

	WISCONSIN EMERGENCY MANAGEMENT	
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	Reference Section:	Training and Exercise
	Subject/Description:	Exercise Program Requirements
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	Approved By:	Brian M. Satula, Administrator

POLICY: Exercise Program Requirements

I. PURPOSE

- A. This document is to outline requirements, procedures, and workers' compensation and liability coverage policies related to the design, development, and conduct of exercises that are part of the Wisconsin Emergency Management (WEM) exercise program.
- B. The WEM exercise program provides opportunities for emergency responders and preparedness partners to expand their capabilities. It is the goal of WEM to assist in providing opportunities for stakeholders to practice what they may face when a disaster strikes along with uniformity in the response throughout the state. Wisconsin Emergency Management follows the exercise guidance as found in FEMA's Homeland Security Exercise Evaluation Program (HSEEP) as published in 2013.
- C. An exercise program's intent is to improve the operational readiness of the emergency management system. When such improvements are viewed as the overall goal, exercises can:
 - 1. Assess capability strengths and weaknesses
 - 2. Train participants on their roles and responsibilities
 - 3. Improve coordination
 - 4. Identify resource needs
 - 5. Foster cooperation among government agencies and public-private stakeholders
 - 6. Evaluate participant understanding of their emergency plans and procedures
 - 7. Identify needed improvements in planning, organization, equipment, training or exercising to improve core capability performance

II. EXERCISE DESCRIPTIONS

The exercise descriptions below are in accordance with the FEMA Homeland Security Exercise Evaluation Program (HSEEP) 2013.

A. Tabletop Exercise (TT):

1. A tabletop exercise (TT) gathers key staff, decision makers, and elected/appointed officials in an informal setting in order to generate discussion of prevention, response, recovery, and mitigation issues regarding a hypothetical emergency incident scenario. In the TT, players apply their specific knowledge in response to a series of scenario questions presented by a facilitator; questions are discussed as a group; and consensus is reached and documented for later analysis. TTs are used to assess the understanding of emergency operations plans and procedures, and identification of current strengths and weaknesses in capabilities, training, resources, and/or agreements that guide the prevention, response, recovery, and mitigation to an emergency incident or disaster.
2. The exercise objectives in the TT must be selected from among the HSEEP 32 Core Capabilities that were created by Presidential Policy Directive (PPD)-8. These 32 Core Capabilities represent an evolution of the 37 Target Capabilities used in prior HSEEP doctrine. In PPD-8, most of the Core Capabilities incorporate parts of prior Target Capabilities, with the remainder Core Capabilities being newly created. A listing of Core Capability narratives and activities tasks, as well as a crosswalk for Target Capabilities to Core Capabilities, is provided as Attachment 1. For a TT, it is a best practice recommendation, that the number of capabilities evaluated not exceed 5 Core Capabilities.
3. The lessons-learned documented from a TT AAR should be used as the foundation plan for any follow on Functional Exercise (FE) based upon the same hypothetical emergency incident scenario tested in the prior TT.

B. Functional Exercise (FE):

1. A functional exercise (FE) gathers agency Incident Command System (ICS) and/or Emergency Operations Center (EOC) personnel overseeing agency emergency activities, and evaluates actual decision-making in response to hypothetical incident challenges. In the FE, participants are gathered in an Incident Command Post (ICP) and /or Emergency Operations Center (EOC), or conference room setup to simulate an ICP and/or EOC. At these locations, participants are presented a scenario situation briefing and then receive simulated messages from a simulation center (SIMCELL). The SIMCELL provides participant scenario updates, incident site information, and simulated field force feedback forcing participants to make realistic decisions directing agency actions.
2. The focus of a FE is at the command and control staff level with participant

decision-making observed and validated against current agency emergency plans, standard operating procedures, and real-world scope of capabilities. A FE is only conducted at an actual/simulated ICP and/or EOC location with no field personnel and equipment deployed or exercised during the functional exercise. For a FE, it is a best practice recommendation, that the number of capabilities evaluated not exceed seven (7) Core Capabilities.

3. A TT AAR builds the essential foundation for any follow-up FE. Prior to conducting a FE, a TT must have been conducted and all the capability shortfalls have been reviewed. Upon notification that a county intends to conduct a FE, the regional director will carefully review the prior TT AAR improvement plan to ensure that critical capability shortfalls have been discussed and necessary shortfalls have been addressed.

C. Full-Scale Exercise (FS):

1. A full-scale exercise (FS) involves multiple agencies and jurisdictions conducting emergency response operations in the field in a real-time, highly stressful environment that closely replicates a real disaster incident. A FS focuses on actual demonstration of the policies and procedures that have been discussed and examined during the prior TT and FE. In a FS, actual personnel and resources are mobilized and deployed to the scene where actions would be conducted as if a real incident had occurred and Incident Command strategy employed to manage and resource the activities. For a FS, it is a best practice recommendation that the number of capabilities evaluated not exceed 10 Core Capabilities.
2. A FE AAR builds the essential foundation for any follow-up full-scale exercise. Prior to conducting a full-scale exercise, a FE must have been conducted and all the capability shortfalls have been reviewed. Upon notification that a county intends to conduct a FS, the regional director will carefully review the prior FE AAR improvement plan to ensure that critical capability shortfalls have been discussed and necessary shortfalls have been addressed.

III. REPORTING REQUIREMENTS

The following reporting requirements shall apply in order to receive exercise credit for the EMPG Plan of Work (POW).

A. Pre-Exercise Requirements

1. The county or tribal emergency management program shall submit the Exercise Notification Form (Attachment 2) to the WEM **Lead Exercise Officer** and the WEM **Regional Director** no later than sixty (60) days prior to the date of the actual exercise when requesting workers compensation and liability coverage

from the state. If this coverage is not being requested, WEM requires thirty (30) days notification of the exercise to the **Lead Exercise Officer** and the WEM **Regional Director**.

B. Post-Exercise Requirements

1. Upon completion of the exercise, a written After Action Report (AAR) must be completed that identifies capability strengths and weaknesses as well as develops an improvement plan to correct shortfalls in capabilities. The AAR must be completed in accordance with the HSEEP template (Attachment 3) and include:
 - a) Executive Summary
 - b) Exercise Overview
 - c) Analysis of Exercise Core Capability Performance
 - d) Improvement Plan
2. The county or tribal emergency management program is responsible for collecting participant sign-in sheets, **participant feedback forms (Remove)**, and volunteer sign-in sheets. These forms are available in Attachment 4.
3. The county or tribal emergency management program shall submit the AAR, sign-in sheets, and **participant feedback form (Remove)**, to the WEM **Regional Director** within sixty (60) days of completion of the exercise.

C. EMPG and EPCRA Exercises

1. Each county is required to conduct a series of EPCRA exercises during a four (4) year cycle. Within this cycle, the county will conduct a tabletop exercise and a functional or full-scale exercise. If the exercise scenario is based upon a fixed facility, an extremely hazardous substance (EHS) should be used (unless otherwise negotiated with their Regional Director). If the scenario is transportation focused, then an EHS or HS may be used. Guidance for EMPG exercises is provided annually as part of the Plan of Work.

IV. PROCEDURES AND GUIDELINES

- A. County and tribal emergency management programs shall develop all county exercises based on their local disaster threats as identified in their local hazards analysis, including exercise of the EPCRA Strategic Plan, State's Threat and Hazard Identification and Risk Assessment (THIRA), and EPCRA off-site facility plans.
- B. County and tribal emergency management programs shall develop a comprehensive and progressive (i.e. tabletop to functional to full-scale) exercise plan.

- C. All exercises must follow the FEMA's Homeland Security Exercise Evaluation Program (HSEEP) guidelines as trained in the state.

D. Exercise Safety Officer

1. Full-scale and functional exercises require a designated **Safety Officer** to monitor the activities of the exercise.
2. The **Safety Officer** will have the authority to suspend the exercise if an unsafe condition exists. The exercise can resume once the safety officer feels that the unsafe condition has been corrected. It is recommended that the safety officer be a part of the planning team for the exercise.
3. The qualifications for the person designated as the **Safety Officer** should follow either FEMA NIMS-509 *Typing for Safety Officer* or the National Fire Protection Association (NFPA) Standard 1521 *Standard for Fire Department Safety Officer*.

E. Exercise Planners

The Lead Planner conducting exercises shall have completed the following training outside of the basic FEMA ICS/NIMS courses prior to the planning of the exercise:

1. IS Core courses, 100, 120, 200.b, 700, 775, & 800
2. G-300 Incident Command System – Intermediate
3. G130/139 or L-0146 Exercise **Design and** Evaluation Course

V. WORKERS COMPENSATION AND LIABILITY

- A. Under §§ 323.40(1) and 323.41(1) of the Wisconsin Statutes, an employee of a local unit of government's emergency management program is an employee of that local unit of government for worker's compensation and for the purposes of any claim, unless there is a written agreement assigning those responsibilities between the local unit of government and the state or another local unit of government.
- B. Under §§ 323.40(3) and 323.41(3) of the Wisconsin Statutes, a volunteer who registers in writing with a local unit of government's emergency management program for a related training exercise is considered an employee of the local unit of government for worker's compensation and for the purposes of any claim, unless there is a written agreement assigning those responsibilities between the local unit of government and the state or another local unit of government.

- C. Under § 323.42 of the Wisconsin Statutes, if the amount that a local government is liable for as a result of workers' compensation or liability claims of volunteers registered under § 323.40(3) and 323.41(3) exceeds \$1 per capita of the local government's population, the state shall reimburse the local unit of government the amount in excess of that cap. If volunteers who are registered in writing with a local unit of government for an exercise submit a workers' compensation or liability claim, the local unit of government's expenses will be capped at \$1 per capita of the respective population. For claims beyond this cap, the local unit of government shall timely submit the claim information to WEM for review and processing.
- D. WEM may extend state coverage of workers' compensation and liability claims for volunteers registered for emergency management exercises in certain cases. The following policies and restrictions shall apply:
1. Only functional and full-scale exercises that are designed, developed, and facilitated by WEM are eligible.
 2. An Exercise Safety Officer shall be present and monitor the activities of the exercise. The Safety Officer shall meet the standards in section IV.D of this policy.
 3. Individuals who are in any type of work/duty status shall not be covered. This includes volunteer firefighters or EMS that are acting in duty status with their respective department.
 4. Volunteers shall not receive any type of compensation other than travel, lodging, or meals.
 5. Minors shall not participate in exercises without prior written parental consent. A parental consent form is provided in Attachment 4. Should the county have a parental consent form, it must be approved by the DMA/WEM attorney prior to acceptance.
 6. Volunteers shall receive training on the specific activities they will be performing prior to the exercise.
 7. Volunteers shall receive a safety briefing by the Safety Officer prior to the exercise.
 8. WEM will not provide coverage for volunteers to participate in high-risk activities, as determined by WEM. Examples include, but are not limited to, use of munitions, technical rescue, and swift-water rescue.
 9. WEM is prohibited from providing coverage for any claims that result from reckless, wanton, or intentional misconduct.
 10. The volunteers must be registered on a separate sign-in sheet from other exercise participants. A volunteer sign-in sheet is provided in Attachment 4. These sign-in sheets must be submitted to WEM along with other AAR materials within sixty (60) days of the exercise.
 11. Notification of any known injury/illness to volunteers is required within twenty-four (24) hours of the occurrence of the injury/illness. WEM send injury reporting forms for the claimant to complete at the time the injury is reported.

- E. To be considered for extension of state coverage for workers' compensation and liability claims for volunteers, local units of government must request the coverage on the Exercise Notification Form no later than sixty (60) days before the exercise. The information in the application shall include:
 - 1. An exercise scope that describes, in detail: the scenario, exercise activities, the expected participating agencies, and the number of participants.
 - 2. The number of volunteers who need coverage.
 - 3. The number of volunteers who are minors, if applicable.
 - 4. The types of volunteers and their affiliations, if applicable.
 - 5. The specific activities the volunteers will be participating in.
 - 6. The training the volunteers will have received on the specific activities.

- F. The application will be reviewed by the WEM Training & Exercise Supervisor, DMA General Counsel, and the WEM Administrator. WEM may contact the local unit of government or regional director during the review process to request additional information. The local unit of government will receive a letter signed by the WEM Administrator approving or denying the request within thirty (30) days of receipt of the application by WEM.

VI. CONCLUSION

- A. Questions about this policy may be directed to the WEM training section supervisor.

- B. References
 - 1. NFPA Standard 1521, *Standard for Fire Department Safety Officer*
 - 2. FEMA NIMS-509, *Typing for Safety Officer*
<http://www.fema.gov/media-library-data/42390d3895e6dce4b209a1f74ed78bf0/Safety%20Officer.pdf>
 - 3. FEMA All-Hazards Safety Officer Task Book
https://training.fema.gov/EMIWeb/IS/ICSResource/assets/tb_so.pdf
 - 4. FEMA HSEEP guidance <http://www.hseep.dhs.gov/>

- C. Attachments
 - 1. Badger HSEEP Core Capabilities Activity Tasks and Crosswalk (Remove) (5005.4.1)
 - 2. Exercise Notification Memo (5005.4.2)
 - 3. After Action Report and Improvement Plan Template (5005.4.3)
 - 4. Supplemental Exercise Forms (5005.4.4)