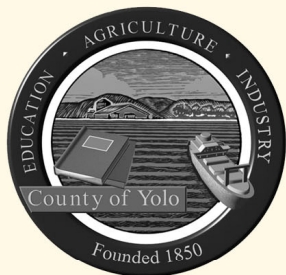


NATIONAL EXERCISE PROGRAM Controller and Evaluator Handbook

OPERATION W.I.T.C.H.

FEDERAL EMERGENCY MANAGEMENT AGENCY



West sacramento &
Woodland
Influenza
Training
Clinic for the
High-risk

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Federal Emergency Management Agency

Controller and Evaluator
(C/E) Handbook

Operation W.I.T.C.H.

West Sacramento & Woodland Influenza Training Clinic for the High-Risk

PREFACE

Operation W.I.T.C.H. is sponsored by the City of West Sacramento, City of Woodland, Woodland Healthcare, and the County of Yolo. This Controller and Evaluator (C/E) Handbook was produced with input, advice, and assistance from the Operation W.I.T.C.H. exercise planning team, which followed the guidance set forth in the Federal Emergency Management Agency (FEMA), Homeland Security Exercise and Evaluation Program (HSEEP).

The C/E Handbook is a supplement to the Operation W.I.T.C.H. Exercise Plan (*ExPlan*). It provides controllers and evaluators with detailed information about the exercise scenario and their specific duties and responsibilities. Controllers and evaluators should refer to the ExPlan for basic information about the exercise, including participating agencies, schedules, briefings, and the responsibilities of various participants. The information in this document is current at the date of publication, 09/15/2009, and is subject to change as dictated by the Operation W.I.T.C.H. Exercise Planning Team.

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HANDLING INSTRUCTIONS

1. The title of this document is the Operation W.I.T.C.H. *Controller and Evaluator (C/E) Handbook*.
2. The information gathered in this C/E Handbook is *For Official Use Only* and should be handled as sensitive information not to be disclosed. This document should be safeguarded, handled, transmitted, and stored in accordance with appropriate security directives. Reproduction of this document, in whole or in part, without prior approval from City of West Sacramento, City of Woodland, Woodland Healthcare, and the County of Yolo is prohibited.
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CHAPTER 1: GENERAL INFORMATION

Exercise Implementation and Rules

- The Exercise Director will initiate exercise play by transmitting the Yolo County Mass Vaccination Activation messages beginning September 28th via the normal modes of communication.
- The decision to conclude the drill will be determined by the Exercise Director based upon the completion of operations and attainment of the exercise objectives or exhaustion of the vaccine allotment for the exercise.
- Real-world emergency actions take priority over exercise actions.
- Exercise participants will comply with real-world response procedures, unless otherwise directed by control staff.
- All communications (written, radio, telephone, etc.) made during the exercise will begin and end with the phrase, “This is an exercise.”
- “Real-World Emergency” will be the designated phrase that indicates there is an emergency in the exercise area requiring immediate attention that may or may not stop exercise play.
- Exercise participants placing telephone calls or initiating radio communication must identify the organization, agency, office, or individual with whom they wish to speak.

Controller and Evaluator Briefing

This briefing will assist in preparing controllers and evaluators for performance of their functions and will include a detailed review of event activities. This briefing is the time for evaluators to ask questions and ensure that they completely understand their roles and responsibilities. Evaluator questions should be addressed and information clarified so that controllers and evaluators feel confident that they can perform their assignments effectively.

For those Evaluators participating from outside Yolo County, and teleconference phone number and pin will be made available to you to facilitate your involvement in this briefing. The briefing is scheduled to take place on Friday, October 2nd at 1300 hours.

Controller and Evaluator Instructions

Before the Exercise

- Review the Yolo County Health Department on-line POD classes (www.yolopodclasses.org).
- Review appropriate exercise package materials, including the objectives, scenario, injects, safety and security protocols, and evaluator instructions.
- Attend required briefing on October 2nd (teleconference line will also be available for those who are participating from outside Yolo County).

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- Review the exercise objectives and controller package for your area of responsibility.
- Report to the exercise check-in location (staff sign-in station) at the time designated in the exercise schedule to receive your clearance badge and packet.

During the Exercise

- Wear controller identification badge.
- Avoid personal conversations with exercise players.
- Record all significant events you observe.
- Ensure that all observers and media personnel stay off of the vaccination floor. If you need assistance, notify the Exercise Director and or Security Unit Lead.
- The Exercise Director will notify you when the exercise has been suspended or terminated. The exercise will be terminated according to the pre-positioned timeline or at the exhaustion of all vaccine doses, whichever comes first.

After the Exercise

- Assist with the distribution of Participant Feedback Forms. After participants have completed these forms, collect the forms and give them to the Exercise Director. Coordinate this task with the evaluator in your area.
- All controllers are expected to take notes on findings identified by exercise participants. Before the Hot Wash, do not discuss specific issues or problems with exercise participants. At exercise termination, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready for the Exercise Director.

Assessment, Review, and Analysis of Exercise**Controller and Evaluator Debriefing**

Controllers, evaluators, and selected exercise participants will attend a facilitated Controller and Evaluator Debriefing directly following the player Hotwash. During the debriefing these individuals will discuss their observations of the exercise in an open environment to clarify actions taken during the exercise. Evaluators should take this opportunity to complete their EEGs for submission.

Participant Feedback Forms

Participant Feedback Forms will be used for documenting participant information about the exercise. They will be collected throughout the day from participants. Controllers should emphasize to the participants that the forms provide the opportunity to comment candidly on emergency response activities and effectiveness of the exercise.

Exercise Report

An exercise After Action Report / Improvement Plan (AAR/IP) will be prepared to document evaluation of overall exercise performance. This AAR/IP will cover the schedule, scenario, participants' activities, evaluations, issues, opportunities, and best practices. The AAR will contain the following:

- A brief summary with introductory and general statements noting exercise scope, purpose, objectives, participants, and an overall performance assessment
- Assessments for each capability observed
- Issues and recommendations as suggested by controller, evaluator, or participant comments

The AAR/IP will be organized by capability, with a section of the AAR/IP devoted to each of the exercised capabilities. Specific issues and observations will be identified for each capability and activity, and recommendations for resolving issues will be provided, based on input from controllers, evaluators, and exercise planners.

A draft AAR will be provided to participating organizations for comment before the After Action Conference is held.

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CHAPTER 2: SCENARIO AND SUPPORTING DATA

Exercise Scenario

On June 2009, the World Health Organization (WHO) signaled that a global pandemic of novel influenza A (H1N1 flu) was underway by raising the worldwide pandemic alert level to Phase 6. Since the WHO declaration of a pandemic, the new H1N1 virus has continued to spread. In the United States, significant novel H1N1 illness has continued through the summer, with localized and in some cases intense outbreaks occurring. The United States continues to report the largest number of H1N1 flu cases of any country worldwide. Given ongoing novel H1N1 activity to date, CDC anticipates that there will be more cases, more hospitalizations and more deaths associated with this pandemic in the United States over the summer and into the fall and winter. The novel H1N1 virus, in conjunction with regular seasonal influenza viruses, poses the potential to cause significant illness with associated hospitalizations and deaths during the U.S. influenza season.

The CDC has contracted with pharmaceutical companies to rush production for a new influenza vaccine which includes the H1N1 subtype in anticipation of an active influenza season. The vaccine is expected to be available to providers as early as October.

Medical Directive issued on behalf of the Yolo County Health Officer: Please prepare your emergency preparedness staff to be ready to open two community based mass vaccination clinics as early as October 3, 2009 in an effort to protect the county population against the seasonal strain of influenza prior to the release of H1N1 vaccine. The Health Department will provide the flu vaccine, flu information fact sheets, screening forms, licensed vaccinators and just-in-time training for your Point of Dispensing staff. Please review the POD training courses in preparation of a partial activation of the Yolo County Mass Prophylaxis Plan.

www.yolopodclasses.org

Major Events

- DOC begins to facilitate Inventory Management procedures of Seasonal Influenza vaccine in preparation of partial SNS activation.
- The Yolo County Health Officer has issued a Medical Directive to activate two community Mass Vaccination sites in response to seasonal influenza vaccination of High-risk populations.
- DOC contacts Just-In-Time Trainers and provides them with time and location for pre-training.
- Health Officer initiates activation protocols for activation of Mass Vaccination PODs as outlined in the Yolo County SNS/Mass Prophylaxis plan.

Safety

All participating organizations recognize the importance of conducting an exercise of this magnitude as safely as possible. All participants are being directed to follow all safety specific instructions available to them on the day of the exercise.

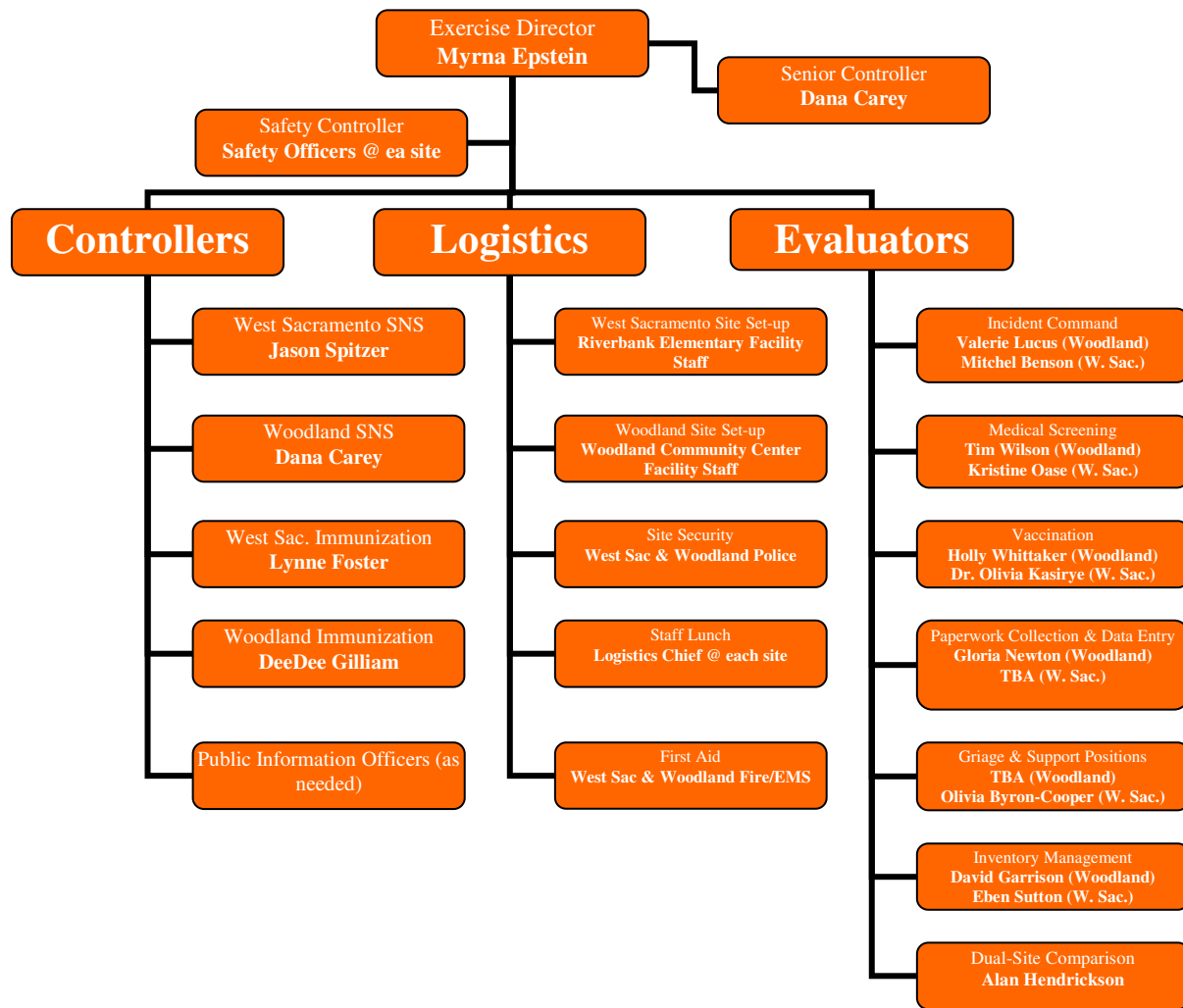
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CHAPTER 3: CONTROLLER INFORMATION AND GUIDANCE

Exercise Controller Organization

Controllers, evaluators, and personnel essential to the exercise are collectively referred to as the exercise staff organization. The exercise staff organization, current at the publication of this document, is shown in **Figure 3.1**. Control of the exercise will be established through an exercise controller organization. This organization will control all exercise activities at all exercise locations.

Figure 3.1. Sample Exercise Staff Organization



Exercise Control

Exercise Start, Suspension, and Termination Instructions

The on-site clinic portion of Operation W.I.T.C.H. will be conducted on October 3, beginning at 0730. Exercise play is scheduled for six hours or until the Exercise Director and Senior

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Controller determine that the exercise objectives have been met at each venue. The Exercise Director will announce the start of the exercise.

Controller Responsibilities

Table 3.1 details specific controller responsibilities.

Table 3.1. Controller Responsibilities

Controller Responsibilities	
Exercise Director	
<ul style="list-style-type: none"> • Oversees all exercise functions • Oversees and remains in contact with controllers and evaluators • Debriefs controllers and evaluators after the exercise • Oversees setup and cleanup of exercise and positioning of controllers and evaluators • Serves as safety officer for his or her site 	
Facility Safety (Safety Unit Deputy assigned to each site)	
<ul style="list-style-type: none"> • Enforces site access procedures • Serves as safety officer for his or her site 	
Venue SNS Controller	
<ul style="list-style-type: none"> • Monitors exercise timeline • Oversees SNS procedures and protocols for his or her site • Can provide expertise to Command Staff where matters of safety and/or patient flow are concerned • Serves as safety officer for his or her site 	
Venue Immunization Controller	
<ul style="list-style-type: none"> • Monitors exercise timeline • Oversees Immunization procedures and protocols for his or her site • Ensures vaccine is kept in “cold-chain” during the duration of the exercise • Can provide expertise to Vaccination staff where matters of safety and/or patient flow are concerned • Serves as safety officer for his or her site 	
Public Information Officer(s) (City and/or County PIOs may be preset for media purposes)	
<ul style="list-style-type: none"> • Provides escort for observers • Provides narration and explanation during exercise events, as needed • Performs pre-exercise and post-exercise public affairs duties • May act as media briefer and escort at exercise site • Serves as safety officer for his or her site 	

For specific controller assignments, please see [Appendix E](#).

Controller Package

Controllers will receive their exercise materials at the Controller and Evaluator Briefing. The controller package will consist of the ExPlan, C/E Handbook, badges, and other exercise tools (e.g., MSEL) as necessary. Controllers may reorganize the material so information that is critical to their specific assignment is readily accessible. Controllers must bring their packages to the

exercise. Controllers may also bring additional professional materials specific to their assigned exercise activities.

Scenario Tools

The MSEL outlines benchmarks and expected actions that drive exercise play and provide realistic input to exercise participants. There are NO simulated injects scheduled for the on-site clinic day of this exercise as it is expected that participant and patient actions will provide enough activity for response during the course of the exercise. Injects which will begin on September 28th are meant to prompt specific actions leading up to the on-site clinic actions. The MSEL consists of the following two parts:

- **Timeline.** This is a list of key exercise events, including scheduled injects and expected player actions. The timeline is used to track exercise events relative to desired response activities.
- **Injects.** An individual event inject is a detailed description of each exercise event. The inject includes the following pieces of information: inject time, intended recipient, responsible controller, inject type, a detailed description of the event, and the expected player action.

Communications Plan

All spoken and written communication will start and end with the statement "THIS IS AN EXERCISE."

Controller Communications

The principal method of communication for controllers during the exercise will be cellular telephone. A list of key telephone numbers is available in a Communications Directory, see [Appendix F](#). Controller communications will link control personnel at all play areas and will remain separate from participant communications. In no case will controller communications interfere with or override participant communications.

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CHAPTER 4: EVALUATOR INFORMATION AND GUIDANCE

General Information

The goal of exercise evaluation is to validate strengths and identify improvement opportunities for the participating organization(s). In Operation W.I.T.C.H., evaluation will attempt to validate plans, procedures, and protocols of Yolo County and participating agencies and determine their level of capability with regard to the exercised target capabilities. Validation attempts to answer the following questions:

- Were established plans, procedures, and protocols followed during the exercise?
- Were the plans, procedures, and protocols effective?
- What level of capability do the plans, policies, and procedures establish?

This validation is accomplished by the following means:

- Observing the event and collecting supporting data
- Analyzing the data to compare performance against expected outcomes
- Determining what changes need to be made to procedures, plans, staffing, equipment, communications, organizations, and interagency coordination to ensure expected outcomes

The evaluation results will provide an opportunity to identify ways to build on strengths and improve capabilities. Because jurisdictions are testing new and emerging plans, skills, resources, and relationships in response to a changed homeland security environment, every exercise or event can be expected to result in multiple findings and recommendations for improvement.

Exercise Evaluation

Operation W.I.T.C.H. uses Exercise Evaluation Guides (EEGs) formulated by the DHS and evaluation methodologies established in the HSEEP as the guide for conducting all exercise evaluation. The AAR/IP will be formatted so that it conforms to current DHS guidance.

Exercise Evaluation Guides (EEGs)

The content for the AAR/IP will be drawn from the EEGs. Each evaluator will be provided with an EEG that will give specific guidance regarding what data to collect during the exercise, how to record it, and how to analyze it before submission. The Exercise Director and Senior Controller will compile all evaluator submissions into the first working draft of the AAR/IP.

Each EEG provides a list of subordinate activities and tasks that players are expected to perform during the exercise to demonstrate the specified capability. These tasks, which are drawn primarily from the Yolo County SNS, Mass Prophylaxis Plans and the National Target Capabilities List, will be divided into critical tasks (tasks that are required to demonstrate the capability) and supporting tasks (tasks that enhance performance but are not required). Evaluators' observations regarding the level of performance of these tasks will be integrated into the first working draft of the AAR/IP.

Evaluations

All evaluations are preliminary and may be revised based on information from other evaluators, controllers, or participants. If an evaluator or controller did not observe specific aspects of an organization's performance, exercise participants may be asked to comment. These aspects should be indicated in the evaluation as being provided by participants.

Evaluator Responsibilities

Participant performance must be observed and analyzed against plans, policies, procedures, and practices, using criteria established before the exercise. Evaluators document player performance by using EEGs and information obtained during the Hot Wash. The evaluations, documentation, Hot Wash, and debriefing discussion(s) provide important information that substantiates exercise conduct and performance. The AAR/IP will summarize the overall results of the exercise and provide a comprehensive assessment of capabilities and plans that were demonstrated.

Documenting the Event

Evaluators must keep accurate records and notes because these records will form the basis for evaluation of player performance. Evaluation is valuable because it provides constructive feedback (positive and negative) to improve the effectiveness of an organization's response to emergencies. Accurate and detailed documentation is critical to facilitate a full record of all the events in an exercise and to understand participant actions.

Evaluators will document the exercise by using the appropriate EEGs for actions in their area. The EEGs are provided separately as part of the evaluator package. Evaluators should document key activities and those activities that require a timely response for later evaluation.

Evaluators should review their forms and notes immediately after the exercise to ensure an accurate reconstruction of events and activities for discussion at the Controller and Evaluator Debriefing. Evaluation materials, including notes and forms, become part of the exercise documentation. Checklists and evaluation forms must be completed as thoroughly and accurately as possible.

Evaluator Package

Evaluators will receive their materials via e-mail for review prior to the exercise. All materials will be reviewed at the Controller and Evaluator Briefing. The evaluator package contains this C/E Handbook, the ExPlan, EEGs, and other items as necessary. A full package of Evaluator materials will be available on the day of the exercise along with a security access badge at the Staff Sign-in station. Evaluators may reorganize the material so information that is critical to their specific assignment is readily accessible. Evaluators may bring additional professional materials specific to their assigned activities.

Evaluator Instructions and Guidelines

General

Evaluators should avoid personal conversations with participants. Evaluators should not give information to participants about event progress or other participants' methods of problem resolution. Participants are expected to obtain information through their own resources.

Evaluation Basics

Remember, your experience and expertise are your most important tools. Experienced evaluators use the following techniques for effective evaluation:

- Use EEGs to confirm that evaluation objectives are met.
- Take detailed notes concerning significant activities observed, including the time they were initiated or completed.
- When more than one evaluator is assigned to an area, divide responsibilities to ensure detailed evaluation of participant activities.
- Stay in proximity to participant decision makers.
- Focus on critical tasks, as specified in the EEGs.

Recording Important Events

Although numerous events may occur simultaneously, evaluators do not need to record all the action. Knowing which events are important helps evaluators eliminate superfluous data and provide the kind of information that is most useful for evaluation. Important events that evaluators should record include the following:

- Initiating scenario events
- Actions of participants in relation to the event
- Key decisions made by Leads and Command Staff and the times these decisions are made
- Deviations from plans and implementation procedures
- Times when significant actions are completed
- Equipment used

What to Look For

Individuals preparing the exercise report will analyze the results provided by all evaluators to achieve an integrated evaluation of exercised plans and capabilities. Their analysis will focus on the timing of key events, decisions made, and actions taken. To assist in that analysis, you should focus on the following areas:

- Timeliness in actions
- Communication among participants, patients, and organizations
- Direction and coordination of field activities
- Monitoring and assessing events

- Command and control
- Creative player problem-solving, potentially beyond current plans and implementation procedures
- Plans or procedures that affect player efforts
- Equipment issues in relation to player efforts

Placement and Monitoring

Evaluators should be located so they can observe player actions and hear conversations without interfering with those activities. In certain conditions, more than one evaluator may be needed in a particular setting or area.

For specific evaluator assignments, please see [Appendix E](#).

For exercise site maps, please see [Appendix B](#) in the ExPlan.

Post exercise Activities

The SNS Controller(s) will notify you when evaluation of the event has been suspended or terminated. The evaluation will be terminated upon completion of the clinic.

All evaluators are expected to participate in a Hot Wash and take notes on findings identified by participants. Before the Hot Wash, evaluators should not discuss specific issues or problems with participants. After the Hot Wash, summarize your notes and prepare for the Controller and Evaluator Debriefing. Have your summary ready.

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APPENDIX E: CONTROLLER AND EVALUATOR ASSIGNMENTS

Name	Role	Position
Riverbank Elementary POD Site, West Sacramento CA		
Jason Spitzer	Controller	Strategic National Stockpile Coordinator
Lynne Foster	Controller	Immunization Coordinator
Mitchel Benson	Evaluator	Incident Command evaluator
Kristine Oase	Evaluator	Medical Screening evaluator
Dr. Olivia Kasirye	Evaluator	Vaccination evaluator
	Evaluator	Paperwork Collection & Data Entry evaluator
Olivia Byron-Cooper	Evaluator	Griage & Support Positions evaluator
Eben Sutton	Evaluator	Inventory Management & Logistics evaluator
Woodland Community/Senior Center POD Site, Woodland CA		
Dana Carey	Controller	Strategic National Stockpile Coordinator
DeeDee Gilliam	Controller	Immunization Coordinator
Valerie Lucus	Evaluator	Incident Command evaluator
Tim Wilson	Evaluator	Medical Screening evaluator
Holly Whittaker	Evaluator	Vaccination evaluator
Gloria Newton	Evaluator	Paperwork Collection & Data Entry evaluator
	Evaluator	Griage & Support Positions evaluator
David Garrison	Evaluator	Inventory Management & Logistics evaluator
Floating Staff		
Dr. Joseph Iser	Controller	Yolo County Health Officer
Myrna Epstein	Controller	Exercise Director
	Controller	County Public Information Officer
	Controller	Health Dept. Public Information Officer
Alan Hendrickson	Evaluator	Dual Site Comparison, CDPH SNS Coordinator

APPENDIX F: CONTROLLER COMMUNICATIONS PLAN

Name	Role	Cellular Phone Numbers
Riverbank Elementary POD Site, West Sacramento CA		
Jason Spitzer	SNS Controller	
Lynne Foster	IZ Controller	
Woodland Community/Senior Center POD Site, Woodland CA		
Dana Carey	SNS Controller	
DeeDee Gilliam	IZ Controller	
Floating Staff		
Dr. Joseph Iser	HO Controller	
Myrna Epstein	EP Controller	
	PIO Controller	
	PIO Controller	