Exercise Tangaroa

Exercise Control and Evaluation Arrangements Rules of Play

Version: 25 July 2016

Contents

[Section 1 Introduction 5](#_Toc456351113)

[1.1 Purpose 5](#_Toc456351114)

[**1.2 Audience** 5](#_Toc456351115)

[1.3 Exercise Overview 5](#_Toc456351116)

[1.4 Key dates and times 6](#_Toc456351117)

[1.4.1 Day One: 31 August 2016 6](#_Toc456351118)

[1.4.2 Day Two: 14 September 2016 7](#_Toc456351119)

[1.4.3 Day Three: 28 September 2016 7](#_Toc456351120)

[Section 2 Exercise Participation 8](#_Toc456351121)

[2.1 Overview 8](#_Toc456351122)

[2.2 Agency participation 8](#_Toc456351123)

[2.1 Response to exercise information 8](#_Toc456351124)

[Section 3 Exercise Control 9](#_Toc456351125)

[3.1 Introduction 9](#_Toc456351126)

[3.1 Exercise Control Team 9](#_Toc456351127)

[3.2 Exercise Coordinators (may also be known as Exercise Writers/Planners) 10](#_Toc456351128)

[3.2.1 National Exercise Coordinators 10](#_Toc456351129)

[3.2.2 Regional and local level Exercise Coordinators 10](#_Toc456351130)

[3.3 Exercise Directors 10](#_Toc456351131)

[3.3.1 National Exercise Directors 11](#_Toc456351132)

[3.4 Exercise Control Staff 11](#_Toc456351133)

[3.5 Exercise Evaluators 12](#_Toc456351134)

[3.6 Exercise Control Management 12](#_Toc456351135)

[3.6.1 Inject management 12](#_Toc456351136)

[3.6.2 Simulating agencies who are not fully participating in the exercise 13](#_Toc456351137)

[3.6.3 Tracking progress/outputs of injects 13](#_Toc456351138)

[3.7 Exercise Control Communications 14](#_Toc456351139)

[Section 4 Exercise evaluation 15](#_Toc456351140)

[4.1 Introduction 15](#_Toc456351141)

[4.2 Evaluation outcomes 15](#_Toc456351142)

[**4.3 National evaluation scope** 15](#_Toc456351143)

[4.4 Exercise Evaluators 16](#_Toc456351144)

[4.5 Confirmation of appointment of Agency Evaluators 16](#_Toc456351145)

[4.6 Evaluators for local, regional and “cluster” groups 17](#_Toc456351146)

[4.7 Evaluation management 17](#_Toc456351147)

[**4.8 Evaluator preparation** 17](#_Toc456351148)

[4.8.1 Prior to the exercise 17](#_Toc456351149)

[4.8.2 During the exercise 17](#_Toc456351150)

[4.8.3 After the exercise 17](#_Toc456351151)

[4.9 Evaluation form(s) 17](#_Toc456351152)

[4.9.1 Evaluation form deadlines 18](#_Toc456351153)

[4.10 Data collection 18](#_Toc456351154)

[4.11 Analysis 19](#_Toc456351155)

[4.12 Evaluation report 19](#_Toc456351156)

[Section 5 Exercise Debriefing 20](#_Toc456351157)

[5.1 Introduction 20](#_Toc456351158)

[5.2 Hot Debrief 20](#_Toc456351159)

[5.3 Cold Debrief 20](#_Toc456351160)

[Section 6 Exercise Communications 22](#_Toc456351161)

[6.1 Introduction 22](#_Toc456351162)

[6.2 Flow of information 22](#_Toc456351163)

[6.3 Management of communications 22](#_Toc456351164)

[6.4 Teleconferences 23](#_Toc456351165)

[6.4.1 Exercise Control 23](#_Toc456351166)

[6.4.2 Evaluators 23](#_Toc456351167)

[6.5 Operational communications 23](#_Toc456351168)

[6.6 Media communications 24](#_Toc456351169)

[6.7 Evaluator communications 24](#_Toc456351170)

[6.8 Agency contact details 24](#_Toc456351171)

[Section 7 Exercise Rules 25](#_Toc456351172)

[7.1 Introduction 25](#_Toc456351173)

[7.1 Real Events – “No Duff” 25](#_Toc456351174)

[7.1.1 National 25](#_Toc456351175)

[7.1.2 CDEM Group/’Cluster’/Local Authority 25](#_Toc456351176)

[Section 8 End of Exercise Report 26](#_Toc456351177)

[8.1 Introduction 26](#_Toc456351178)

[Section 9 Key risks/mitigation strategy 27](#_Toc456351179)

[Section 10 Key contacts 29](#_Toc456351180)

# Introduction

## Purpose

This Exercise Control and Evaluation Arrangements Rules of Play document provides detail about all activities and procedures for Exercise Control (EXCON) and Evaluation staff during Exercise Tangaroa. This document also provides direction on how exercise control and evaluation should be conducted at a national, regional and local level.

This document provides further detail on:

* The exercise’s evaluation process, including data collection methods, quality control and analysis.
* Guidance on selection of evaluators and the tasks evaluators will be expected to complete.
* The timeline, deliverables and overall governance of the evaluation process.
* Considerations for Exercise Control activities.

This document should be read in conjunction with:

* [Exercise Tangaroa Coordinating Instruction](http://www.civildefence.govt.nz/assets/Uploads/exercises/Tangaroa/Exercise-Tangaroa-Coordinating-Instruction.pdf)
* [Exercise Tangaroa Evaluation Plan](http://www.civildefence.govt.nz/assets/Uploads/exercises/Tangaroa/Exercise-Tangaroa-Evaluation-Plan.pdf).
  1. **Audience**

This document is for the following Exercise Tangaroa governance bodies:

* Steering Group
* Planning Group
* Exercise Writers/Planning Teams
* Exercise Control Teams
* Exercise Evaluators.

## Exercise Overview

The aim of the exercise is to test New Zealand’s arrangements for preparing for, responding to, and recovering from a national tsunami impact.

As the first full-scale exercise to be held as part of the Interagency National Exercise Programme, Exercise Tangaroa 2016 represents the ‘first step’ in assessing and planning for one of New Zealand’s largest life safety risks (according to expected casualties and damage to infrastructure). The exercise aims to address and evaluate the current state of national responses when faced with a large-scale and time critical event.

Exercise Tangaroa will be coordinated by the Ministry of Civil Defence & Emergency Management (MCDEM) and led by a three-tier interagency governance and planning structure: a Governance Group, a Steering Group, and a Planning Group.

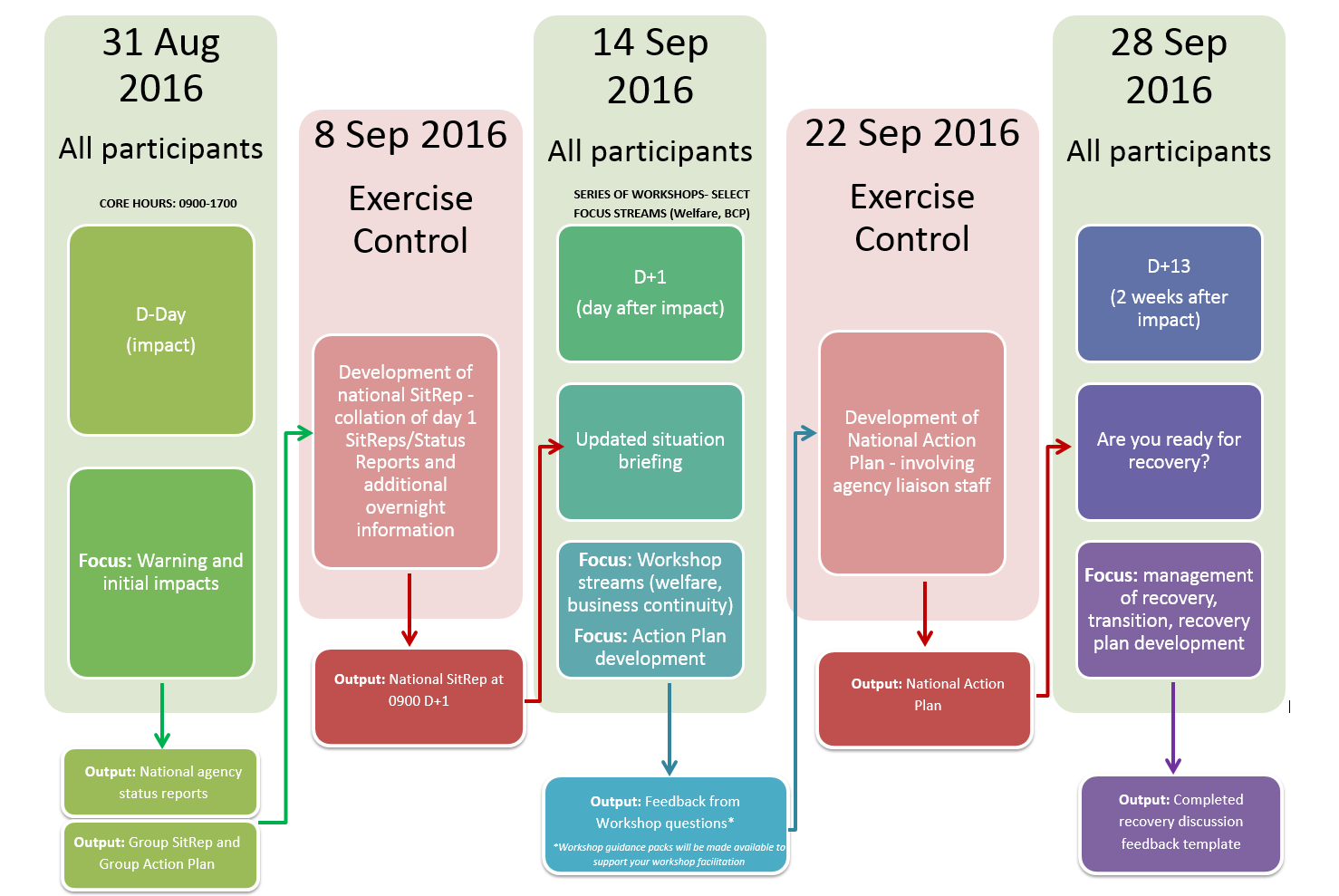
The main Exercise Tangaroa objectives, sub-objectives and key performance indicators are detailed in [Appendix 1](#_Appendix_1:_Exercise).

## Key dates and times

The core hours of exercise operations are from 0900 hours to approximately 1700 hours on 31 August; 14 September; and 28 September 2016. Some agencies may be active outside these hours, but the majority will be adhering to these times.

The following diagram illustrates the inputs and outputs expected for/from each participating agency on each exercise day (the green boxes). The National Crisis Management Centre will undertake additional activities in order to collate information and prepare inputs for all participating agencies as the exercise progresses (the pink boxes).

Other participating agencies may undertake additional activities outside the core exercise days in order to conduct relevant workshops, training activities, practical or field activities and the like.



**Figure 1:** Core exercise days including expected inputs and outputs

All exercise timings are detailed in the exercise timeline which is detailed at [Appendix 2](#_Appendix_2:_Exercise).

### Day One: 31 August 2016

The response process will be initiated by National Exercise Control, with the purpose of getting key activities underway for all agencies from approximately 0900 hours on 31 August 2016.

Exercise Tangaroa will be played in real time and the timeframe for the scenario is as realistic as possible in line with scientific information. No compression of timelines or artificial times will occur for the duration of this part of the exercise. Real and actual time taken or estimates to complete an action, including, if required, the diversion or redeployment of national resources, should be used for planning and task completion estimates.

### Day Two: 14 September 2016

Exercise activities will be initiated by Exercise Control at each participating agency. Timings, depending on the activities undertaken by each agency may vary.

This part of the exercise will be played in compressed time. Participants will be working as though this is ‘Day Two’ of the tsunami event (so hypothetically on 1 September 2016). However, in order to provide participating agencies time to process information and action that occurred on ‘Day One’ this part of the exercise is being held two weeks after the ‘response and initial impact’ part of the exercise held on 31 August 2016 and will be based on table top discussions, focused on workshop streams (addressing such areas as welfare, lifelines, business continuity, etc.).

### Day Three: 28 September 2016

Exercise activities will be initiated by Exercise Control at each participating agency. Timings, depending on the activities undertaken by each agency may vary.

This part of the exercise will also be played in compressed time. Participants will be working as though this is ‘Day 14’ of the tsunami event (so hypothetically on 13 September 2016). However, in order to provide participating agencies time to process information and action that occurred on ‘Days One and Two’ this part of the exercise is being held two weeks after the workshop streams held on 14 September 2016 and will be a table top exercise, focused on recovery aspects.

# Exercise Participation

## Overview

During the exercise, exercise players will actively perform their roles and functions in response to the scenario and subsequent messages they receive. Exercise players will need to seek and provide information from and to other participating agencies. This includes direct reporting lines and cross-sectoral communication where appropriate.

## Agency participation

A complete list of agencies participating in the exercise, along with specific times when agencies will be participating will be made available in the final version of the Participant and Venue List that will be distributed prior to the exercise.

## Response to exercise information

In response to the scenario or an inward message, exercise players are expected to:

* Carry out their role as defined in their agency’s emergency response procedures relevant to the scenario developments.
* Work with other participating agencies to complete the required tasks and respond to inward messages.
* Note any questions or gaps apparent in response arrangements and operating procedures for feeding into exercise debrief and evaluation processes.

Exercise players are expected to play out the exercise response to the scenarios presented as they would for a real emergency situation. Players should not wait for an inject or other instruction to carry out an action which they would normally undertake unprompted.

**It must be emphasised that agency responses during the warning phase of the exercise will be driven more by the outputs of response processes rather than injects from Exercise Control staff.** In the impact phase of the exercise, injects will be required to form a picture of tsunami impacts. The injects provided will support the general processes that result from the scenario of a damaging tsunami.

# Exercise Control

## Introduction

The roles and responsibilities for Exercise Control Teams at all levels for Exercise Tangaroa will be conducted in accordance with the [*CDEM Exercises: Director’s Guideline for Civil Defence Emergency Management Groups [DGL 010/09].*](http://www.civildefence.govt.nz/assets/Uploads/publications/dgl-10-09-cdem-exercises.pdf)

## Exercise Control Team

The Exercise Control Team is a leadership group made up of:

* Exercise Coordinators
* Exercise Director
* Exercise Control staff
* Evaluators.

The overall responsibilities of the Exercise Control Team, in accordance with the *CDEM Exercises: Director’s Guideline for Civil Defence Emergency Management Groups [DGL 010/09]*, are:

* + management of the exercise
  + facilitating the progress of the exercise scenario through the controlled flow of information in the control documents
  + representation or facilitation for all agencies external to the exercise and supporting these agencies notionally in line with the exercise control documents
  + controlling and coordinating role players
  + providing corrective advice to agencies to facilitate the flow of events
  + ensuring appropriate risk management strategies are undertaken prior to and during the exercise
  + monitoring the Master Schedule of Events List
  + release of control documents when requested by exercise participants and in accordance with the Master Schedule of Events List; and
  + where appropriate, coaching or mentoring exercise participants.

During the exercise, the Exercise Control Team members should be identified in some way. This could be by providing coloured name tags for each of the following roles:

* Exercise Directors and Control Members
* Evaluators

Observers should also be clearly identifiable.

## Exercise Coordinators (may also be known as Exercise Writers/Planners)

### National Exercise Coordinators

The Exercise Coordinators at the national level are Jo Guard and Sara Mitchell (MCDEM). The national Exercise Coordinators will oversee the development and execution of the overall exercise. This includes:

* Communicating and integrating with exercise planners at the national agency and CDEM Group level.
* Confirming the Participants and Venue List.
* Developing the national Master Schedule of Events List, including where appropriate, injects developed by local and regional participants.
* After the exercise, collating and analysing evaluation reports and producing the Final Exercise Report.

### Regional and local level Exercise Coordinators

Exercise Coordinators will be required at every participating agency. The Exercise Coordinator may also be known as the Exercise Writer or Planner and is responsible for the exercise throughout its entire development phase. In regards to Exercise Tangaroa, this involves:

* establishing an Exercise Control Team
* ensuring their agency has sufficient staff and resources to participate in the exercise
* producing an Exercise General Instruction for their agency
* developing any injects required by their agency. If any are produced, creating a Master Schedule of Events List for them (integrated with the national Master Schedule of Events List)
* confirming the level of participation of relevant partner agencies at their level (eg. national, regional or local)
* communicating and integrating with exercise planners at other agencies (if appropriate); and
* overseeing their agency debriefs and evaluation following the exercise.

## Exercise Directors

The Exercise Director role supervises the speed and flow of exercise play and addresses any issues that arise during the exercise. Exercise Directors will be required at every participating agency over the three exercise days and phases: 31 August; 14 September; and 28 September 2016.

The Exercise Director role can be the same as the Exercise Coordinator role, due to the level of knowledge that the Coordinators may have regarding the exercise. The appointment of agency level Exercise Directors is to be confirmed in the Participant and Venue List Form by 1 August 2016 and forwarded to the national Exercise Coordinators via email: [CDEMexercises@dpmc.govt.nz](mailto:CDEMexercises@dpmc.govt.nz).

In Exercise Tangaroa, the Exercise Directors will:

• ensure their Exercise Control office and staff are ready prior to 0900 hours 31 August 2016.

• be familiar with the agency level Master Schedule of Events List, and oversee its implementation during the course of the exercise

• ensure that the exercise remains focused on the exercise objectives

• resolve any problems arising during the exercise, liaising with CDEM Group or NCMC Exercise Control if necessary; and

• participate in relevant briefings, debriefs and evaluations.

Exercise Directors are also responsible for deciding if there is a need for their agency to terminate its participation in the exercise should a real event occur that will compromise that agency’s ability to participate in the exercise. If the need arises to terminate their participation, that agency’s Exercise Director will advise the National Exercise Directors and all other relevant agencies via phone and email (see [section 7 Exercise Rules](#_Exercise_Rules)).

### National Exercise Directors

During the exercise, the National Exercise Directors will be Jo Guard and Sara Mitchell (MCDEM). They will supervise the flow of the exercise and resolve any problem areas in conjunction with the other members of the Exercise Control Team. The National Exercise Directors will oversee the timing and distribution of injects as per the Master Schedule of Events List.

## Exercise Control Staff

There are two specific roles that fall within the category of Exercise Control staff. Both of these roles work to the Exercise Director(s). These roles are:

• **Exercise Control**. Staff in this position will normally issue and track injects, answer participant queries and monitor exercise play. If there are no specific simulators assigned, they will simulate non-participating agencies by phone and e-mail. These may also be known as facilitators or umpires.

• **Simulators**. These are staff assigned to ‘act out’ a specific role. This will include people taking part in field exercises (e.g. as evacuees) or assigned to simulate a non-participating agency (such as media agencies).

During the exercise, agency Exercise Control staff report to their agency Exercise Director. Agency Exercise Control teams in turn report to the next level up:

## Exercise Evaluators

All details of the roles and responsibilities for Exercise Evaluators are outlined in [Section 4 (Exercise Evaluation](#_Exercise_evaluation)).

## Exercise Control Management

### Inject management

Exercise Control staff are responsible for inserting injects into the exercise according to the Master Schedule of Events List. Injects are simulated interactions with external agencies, or updates on the developing emergency situation. Agencies may include their own injects, in line with the overall national exercise objectives. The national injects will be included in the Master Schedule of Events List, and may be supplemented with individual agency injects. Agencies that wish to create their own injects must coordinate these with the Exercise Control team and/or exercise writer at the next higher level, and with other relevant agencies. The national Master Schedule of Events List may include, but is not limited to:

* Pacific Tsunami Warning Center (PTWC) Tsunami Information Statements and Threat Messages
* foreign science agency reports
* MetService weather and swell warnings
* international and domestic media reports; and
* selected regional injects (developed in conjunction with relevant CDEM Groups).

Types of injects that can be developed by local authorities may include (but are not limited to):

* spontaneous evacuations
* congestion and traffic jams on key evacuation routes
* people refusing to evacuate
* people moving to the beach to spectate; and
* communications difficulties
* injuries/deaths
* damage to infrastructure.

CDEM Groups will be required to coordinate injects developed by local authorities and regional agencies and ensure that their Exercise Coordinators include their injects in a Master Schedule of Events List for their CDEM Group.

If questioned when presenting injects, Exercise Control staff must improvise information or assumptions within the confines of the exercise scenario and clarify these with the relevant Exercise Director if uncertain.

### Simulating agencies who are not fully participating in the exercise

The *Participant and Venue List* (to be released 22 August 2016) will contain contact details for participating agencies and indicate at what level that agency is participating.

If a participant wishes to make contact with an agency or individual not participating in the exercise, Exercise Control staff should simulate that non-participant.

In response to participant requests/questions, Exercise Control staff should:

* provide the requested information if it is readily available
* if the requested information is not readily available, provide an indication of how long it will take to meet their request, and to what extent it can be achieved
* check with the Exercise Director to determine the appropriate response to the request if unsure
* if necessary, provide a simulated response within the confines of the exercise scenario; and
* note down who you were speaking to, and which agency you were simulating, so you can simulate that agency again if future contact is required.

Each agency Exercise Director and staff will track key activities to ensure the Master Schedule of Events List is consistent with actions taken during the exercise, and if necessary amend the Master Schedule of Events List to reflect key actions or activities and the effect this may have on the scenario. If necessary, Exercise Control Directors are to escalate issues to the next higher level ([see Section 3.4](#_Exercise_Control_Staff)).

### Tracking progress/outputs of injects

Exercise Control staff must monitor and follow up injects to determine the extent to which they have been achieved. Injects are linked to exercise objectives and key performance indicators. The agency Exercise Director has the discretion to speed up or slow down exercise play, as long as this doesn’t interfere with the overall exercise objectives. If your agency is struggling to keep up with the pace of the exercise, inform the Exercise Control team at the next level. Note that the rate of PTWC Tsunami Information Statements/Threat Messages (if your agency receives these) is locked in, and will not be modified.

For agencies that have developed their own injects, the Exercise Control staff at that particular agency are responsible for their introduction into exercise play, and have total discretion as to their use.

## Exercise Control Communications

Exercise Control staff are responsible for ensuring that all written and verbal communications internal and external to the exercise are prefixed “Exercise Tangaroa Only” and informing people where this is not being followed.

# Exercise evaluation

## Introduction

The aim of the exercise evaluation is to identify lessons and provide an opportunity to review and update arrangements (plans, procedures, training etc.); therefore improving an organisation’s ability to respond in future exercises or real events.

Evaluation of exercise activities will assist in determining how well exercise objectives and key performance indicators are met.

Participating agencies will be provided with an evaluation form that will include the mandatory nationally agreed objectives and key performance indicators. Participating agencies are encouraged to use these criteria for measuring their own performance.

In addition to this, participating agencies should also consider setting their own (optional) agency-level objectives and key performance indicators in order to evaluate any specific areas of interest that are not covered in the national evaluation form .

## Evaluation outcomes

The lessons identified through the evaluation process will be used to inform the final Exercise Tangaroa report. Overall, the findings and analysis of the post-exercise evaluation will be used for the following:

* ***Building***on and shaping future exercises.
* ***Developing*** capability, knowledge and opportunities.
* ***Identifying*** opportunities for improving responses, i.e. modifications to arrangements, equipment, resources etc.
* ***Informing*** theMinister and wider CDEM sector, of the current CDEM arrangements for a tsunami response.
* ***Capturing*** lessons identified in the exercise.
* ***Providing*** assurance for systems that are working effectively.
  1. **National evaluation scope**

The following areas are **IN** scope:

* Ministry of Civil Defence & Emergency Management’s National Warning System messages
* CDEM Group and local level warning arrangements
* plans and standard operating procedures (SOPs) at various levels
* pre-exercise preparation activities
* strategic coordination and decision-making across agency interfaces
* pre and post-impact tsunami response and the transition from response to recovery; and
* key performance indicators set out by the National Exercise Programme

The following matters are **OUT** of scope:

* individual agency objectives will not be considered in the national evaluation report.

## Exercise Evaluators

The main role of Exercise Evaluators is to determine the effectiveness of the simulated response, whether the exercise has achieved its objectives and to analyse the exercise processes and management. They may also assist the Exercise Control Team during the exercise by providing feedback on observations.

The role of all evaluators is to determine:

* how effectively the agency has dealt with information and messages they are presented with
* how effectively they have carried out their response roles as defined in plans, procedures, the National CDEM Plan and Guide and the National Tsunami Advisory and Warning Plan
* how familiar the agency is with their responsibilities, response actions and documentation
* the extent to which the overall exercise objectives have been met; and
* the effectiveness of exercise facilitation and management.

In accordance with the [*CDEM Exercises: Director’s Guideline for Civil Defence Emergency Management Groups [DGL 010/09],*](http://www.civildefence.govt.nz/assets/Uploads/publications/dgl-10-09-cdem-exercises.pdf) exercise evaluators are responsible for:

* evaluating against allocated exercise objectives and KPIs
* observing and assessing processes, procedures and techniques
* evaluating and reporting on achievement of outcomes and the extent to which the overall exercise objectives have been met
* evaluating the effectiveness of the exercise facilitation and management; and
* providing input into exercise debriefing and post exercise reports.

**Note:** An evaluator does not mentor, coach or act as Exercise Control.

## Confirmation of appointment of Agency Evaluators

Each agency is expected to provide its own evaluator(s) to assess its own performance, and contribute to the overall exercise evaluation from that agency. Agencies are required to confirm their evaluators in the Participant and Venue List Form **by 1 August 2016**, and notify the national Exercise Coordinators via email: [CDEMexercises@dpmc.govt.nz](mailto:CDEMexercises@dpmc.govt.nz).

Agencies should consider the following when appointing their evaluators:

* evaluators should be subject matter experts in the field they are evaluating (i.e. warnings, EOCs, emergency response etc.) or experts in agency-specific areas of responsibility
* evaluators will need to be available to evaluate exercise performances and outcomes on each day of the exercise
* evaluators at the local level will be responsible for assessing the exercise, completing an evaluation and providing feedback to the CDEM Group evaluation coordinator by the required deadline
* evaluators coordinators at the CDEM Group level will be responsible for assessing the exercise, completing the one online evaluation form per CDEM Group and providing feedback to the Exercise Coordinators by the required deadline
* a number of evaluators may be required for some agencies to assess all exercise objectives; and
* agencies should have a contingency plan in the event that an evaluator cannot turn up on the day, (i.e. arranging an understudy who can step up if required).

## Evaluators for local, regional and “cluster” groups

Due to the size and complexity of Exercise Tangaroa, it is recommended that a CDEM Group evaluation coordinator be appointed to coordinate and guide local authority and/or individual agency evaluators.

## Evaluation management

Management of all evaluation activities will be coordinated through MCDEM, in partnership with the Exercise Steering Group and Planning Team.

A lead evaluator has been appointed to assist in the coordination of all evaluation activities including briefing exercise evaluators prior to the exercise and compilation of the overall national evaluation report that will form the basis of the final end of exercise report.

* 1. **Evaluator preparation**

### Prior to the exercise

Steps will be taken to ensure that evaluators are fully prepared for conducting an assessment of their agency’s performance during Exercise Tangaroa. The following will be put into place to assist evaluators in preparing for their roles:

* a briefing will be provided prior to the exercise to allow for questions/queries from evaluators
* evaluation and exercise documentation will be provided to evaluators in advance of the exercise; and
* agencies will be encouraged to provide an evaluation folder (which includes an exercise itinerary and schedule, key contacts, uniform details, assessment points, etc.) for their evaluators.

### During the exercise

Evaluators will be provided with contact details for the Lead Evaluator and/or the CDEM Group or ‘Cluster’ Evaluation Coordinator as appropriate should there be questions around the evaluation process during exercise play.

### After the exercise

An evaluators debrief will be held after the exercise to allow an opportunity to gauge feedback on the evaluation process.

## Evaluation form(s)

Evaluation forms will be developed and themed towards various participating agencies. These will be available in hard copy format (there may also be a version available for portable devices such as iPads – this option is still being investigated). Each agency is required to submit their evaluation form to their CDEM Group or ‘Cluster’ Coordinator who will collate the response for the CDEM Group or ‘Cluster’ and then submit one online evaluation form to the National Exercise Planning Team for inclusion in the national evaluation report.

Evaluation forms for participating agencies will be released shortly and will be available on the MCDEM website (see [Appendix 2: Exercise Timeline](#_Appendix_2:_Exercise) for details).

The following diagram illustrates the process for collating evaluation forms to inform the overall Exercise Tangaroa evaluation report.

### Evaluation form deadlines

|  |  |  |  |
| --- | --- | --- | --- |
| Agency | To whom | How | Deadline |
| Local level | CDEM Group or ‘Cluster’ Coordinator | As arranged with your CDEM Group Exercise Coordinator | |
| CDEM Group or ‘Cluster’ | Lead Evaluator | Online via Survey Monkey | 28 October 2016 |

## Data collection

Methods for collecting data will differ among agencies and local authorities, but the following methods are recommended:

* observation
* evaluation form(s) (hard copy, online)
* post-exercise interviews – focus groups
* hot debriefs after each exercise activity or day
* cold debriefs – (single and/or multi-agency as appropriate) at the conclusion of exercise activities (within 2 weeks of the last day of exercise play); and
* consider a staged approach to collecting data – over time and across various levels.

## Analysis

Once evaluation data has been collected, the National Exercise Planning Team may liaise with agencies to gather additional feedback. This data and feedback will then be collated into a comprehensive evaluation report.

## Evaluation report

The evaluation report informs the overall end of exercise report which will be compiled by the National Planning Team.

# Exercise Debriefing

## Introduction

The aim of debriefing is for staff to communicate their experiences of the exercise so that lessons can be identified and recorded. The aim is to improve an agency’s ability to respond in the future, and it will also contribute to the overall exercise evaluation. Two types of debriefs should be conducted: ‘hot’ and ‘cold’.

The results of the “hot” and “cold” debriefs should assist in the final compilation of the overall agency evaluation.

## Hot Debrief

A ‘hot debrief’ should be conducted at each exercise venue immediately after the end of exercise play. The hot debrief will enable exercise participants to provide immediate feedback and assist in identifying general themes and lessons that could be expected to be included in the exercise evaluations and reports.

Hot debriefs should be conducted by either the Controller or by the Exercise Director.

Hot debriefs should cover:

* a summary of exercise activities.
* participants’ feedback:
  + what went well
  + what didn’t go well
  + areas requiring further work; and
  + other comments.
* exercise management issues.

Hot debriefs will need to be completed at the end of each exercise day (31 August; 14 September; and 28 September 2016). If held later than this, there is an increased risk that useful information will be lost.

## Cold Debrief

All agencies should also conduct a ‘cold debrief’ with their staff as soon as possible after the conclusion of the exercise to identify those aspects that worked well and to gain insights to those aspects where improvements could be made.

A cold debrief should:

* involve the same key players within the agency that were involved in the exercise
* address agency issues not personal issues; and
* look for both strengths and weaknesses as well as ideas for future learning.

The findings of these debriefs do not necessarily need to be included in each agency’s evaluation report, though they may provide the opportunity to explore broader areas that will contribute to that report.

Cold debriefs should be completed by 14 October 2016.

For further information on debriefing methods and process, please refer to the document [*Organisational Debriefing: Information for the CDEM Sector [IS6/05]*,](http://www.civildefence.govt.nz/assets/Uploads/publications/is-06-05-organisational-debriefing.pdf) found on the publications page on the MCDEM website.

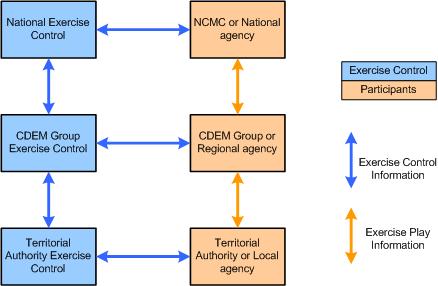
# Exercise Communications

## Introduction

Exercise Control teams will actively communicate with each other during the exercise. To keep a manageable span of control, teams will only communicate directly with those one removed from them (i.e. National Exercise Control will communicate with Exercise Control teams at national agencies and CDEM Groups, but not with those at Territorial Authorities).

## Flow of information

During the exercise, information will flow along specific channels, rather than freely between all participants. This will prevent participants and Exercise Control staff being overwhelmed with information that may not be relevant to them. The following diagram shows this flow.



The National Exercise Control Team, located in the NCMC, will control NCMC and national agency participants. The National Exercise Control Team will also coordinate the CDEM Group Exercise Control teams.

CDEM Group Exercise Control teams will control their CDEM Group and agency participants within their region. They will coordinate the local authority Exercise Control teams in their region and escalate any issues and queries to the National Exercise Control Team.

Local authority Exercise Control teams will control their agency EOC and local participants, and escalate any issues and queries to CDEM Group Exercise Control.

## Management of communications

It is possible that the National Exercise Directors could be inundated with communications which may result in key issues being missed or confusion arising. To control the contact with the national Exercise Directors, communication from participants must be made via Exercise Control teams at CDEM Groups and national agencies. The following procedure is to be followed:

To contact the national Exercise Directors, an email message should be sent to [CDEMexercises@dpmc.govt.nz](mailto:CDEMexercises@dpmc.govt.nz), prefixed with the following:

* ***Urgent*** – requires phone call back. Key issue affecting the scenario detail, or major conflict/confusion requiring direction.
* ***Clarify*** – conflict of information (e.g. information received which does not fit with Master Schedule of Events List).
* ***Info –*** information only.

The Exercise Directorswill attempt to respond to the **‘Urgent’** and **‘Clarify’** messages within 10 minutes by either return text, email or phone.

## Teleconferences

### Exercise Control

Meetings of the National and CDEM Group Exercise Control teams may be held via teleconference during the exercise to update all members on exercise progress and developments, and of any adjustments required to the Master Schedule of Events List if required.

### Evaluators

Teleconference briefings for agency evaluators will also be conducted by the national Exercise Planning team and Lead Evaluator during the week of 1-5 August 2016. Further details of these will be advised.

## Operational communications

For the purposes of this exercise, all normal means of communication are functioning for the duration of the exercise.

Reports and requests may be communicated electronically for most of the exercise. There may however be periods during the exercise when telecommunications blackouts are imposed by Exercise Control for some participants, and hence phones and on-line communications will be deemed not available. If this situation is imposed, alternative communications arrangements should be used by participants (normal communications will always remain operational for Exercise Control teams).

Standard emergency radio-telephone (R/T) infrastructure is assumed to be fully operational at all times.

Please note that email communications should **not** have logos on attachments, as system firewalls are likely to quarantine until a virus check is completed, resulting in delays.

The Emergency Management Information System (EMIS) will be utilised as part of Exercise Tangaroa. Participating agencies should ensure that they have staff registered as users and are familiar with the function of this software if utilising EMIS.

See [Section 8 Exercise Rules](#_Exercise_Rules) for information about messaging and the use of No Duff.

## Media communications

Any contact with media agencies regarding the exercise (e.g. exercise preparation, delivery and outcomes) will be undertaken at the national level by MCDEM in accordance with the Exercise Tangaroa Communications Plan. Regional and local agencies may communicate with local media if they wish, in order to raise the profile of civil defence emergency management within their communities. This includes activities prior to, during and after the exercise.

During the exercise, the only contact with actual media agencies at the national level will be via the Exercise Control Public Information Management (PIM) team – refer to the [Exercise Tangaroa Communications Plan](http://www.civildefence.govt.nz/assets/Uploads/exercises/Tangaroa/Exercise-Tangaroa-Communications-Plan.pdf).

No exercise player may have direct contact with the media as part of exercise activities unless agreed with their respective PIM Manager. No Exercise Control Team member, Evaluator or Observer may have direct contact with the media as part of exercise activities unless agreed with the local Exercise Director.

Agencies participating in the exercise are expected to simulate media communications in the same manner as they would in real emergencies (i.e. with releases going through their internal verification and sign-off processes, and communication with CDEM at Group and national levels in accordance with established protocols) but without sending any exercise releases to media (except where this has been prearranged as an exercise activity to test communications with media and internal media processes).

## Evaluator communications

The Lead Evaluator and/or the National Exercise Planning Team will work directly with the CDEM Group or ‘Cluster’ Evaluation Coordinator. The CDEM Group or ‘Cluster’ Evaluation Coordinator will work directly with Local Authority and agency evaluators.

Communication with exercise evaluators will include (but is not limited to):

* email
* teleconferences
* some face-to-face discussions may be held with evaluators (e.g. within CDEM Groups).
* via the Exercise Tangaroa page on the [MCDEM website](http://www.civildefence.govt.nz/cdem-sector/exercises/exercisetangaroa2016/).
* via the Exercise Tangaroa newsletter (you can sign up via the [MCDEM website](http://www.civildefence.govt.nz/cdem-sector/exercises/exercisetangaroa2016/)).

## Agency contact details

Contact details for all Exercise Control Teams will be provided in the *Participant and Venue List* (to be released by 22 August 2016.

# Exercise Rules

## Introduction

All telephone communication should be prefaced with the words:

**“This is an Exercise Tangaroa message”**

All written correspondence must be prefaced with the words:

**“Exercise Tangaroa Only”**

This includes emails, situation reports, faxes and briefing papers.

Exercise Control members must draw any non-compliance to the attention of participants.

## Real Events – “No Duff”

### National

If a real event occurs, or for whatever reason the exercise is to be stopped, the National Exercise Control team will advise exercise participants via the agency Exercise Directors. Such a message will be preceded with “No Duff”.

### CDEM Group/’Cluster’/Local Authority

Likewise, if any real event or other real emergency occurs within a CDEM Group or Local Authority, exercise players are instructed to inform their agency Exercise Control staff, who in turn will inform Exercise Control at the next level. To avoid any confusion, such conversations must be preceded with the words “No Duff”.

If your agency wishes to withdraw due to other events occurring on the day that mean key people cannot continue to participate, notify Exercise Control at the next level by phone, followed up by email. Other participating agencies will then be informed.

If a “No Duff” is declared by a CDEM Group or Local Authority, the National Exercise Control Team will inform participants in all other regions of this.

# End of Exercise Report

## Introduction

The end of exercise report will be compiled by the National Planning Team and will include evaluation report findings.

The Planning Team will be primarily responsible for overseeing and peer-reviewing the post-exercise evaluation report. Following these steps, the evaluation report will then be submitted to both the Steering Group and Governance Group for final approval.

The Final Exercise Report will be produced by the National Exercise Planning Team by the end of April 2017, and it is expected to be considered by the Hazard Risk Board (part of the Officials Committee for Domestic and Security Coordination (ODESC)) in due course.

# Key risks/mitigation strategy

Due to the scope of Exercise Tangaroa, risks to the exercise control function and to the evaluation process and completion of an evaluation report have been registered and mitigation strategies sought. Risks to the exercise control function and the evaluation process have been set out below:

|  |  |  |
| --- | --- | --- |
| Key Risks | Mitigation Strategy | Likelihood and impact after Mitigation |
| Scenario does not contain enough ‘action’ for all CDEM group areas | Attempt to provide a scenario with appropriate injects that will challenge all participants. | **Likelihood:** Unlikely  **Impact**: Minor  *Low* |
| Lack of clarity over roles and responsibilities | Provide role definitions to all exercise control and evaluation team members. | **Likelihood:** Unlikely  **Impact**: Minor  *Low* |
| Injects to be inputted electronically not getting through to appropriate person/group | Make sure there is a hard copy printout backup of all injects available so they can be inputted manually if there are any technical issues. | **Likelihood:** Possible  **Impact**: Minor  *Medium* |
| Evaluators do not understand the evaluation process | Provide full instructions in the Evaluation manual and hold briefings to allow for questions. Ensure a criterion is set to ensure evaluators are well versed in best practice procedures. | **Likelihood:** Unlikely  **Impact**: Moderate  *Medium* |
| Evaluation data is not received by the required deadline | Set clear deadlines in initial evaluation documentation and provide reminders to evaluators throughout the process.  Proceed and accept some of the risk. | **Likelihood:** Unlikely  **Impact**: Minor  *Low* |
| The evaluation forms submitted are incomplete/incorrect | Follow up with evaluator and ask for clarification or resubmission.  Provide a hard copy to submit on their behalf | **Likelihood:** Unlikely  **Impact**: Minor  *Low* |
| Evaluators do not attend the Exercise ‘on the day’ | Agencies are advised to prepare for this situation and make contingency plans. | **Likelihood:** Possible  **Impact:** Moderate  *High* |
| Real event occurs at the same time that may affect some or all of the country – not able to delay the exercise for part of the exercise. | Accept that some people/groups may drop out. Use criteria for judging when to abandon the response (i.e. any kind of national-led response) with the final decision made by MCDEM and Director. | **Likelihood:** Unlikely  **Impact:** Major  *Medium* |
| The design of the evaluation form hinders and/or reduces responses. | Make efforts to reduce the complexity of the online form. Have an experienced exercise writer create the evaluation form. | **Likelihood:** Unlikely  **Impact:** Minor  *Low* |
| There is a risk of ethical complications | Conduct an ethics risk assessment and ensure evaluation documentation and communication outlines ethical considerations | **Likelihood:** Unlikely  **Impact:** Minor  *Low* |
| Final evaluation report is not accepted. | Pre-empt any issues by submitting report for peer review and ensuring that evaluations are supported by evidence. | **Likelihood:** Unlikely  **Impact:** Moderate  *Medium* |

# Key contacts

Should questions arise, please direct them to the Exercise Coordinators:

[**CDEMexercises@dpmc.govt.nz**](mailto:CDEMexercises@dpmc.govt.nz)

**or**

**Jo Guard**  
Exercise Coordinator/Director  
Ministry of Civil Defence & Emergency Management  
Direct Dial: +64 4 817 8582 ext. 8582  
Jo.Guard@dpmc.govt.nz  
Level 4, Bowen House, Parliament Buildings PO Box 5010, Wellington 6145

**Sara Mitchell**  
Exercise Coordinator  
Ministry of Civil Defence & Emergency Management  
Direct Dial: +64 4 817 8588 ext. 8588  
Sara.Mitchell@dpmc.govt.nz  
Level 4, Bowen House, Parliament Buildings PO Box 5010, Wellington 6145

Further detail about the exercise, including exercise documentation can be found on the MCDEM website: [www.civildefence.govt.nz/cdem-sector/exercises/exercisetangaroa2016/](file:///C:\NRPortbl\DPMC\GUARDJ\www.civildefence.govt.nz\cdem-sector\exercises\exercisetangaroa2016\)

###### Appendix 1: Exercise Objectives and Key Performance Indicators

|  |  |  |
| --- | --- | --- |
| **Exercise Objectives** | **Sub-objectives** | **Key Performance Indicators** |
| 1. Lead a coordinated interagency response. | **1.1** Identify threat of major incident. | **1.1.1** Incident identified as a major incident requiring the activation of the National Security System. |
| **1.1.2** Incident identified as a threat according to the MCDEM thresholds. |
| **1.1.3** Incident identified as a threat according to CDEM Group and local authority thresholds. |
| **1.2** Processes for considering and declaring states of emergency are followed at all levels. | **1.2.1** Identify criteria for making a declaration and apply this criteria to the decision making process. |
| **1.2.2** If making a declaration, the correct process is followed (gazetting, current forms, etc.). |
| **1.3** Activate coordination centres at all required levels in accordance with standard operating procedures. | **1.3.1** Lead agency activates a coordination centre in accordance with standard operating procedures. |
| **1.3.2** Key stakeholders are identified and informed of the activation(s). |
| **1.3.3** Liaison arrangements are activated in accordance with standard operating procedures. |
| **1.3.4** Welfare arrangements are activated in accordance with standard operating procedures. |
| **1.3.5** Lifelines arrangements are activated in accordance with standard operating procedures. |
| **1.4** Develop an effective action plan in accordance with standard operating procedures. | **1.4.1** Planning processes are followed by the lead agency as established in standard operating procedures. |
| **1.4.2** The systems, processes and resources are appropriate for developing the action plan. |
| **1.4.3** Options, analysis of threats and associated risks are embedded in the development of the action plan. |
| **1.5** Coordinate a tsunami response in accordance with the lead agency’s emergency plan, the action plan, CIMS, and legal/policy frameworks. | **1.5.1** Liaison arrangements are established and maintained as required throughout the duration of the response. |
| **1.5.2** Response is managed in accordance with plans and within mandated frameworks. |
| **1.5.3** Lead agency is able to delegate tasks to support agencies within legal frameworks. |
| **1.5.4** Agencies confirm their ability to carry out the delegated tasks in a timely manner in accordance with standard operating procedures. |
| **1.5.5** As appropriate, implement site, local, regional and national levels of coordination. |
| **1.6** Lead coordination centres in accordance with standard operating procedures. | **1.6.1** Lead agency manages an interagency coordination centre. |
| **1.6.2** Lead agency is able to sustain an operational response for the length of time required. |
| **1.6.3** Lead agency can demonstrate there is a process in place to be able to return to business as usual following a response to a major incident. |
| **2.0** Support a coordinated interagency response. | **2.1** Support identification of threat of major incident. | **2.1.1** Agency supports the identification of a threat as a major incident requiring the activation of the National Security System |
| **2.2** Activate coordination centres at all required levels in accordance with standard operating procedures. | **2.2.1** Support agency activates a coordination centre, where required, in accordance with standard operating procedures. |
| **2.2.2** Lead agency and other key stakeholders are identified and informed of the activation(s). |
| **2.2.3** Liaison arrangements are activated in accordance with standard operating procedures. |
| **2.2.4** Welfare arrangements are activated in accordance with standard operating procedures. |
| **2.2.5** Lifelines arrangements are activated in accordance with standard operating procedures. |
| **2.3** Support the development of an action plan in accordance with standard operating procedures. | **2.3.1** Support agency contributes to the lead agency planning processes as established in standard operating procedures. |
| **2.3.2** Threats and associated risks identified by the support agency are considered in the development of the action plan. |
| **2.3.3** Support agency develops an action plan to detail the tasks assigned to it by the lead agency. |
| **2.4** Support a tsunami response in accordance with the lead agency’s emergency plan, the action plan, CIMS, and legal/policy frameworks. | **2.4.1** Liaison arrangements are maintained as required throughout the duration of the response. |
| **2.4.2** Response is supported in accordance with plans and within mandated frameworks. |
| **2.4.3** The systems, processes and resources are appropriate for implementing the action plan. |
| **2.4.4** Agencies confirm their ability to carry out the delegated tasks in a timely manner in accordance with standard operating procedures. |
| **2.4.5** As appropriate, implement site, local, regional and national levels of support. |
| **2.5** Support coordination centres in accordance with standard operating procedures. | **2.5.1** Support agencies are able to support the inter-agency coordination centre as required by the lead agency. |
| **2.5.2** Support agencies are able to sustain an operational response for the length of time required. |
| **2.5.3** Support agencies can demonstrate there is a process in place to be able to return to business as usual following a response to a major incident. |
| **3.0** Conduct effective high level All of Government decision making. | **3.1** National Security System activated and effective within acceptable period of time. | **3.1.1** NSC, ODESC and Watch Groups (National Security System) established as appropriate in a timely manner in accordance with standard operating procedures. |
| **3.1.2** Relevant National Security System Groups provide strategic direction to relevant agencies, allowing comprehensive operational planning as required. |
| **3.1.3** Decisions are communicated to key stakeholders in a timely manner in accordance with standard operating procedures. |
| **3.1.4** Relevant National Security System groups monitor and evaluate decisions throughout the incident. |
| **3.2** Effective communication with key stakeholders | **3.2.1** Coordination of domestic and international stakeholders as appropriate in accordance with standard operating procedures. |
| **4.0** Initiate the transition of response to recovery including planning and arrangements. | **4.1** Effective integration of response and recovery planning | **4.1.1** Demonstrate that consideration of early recovery is incorporated into response planning |
| **4.1.2** Planning documents demonstrate an awareness of likely medium and long term impacts of response actions and decisions |
| **4.2** Develop an appropriate recovery plan | **4.2.1** Establish recovery arrangements that demonstrate an understanding of current frameworks and processes |
| **4.2.2** Conduct a transition from response to recovery in accordance with established recovery arrangements. |
| **4.2.3** The systems, processes and resources are appropriate for developing the recovery plan. |
| **4.2.4** Options analysis of threats and associated risks is embedded in the development of the recovery plan. |
| **5.0** Effectively manage information horizontally and vertically | **5.1** Incident information is effectively managed and communicated by all agencies involved in the response. | **5.1.1** A strategic communication plan is developed. |
| **5.1.2** A strategic communication plan is implemented. |
| **5.1.3** Accurate information is communicated internally in a timely manner in accordance with standard operating procedures. |
| **5.1.4** Information is communicated across appropriate internal and external stakeholders in a timely manner to create a common operating picture. |
| **5.1.5** Information is appropriately stored in accordance with standard operating procedures. |
| **5.1.6** Each agency has the appropriate equipment and resources to share and manage information effectively. |
| **5.1.7** Lifeline utilities make contact with CDEM and provide status reports and establish an appropriate line of contact. |
| **5.2** Support requirements are effectively communicated. | **5.2.1** Domestic support requests are effectively managed in accordance with standard operating procedures. |
| **5.2.2** International support requests are effectively managed in accordance with standard operating procedures. |
| **5.3** Situation reports effectively fused from various sources and promulgated in a timely manner to relevant stakeholders. | **5.3.1** Situation reports accurately disseminated to key stakeholders in accordance with standard operating procedures. |
| **6.0** Deliver effective public information management | **6.1** Public communications reinforce confidence in the response and provide appropriate levels of public assurance | **6.1.1** Provide timely, accurate, and clear information to those who need it in accordance with standard operating procedures. |
| **6.1.2** Messages align with and support the operational response and government priorities. |
| **6.1.3** Proactive messaging across the full range of platforms meets the demand for accurate information. |
| **6.1.4** Public information/messaging is coordinated and consistent across agencies. |
| **7.0** Implement business continuity arrangements. | **7.1** Agency is able to continue to effectively meet essential business as usual outputs. | **7.1.1** Essential and non-essential business outputs are identified. |
| **7.1.2** Agency has, or is able to acquire from other agencies, the capacity needed to meet essential business requirements whilst simultaneously meeting response requirements. |
| **7.1.3** Each agency’s business activities are adjusted and communicated in accordance with business continuity plans. |
| **8.0** Integrate lessons identified from previous events and exercises in order to engender a culture of continuous improvement. | **8.1** Evaluation and post activity reporting of the inter agency outcomes is undertaken. | **8.1.1** Evaluation is coordinated by the lead agency against relevant national objectives. |
| **8.1.2** Supporting agencies provide relevant information to the post activity reporting. |
| **8.2** Continuous improvement processes are implemented. | **8.2.1** Information is collected and shared with relevant agencies by the lead agency to allow continuous improvement across government. |
| **8.2.2** During the development of inter-agency exercises, previous lessons identified are integrated by the lead agency. |
| **9.0** Further develop collaborative relationships, to enhance interagency knowledge; creating capability and resilience. | **9.1** Agencies share information to engender an all hazards, all of government approach to response management. | **9.1.1** Information is shared and utilised across agencies to assist in relationship and resilience building. |
| **9.1.2** Best practices are discussed and shared across agencies. |

###### Appendix 2: Exercise Timeline

The table shows all of the key deadlines for Exercise Control and Evaluation Teams.

|  |  |
| --- | --- |
| Deliverable | Deadline |
| CDEM Group Master Schedule of Events Lists due to MCDEM | 29 July 2016 |
| Day 1 Exercise Evaluation Forms released | 29 July 2016 |
| Confirmation of Exercise Evaluators | 1 August 2016 |
| Confirmation of Agency Exercise Control Staff | 1 August 2016 |
| Participant and Venue List Request Form to be returned *(contains evaluator, ExCon and venue contacts)* | 1 August 2016 |
| Group/Cluster Evaluation Briefing (teleconference(s)) | 1-5 August 2016 |
| Group/Cluster Exercise Control briefing (teleconference) | 8-12 August 2016 |
| Day 2 and 3 Exercise Evaluation Forms released | 19 August 2016 |
| Participants and Venue List published | 22 August 2016 |
| Overall Master Schedule of Events issued | 22 August 2016 |
| Final communications check | 26 August 2016 |
| Exercise Tangaroa Day One | 31 August 2016 |
| Day One “Hot” debriefs completed | 31 August 2016 |
| Exercise Tangaroa Day Two | 14 September 2016 |
| Day Two “Hot” debriefs completed | 14 September 2016 |
| Exercise Tangaroa Day Three | 28 September 2016 |
| Day Three “Hot” debriefs completed | 28 September 2016 |
| “Cold” Debriefs completed *(within 2 weeks of end of exercise)* | 14 October 2016 |
| Evaluators to complete and submit online evaluation form | Local to Group as arranged with Group  Group to National 28 October 2016 |
| Evaluation Report is compiled | November 2016-January 2017 |
| Peer review of Evaluation Report takes place:   * Planning Team * Steering Group | End-January 2017  Mid-February 2017 |
| Final Exercise Report is submitted to Governance Group for review | End-March 2017 |
| Final Exercise Report is completed | End-April 2017 |