing must take place at a time close to the exercise (i.e. not more than one month beforehand). Further briefing may be required on arrival at the exercise location.

Other final arrangements should be put in place so that all possible measures have been taken to ensure that the exercise itself is not compromised.  The following are examples of what may be included:

|  | Discussion/ Table Top | Command/ Control Post | Live |
|---|---|---|---|
| Players briefed | ✔ | ✔ | ✔ |
| Scene set (e.g. casualties made up and in place) |  |  | ✔ |
| Observers briefed | ✔ | ✔ | ✔ |
| Directing staff briefed, and in position | ✔ | ✔ | ✔ |
| Directing staff suitably identifiable (e.g. tabards) |  | ✔ | ✔ |
| First aid support in place and identifiable |  |  | ✔ |
| Welfare arrangements in place | ✔ |  | ✔ |
| Media arrangements made |  | ✔ | ✔ |
| Communication checks complete |  | ✔ | ✔ |
| Scenario 'items/materials' (e.g. aeroplane) guaranteed or an alternative scenario prepared |  |  | ✔ |
| Room layout and environment checked | ✔ |  |  |
| All necessary equipment (e.g. paper, pens, audio visual) available | ✔ |  |  |

As part of Health and Safety good practice it is recommended that a signed log is kept of the people that have been briefed and a note of whom they were briefed by.

**Exercise Build Up**

On occasion 'no notice' or 'cold start' exercises will take place.  These are events where players are asked to participate with little or no notice.  These exercises are a useful way of evaluating the ability of responders to mobilise resources to deal with an incident.  Even in cold start exercises however some form of build-up is often necessary as, for example, directing staff need to get into position before players are called out.

## SUPPORTING DOCUMENTS

[Annex G - Essential Briefing Points](#)

Exercise Guidance - Annex G.docx

# Exercise Main Play

**Coordination**

The main play phase of the exercise is when the key activities on the Main Events List (MEL) and most of the assessment work will be carried out. The tempo and coordination of all activity is managed by exercise control.

The communications plan should make reference to words for controlling play, e.g.

| Codeword | Meaning |
|---|---|
| Exercise "*Exercise Name*" Safeguard | Used to temporarily suspend the exercise in the event of a player becoming injured |
| Exercise "*Exercise Name*" No Duff No Duff | Used when providing real information rather than an exercise related inject |
| Exercise "*Exercise Name*" Terminate | Exercise termination |
| Exercise "*Exercise Name*" Endex | Exercise completion by the Exercise Director. All participants should complete their section of the exercise before its completion and it may be necessary to stagger the end of the exercise for different locations. |

**Events**

Before each event is played it is important that exercise control ensure that:

- The Directing Staff are in place
- Those being exercised are in place
- Directing Staff are aware of:

  - When the event will be triggered
  - How the event will be triggered
  - How long the event will last
  - The activity used to indicate that the event has finished, and
  - The assessment criteria.

| **Exercise Main Play** |
|:---:|

It is advisable to set out all the main and predictable events to be covered in the exercise into a main events list.

[Annex H – Sample Main Events List](#)

Exercise Guidance
-Annex H.docx

## Preparation/Reaction

Much of the work required to coordinate this phase can be completed before the exercise starts. However, given the complex nature of civil contingency exercising, the number of different agencies that may be involved and the communications architecture, a great deal of activity will require to be 'directed' by exercise control as a reaction to the outcome of previous events. The key to the success of this phase is the continuous passage of information between Directing Staff and exercise control. This enables exercise control to be fully informed of the situation on the ground (exercise play) and manage the exercise, and input of injects, accordingly.

## Assessment

The process of assessment is continuous throughout this phase. The most important element of assessment is recording the outcome of events as close as possible to those being exercised, probably through the use of umpires.

This process will rely on the measurement and success criteria that have been laid out at the beginning of the planning process. Assessment can be fed into a central point throughout the course of the exercise or, records of the outcomes of events could be retained by the Directing Staff (Umpires) on the ground and centralised on completion of the whole exercise. Assessment is made against criteria set out before the exercise starts and may be recorded on pre-prepared paperwork or IT systems.

# Closing Play

The purpose of this phase is to ensure that the exercise closes in a controlled fashion with all of the key objectives having been tested and assessed.  The decision to call the 'end of exercise' (EndEx) is made by the Exercise Controller in conjunction with the Exercise Director and other key staff.

This period can be used to concentrate Directing Staff efforts on those objectives that have not yet been fully explored or confirm evidence already collected.

It is important that activities during the period immediately after the end of the exercise have been planned to ensure that participants understand that although the activity has ceased the exercise is not complete until all of the relevant information has been collected through debriefs.

**Hot Debrief**

As soon as is practicable after the end of the exercise everyone involved should be debriefed to gather feedback on any pressing matters that cannot wait until the cold debrief.  The debriefing should include those taking part in the exercise as well as those controlling it, and they may be conducted in groups or individually.  This is often achieved through the use of an exercise evaluation/ participant response form.

An example of a Participant Response Form is shown in Annex I.  This can be replaced with any suitable method for collecting the views and experiences of participants.

Annex I - Participant Response Form



Exercise Guidance -
Annex I.docx

# 4. Post Exercise

| Cold Debrief | Post Exercise | Follow Up Meeting |
|---|---|---|

# Cold Debrief

---

Debriefing is an essential part of the exercise process. It allows for collated data to be reviewed and new data to be collected.  It is learning through reflection and should be used to identify learning from the experience of the exercise and how best to move forward.

Following a multi-agency exercise, individual organisations may opt to have their own debrief led by their representative from the exercise planning team, who can attend and feed in to the multi-agency debrief at a future date.

There are many different methods of debriefing available and the chosen method of debriefing will depend on the aim and type of exercise, the individuals involved and the time available.  Within the National Debriefing and Lessons Identified Protocol (available via www.scords.gov.uk), the following principles should be applied in all cases:

- The debrief should be conducted at an appropriate time after the exercise (no sooner than 2 weeks, and no later than 6 weeks after is advisable).
- The date, time and location should be agreed and scheduled during the planning process.
- It should be planned in advance to ensure that it is focused.  It should encourage feedback on all aspects of the exercise, including the response as well as exercise planning and delivery. The main objectives should be to:
    - Identify the positive aspects and what went well
    - Identify the challenges and what did not go well
    - Identify future learning points and what could have been done differently
- All players and participants should be afforded the opportunity to input.
- Written feedback should also be sought in the event that a participating agency are unable to attend a debrief meeting in person.
- A specific length of time should be allocated and adhered to.
- If single agency debriefs are carried out, the relevant points should be taken forward to the multi-agency debrief by an allocated individual. Additional debriefing sessions may be required for personnel involved in specific or specialist operations
- Appropriate participation should be agreed and participants invited.

**Cold Debrief**

- Participants should be encouraged to be open and honest.
- The facilitator of the debrief should encourage an equal level of input from all participants.
- Both positive and negative feedback should be encouraged.
- Any supporting material should be prepared in advance.
- A report, including actions should be prepared, agreed and circulated to relevant organisations

The debrief should consider a range of issues and can be organised into the following categories:

- Activation Notification
- Command, Control and Co-ordination
- Interagency Communications
- Public Communications (including Warning and Informing)
- Plans
- Resources
- Care for People
- Environment
- Training
- Recovery
- Other (including Legal, Finance, Reputation Management, Specialist Response)

These categories are already recognised by the RRPs and correlate with the National Debriefing and Lessons Identified Protocol.

A number of civil contingencies staff and practitioners across Scotland are trained in different debriefing techniques and are available to carry out independent debriefs. If you are interested in using an independent debrief facilitator or would like some assistance in planning and conducting your debrief you should contact ScoRDS.

The debrief facilitator will produce a report which will tie in with the action plan and be agreed in consultation with the agencies involved. A standard report and action plan format should be adopted for consistency.

The finalised debrief report and associated action plan will be circulated to all responding agencies and, where possible, will be made available on the relevant RRP/LRP Resilience Direct page and retained for audit purposes.

| **Cold Debrief** | |
|---|---|

Key highlights from the debrief report will be summarised and published in lessons report (currently produced quarterly by ScoRDS). This report will be shared across the resilience community in Scotland to enable appropriate work groups to incorporate learning within their own areas.

Consideration must be given to the information contained in the reports and the correct protective marking, in line with the Government Security Classification (GSC) policy, must be applied. Reports must also consider that some individual agencies may have their own internal protective marking schemes for commercially sensitive information.

Report authors should also note that information gathered during the debrief process may be requested and released under Freedom of Information (Scotland) Act 2002.

**SUPPORTING DOCUMENTS**

[Annex J - Exercise Debrief Format](#)



Exercise Guidance -
Annex J.docx

# Post Exercise Report

Evaluation of exercise activities is critical to the continual improvement of civil contingency capabilities. This phase consists of collating and analysing data, documenting findings and making recommendations for improvement.

Several types of data should have been compiled during and following completion of the exercise activity. This information includes documentation of player responses and performance in view of objectives, as well as feedback on the effectiveness of the exercise design, preparation and conduct.

A Post Exercise Report meeting allows the exercise staff and a representative of each of the key groups involved to come together and explore the degree to which each of the objectives was satisfied. The meeting/s will normally be chaired by the Exercise Director.

Depending on the security classification of the exercise it may be the case that there are several Post Exercise Report meetings after the exercise in line with the relevant security clearance of the various individuals involved.

Before the meeting is convened each of the groups involved should have had an opportunity to submit an outline of their input to the Post Exercise Report. This will allow the Exercise Director to structure the agenda in order to make best use of time.

The output of this phase is the Draft Post Exercise Report. The draft should be issued to all the key groups and individuals involved. Each group should then be given an opportunity to make amendments before its publication.

The report should then be made available to everyone involved in the exercise. Individual organisations should take responsibility for cascading information internally, however, to assist with a wider sharing of the lessons identified it is recommended that it should also be published on Resilience Direct.

| **Post Exercise** |
|---|

By applying a common approach it is hoped that information sharing and the learning of lessons will be assisted across Scotland, whilst also providing a common and comparable historical record for training, audit and review purposes.


**SUPPORTING DOCUMENTS**

[Annex K - Post Exercise Report Template](#)

Exercise Guidance –
Annex K.docx

# Follow Up Meeting

It is recommended that a follow up meeting should be held approximately 6 months after the exercise.  The date, time and location of this meeting should be agreed at the post exercise report meeting.  The timing of the meeting should relate to the timescales applied to the actions within the Post Exercise Report and the aim of the meeting should be to confirm the appropriate progression of each action.

# Annexes

**Annex A – Types of Exercise (Discussion, Table Top, Command/Control Post, and Live): 'Pros' and 'Cons' Matrix**

| Type | What? | Pros | Cons |
|---|---|---|---|
| Discussion | <ul><li>In-depth examination of a scenario</li><li>Done in stages</li><li>To illustrate characteristics of a crisis</li><li>Classroom setting and facilitated</li><li>Same or mixed skills and experience groups</li><li>Feedback from groups</li></ul> | <ul><li>Easy to write</li><li>Quick to organise</li><li>Cheap</li><li>Can facilitate large numbers</li><li>Good evaluation tool</li><li>Good teaching tool</li><li>Good development tool</li></ul> | <ul><li>Individual roles not under pressure</li><li>Discussion not reality</li><li>Evaluates broad principles only</li><li>Not real time</li></ul> |
| Table Top | <ul><li>Use of map, simulation or model of an area, building etc</li><li>Assigned roles</li><li>Decide on actions to take</li><li>Can be single service or multi-agency</li><li>Exercise driver/facilitator</li></ul> | <ul><li>Interactive</li><li>Puts individuals and teams under pressure</li><li>Understanding of roles and responsibilities</li><li>More realistic than a discussion exercise</li></ul> | <ul><li>Increased preparation (time and costs)</li><li>Fewer can be involved at one time</li></ul> |
| Command/ Control Post | <ul><li>Training for command teams</li><li>In control room or simulation cell</li><li>Messages fed in by exercise control</li><li>Management of information</li><li>Decision making in a crisis</li><li>Can involve multiple agencies/ departments</li></ul> | <ul><li>Can test different levels of command</li><li>Tests equipment and facilities</li><li>Pressure on team and team leader</li><li>Tests information management</li><li>Tests decision making</li><li>Can test communication and coordination</li><li>Realism</li><li>Cost effective</li></ul> | <ul><li>Time/costs of producing the scenario/ injects</li><li>Exercise control required</li><li>No operational staff involved</li><li>Limited realism</li></ul> |

| Type | What? | Pros | Cons |
|------|-------|------|------|
| Live | <ul><li>Full scale exercise of a plan</li><li>Real time deployment</li><li>Multi-agency involvement, including operational staff</li><li>Deployment of equipment</li><li>Period of a day or more</li></ul> | <ul><li>Complete check of operation plan</li><li>Highlights multi-agency communications and coordination issues</li><li>Highlights response issues</li><li>Highlights equipment issues</li></ul> | <ul><li>Cost of development and management</li><li>Commitment of agencies involved</li><li>Disruption to organisations</li><li>Confidentiality</li><li>Complexity</li><li>Debriefing</li><li>Health and safety</li></ul> |

*Cranfield University: An Introduction to Crisis Management Exercise Development & Design*

**Annex B – Exercise Checklist**

| No | Task | Completed | | Date | Comments |
|----|------|-----------|-----|------|----------|
| | | Yes | No | | |
| 1 | Identify the requirement for an exercise | ☐ | ☐ | | |
| 2 | Assemble an exercise planning team | ☐ | ☐ | | |
| 3 | Agree the overall aim and objectives | ☐ | ☐ | | |
| 4 | Provide notification as per organisational and RRP arrangements, and organise date of exercise. | ☐ | ☐ | | |
| 5 | Consider lessons from previous exercises | ☐ | ☐ | | |
| 6 | Agree the scenario that will meet the aim and objectives. | ☐ | ☐ | | |
| 7 | Consider financial issues | ☐ | ☐ | | |
| 8 | Carry out a health and safety risk assessment, and an equalities impact assessment. | ☐ | ☐ | | |
| 9 | Identify directing staff, umpires and observers | ☐ | ☐ | | |
| 10 | Agree appropriate participation | ☐ | ☐ | | |
| 11 | Sketch out and then develop the main events list and associated timeline. | ☐ | ☐ | | |
| 12 | Determine and confirm the availability of other organisations/groups to be involved, such as the media. | ☐ | ☐ | | |
| 13 | Ensure that pre-exercise briefings have been developed, and are under appropriate ownership. | ☐ | ☐ | | |
| 14 | Ensure that all logistics issues have been addressed | ☐ | ☐ | | |

| No | Task | Completed | | Date | Comments |
|----|------|-----------|---|------|----------|
| | | Yes | No | | |
| 15 | Ensure that all health, safety and welfare matters have been addressed. | ☐ | ☐ | | |
| 16 | Warn the local media, emergency services switchboards/controls and any neighbours who might be worried or affected by the exercise. | ☐ | ☐ | | |
| 17 | Ensure that all participants are clearly identifiable | ☐ | ☐ | | |
| 18 | If spectators are to be invited, including the media, ensure that they are clearly identified and properly marshalled, and arrange for them to be kept informed of the progress of the exercise. Ensure their safety. | ☐ | ☐ | | |
| 19 | Ensure that senior management, directing staff, umpires and key players are aware of the time and location for the 'hot' debrief. | ☐ | ☐ | | |
| 20 | Arrange payment of additional resources | ☐ | ☐ | | |
| 21 | Allow for single-agency debriefs to be conducted and feedback organised. | ☐ | ☐ | | |
| 22 | Conduct a 'cold' debrief | ☐ | ☐ | | |
| 23 | Agree and prepare a detailed set of recommendations, each one accompanied by an action owner and timescale. | ☐ | ☐ | | |
| 24 | Prepare a clear and concise summary report of the exercise to distribute to all organisations and groups which took part, together with major recommendations. | ☐ | ☐ | | |
| 25 | Ensure that all relevant individuals/groups have a copy of the exercise report. | ☐ | ☐ | | |
| 26 | Thank all personnel and organisations/groups that take part. | ☐ | ☐ | | |

**Annex C – Scenario Considerations**

A realistic scenario should be developed to ensure that all participants will take the exercise seriously.  The exercise should also have a realistic timescale.

It should include:
- Day, date and time
- Nature of incident (consistent with exercise location)

Other considerations might be:
- Weather conditions including wind speed and direction
- Visibility
- Traffic conditions
- Progression of incident (e.g. different phases)
- People involved (e.g. vulnerable, young, elderly)

It is important that the scenario is not overly detailed with assumptions as it may result in the associated plan becoming too inflexible to deal with the unforeseen incidents of reality.

*Top Tips:*
- Use the experience of others
- Make use of materials from previous exercises
- Check newspapers/the media/the internet for scenario ideas

**Time-Lapse**

A decision to be made at an early stage is whether the exercise will flow in real time or consist of 'snapshots' i.e. a series of descriptions of how the scenario has progressed over time.  For example, participants may spend a relatively short time considering the immediate actions to be taken before moving to a scenario 'x hours in' so that recovery issues can be considered.  See below for further information on recovery exercises.

Care should be taken in time-lapse exercises to ensure all participants are aware of "Exercise time".  Objectives can be disrupted or false learning identified through confusion or a lack of alignment between the different groups or locations in an exercise.

**Controlled or Free Play**

In controlled exercises, the scenario and all events or incidents are pre-scripted.  The evolution of the exercise is tightly managed.  This can be a very thorough way of testing specific aspects but may not evaluate whether a plan is sufficiently flexible to deal with the unexpected.

Free play exercises are much more spontaneous.  Once the opening scenario has been established, the participants' actions dictate subsequent events.  This requires a large directing staff, a comprehensive scenario and access to much more

background information.  Although these can be stimulating in terms of realism and having to cope with the unexpected, it is possible that whole areas of a plan which require validation may be by-passed.

It is possible to combine control with free play in order to test both the degree of flexibility of the plan and the validity of any pre-identified aspects.

**Media**

Dealing with the media is a major part of responding to any incident and therefore should be practised as often as possible.  The exercise planners could deploy student journalists or reporters from local media to test different agencies' response to the media.  For major exercises, a representative from the national media should be invited to attend.  Exercise press conferences and interviews can be used to test the knowledge of the combined response.

Replicating Social Media feeds through a dedicated exercise website can be a very useful way of injecting public reaction and stimulating public communication messages.

**Recovery**

The learning from recovery exercises has shown that:

- In light of the cross-cutting nature of recovery, as wide a range of participants as possible should be involved in recovery exercises.  From the Category 1 and 2 organisations this may include representation from social services, elected members, Railway Care teams.  Other representation may cover Chambers of Commerce, community groups, faith leaders and possibly individual businesses.  Invitation lists can be compiled based on those organisations detailed in the Recovery Plan.   It is important that exercises are written to cover issues relevant to all organisations present, or else attendees may feel they have not benefited from attendance and it may be difficult to obtain their input at future events.

- It is difficult to reflect the true nature of recovery in an exercise, as in reality the recovery stage may last for years whereas an exercise normally only lasts for a day or two.  This can be overcome by:

  o Holding a number of exercises to represent various stages of the recovery phase.  These may be split by time (5 days after the incident, 2 weeks after, 2 months after etc), or by key milestones (prior to clean-up, once clean-up is complete etc)
  o Running one exercise but using 'time-lapse' at points during the day

- Whatever the approach, there needs to be a comprehensive pre-briefing which summarises the scenario and the decisions that have been taken during the response phase.  This will help to ensure that players remain focussed on recovery issues. Consideration may be given to running recovery exercises on the back of response exercises.

- There is considerable benefit in exercising the handover phase from response to recovery so that the criteria that would be used to determine the right time for handover to take place and the handover processes themselves can be tested.  This aspect can clearly be covered in both response and recovery exercises.

- As with response exercises, the scenarios used in recovery exercises should be prioritised in line with the key risks in the Risk and Preparedness Assessments (RPAs).  However, Regional Resilience Partnerships (RRPs) may wish to adjust scenarios to ensure they test out those particular aspects of recovery which have been found to be weak/a gap in incidents and exercises elsewhere.

- The use of scenarios that result in recovery coordination being required across local authority or RRP/LRP boundaries are encouraged in order to explore the effectiveness of cross-boundary recovery structures and processes.

- Testing mutual aid arrangements, particularly between local authorities, is beneficial.

**Annex D – Exercise Risk Assessment**

This template is for the exercise as a whole.  It is fully expected that individual organisations will have their own local methodology to risk assess for their own players.

**Preparation for Exercise – Risk Assessment**

| Category* | Hazards identified (step 1) | Existing controls (step 2) | Residual risk acceptable? Y/N (step 3) | Additional controls required (step 4) | Residual risk acceptable? Y/N (step 3) |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |

**Exercise Day - Risk Assessment**

| Category* | Hazards identified (step 1) | Existing controls (step 2) | Residual risk acceptable? Y/N (step 3) | Additional controls required (step 4) | Residual risk acceptable? Y/N (step 3) |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |

Note:
Category* – *Enter one* of Infrastructure; Personnel; Location; Weather

**Annex E – Health and Safety Considerations**

**Safety**

The safety of personnel during the exercise is of paramount importance. In live exercises, all participants (including exercise directors, umpires, volunteers and observers) should be made aware of any hazards within the area and reminded of safety issues. Exercise participants may not be familiar with the location and control may be needed to ensure that players are kept within the confines of the exercise area.

Before a live exercise, a safety audit should be completed to ensure that structures are safe and no unseen dangers are present on the site. A safety officer must attend the exercise to ensure that all participants comply with the safety requirements and do not place themselves, or others, in danger.

First aid/ambulance cover should be provided to deal with any health problems or injuries sustained during the exercise. For safety reasons, exercise directors should adopt an agreed procedure for intervention into the exercise. The planning group should devise a codeword for this purpose and the means of relaying it to those participants without radio communication.

**Welfare**

Welfare needs vary depending on the type, timing and duration of the exercise. You may need to provide refreshments, changing, washing and toilet facilities before, during, or after the event. The use of casualties adds to the realism of exercises but their welfare needs to be taken into account, they should not be placed in unsuitable conditions e.g. cold, wet or hard surfaces without appropriate care.

**Codenames/codewords**

Exercises may be given a codename which should then be mandatory as a prefix to all messages (verbal or written) during the exercise. The use of codenames will ensure that everyone involved is aware that they are part of the exercise and not a real incident. Control Rooms/Operation Centres of all participating organisations must be informed about the codename prior to the exercise.

A codeword which can be used to identify that a real incident has occurred and is not part of the exercise, should be agreed and circulated to all participants prior to the event. This could also be used if there are real casualties during the exercise, the most commonly used example is 'SAFEGUARD'.

**Public Information**

The exercise planning group should agree whether there should be any prior publicity. It may be advisable to issue public information to members of the public in the vicinity of the exercise to prevent any undue alarm, particularly for exercises at hazardous sites. However, this may attract a crowd of uninvited spectators.

'Exercise in Progress' signs may be strategically positioned.  This can detract from the realism but reassures the public or uninvolved agencies, particularly in sensitive areas.

If public information is issued, the participants may also find out about the exercise and this could affect realism.  The group may consider issuing information by letter to the public on the day of the exercise.  Details for the media could be embargoed until the day of the exercise.

**Annex F – Exercise Instruction Guidelines**

Below are suggested paragraph headings for an Exercise Instruction. Please tailor the paragraphs to meet the needs of the different groups requiring an Exercise Instruction. For example, the Exercise Instruction for those running the exercise will be a lot more detailed than the Exercise Instruction for those being exercised.

**General**

**Exercise Name and Date**

**Introduction**
A short paragraph putting the exercise into context by referring to the pre-exercise training of the agencies and individuals involved, the exercise calendar or series to which it belongs and the timescale.

**Aim**
The overall aim of the exercise.

**Objectives and Success Criteria**
A list of the exercise objectives, and how each will be measured.

**Scope**
A short paragraph detailing the scope of the exercise.

**Debriefs**
Details of debrief dates, times and locations, and anticipated publication date of the post exercise report. It should include detail of expected representation at any such meetings.

**Delivery**

The delivery paragraph is a description of the exercise expressed under a number of sub headings. Specific details such as timings and movement etc should be omitted from the text of the various headings and taken forward to the coordinating instructions paragraph. The paragraph headings are as follows.

**Participants**
A list of the agencies, groups and key personnel taking part. A separate graphic may show how the relationship of the various participants in the context of the exercise. The communications map may be included in this graphic.

**Scenario**
A short introduction of the scenario. The scenario should be realistic, believable and easily understood. The main scenario will be attached as an annex.

**Activities**
This paragraph allows the exercise staff to offer an explanation as to how each of the main activities will be conducted. This paragraph may introduce new processes, procedures or ideas. The details should be attached as an annex.

**Conduct of the Exercise**
A short explanation of how the exercise will be run, including key locations. This paragraph will introduce the Main Events List and Timeline which will be attached as an annex**.**

**Programme and Coordinating Instructions**
The programme gives an outline of the dates and timings for the entire exercise (including pre-exercise briefings etc). It may be expressed in the form of a table. Any detail relating to movement and the coordination of phases can also be included here.

## Exercise Support

The exercise support paragraph contains details of all of the logistical matters. It is comprised of a number of sub headings including:
- Real Estate
- Property
- Welfare Support
- Equipment
- Non-operational movement support
- Medical Support
- Health and Safety
- Dress Code

## Control and Communications

The Control and Communications paragraph contains details of how those participating will communicate as well as how the exercise will be managed and controlled. It may contain the following headings.

**Exercise Staff**
A list of the names of the following individuals:
- Exercise Sponsor
- Exercise Director
- Exercise Planner/Planning Team and division of responsibility

**Exercise Control Staff**
A list of the names of the following individuals:
- Exercise Controller
- Exercise Facilitators
- Umpires
- Safety Staff

**Communications Plan**
The communications plan is expressed as a number of sub-headings detailing how the various groups taking part or controlling the exercise will communicate. It will contain details of the following:

- The start and end of the exercise

- The communications systems being use by the various agencies or groups
- The interoperability issues of the various systems
- The communications map (usually attached as an Annex)
- Details of how the communications systems have been replicated or simulated
- Details of what technical support being provided during the exercise and who will provide it
- Specific constraints effecting communications
- Contact List

## Media Operations
The media sub heading will contain details of the media plan including:
- The name of the individual leading on the media operations
- The media strategy for the exercise
- Coordination of media operations across agencies
- Media Aim and Objectives
- Key Messages
- Details of planned releases
- Details of how reactive releases will be dealt with
- Freedom of Information Requests
- Prepared Questions and Answers

## Safety
This paragraph should include detail of all codewords and their intended meaning. The following is an example and can be provided as an annex to the final document.

### *Codewords*
The use of Codewords will ensure that everyone involved is aware that they are part of the Exercise and not a real incident.  Each organisation will ensure that all personnel and in particular Control Room operators are aware of the Codewords prior to the Exercise.

The 'Safeguard' codeword will be used to identify that a real incident has occurred within Exercise Play.

The following Codewords will be used:

| | |
|---|---|
| Start of Exercise | "Exercise (name) Startex" |
| Suspension of Exercise | "Exercise (name) Hold" |
| Resumption of Exercise | "Exercise (name) Resume" |
| Real Incident outwith exercise play | "Exercise (name) Safeguard" (Red card) |
| End of Exercise | "Exercise (name) Endex" |
| Radio communications and messages going outwith exercise play | "Exercise (name) (message) Exercise Exercise" |

### *Safeguard Card*
It is important to note that if players are requested by any umpire or agency representative to stop playing to facilitate the smooth running of the exercise, that a correct form of words is used.

The following term indicates that players will stop playing: "Please step out of role".

On commencement of play the following term should be used: "Please commence role play".

In addition to the above procedure all players will be issued with a Safeguard Card. This card is only to be used in the event of **genuine injury or illness** in the course of exercise play. The card should be held up and the word Safeguard shouted.

## Administration and Personnel

### Documents
A list of the documentation issued in relation to the exercise.

### Participants
A list of all of the individual participants being exercised (as far as is practicable).

### Observers
A list of observers.

### Post Exercise Report Details
Including:
- Who will be responsible for writing the report
- How data will be collected
- How the report will compiled
- The arrangements for the Post Exercise Report conference
- Specific inputs required by individuals
- When the Post Exercise Report will be published

## Annexes

Annexes allow the finite detail required by the various parties to be included in the exercise instruction without clogging the main document. It also allows information concerned with the control of the exercise to be withheld from those who do require it.

Possible annexes which may be included are:

- Scenario
- Main Events List
- Timeline
- Equipment
- Map List
- Route Maps
- Communications Plan
- Communications Map
- Contact list of directing staff and umpires
- Codewords

- Media Plan
- Detailed Timings
- Welfare Plan
- Health and Safety Risk Assessment and Method Statement
- Dress Code
- Glossary of Terms

**Annex G – Essential Briefing Points**

| | |
|---|---|
| **Exercise Name** | The exercise name should be used as a prefix on all written, radio and telephone messages relating to the exercise. |
| **Location of Exercise** | |

| | | | |
|---|---|---|---|
| **Date & Start Time** | | **Approx Exercise Duration** | |

**Agency Participation:**

**Exercise Scenario will involve:**

| | |
|---|---|
| ☐ A COMAH/contingency plan site | ☐ Fire |
| ☐ Simulated casualties | ☐ Simulated fire/smoke (please indicate) |
| ☐ Hazardous substances | ☐ Smoke |
| ☐ Simulated Hazardous substances | ☐ Effects toxic/harmless (please indicate) |

| | |
|---|---|
| **Safety Officer will be present and identified by:** | |
| **Exercise Director will be present and identified by:** | |
| **Exercise Observers will/will not be present/ identified by:** | |

**Any concerns regarding personal health and safety or the health and safety of others during the exercise should be drawn to the attention of the Safety Officer or Exercise Director immediately.  An assessment will be made as to whether the exercise can continue.**

If a genuine injury is sustained (as opposed to a simulated injury) use and repeat the codeword _____ to attract attention. **Under no circumstances should these words be used by role playing casualties.**

Notification of exercise suspension/abandonment/completion will be given by: *(codewords or audible signals)*

_____

**Annex G – Essential Briefing Points**

| *Health and safety risk assessment has been undertaken on …………. by …………………. and Health & Safety Advisor ………………………… and your attention is drawn to: | | |
|---|---|---|
| ☐ No radios (intrinsically safe only) <br><br> ☐ No mobile phones <br><br> ☐ No pagers | ☐ No matches or lighters <br><br> ☐ Protective Clothing Required <br><br> ☐ Prohibited Areas | ☐ Fire Evacuation Procedure <br><br> ☐ First Aid Facilities <br><br> ☐ Physical Hazards |
| Other risks/ issues: | | |
| **Questions raised relevant to health and safety - must be fully recorded.** (To include by whom, full question, response given and by whom) | | |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| 6. | | |

| Any participants who wish to raise concerns about personal health and safety or pose questions relevant to health and safety after this briefing but before the exercise, should see ………………. or their line manager.  All questions and responses must be recorded and forwarded to the Exercise Planning Team. |
|---|

\* A 'health and safety risk assessment' of the planned exercise is essential good practice.  The method to undertake this should be an early consideration of the Exercise Planning Group.  Each participating organisation must assess whether there is a need for an individual assessment or whether one agency should undertake the risk assessment and share information with other participating agencies.

**Annex H – Sample Main Events List**

| Inject No. | Time | From | Assumed to Be | To | Inject | Measurement |
|---|---|---|---|---|---|---|
| 1 | 17:54<br><br>T+ 00:04 | Directing staff | | Airport Police | Airport Police now arrived at RVP and receiving update message from Security. | Police Exercise Control contact RVP and confirm that officers are in attendance if not already notified. |
| 2 | 17:58<br><br>T+ 00:08 | Exercise Control | Member of Public | Police - RVP | Witness reports a small aircraft crashing into sea. | (Notionally Via 999)<br><br>Police Exercise control to inform Police at RVP. |
| 3 | 17:58<br><br>T+ 00:08 | Exercise Control | Force Overview | Police | Asking for an update from attending officers. | Phone RVP number – ask to speak to RVP officer as Duty Officer Force Overview. |
| 4 | 17:59<br><br>T+ 00:09 | Aircraft Commander | | Air Traffic Control Watch Manager | Confirm aircraft collision with light aircraft. Incident upgraded to Aircraft Accident. | Exercise Control to monitor radio transmission for confirmation. |
| 5 | | | | | | |
| 6 | | | | | | |

**Annex I – Participant Response Sheet**

| Ref | |
|---|---|
| Date | |

| Exercise | |
|---|---|
| Date | |

| Name (optional) | |
|---|---|
| Organisation | |
| Role in the Exercise | |

| Please provide detail of 3 positive aspects of the exercise |
|---|
| 1. <br><br> 2. <br><br> 3. |

| Please provide detail of 3 aspects of the exercise that you feel did not work well |
|---|
| 1. <br><br> 2. <br><br> 3. |

| What areas of improvement are there, regarding: |
|---|
| a)  Your specific role |
| b)  The exercise generally |
| Have you identified any training needs from this event?  If yes, please specify. |

**Annex J – Exercise Debrief Format**

**Introduction**

- Introductions
- Alarms/Fire/First Aid/Toilets
- Use of Mobile Phones/Pagers
- Debrief Aim
- Big Picture context - i.e. why are we doing this debrief

Establish how the debrief will be conducted and/or ground rules – for example:
- The debrief will concentrate on key issues and priorities not an extensive list from each participant but if they have extra issues they can email (provide contact details)
- Respect the views of other participants
- Participants need to be as frank and open as possible

Confirm the outcomes of this debrief and feedback to participants

**Three negative aspects of the exercise to be provided by each attendee**

**Three positive aspects of the exercise from each attendee**

**Learning points**

For example:
- The most significant thing that I have learnt is…
- If I was responsible for the next exercise I would recommend …
- If I was responsible for the plan my 2 priorities would be…
- My greatest concern is…

**Conclusion**

- Thank participants for their contributions
- Reminder: Additional debrief points can be emailed to (contact details)
- Reminder: Outcomes of this debrief and feedback to participants

**Annex K – Post Exercise Report**

| | |
|---|---|
| **Operator/ Location** | |
| **Exercise Date** | |
| **Exercise Type** | |
| **Statutory?** | Yes ☐          No ☐ |
| **Exercise Name** | |
| **Lead Officer** | |
| **Report Author Name and Organisation** | |

**Executive Summary**

A brief summary of exercise, the key recommendations and salient issues should be included here.

| |
|---|
| |

**1. Basic Details**

This section should detail the information provided in Section 2 of the Exercise Planning Document, including:

- Exercise Aim and Objectives
- Overview of the scenario
- Scale of the exercise
- Scope of the exercise
- Level of play (strategic, tactical, operational)
- Participants, and
- Type of exercise and method of deliver

## 2. Evaluation Section

### 2.1 Assessment of Overall Objectives

| Exercise Name | | | | | |
|---|---|---|---|---|---|
| Objective | Success Criteria | Demonstration of Success | Evaluation Method | Objective Achieved? <br> 2 = Fully Met; 1 = Partly Met; 0 = Not Met | Comments |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

### 2.2 Operational Lessons Identified and Recommendations for Action

| Lesson Identified | Audience<br><br>Who should this lesson apply to? | Level of Operation<br><br>Is the lesson aimed at Strategic, Tactical or Operational? | Recommendation | Suggested Owner | Target Date | Priority<br><br>Red/ Amber/ Green |
|---|---|---|---|---|---|---|
| **1. Activation Notification Issues** | | | | | | |
| a) | | | | | | |
| **2. Command, Control and Co-ordination Issues** | | | | | | |
| a) | | | | | | |
| **3. Inter-agency Communication Issues** | | | | | | |
| a) | | | | | | |
| **4. Public Communication Issues** | | | | | | |
| a) | | | | | | |
| **5. Plan Issues** | | | | | | |
| a) | | | | | | |
| **6. Resource Issues** | | | | | | |
| a) | | | | | | |

| Lesson Identified | Audience<br><br>Who should this lesson apply to? | Level of Operation<br><br>Is the lesson aimed at Strategic, Tactical or Operational? | Recommendation | Suggested Owner | Target Date | Priority<br><br>Red/ Amber/ Green |
|---|---|---|---|---|---|---|
| **7. Care for People Issues** | | | | | | |
| **a)** | | | | | | |
| **8. Environment Issues** | | | | | | |
| **a)** | | | | | | |
| **9. Training Issues** | | | | | | |
| **a)** | | | | | | |
| **10. Recovery Issues** | | | | | | |
| **a)** | | | | | | |
| **11. Other Issues** | | | | | | |
| **a)** | | | | | | |

**2.3. Exercise Planning and Delivery Lessons Identified and Recommendations for Action**

| Lesson Identified | Audience lesson applies to? | Level of Operation Strategic/Tactical/ Operational? | Recommendation | Suggested Owner | Target Date | Priority Red/Amber/ Green |
|---|---|---|---|---|---|---|
| **1. Exercise Sponsorship & Ownership** | | | | | | |
| a) | | | | | | |
| **2. Aim & Objective Setting** | | | | | | |
| a) | | | | | | |
| **3. Exercise Administration** | | | | | | |
| a) | | | | | | |
| **4. Scenario Development** | | | | | | |
| a) | | | | | | |
| **5. Participant Buy-in /Perceptions** | | | | | | |
| a) | | | | | | |
| **6. Venue** | | | | | | |
| a) | | | | | | |
| **7. Exercise Play/Dynamics** | | | | | | |
| a) | | | | | | |

| Lesson Identified | Audience lesson applies to? | Level of Operation Strategic/Tactical/ Operational? | Recommendation | Suggested Owner | Target Date | Priority Red/Amber/ Green |
|---|---|---|---|---|---|---|
| **8. Exercise Control** | | | | | | |
| a) | | | | | | |
| **9. Evaluation and Delivering Procedures** | | | | | | |
| a) | | | | | | |

## 3. Summary

**Conclusions**



**Circulation of Report (this should include all attendee organisations)**



**Acknowledgements**



**Other documentation**

E.g.
Exercise Risk Assessment; Exercise Costing Template, observer notes, timelines etc.