**Appendix 1: Exercise Design Worksheet**

* This Exercise Design Worksheet is part of an Exercise Design Toolkit created for the Central Minnesota Healthcare Preparedness Coalition (CMHPC). The rest of the toolkit includes additional exercise design information and instructions. Refer to the full [Exercise Design Toolkit](Exercise%20Toolkit_C%20MN_1.4.19%20FINAL.docx) for additional information.
* The exercise outlined in this document was designed to meet the “community-based, full-scale exercise” as required by the Centers for Medicare and Medicaid ([CMS](https://www.cms.gov/Medicare/Provider-Enrollment-and-Certification/SurveyCertEmergPrep/Emergency-Prep-Rule.html)) as of the creation of this toolkit. Subsequent changes in requirements may necessitate changes in this toolkit.

There are many different types of exercises, and this toolkit is not meant to be a design tool for all.

* Any items highlighted gray are areas that can be customized during the exercise design process or are examples that you can modify.
* Exercise Design instructions and considerations are in blue boxes included throughout the document to guide exercise planners on how to complete each section.

## Exercise Planning Team

The exercise planning team manages exercise design, development, conduct, and evaluation. The team determines exercise objectives, scenario, and develops supporting documentation.

| Name | Agency  | Role |
| --- | --- | --- |
|  |  | Exercise Director |
|  |  | Planning Team |
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| **Exercise Planning Team:** One person should be designated at the Exercise Director to coordinate the planning efforts. For the type of exercise covered in the toolkit, consider a planning team of 3-7 people based on the number of departments or organizations participating. The size of the planning team may be adjusted based on the size of your exercise. If any outside agencies / community partners are participating, include a representative on the planning team.  |

## Exercise Objectives and Tasks

To begin exercise design, discuss with the planning team the objectives you want to accomplish during your exercise.

See [Attachment 1: Objectives, Tasks, and Evaluation Criteria](#_Attachment_1:_Objectives,).

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| **Objectives and Tasks:**1. Typically, 2-5 objectives are sufficient. This exercise does not have to be huge and test all components of a plan. The exercise can test only a few portions of a response plan to be successful.
2. Objectives for an **operations-based exercise** typically begin with an action word such as “Test” or “Activate” as participants will take action during exercise play.
3. For each objective, identify 2-5 tasks to be performed during the exercise. Looks at your HVA for task ideas. Remember for operations-based exercises, these tasks must be actionable during the exercise.
 |

## Exercise Scenario

The scenario should be 2-4 sentences that sets the stage for the exercise. Be creative with the scenario but not unrealistic.

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| Exercise Scenario: |
| Severe storms have been plaguing **[your area]** for the past few days. About 12 hours ago, a severe storm system producing strong tornadoes swept through the region. The damage is widespread and is impacting communities and healthcare facilities across the region. The county Emergency Operations Center (EOC) has been activated and shelters for community members have been opened in each county. |
|  |

See [Attachment 1: Objectives, Tasks, and Evaluation Criteria](#_Attachment_1:_Objectives,).

## Exercise Name

Based on your scenario and objectives, decide a name for your exercise.

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| --- | --- |
| Exercise Name:  |  |

## Exercise Evaluation

There are three main evaluation methods described in this worksheet. The Exercise Evaluation Guide (EEG) is used by the Evaluators to document participant actions during the exercise. The hotwash (or exercise debrief” is held directly after the exercise to gather immediate feedback from the participants. The third method is a Participant Feedback Form that can be used to gather information directly from the participants. Evaluator notes and comments will be combined with notes taken during the exercise hotwash and participant feedback to compile the After-Action Report (AAR).

### Exercise Evaluation Guide (EEG)

When you have assigned you evaluation criteria, use the planning team to decide on evaluation criteria for each task identified for the exercise. Based on this evaluation, you will be able to assess your strengths and areas for improvement for the exercise. Consider evaluation criteria like:

1. Was the task completed?
2. What time was the task completed?
3. Who completed the task?
4. What challenges were identified?
5. What resources were needed to complete the task?
6. What suggestions were made to make the task easier?

Combine tasks and evaluation criteria into a format to be used in the exercise.

See [Appendix 2: Exercise Evaluation Guide Template](Appendix%202_Exercise%20Evaluation%20Guide%20Template_1.4.18%20FINAL.doc)

### Exercise Hotwash

Immediately following the exercise, a hotwash (or debrief) will be held to gather additional information from the exercise participants.

[See Appendix 5: Exercise Hotwash Template](Appendix%205_Exercise%20Hotwash%20Template_1.4.19%20FINAL.docx)

### Participant Feedback Forms

Craft a form with 3-5 questions for those that participated in the exercise. These questions can be general or specific to your response plans.

[See Appendix 3: Participant Feedback Form Template](Appendix%203_Participant%20Feedback%20Form%20Template_1.4.19%20FINAL.docx)

| Participant Feedback Form Questions: |
| --- |
| Describe information or activities that were most helpful during this exercise.  |
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## Exercise Scope

The exercise scope are the details of the exercise to be determined by the planning team.

### Exercise Schedule

| Topic: | Example: | Details: |
| --- | --- | --- |
| Exercise Date: | October 18, 2018 |  |
| Exercise Meeting Location: | Conference Room A |  |
| Exercise Meeting Time: | 10:30 am – 11:00 am  |  |
| Exercise Time: | 11:30 am – 2:00 pm  |  |
| Exercise Debrief Location: | Conference Room A |  |
| Exercise Debrief Time:  | 2:30 pm – 3:00 pm  |  |

###  Exercise Location(s)

 The following areas will be used during exercise play:

|  |
| --- |
| 1st Floor, West Hallway, patient rooms 106-110 |
|  |
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### Exercise Staff

Based on the size of your exercise, you will need to recruit exercise staff that are not participants in the exercise.

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| Role | Assigned Location | Name |
| Exercise Evaluator 1: | 1st Floor, West Hallway in front of rooms 6-10 | Maria Gonzalez |
| Exercise Controller: |  |  |
| Exercise Evaluator 1: |  |  |
| Exercise Evaluator 2:  |  |  |
| Exercise Evaluator 3:  |  |  |

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| **Exercise Staff:** Based on the size of you exercise, you may want to assign a person to be the exercise Controller – the person that manages the exercise flow. This would be applicable for larger exercises with multiple exercise play locations. You should have al Evaluator for each area of exercise activity.  |

### Exercise Participants

Exercise participants should be dictated by your objectives and tasks. If you need to have a “community-based” exercise, be sure to include community partners in your exercise.

| Name: | Agency / Department: | Exercise Role: |
| --- | --- | --- |
| Daffy Duck  | Our Nursing Home, Business Administration | Actor |
| Minnie Mouse  | Our Nursing Home, Nurse Manager | Participant  |
| Mickey Mouse  | Our Fire Department, Captain | Participant  |
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| **Exercise Participants:** Actors can be used to take the place of real patients or residents. You can recruit Actors from your staff, your volunteers, or from other community agencies. Including Actors can add a level of realism to your exercise.  |

### Safety Considerations

Every exercise should include Safety Measures of some kind. Determine with your planning team any exercise safety considerations to be in place during exercise play.

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| Exercise Safety Measures |
| 1. Should a real emergency occur during exercise play, participants will use the phrase “Real World Emergency”.
2. Any exercise communications (written or verbal) shall begin with “This is an Exercise” to prevent any confusion.
3. The exercise may stop to respond to a real event. The exercise will not move real residents. Actors will be used to simulate residents.
4. In a real response, staff would be responsible to call 9-1-1. For this exercise, no one will call 9-1-1.
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| **Safety Measures:** Every exercise should have a Safety Measure for a real event that may happen during exercise play and an expectation that all exercise communication begins with “This is an Exercise” to avoid confusion. Additional safety measure are up to the exercise planning team.  |

### Design Check

At this point in design, it’s helpful to make sure that your exercise complies with the CMS requirements. If the answer to either of these questions in “No,” revisit the design to add the necessary components.

|  |  |
| --- | --- |
| Is this an operations-based exercise? | Yes / No |
| Does this exercise involve community partners? | Yes / No |

## Exercise Conduct

On exercise day, all participants and exercise staff will report to the designated meeting place at the decided upon time. Prior to beginning the exercise, all participants should receive an Exercise Briefing. This briefing includes all of the elements of the design: objectives, scenario, scope, and safety considerations.

After the briefing, the exercise play begins. All staff will work on their exercise tasks and Evaluators will document their performance.

When exercise play is complete and all objectives have been met, participants and exercise staff should re-convene for the exercise “hotwash.” This is an opportunity for a quick review of the exercise, objectives, and to identify areas for improvement. The Participant Feedback Forms can be completed at this time.

See [Appendix 4: Exercise Briefing Template](Appendix%204_Exercise%20Briefing%20Template_1.4.19%20FINAL.pptx) and [Appendix 5: Exercise Hotwash Template](Appendix%205_Exercise%20Hotwash%20Template_1.4.19%20FINAL.docx).

## Exercise Documentation

The final step in exercise design is to summarize the exercise and highlight the lessons learned. This is typically done in one report called an After Action Report. A key portion of this report is the Improvement Plan – the plan your agency will complete to address and improve on the gaps identified in the exercise. This is the report that will be provided to surveyors.

See [Appendix 6: AAR-IP Template](Appendix%206_AAR-IP%20Template_1.4.19%20FINAL.docx).

# Attachment 1: Objectives, Tasks, and Evaluation Criteria

Use the charts below to document your exercise objectives, tasks, and evaluation criteria. Add or remove lines as necessary based on your exercise design.

|  |  |  |
| --- | --- | --- |
| Objective | Task(s) | Evaluation Criteria  |
| 1. Implement internal and external communications systems to coordinate a response.
 | 1. Alert Executive Leadership.
 | * How was the executive leadership notified?
* What time was the alert?
* Who made the alert?
* Was the alert successful?
 |
| 1. Send an email notification to staff with instructions.
 | * Who wrote the email message?
* Who approved the message?
* Who sent the email?
* What time was the email read?
 |
| 1. Write a media release to be posted on agency website.
 | * Who wrote the release?
* Who approved the release?
* Who posted the release?
* What time was the release posted?
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| --- | --- | --- |
| Objective | Task(s) | Evaluation Criteria  |
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| --- | --- | --- |
| Objective | Task(s) | Evaluation Criteria  |
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|  |  |  |
| --- | --- | --- |
| Objective | Task(s) | Evaluation Criteria  |
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# Attachment 2: Exercise Scenarios

The exercise scenario is the narrative that drives exercise play. Typically, exercise scenarios are drawn from real events that have occurred or have a potential to occur in your organization or area. For example, if your jurisdiction is prone to severe weather, a severe weather scenario can be used in an exercise.

When developing exercise scenarios, make sure they plausible and relevant to your organization and your area. It is also important to craft your exercise objectives PRIOR to your scenario. You will find that some exercise objectives can be tested in multiple scenarios. Also remember to give the right amount of detail - adding too much detail may cause exercise participants to get bogged down but not enough detail will create questions from the participants.

This toolkit includes four sample scenarios that include potential objectives and tasks.

|  |  |  |
| --- | --- | --- |
| Scenario | Focus | Impact |
| Utility Outage | Response | Organization |
| Infectious Disease / Staff Shortage | Response | Regional |
| Severe Summer Weather  | Response | Regional |
| Active Threat  | Recovery | Organization |

Three of the scenarios are focused on the “response” to an event and one scenario is focused on the “recovery” after an event. Two of the scenarios are focused on the organizational level, while two are focused on an event with regional impact. These scenarios can be used as a starting point in your exercise design. Work with your exercise planning team to customize these scenarios.

## Scenario 1: Utility Outage

### Scenario: [Date/Time]

A sudden and devastating blackout has left thousands without power in [Central Minnesota]. Temperatures are soaring with the summer heat. [Your organization] and [your community] are without normal power. Local officials are scrambling to get emergency information to millions that have no television, phone, or internet services. Officials are asking the public to conserve fuel and to only operate essential services. Officials are predicting up to 5 days without normal power in the community.

### Potential Exercise Objectives and Tasks:

|  |  |
| --- | --- |
| Exercise Objectives: | Exercise Tasks: |
| 1. Activate your agency’s Emergency Operations Plan to respond to a large-scale power outage.
 | 1. Notify executive leadership of the event.
2. Assemble leadership team to manage the event.
3. Use backup communication methods for notification and communication.
 |
| 1. Activate your agency’s communications plan for internal communications as well as external communications with local and state partners.
 | 1. Notify two community partners that would support your agency’s response.
2. Craft a message to on-duty staff with instructions.
3. Craft a message for off-duty staff with instructions.
 |
| 1. Activate procedures to ensure the continuity of patient care during a power outage.
 | 1. Assess the number and acuity of patients/residents in your care.
2. Categorize patients based on their dependence on power-required services.
3. Provide patient status information to local officials.
4. Conduct a facility assessment of generator capacity and fuel supply
 |

### Potential Participants:

1. Agency Leadership
2. Nursing / Resident Care Department
3. Marketing / Communications Department
4. Facilities / Maintenance Department
5. Corporate Office
6. Utility Company / Power Company
7. Healthcare Coalition
8. Local Emergency Management

### Design Check

|  |  |
| --- | --- |
| Is this an operations-based exercise? | Yes / No |
| Does this exercise involve community partners? | Yes / No |

## Scenario 2: Infectious Disease / Staff Shortage

### Scenario: [DATE/TIME]

Flu season arrived early this year and is particularly bad. Over the past few weeks, the [local schools] have reported an increasing number of ill and absent students. The number of ill students has created a surge of pediatric patients in your facility, some with very acute illness. Your staff have also been calling in sick, whether to care for a sick child or as ill themselves. Most will require a week to recover from the illness and return to work. Healthcare facilities across the region are experiencing the same pediatric surge and staff shortage.

### Potential Exercise Objectives and Tasks:

|  |  |
| --- | --- |
| Exercise Objectives: | Exercise Tasks:  |
| 1. Activate your agency’s resource request process for additional staffing.
 | 1. Notify two community partners that could support your agency’s staffing needs.
2. Assess staffing numbers to predict staffing needs.
 |
| 1. Activate procedures to ensure the continuity of patient care during a staff shortage.
 | 1. Assess the number and acuity of patients in your care.
2. Implement safety precautions and infection control procedures for staff safety.
3. Implement infection control procedures.
 |

### Potential Participants:

* Agency Leadership
* Nursing / Resident Care Department
* Infection Control
* Human Resources
* Corporate Office
* Healthcare Coalition
* Local Health Department
* Medical Reserve Corp
* Minnesota Mobile Medical Team
* Contract Staffing Services

### Design Check

|  |  |
| --- | --- |
| Is this an operations-based exercise? | Yes / No |
| Does this exercise involve community partners? | Yes / No |

## Scenario 3: Severe Summer Weather

### Scenario: [DATE/TIME]

Severe storms have been plaguing [Central Minnesota] for the past few days. About 12 hours ago, a severe storm system that produced strong tornadoes swept through the region. The damage is widespread and is impacting communities and healthcare facilities across the region. The [county(ies)] emergency operations center (EOC) has been activated and shelters for community members have been opened in [county(ies)].

### Potential Exercise Objectives and Tasks:

|  |  |
| --- | --- |
| Exercise Objectives: | Exercise Tasks: |
| 1. Activate your agency’s Emergency Operations Plan to respond to the impact of severe summer storms.
 | 1. Notify executive leadership of the event.
2. Assemble leadership team to manage the event.
 |
| 1. Activate your agency’s communications plan for internal communications as well as external communications with local and state partners.
 | 1. Notify two community partners that would support your agency’s response.
2. Craft a message to on-duty staff with instructions.
3. Craft a message for off-duty staff with instructions.
4. Craft a message that you would provide to your patients / residents if you had to cancel services.
 |
| 1. Activate procedures to ensure the continuity of patient care in the aftermath of severe summer storms.
 | 1. Assess the number and acuity of patients/residents in your care.
2. Prioritize your patients/residents to determine priority for your services.
3. List the limitations the impact of the severe summer storm may have on your ability to care for your patients/ residents.
4. Provide patient status information to local officials.
 |

### Potential Participants:

* Agency Leadership
* Nursing / Resident Care Department
* Marketing / Communications Department
* Corporate Office
* Healthcare Coalition
* Local Emergency Management

### Design Check

|  |  |
| --- | --- |
| Is this an operations-based exercise? | Yes / No |
| Does this exercise involve community partners? | Yes / No |

## Scenario 4: Active Threat

### Scenario: [DATE/TIME]

Yesterday, an armed man entered your facility looking for his estranged wife (one of your employees). As he made his way to her office, he shot three people in the lobby and one in the hallway. Staff and patients ran from the area. Local law enforcement was called, and he was apprehended and arrested without further injuries. Local EMS has taken the victims to the local hospital for treatment.

### Potential Exercise Objectives and Tasks:

|  |  |
| --- | --- |
| Exercise Objectives: | Exercise Tasks: |
| 1. Assemble your agency’s leadership team to recovery from the event.
 | 1. Determine staffing for the length of the recovery (up to 5 days).
2. Implement coordination procedures with local law enforcement.
 |
| 1. Activate your agency’s communications plan for internal communications as well as external communications with local and state partners.
 | 1. Craft a message to on-duty staff with instructions.
2. Craft a message for off-duty staff with instructions.
3. Craft a media release for the agency website.
 |
| 1. Activate procedures to ensure the continuity of patient care.
 | 1. Assess the number and acuity of patients/residents in your care.
2. Determine what services may be impacted after the event.
 |
| 1. Activate services to support agency staff in the aftermath of the event.
 | 1. Contact two community partners that may be engaged to assist with staff support.
 |

### Potential Participants:

* Agency Leadership
* Nursing / Resident Care Department
* Marketing / Communications Department
* Corporate Office
* Healthcare Coalition
* Local Emergency Management
* Local Law Enforcement

### Design Check

|  |  |
| --- | --- |
| Is this an operations-based exercise? | Yes / No |
| Does this exercise involve community partners? | Yes / No |