

**THE
NEW YORK CITY
EMERGENCY RESPONSE
AGENCIES
HAZARDOUS MATERIALS
EXERCISE EVALUATION PLAN**

*Developed in Cooperation
with the
New York City Transit Authority
by the
New York City Fire Department*

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FORWARD

The purpose of this document is to provide a process in which the emergency response agencies of the City of New York can evaluate their personnel and improve their performance at hazardous materials incidents. This document is intended to be a living document that improves with age. It is recommended that this document be reviewed periodically and modified to meet the needs of the emergency response agencies of the City of New York. All agencies have a legal as well as a moral responsibility to conduct exercises to improve personnel performance & competency, identify and correct deficiencies and provide for a safer working environment for their personnel. In many respects this is a team effort and must be done jointly with input from all agencies in order to reduce injuries and lessen the impacts that hazardous materials can have on the environment as well as the community. This document is not comprehensive it is used as an example to assist managers, supervisors and planners in emergency preparedness. Further comments are welcome and anything that can be done to assist you in this effort is usually only a phone call away.

At the direction of the Department

Philip H. McArdle ✓
FDNY HAZ-MAT 1 ✓

Committee - Partners -

Can we -

Title -

THE RATIONAL FOR AN EXERCISE EVALUATION

This section presents an overview of the concept of exercise evaluation for transit authority personnel. This document addresses the reasons for evaluation of exercises; the nature and intent of exercise evaluation; the uniform structure of exercise evaluation; and the results of exercises.

BASIS FOR EXERCISE EVALUATION

The first and most frequent basis for evaluation of exercises is a determination on the part of New York City Fire Department (FDNY) that it would be useful to their hazardous materials emergency preparedness programs to have their performance (and that of other emergency response agencies) in a hazardous material exercise evaluated. The FDNY performs such evaluations in order to increase the value of the exercise as a test of the adequacy and implementability of the FDNY emergency response plan, as a measure of the adequacy of training efforts, and as an indicator of their general level of preparedness for response to hazardous materials incidents on FDNY property.

The second basis for evaluation of an exercise is the existence of a statutory requirement that a State and local governments conduct evaluated hazardous materials exercises (29 CFR 1910.120).

The third basis for evaluation of an exercise is a joint decision by FDNY and the Emergency Response Agencies of the City of New York that their mutual interests in greater hazardous materials emergency preparedness, arising from separate but interrelated legal foundations, would be promoted by the conduct of a joint evaluated exercise.

Identifying the Goals of Exercise Evaluation

It is critical that the Emergency Response Agencies of the City of New York whose exercise performance will be evaluated develop a set of specific goals that they hope to achieve as a result of the exercise and as a result of the exercise evaluation.

The eight goals of a Hazardous Materials Incident are:

- Notification
- Isolation
- Identification
- Protection
- Spill Control
- Leak Control
- Fire Control
- Recovery & Termination Procedures

The focus of these goals can be directly related to any exercise evaluation involving hazardous Materials. It is the purpose of the exercise to test the implementability of plans and procedures. An additional purpose is for FDNY to gain a reasonable perspective on the level of preparedness, the goals, objectives & methodologies of the exercise evaluation. This provide an assessment of the current capabilities of the participating emergency response personnel to perform critical emergency response functions as required by scenario events.

ENHANCING THE VALUE OF EVALUATION

This document is designed to enhance the value of an evaluated exercise to the management of participating emergency response agencies by increasing:

- the ability of the exercise *controllers, evaluators* and *observers* to select a set of performance standards by which the demonstration of competency by the participating Emergency Response Agencies of the City of New York can be assessed;
- the ability of the exercise evaluation team to conduct an evaluation based upon these standards and to convey its findings to the participating Emergency Response Agencies of the City of New York in the context of these standards; and
- the ability of the evaluated Emergency Response Agencies of the City of New York to translate the findings of the evaluation team into concrete improvements of emergency response plans and standard operating procedures.

PERFORMANCE CRITERIA

The FDNY Exercise Evaluation Manual establishes performance criteria for each of the exercise goals, objectives and methodologies. These criteria are presented in language such as "did the responsible party demonstrate the knowledge and skills necessary to..." perform a function or work task. These criteria are contained in a set of evaluation elements which describe the functional response capabilities that should be demonstrated by the participating response agency. These criteria provide the basis for a realistic assessment of hazardous materials emergency preparedness capabilities, as demonstrated in exercises. The exercise goals, objectives & methodologies are derived from National Fire Academy Training Programs, "NRT-1: Hazardous Materials Emergency Planning Guide" (March 1987), and other more recent preparedness guidance, documents and regulations. Some goals, objectives & methodologies contain performance standards developed by OSHA, published in 29 CFR 1910.120 and 1910.156, 1910.134, 1910.1030, 1910.1200 and developed by EPA, published in 40 CFR, Part 311.

The exercise evaluation goals, objectives & methodologies described within this FDNY Exercise Evaluation Manual have a specific functional orientation related to emergency response. Organizational considerations are linked to the 8 basic goals with several objectives & methodologies that meet each of the goals. The exercise evaluations can easily be translated into planning and procedural improvements. Ideally, this will also facilitate a partnership and evaluation program between agencies and among emergency preparedness and response disciplines.

Emergency Response Agencies may agree to adopt these criteria explicitly as the measure by which they judge the adequacy of their own hazardous materials preparedness capabilities. Alternatively Emergency Response Agencies may agree to apply these criteria to their performance in a specific exercise in order to ascertain their current level of preparedness for hazardous materials emergencies. Additionally, Emergency Response Agencies of the City of New York may elect to adapt or modify this guidance to suit their individual needs. The 8 goals, objectives & methodologies contained and described in the FDNY Exercise Evaluation Manual should not be considered all inclusive: some goals, objectives & methodologies may or may not apply in all exercise scenarios, or to all

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participating Emergency Response Agencies of the City of New York and locations. The key to any objective-based evaluation using the FDNY Exercise Evaluation Manual is to recognize, separate, and use only those goals, objectives & methodologies applicable and necessary to the situation. There may be cases where goals, objectives & methodologies "unique" to particular community or geographic area need to be developed for particular exercises to augment the 8 goals, their objectives & methodologies.

THE STRUCTURE OF THE EXERCISE EVALUATION

The FDNY Exercise Evaluation Manual provides a structure to the evaluation of a hazardous materials emergency exercise by:

- describing an exercise evaluation team; outlining the major activities to be completed by the director of that team
- describing the process by which the observations of Response Personnel's of the evaluation team are translated into an exercise report that maximizes the contribution of the exercise evaluation, resulting in improved hazardous materials emergency preparedness in the City of New York
- presenting a standard set of exercise goals, objectives & methodologies; and
- presenting a standardized evaluation instrument - "A Performance Evaluation".

THE STRUCTURE OF AN EXERCISE EVALUATION TEAM

The Team Concept

The FDNY recognizes that hazardous materials exercises should be evaluated by a qualified and competent evaluation team, that is, a structured team of evaluators organized to accomplish an evaluation in a comprehensive and systematic manner.

Team Size and Composition

The size of an evaluation team is dependent upon several factors including:

- the type of exercise, (e.g., tabletop, functional, or full-scale)
- the purpose of the exercise;
- its size and complexity (i.e., the number of goals, objectives & methodologies to be demonstrated)
- the number of Emergency Response Agencies of the City of New York participating
- the number of locations from which the goals, objectives & methodologies are to be demonstrated
- the availability of resources needed to conduct an evaluation.

As a general rule, the evaluation team should be large enough to provide for the evaluation of all goals, objectives & methodologies by the Emergency Response Agencies of the City of New York, and their locations. In a relatively small exercise, with few Emergency Response Agencies of the City of New York and a limited number of goals, objectives & methodologies and locations, a simple organizational structure with a single Team leader and a number of evaluators who report directly to this leader will usually suffice.

In a full-scale exercise, in which a large number of goals, objectives & methodologies are to be demonstrated by multiple Emergency Response Agencies of the City of New York at

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several locations, a more formal and complex structure is usually required. A typical structure of this type has a team director and a number of *Team leaders*. The latter may direct the evaluation efforts of group leaders and *evaluators*. Such a team structure is depicted in Table 1.

TABLE 1: THE TEAM CONCEPT

<i>Evaluation Team</i> Director		
<i>Team leader</i> #1		<i>Team leader</i> #2
Group Leaders (command & Control)	Group Leader (Street / Surface Ops.)	Group Leader (Subway Ops.)
Evaluator	Evaluator	Evaluator
Evaluator	Evaluator	Evaluator
Evaluator	Evaluator	Evaluator
Evaluator	Evaluator	Evaluator
Evaluator	Evaluator	Evaluator

THE EVALUATION TEAM DIRECTOR

The responsibility of the Evaluation Team Director (FDNY ETD) is to complete two major activities and their associated tasks. These activities are to plan and manage preparations of the Exercise Evaluation Team, and to manage the development of the Exercise Evaluation Report.

Activity 1: Plan And Manage Preparations Of The Exercise Evaluation Team

Task One: Determine the Scope of Exercise Evaluation

This task is to be accomplished by the Evaluator Team Director FDNY ETD in coordination with the representatives of Emergency Response Agencies of the City of New York participating in the exercise.

- Coordinates with the participating agencies to determine the goals, objectives & methodologies to be demonstrated and evaluated during the exercise. (In the event that the participating Emergency Response Agencies have not decided on which goals, objectives & methodologies to demonstrate, the FDNY ETD should assist them in arriving at such goals, objectives & methodologies).
- Based upon which goals, objectives & methodologies will be demonstrated the FDNY ETD can determine how many and what type of evaluator expertise is needed to evaluate the exercise. As a general rule, a full-scale exercise should involve demonstration of at least the 8 goals, objectives & methodologies described in this FDNY Exercise Evaluation Manual.
- Based upon this coordination, the FDNY ETD determines which Emergency Response Agencies of the City of New York and which locations will be used in demonstrating the goals, objectives & methodologies selected for the exercise.
- The FDNY ETD identifies or determines the Rules of Engagement for the selected goals, objectives & methodologies. (If the Rules of Engagement has already been determined by the participating Emergency Response Agencies, the FDNY ETD needs only to ascertain what has been determined for each objective. Otherwise the FDNY ETD needs to work with the participating Emergency Response Agencies to determine the Rules of Engagement. It is imperative that Rules of Engagement agreements are reached ahead of time because they may affect the number of people needed to evaluate or control the exercise.)
- Typically in the demonstration of the goals, objectives & methodologies, Emergency Response Agencies of the City of New York will be attempting to carry out their emergency functions as they would be carried out in a real emergency, subject to the limitations of conducting them in an exercise or to their exercise specific goals and objectives. For example, a response organization may have new procedures that it wishes to test, which have not yet been formally incorporated into its plan, however, the Rules of Engagement agreement provides that the new procedures can be utilized during the exercise as long as they are clearly defined so as to avoid freelancing.
- Extent of play agreements also specify the simulation allowed in demonstrating each objective. For example, the Rules of Engagement agreement may state that the responders will not actually fight a fire, rather they can respond to a scene with the proper equipment and personnel; or, Emergency Operations Center (EOCs) in locations

expecting minimal involvement will not fully activate, rather they must demonstrate the Notification procedures and have someone present to answer calls.

Task Two: Determine the Evaluation Team Structure, Size, and Composition

The FDNY ETD uses the information developed in Task One;

- determine a team structure that is the most appropriate to use for evaluating the particular exercise.
- The size of an evaluation team is dependent upon several factors such as the type of exercise, (e.g., tabletop, functional, or full-scale; the purpose of the exercise; its size and complexity, i.e., the number of goals, objectives & methodologies demonstrated, the number of Emergency Response Agencies participating, and the number of locations from which the goals, objectives & methodologies are demonstrated, and the availability of resources needed to conduct an evaluation.)

Task Three: Selection of the Evaluation Team Members

- In the third task, the FDNY ETD selects Response Personnel's of the evaluation team. The recruitment base for evaluators consists of emergency management or response personnel from neighboring jurisdictions or representatives from state, local or federal agencies. Experience has shown that it is not advisable to assign the role of evaluators to personnel belonging to the Emergency Response Agencies of the City of New York being evaluated.
- In order to properly evaluate many of the exercise goals, objectives & methodologies, evaluators will need specific technical knowledge (e.g., the evaluator assigned to the goal of identification will need to have a thorough understanding of the knowledge and skills necessary to select and use air monitoring devices). The FDNY ETD needs to review the list of goals, objectives & methodologies to be demonstrated, determine the knowledge and skills required for each objective, and seek the services of evaluators with the requisite knowledge and experience.

Task Four: Determine the Exercise Team Schedule of Activities

This task entails the development of a schedule that provides the dates and time frames for the following activities:

- conduct the pre-exercise briefing
- exercise activities
- preparation of the exercise evaluation report.

Task Five: Arrange for Logistics to Support Evaluation Team

This task entails the development of logistical arrangements in support of the evaluation team.

- These arrangements must provide for such matters as meeting facilities, lodging, and transportation arrangements (if this becomes necessary.)
- As a general rule these arrangements need to include securing the use of facilities for plenary team sessions immediately prior to and following the exercise.
- Unless the exercise is to be conducted at locations that cannot be reached from a central common location in an hour's drive, it is advisable to arrange for lodging for all Response Personnel's of the team in a single Facility.

Task Six: Provide Materials to Evaluators

In this task, the FDNY ETD provides *evaluators* with a variety of materials that they will need to prepare for the evaluation effort. This is accomplished most effectively through the distribution of *evaluator* packets, containing information on such items as:

- scope of the exercise to be evaluated, including goals, objectives & methodologies to be demonstrated and *Rules of Engagement* agreements;
- structure of the evaluation team, including individual *evaluator* assignments;
- *exercise scenario* and controller inputs
- relevant portions of FDNY Exercise Evaluation Manual
- copies of plans and procedures for assigned Emergency Response Agencies of the City of New York pertinent to assigned goals, objectives & methodologies, including maps;
- portions of previous evaluation reports including description of *Issues* and recommendations; (if available)
- exercise schedule, including schedule of post-exercise activities; and
- logistical information, location of meetings, lodging arrangements, etc.

Several of the items listed are to be secured by the FDNY ETD from the participating Emergency Response Agencies of the City of New York, however, the last two items of information will have to be developed by the FDNY ETD.

Since plans and procedures are the basis for emergency response and review, the FDNY ETD should instruct *evaluators* to review and understand these plans and procedures in order to anticipate the responses that are likely to occur.

Task Seven: Develop the Format and Table of Contents for the Exercise Evaluation Report

In this task, the FDNY ETD, in coordination with the participating Emergency Response Agencies, develops a format and approach to the exercise evaluation report.

The FDNY ETD ensures that the report will meet the established goals, objectives & methodologies of the exercise evaluation and meets the needs of the participating Emergency Response Agencies .

Task Eight: Conduct Pre-Exercise Briefing

In this task, the FDNY ETD provides a pre-exercise briefing to the evaluation team.

In this briefing the FDNY ETD needs to make sure that the *evaluators* understand all the items provided in the *evaluator* packet. The ETD may also need to brief the team of such matters as:

- recent and significant changes to the emergency plan;
- location-specific protocols;
- local geography; and

- local response structures.

This type of training is typically completed prior to the start of the exercise, either as part of the pre-exercise briefing or in a separate session.

Activity II: Manage The Development Of The Exercise Evaluation Report

Task One: Supervise the Evaluation of the Exercise

The critical first step in the preparation of the Exercise Evaluation Report (EER) is the development of data on the performance of the participating Emergency Response Agencies during the exercise play. In this task, the FDNY ETD monitors and supervises the data collection activities of the exercise evaluation team during the play of the exercise.

A major part of this task will be to coordinate with the exercise *controllers* on the progress of the exercise and to advise the exercise evaluation team of developments affecting their roles and responsibilities as data collectors. In addition, the FDNY ETD may be called upon to reassign *evaluators* to different goals, objectives & methodologies or locations if circumstances dictate.

Task Two: Direct the Compilation of Evaluator Reports

In this task, the FDNY ETD coordinates the activities of the team and group leaders, or individual *evaluators* to accomplish the completion of the evaluation forms and the preparation of narrative summaries by the *Observers*.

In the completion of this task, the FDNY ETD may find it useful to conduct a post-exercise *evaluator* debriefing in which all Response Personnel's of the team can present their initial impressions of the demonstrated performance, fill in gaps in their data on such performance, and check their preliminary impressions with other team Response Personnel's. These meetings may involve the full exercise team or be limited to team and group leaders.

Task Three: Coordinate the Identification of Exercise Issues

In this task, the FDNY ETD coordinates with team and group leaders and individual *evaluators* to facilitate the identification of exercise *Issues* (i.e., observed or identified problems in a specific emergency response agency's performance in the demonstration of exercise goals, objectives & methodologies.

It is critical that the FDNY ETD participate and guide this process to ensure that the *Issues* are described in a consistent manner by all participating across goals, objectives & methodologies and that all *Issues* are directly related to observed performance in the context of the goals, objectives & methodologies of both the exercise and the exercise evaluation.

Task Four: Manage the Completion of performance evaluation forms and Preparation of Narrative Summaries

(In this task, the FDNY ETD works with team and group leaders and individual *evaluators* to make sure that all evaluation forms are completed and all Points of Review are addressed, if applicable.)

The FDNY ETD also makes sure that narrative summaries are complete and well written, providing descriptions of the major exercise *Issues* and documenting both positive and

problematic aspects of performance. The FDNY ETD works with the evaluators to collect the Exercise Performance Evaluation Forms and narrative summaries for use in the development of the exercise evaluation report.

Task Five: Manage the Preparation of the Exercise Evaluation Report

(In this task, the FDNY ETD directs the preparation of the exercise evaluation report.)

In most exercises, the FDNY ETD prepares and Issues a draft exercise report. The report is based on the evaluators performance evaluations, observers narrative summaries and the material collected by the evaluators during the exercise. Typically, the draft report is reviewed by the exercise planners, evaluators, the state, and other participating community Emergency Response Agencies of the City of New York prior to its release. After the draft report is thoroughly reviewed, the FDNY ETD Issues a final report (Executive Summary).

THE HAZARDOUS MATERIALS EXERCISE EVALUATOR RULES OF ENGAGEMENT

Identified by orange FD vest with the word "evaluator" written on the vest. They should have sufficient technical knowledge and experience to be able to recognize errors in the Mayoral Directive, the agency specific Emergency Response Plans and nationally recognized safe work practices. They should not wear any clothing or item that would associate the evaluator with a participating agency

The purpose of this section is to describe the overall responsibilities of the hazardous materials evaluator. For the new evaluator especially, a brief description of the role of the evaluator and his/her relationship to others is beneficial in understanding the hazardous materials Exercise Process.

The previous section briefly discussed the different groups of people involved in a hazardous materials exercise (controllers, evaluators, observers & players). This section will discuss in greater detail the three phases of the exercise process and how an evaluator is involved in that process.

Evaluator activities are completed in three phases of an exercise: during the pre-exercise phase, during the exercise phase, and during the post-exercise phase. During all three phases of the exercise, the overall job of an evaluator is to serve as a reporter. Associated with each phase of an exercise, an "evaluator's" specific job as a reporter is to conduct research, observe actions, and evaluate and report the results.

Throughout the three phases of a hazardous materials exercise the evaluator is to complete three major activities and their associated tasks. These three major activities and associated tasks are as follows:

Activity I: Research And Prepare For The Exercise

In the pre-exercise phase, the evaluator's job is to conduct research. Thorough preparation by an evaluator will ensure an accurate and comprehensive evaluation of an exercise assignment. In doing research, an exercise evaluator must understand some nationally recognized work practices and standards of care in hazardous materials emergency preparedness and complete the following tasks:

Task One: Receive and Review Evaluator Materials

In this task, the evaluator receives from the Exercise Team Director (FDNY ETD) an "evaluator packet" containing a variety of materials needed to prepare for the evaluation effort. Evaluator packets will generally include information on such items as:

- scope of the exercise to be evaluated and Rules of Engagement agreements;
- structure of the evaluation team, including individual evaluator assignments;
- exercise scenario and controller rules of engagement
- exercise rules of engagement
- relevant portions of FDNY Exercise Evaluation Manual ;
- copy of Mayoral Directive 82-2 (1986 revised edition) of the City of New York pertinent to assigned responsibilities
- portions of maps
- exercise schedule, including schedule of post exercise activities

- logistical information, location of meetings, lodging arrangements, etc.

Evaluators should review the information provided in the packet and make any necessary travel arrangements sufficiently in advance of the exercise to avoid being late. If you have not received any of the above mentioned items contact the FDNY ETD directly

Task Two: Review the Scope of Exercise

In this task, the evaluator needs to research the materials sent to them by the FDNY ETD.

Evaluators need to have the knowledge & skills necessary to:

- anticipate & predict what exercise goals, objectives & methodologies need to be demonstrated;
- know which goals, objectives & methodologies the evaluator is responsible for evaluating;
- understand what Rules of Engagement agreements have been provided for; and
- review the exercise scenario and Exercise rules.

Since the Mayoral Directive, the Agency Emergency Response Plan, & Standard Operating Procedures are the basis for emergency response and review, an evaluator should review and understand these documents in order to anticipate the responses that are likely to occur.

Evaluators should be knowledgeable about the following:

- the agencies' concept of operations
- their agencies' primary response authority for the basic functions
- the important acronyms & terminology used in the plan
- the specific goals, objectives & methodologies relating to the evaluation of emergency response functions and/or expected responses. This should be based on the Mayoral Directive, the Agency Emergency Response Plan, & Standard Operating Procedures
- the status of the plan development
- the relationship between this exercise and the overall exercise program of the participating Emergency Response Agencies
- any specific outcome or lessons learned from previous exercises that are being applied to this exercise.

Task Three: Attend Pre-Exercise Briefing

(In this task, the evaluator, as part of the evaluation team, will attend a pre-exercise briefing.)

At the evaluators' briefing, the ETD address such topics as evaluator assignments, rules of engagement, the exercise scenario, guidelines for completion of evaluation forms, evaluator protocol, and safety requirements. The FDNY ETD may also brief the team on such matters as:

- recent and significant changes to the emergency plan;
- location-specific protocols;
- local geography; and
- local response structures.

Activity II: Conducting The Exercise

In the actual exercise, the evaluator's job is to observe actions.

Task One: Observe Actions During the Exercise

The exercise will be conducted under the guidance of the exercise controllers.

In this task the evaluator will observe the Players' activities, make appropriate notes, record events, gather facts, times, and details relevant to the exercise, and collect copies of the records produced by exercise participants (e.g., sign-in sheets, logs, copies of communication log messages, press releases, and documentation records).

During the exercise, evaluators observe and record the actions of the Players. Generally speaking, during the exercise phase, evaluators are "invisible" and do not interfere with exercise play, except for safety reasons.

Task Two: Follow General Exercise Guidelines

How evaluators present themselves at an exercise affects how successful they are in obtaining necessary information.

In this task, the evaluator will follow the suggested General Exercise Guidelines with regard to:

- The evaluator's role and attitude
- Dress and appearance at an exercise
- Dealing with the media
- The fine art of gathering information
- Actual emergencies.

The evaluator is much like an unobtrusive reporter; the evaluator is a good listener and is able to document facts without interfering with ongoing activities.

The evaluator is often perceived by Players as a guest; be courteous, professional

Plan ahead, arriving at the specified location with the tools needed (e.g., pens, pencils, paper, evaluator packet).

Appropriate interaction with the exercise Players helps to establish rapport with them and leads to accurate evaluations. As a Professional, avoid ethnic, sexist, religious jokes or comments.

An evaluator can find out information that is not obvious (like who a particular individual is talking to on the telephone) by:

- Waiting until there is a lull in the action.
- Do not interrupt the Players in their response activities.
- If an evaluator does not observe specific aspects of an agency's performance, ask questions of the exercise Controllers, Group and Team Leaders during the exercise and Players after the exercise.
- The reason that questions should not be asked of players during the exercise is that it might prompt an appropriate response by the Players that they normally might have overlooked.
- Work with the controller or other evaluators to obtain information

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Activity III: Report The Results Of The Exercise to the FDNY

In the post-exercise phase, the *evaluator's* job is to evaluate and report the results to the FDNY. Results are usually reported after the exercise and can be presented in one of two ways: written or oral. There are several other after-exercise tasks that an *evaluator* may be involved in including:

Task One: Conduct After-Exercise Evaluator/Participants Interview

In this task, the *evaluator* interviews exercise participants in order to gather information needed to complete their Exercise Performance Evaluation Forms.

This interview generally takes place immediately following the exercise.

This time can also be used to solicit the participants' comments and suggestions concerning the exercise. Experience has shown that many exercise participants also evaluate their own performance during an exercise. They may provide the *evaluator* with additional information to clarify any questions.

At the direction of the FDNY ETD, *evaluators* may generally summarize their observations of the exercise play for the participants. In most cases, the participants are anxious to hear a brief summary of the positive aspects of their play and any indication of possible *Issues*.

Task Two: Participate in After-Exercise Evaluator Debriefing

In this task, the *evaluator* participates in an *evaluator* debriefing usually conducted by the FDNY ETD.

The *evaluators* meet (some may work with team Response Personnel's) to summarize their exercise observations and documentation and identify any exercise *Issues*.

This debriefing time is also used to exchange information with *evaluators* who watched the same activity at different locations. This exchange of information is critical to filling in the gaps in understanding. *Evaluators* also participate in the development of a time line.

Task Three: Complete Exercise Performance Evaluation Forms and Executive Summary

Written results of an exercise are reported through the completion of Exercise Performance Evaluation Forms

The information gathered through the use of the Exercise Performance Evaluation Forms provides the data from which the *Executive Summary* is written by the FDNY ETD.

Task Four: Coordinate the Identification of Exercise Issues

In this task, the *evaluator* coordinates with the FDNY ETD and team and group leaders to identify any exercise *Issues* (i.e., observed or identified problems in an agency's performance in the demonstration of exercise goals, objectives & methodologies).

It is critical that the *evaluator* follow the guidelines provided by the FDNY ETD to ensure that the *Issues* are described in a consistent manner across goals, objectives & methodologies and that all *Issues* are directly related to observed performance in the context of the goals, objectives & methodologies of both the exercise and the exercise evaluation.

Task Five: Attend After-Exercise Participants' Briefing

In this task, the *evaluator* attends a briefing with the FDNY ETD and exercise participants to present a preliminary evaluation of the exercise.

This meeting provides a means of summarizing and clarifying the results of the exercise. The participants usually present a critique of their own performance. *Team leaders* also present oral reports.

If an *evaluator* is requested to present an oral report, it should be brief (less than 5 minutes), and include an overview of the highlights of the exercise, commendations for good performance, and a preliminary assessment of strengths and weaknesses.

Task Six: Review Draft Exercise Report

In this task, the *evaluator*, in addition to the exercise planners, the *observers* and other participating community Emergency Response Agencies, will be asked to review the draft report prior to its release. In most exercises, the FDNY ETD prepares a draft exercise report based on the *evaluators'* performance evaluations and *observers'* narrative summaries and the material collected by the Team and Group Leaders during the exercise. After the draft report is thoroughly reviewed, a final report is issued by the FDNY ETD.

THE HAZARDOUS MATERIALS EXERCISE: OBSERVER RULES OF ENGAGEMENT

Performance Evaluations are frequently the foundation of the exercise report. They can provide an objective written description of the observed actions if developed and written properly. Narrative summaries are more subjective and should not be done by participating agencies. Narrative summaries address any *Issues* identified during the course of the exercise and include recommendations for improvement.

Activity I: Research And Prepare For The Exercise

In the pre-exercise phase, Observer should conduct research. Thorough preparation by the Observer will ensure accurate and comprehensive narrative summaries of an exercise. In doing research, an Observer must understand some basics about hazardous materials emergency preparedness in the City of New York and complete the following tasks:

Task One: Receive and Review Observer Materials

In this task, the Observer receives from the Exercise Team Director (FDNY ETD) an "Observer packet" containing a variety of materials needed to prepare for the Observer effort. Observer packets will generally include information on such items as:

- scope of the exercise to be evaluated and *Rules of Engagement* agreements;
- structure of the evaluation team, including individual *evaluator* assignments;
- *exercise scenario* and controller rules of engagement
- exercise rules of engagement
- relevant portions of FDNY Exercise Evaluation Manual ;
- copy of Mayoral Directive 82-2 (1986 revised edition) of the City of New York pertinent to assigned responsibilities
- portions of maps
- exercise schedule, including schedule of post exercise activities
- logistical information, location of meetings, lodging arrangements, etc.

Observers should review the information provided in the packet and make any necessary travel arrangements sufficiently in advance of the exercise to avoid being late. If you have not received any of the above mentioned items contact the FDNY ETD directly

Task Two: Review the Scope of Exercise

In this task, the *Observer* needs to research the materials sent to them by the FDNY ETD.

Observers need to have the knowledge & skills necessary to:

- anticipate & predict what exercise goals, objectives & methodologies will be need to demonstrated;
- know which goals, objectives & methodologies the *evaluator* is responsible for observing ;
- understand what *rules of engagement* agreements have been provided for; and
- review the *exercise scenario* and *Exercise rules*.

Since the Mayoral Directive, the Agency Emergency Response Plan, & Standard Operating Procedures are the basis for emergency response and review, Observers should review and understand these documents in order to anticipate the responses that are likely to occur.

Observers should be knowledgeable about the following:

- the important acronyms & terminology used in the plan
- The Mayoral Directive, the Agency Emergency Response Plans, & Standard Operating Procedures
- the status of the plan development
- the relationship between this exercise and the overall response of the participating Emergency Response Agencies of the City of New York

Task Three: Attend Pre-Exercise Briefing

In this task, the Observers, as part of the evaluation team, will attend a pre-exercise briefing.

At the briefing, the ETD addresses such topics as rules of engagement, the exercise scenario, guidelines for completion of Narrative Summaries, Observers protocols, and safety requirements. The FDNY ETD may also brief Observers on such matters as:

- recent and significant changes to the emergency plan;
- location-specific protocols;
- local geography; and
- local response structures.

Activity II: Conducting The Exercise

In the exercise phase, the Observer's job is to observe actions.

Task One: Observe Actions During the Exercise

The exercise will be conducted under the guidance of the exercise controllers.

In this task the observer will observe the Players' activities, make appropriate notes, record events, gather facts, times, and details relevant to the exercise.

During the exercise, observers record the actions of the Players. Generally speaking, during the exercise phase, observers are "invisible" and do not interfere with exercise play, except for safety reasons.

Activity III: Provide a written Narrative Summary of the Exercise to the FDNY

In the post-exercise phase, the Observers job is to evaluate and report the results to the FDNY. Results are usually reported after the exercise and can be presented in one of two ways: written and oral. There are several other after-exercise tasks that an Observers may be involved in including:

Task One: Participate in After-Exercise Observers Debriefing

In this task, the Observer participates in an evaluator debriefing usually conducted by the FDNY ETD

The observers meet (some may work with team & group leaders) to summarize their exercise observations, documentation and identify any exercise Issues.

This debriefing time is also used to exchange information with observers who watched the same activity at different locations. This exchange of information is critical to filling in the gaps in understanding. Observers also participate in the development of a time line.

Task Two: Complete Exercise Narrative Summary

Written results of an exercise are reported through the completion of Narrative Summary

The information gathered through the use of the Exercise Performance Evaluation Forms and narrative summaries provides the data from which the Executive Summary is written by the FDNY ETD.

Complete and well-written Narrative Summaries:

- contain a concise description of how the objectives were demonstrated
- are written objectively, stating facts and observations;
- highlight positive aspects, as well as any problems identified;
- avoid opinions (e.g., I think they did a good job)
- describe and document the issue(s) and recommend an approach for correcting the identified problem.

The narrative summaries are generally submitted to a designated person, usually a group or Team leader, shortly after the exercise. The leader reviews the completed forms and ascertains whether all appropriate data and information have been provided by the evaluator.

In a hazardous materials exercise, "Observers" might be emergency management or response personnel from the involved community or neighboring communities who are planning their own exercise and may benefit from observing from the sidelines.

THE HAZARDOUS MATERIALS EXERCISE: CONTROLLERS RULES OF ENGAGEMENT

(observers will be identified by red FD helmets)

Controllers are divided into three groups Team Leaders, Group Leaders and Individual Controllers.

Team & Group Leaders supervise the individual controllers, evaluators and observers.

Controllers help guide the scenario by interjecting control messages to ensure that exercise play conforms to the scenario.

Controllers also keep Players occupied and challenged and resolve exercise problems and monitor the safety of the exercise.

During an exercise, controllers are assigned to particular emergency response functions and locations. Persons assigned to the role of controller may be from participating Emergency Response Agencies of the City of New York. In many instances, exercise planners often serve as controllers.

THE HAZARDOUS MATERIALS EXERCISE PLAYERS RULES OF ENGAGEMENT

Players will make decisions and respond to scenario events in as realistic a manner as possible.

Players should be familiar with the emergency response structure, functions, and procedures that they will be expected to perform.

Each person involved in an exercise plays an important role. The "Players" are exercise participants who have assignments in an emergency response agency or team. PLAYERS make decisions and respond to the events of the scenario or simulated emergency.

General Rules of Engagement

(Notes: For Controllers, Evaluators, Observers & Players)

Dress Code

- Evaluators will be on their feet for many hours, so wear comfortable shoes.
- Evaluators should dress in a professional manner suitable to the evaluation activity.
- Blue jeans and similar leisure wear may be considered appropriate for field activities.

Media Interactions

If the Media attempts to interview a controller, evaluator, observer and / or player that person shall be directed as follows:

- All media inquiries should be directed to the Interagency Command Post or the FDNY ETD or the Mayor's Press Office. Generally, this telephone number is provided at the pre-exercise meeting.
- In all cases, an evaluator should never provide evaluation status information or express any personal opinions to the media during the course of the exercise.
- An evaluator should very simply state that they are not allowed to provide any information on the results of the exercise.
- If asked, provide the appropriate post exercise meeting information
- Players should direct all media inquiries to the Command Post

Actual Emergencies

Suppose a real emergency takes place during an exercise, what acceptable protocol should an evaluator follow?

- Real emergencies take precedence over exercise activities.
- Document when the "break in the action" occurred
- If the real emergency prevented completion of required activities, document it as such.
- Contact the FDNY ETD or Team leader if unexpected problem occurs (e.g., credentials, obvious safety concerns) or an evaluator has a personal emergency.