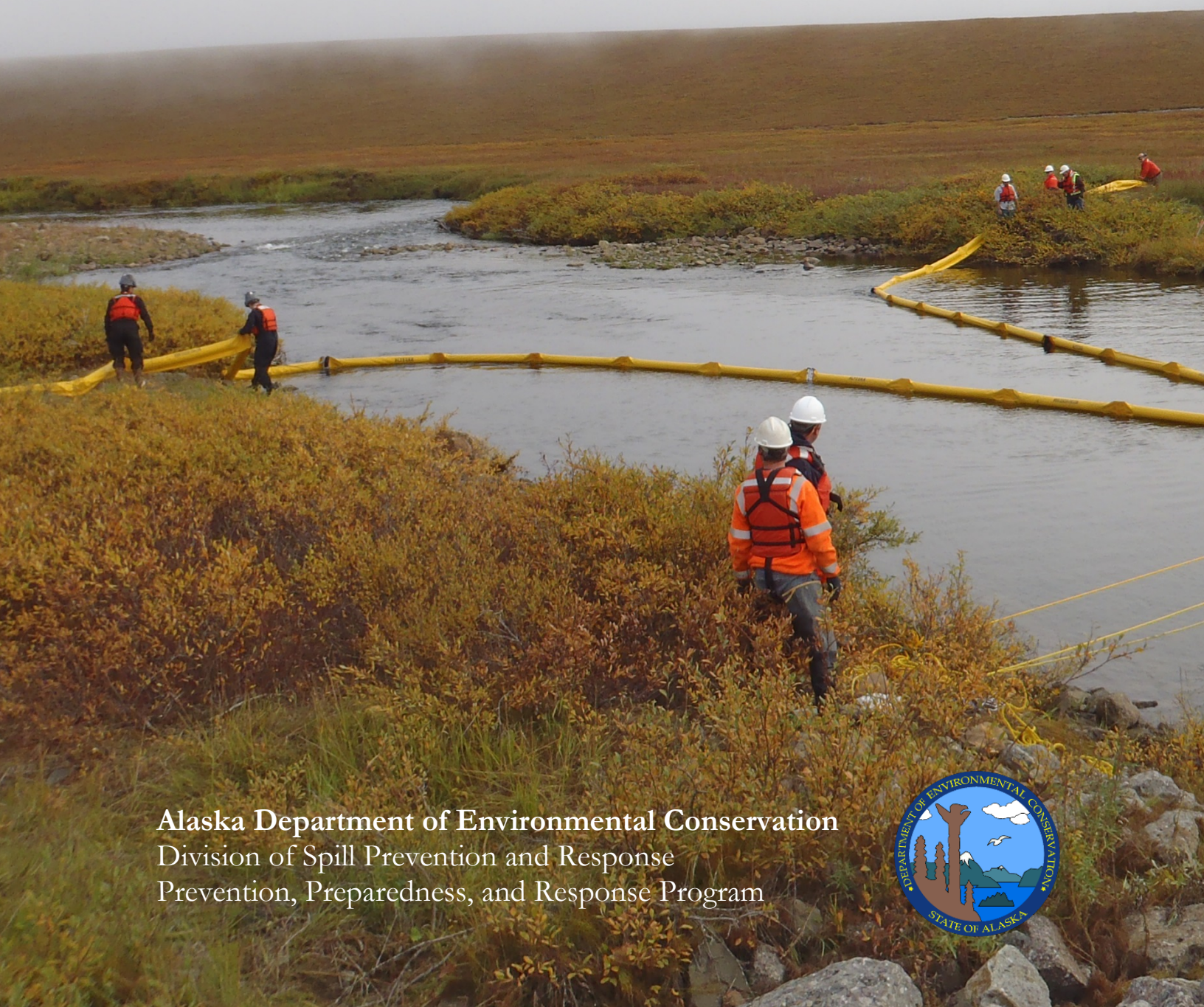


# Oil Spill Response Exercise Guidance

A MANUAL FOR PLANNING, CONDUCTING, AND EVALUATING EXERCISES

April 16, 2018



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## Front Matter

### ACKNOWLEDGEMENTS

The Alaska Department of Environmental Conservation (ADEC) wishes to acknowledge the Department of Homeland Security Federal Emergency Management Agency's *Homeland Security Exercise and Evaluation Program* (HSEEP) doctrine and methodology as a core resource throughout the development of the ADEC *Oil Spill Response Exercise Guidance* (Guidance). ADEC's challenge has been to integrate HSEEP's high level/all hazard methodology within the specific context of ADEC's authority for oil spill response preparedness. To this end, ADEC acknowledges the influence of the International Petroleum Industry Environmental Conservation Association – International Association of Oil and Gas Producers (IPIECA – IOGA) *Oil spill exercises guidelines* and its application of HSEEP to oil spill response programs as an industry best practice model.

With facilitation provided by Nuka Research and Planning Group, LLC, ADEC solicited and acknowledges stakeholder collaborative input in the development of this Guidance. Participants included representatives from industry, citizen's advisory councils, primary response action contractors, and federal and state agencies, from the following organizations:

Alaska Chadux Corporation	Glacier Oil & Gas Corp.
Alaska Clean Seas	Hilcorp Alaska, LLC/Harvest Alaska, LLC
Alaska Department of Fish and Game	Kanaga Environmental Consulting
Alaska Department of Natural Resources	Matanuska Electric Association
Alaska Steamship Response	North American Fuel Corporation
Alaska Tanker Company, LLC	Pearson Consulting, LLC
Alyeska Pipeline Service Company	Petro Star, Inc.
Armstrong Energy, LLC	Polar Tankers/ConocoPhillips
British Petroleum Exploration (Alaska)	Power Systems & Supplies of Alaska
Caelus Energy Alaska	Prince William Sound Regional Citizens Advisory Council (RCAC)
ConocoPhillips	SLR International Corporation
Cook Inlet Regional Citizens Advisory Council	The Response Group
Cook Inlet Spill Prevention and Response Inc. (CISPRI)	Trident Seafoods
Crowley Fuels	United States Coast Guard
Delta Western, Inc.	United States Environmental Protection Agency (EPA)
	Vitus Energy



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## PREFACE

ADEC is pleased to present the *Oil Spill Response Exercise Guidance: A Manual for Planning, Conducting, and Evaluating Exercises* (Guidance). The Guidance is part of a dedicated effort to improve ADEC's Oil Spill Response Exercise Program to better serve the needs of regulated oil operators, response action contractors, state and federal agencies, and other exercise stakeholders, while improving oil spill response readiness within the State of Alaska.

As part of ADEC's Spill Response Exercise Improvement Project, ADEC conducted an outreach effort with stakeholders to collaborate on improvements. ADEC's outreach effort included an online survey in November 2016 and two web-based visioning sessions in December 2016. A summary of the survey, the visioning session results, and ADEC's preliminary decisions on key topics were presented in an all-day stakeholder's workshop in April 2017. ADEC has considered the input gained from these efforts in the development of this Guidance. Summary reports of information gathered during the stakeholder outreach phase of the project are available online at ADEC's website: <http://dec.alaska.gov/spar/ppr/prevention-preparedness/exercises.aspx>

## PURPOSE AND SCOPE

This Guidance is intended to provide ADEC staff, Oil Discharge Prevention and Contingency Plan (ODPCP) holders, response action contractors, partner agencies, and other stakeholders with a common framework on how to design and develop, conduct, and evaluate oil spill response exercises planned to meet an ODPCP holder's oil spill response exercise obligations. It is also intended to clarify State of Alaska oil spill exercise requirements and ADEC's role in exercises.

The exercise planning process described in this Guidance adopts the Department of Homeland Security, Federal Emergency Management System's *Homeland Security Exercise and Evaluation Program* (HSEEP) methodology for exercises, which is based on national and international best practices. Adaptations have been incorporated into this Guidance to align with ADEC's exercise program mission and purpose and to address Alaska-specific considerations.

HSEEP provides a set of guiding principles for exercise programs and provides a common methodology for planning and conducting individual exercises. There are four main phases to the HSEEP methodology, namely design and development, conduct, evaluation, and improvement planning. A more detailed description of each phase is provided in the exercise planning process section within this Guidance.

As a flexible, scalable, and adaptable methodology, HSEEP is appropriate for the wide range of regulated facility types and sizes found in Alaska. In consultation with ADEC, this exercise planning process can be scaled to meet the focus and size of any exercise.

**This Guidance is considered a living document. As such, it will periodically be reviewed and updated to ensure clear and current guidance and to be responsive to feedback and programmatic lessons learned.**

# Overview of ADEC's Oil Spill Response Exercise Program

## INTRODUCTION

The importance of oil spill response exercises is recognized by governments, industry, and potentially impacted stakeholders. Effective oil spill preparedness and response is based on emergency organization procedures, trained personnel, oil spill response equipment, and logistical support. An oil spill response contingency plan is the primary tool used to provide assurance that a facility's oil spill response capability is managed, organized, assessed, and improved upon as needed.

ADEC requires an approved ODPCP for regulated facilities to ensure that the owner/operator has the resources, training, and experience needed to mount a timely and effective response should they have an oil spill. The ADEC Oil Spill Response Exercise Program is a key component of ADEC's mission to ensure preparedness and response capability of the regulated community.

ADEC staff recognize that they are part of a large Alaska oil spill response community, which includes state, federal, and local agencies, response action contractors, and regulated operators. This community has a common goal of effective oil spill preparedness and response. ADEC staff are dedicated to working with the response community to achieve these common goals while carrying out their duty under Alaska law.

ADEC has adopted the following guiding principles for the ADEC Oil Spill Response Exercise Program:

- Verify compliance with statutes and regulations in regards to an owner's or operator's ability to adequately respond to a spill
- Improve current levels of response readiness
- Encourage innovation and improvement
- Maintain consistency statewide
- Strengthen and broaden oil spill response capability and coordination throughout the response community
- Increase the value of oil spill response exercises for the entire response community
- Increase cost effectiveness of oil spill response exercises for ADEC and the regulated community

## STATUTORY AND REGULATORY FOUNDATION

The State of Alaska legislature assigned ADEC broad oversight responsibilities for environmental protection with a specific mandate that includes the protection of public safety, public health, and the environment through prevention, preparedness, and response to oil and hazardous substance releases. ADEC's responsibility and legal authority to evaluate industry oil spill response capabilities and preparedness are founded in governing statutes (AS 46.03.010, AS 46.03.020, AS 46.04.030, AS 46.04.055) and regulations (18 AAC 75).

Regulated facility operations in Alaska are governed by strict legal requirements for industry oil spill response capability and preparedness. The broad range of regulated facility types subject to ODPCP and demonstrated response capability requirements include large bulk storage or terminal facilities, laden tank vessels or barges, crude oil pipelines, exploration or production operations, nontank vessels (NTV), and rail road tank cars. The following discussion introduces and identifies governing statutes (AS 46.04.030, AS 46.04.055), and implementing regulations for oil spill response exercises.

### *Alaska Statutes*

Alaska oil spill preparedness and response statutory responsibilities and authority are based upon the premise that, while “an oil spill response plan that exists on paper may be evaluated intellectually, the plan, equipment, and people are evaluated together only through spill drills or through response to an actual spill” (Alaska Oil Spill Commission, 1990, p.37). Under Alaska Statute (AS), a person may not operate a regulated oil facility, vessel, or railroad tank car within the lands or waters of the state unless they hold an ODPCP that has been approved by ADEC and they are in compliance with that ODPCP. ADEC may require an ODPCP holder to demonstrate their ability to carry out the ODPCP including oil spill response exercises and access to inventories of equipment, supplies, and personnel identified as available in the ODPCP.

The statute that grants ADEC authority over regulated facility oil spill response exercises is AS 46.04.030(e), which states “... The department may require an applicant or holder of an approved contingency plan to take steps necessary to demonstrate the applicant’s or holder’s ability to carry out the contingency plan, including (1) periodic training; (2) response team exercises; and (3) verifying access to inventories of equipment, supplies, and personnel identified as available in the approved contingency plan.”

### *ADEC Implementing Regulations*

While not prescriptive in nature, the regulations found in 18 AAC 75.485 and 18 AAC 75.565<sup>1</sup> provide a framework to implement AS 46.04.030(e). These regulations address ADEC’s discretionary authority to conduct exercises, as well as the circumstances or conditions in which the exercises may be initiated. The primary objective of any oil spill response exercise is to assure that an ODPCP is adequate in content and execution (i.e., the ODPCP holder demonstrates oil spill response capability). Table 1 presents a synopsis of the components of ADEC’s regulatory authority, which serve as the foundation for this Guidance.

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<sup>1</sup> The scope of NTV exercises are specific to response and/or IMT contractors.



Table 1: ADEC Regulatory Authority over ODPCP Exercises

Components of ADEC Discretionary Authority	Regulation citation
The department may conduct announced and unannounced discharge exercises, to assure the ODPCP is <u>adequate in content and execution</u> .	18 AAC 75.485(a) 18 AAC 75.565(a)
No more than two exercises in each 12-month period will be required, unless an exercise demonstrates a plan holder's failure to implement the plan effectively.	18 AAC 75.485(a) 18 AAC 75.565(a)
Execution of a plan during a discharge exercise will be considered inadequate if the readiness for response and response performance stated in the plan are significantly deficient due to inadequate mobilization or performance.	18 AAC 75.485(b) 18 AAC 75.565(b)
If a plan holder cannot adequately execute the plan during a discharge exercise, the department will, in its discretion, require additional exercises until it is satisfied that the prevention and contingency plan and its execution are adequate.	18 AAC 75.485(c)(1) 18 AAC 75.565(c)(1)
If a plan holder cannot adequately execute the plan during a discharge exercise, the department will, in its discretion, take other appropriate action as described at 18 AAC 75.490 (or 18 AAC 75.570 for NTV).	18 AAC 75.485(c)(2) 18 AAC 75.565(c)(2)
Department staff will monitor, evaluate, or participate in the exercise and concur that it is equivalent to a discharge exercise conducted by the department. The plan holder is responsible to coordinate with the department.	18 AAC 75.485(d) 18 AAC 75.565(d)
The department will conduct announced or unannounced discharge exercises appropriate to the plan holder's current status of operations.	18 AAC 75.485(e) 18 AAC 75.565(e)

While defining ADEC discretionary authority, the regulations do not specifically require exercises. ADEC has discretion on the need for an exercise and the means in which it may assure an ODPCP is adequate in content and execution. ADEC may:

- Require the ODPCP holder to conduct exercises to demonstrate their capability to execute the ODPCP as a condition of approval;
- Require exercise commitments to be contained within an ODPCP as part of the facility exercise program or coincide with the facility's staff training program; and/or
- Conduct an announced or unannounced exercise as authorized by 18 AAC 75.485(a) and 18 AAC 75.565(a).

Although ADEC reserves the right to plan and conduct an announced or unannounced exercise of an ODPCP holder, under most circumstances, ADEC's preference is to work with the ODPCP holder to monitor, evaluate or participate in the facility's regularly scheduled training exercises. With proper coordination between the ODPCP holder and ADEC, these regularly scheduled training exercises may serve as equivalent to a discharge exercise conducted by ADEC (referred to as a 485 exercise).

## STATE STAFF ROLES AND RESPONSIBILITIES

ADEC is the lead State of Alaska agency responsible for oversight of industry ODPCPs. The Alaska legislature acknowledged that expertise from other state departments such as Alaska's Department of Fish and Game (ADF&G) and Department of Natural Resources (ADNR) would be needed to assist ADEC in this oversight role [AS 46.04.030(j), 18 AAC 75.455(h)].

For the specific purpose of determining whether an ODPCP is adequate in content and whether the facility owner or operator can implement an effective response, at ADEC's discretion, state staffing for specific exercise roles may be supplemented with personnel from other state agencies. To ensure State of Alaska's concerns and interests are communicated and represented, ADEC, ADNR, and ADF&G (or other state agencies as needed) work as a team to support and evaluate ODPCP exercises.

ADEC or other state agency personnel may participate in an exercise of an ODPCP holder in one of the following roles:

- ADEC ODPCP Reviewer
- ADEC Exercise Planner
- State Exercise Player
- State Exercise Evaluator
- ADEC Improvement Planner

ADEC will assign the appropriate number of state staff to fill these roles based upon the scope of the exercise. For a small equipment deployment drill, there may be one ADEC staff person filling all of these roles. In a complex full-scale exercise, ADEC may designate numerous state staff to exercise participant roles.

### *State of Alaska Roles*

#### *ADEC ODPCP Reviewer*

The ADEC ODPCP reviewer leads the review of the ODPCP to determine whether it includes all of the procedures and resources needed to respond to an oil discharge of any size, up to and including the facility's response planning standard (RPS) volume. The reviewer considers emergency procedures, personnel, training, equipment capacity, logistical support, the ability to protect environmentally sensitive areas, and the overall response scenario progression. The ADEC ODPCP reviewer also assures that the ODPCP and, by association, the exercise design and development is consistent with the *Alaska Federal/State Preparedness Plan for Response to Oil and Hazardous Substance Discharges/Releases* (Unified Plan) and the applicable Subarea Contingency Plan. The ADEC ODPCP reviewer usually serves as the ADEC exercise planner and ADEC improvement planner, or will provide support to staff functioning in those roles.

#### *ADEC Exercise Planner*

The ADEC exercise planner will be designated to participate in the exercise design and development process including development of the date of the exercise, scope, objectives, scenario, Master

Scenario Events List (MSEL), evaluation criteria, and coordination of ADEC and other state agency participation. The ADEC exercise planner is typically the same individual as the ADEC ODPCP reviewer. In keeping with HSEEP methodology, ADEC will assign an exercise planner that is able to make decisions for ADEC and the State of Alaska.

### *State Exercise Player*

In an oil spill response exercise, ADEC and other state agency staff will play in the Unified Command (UC) structure in virtually the same manner as they will participate in an actual oil spill response. ADEC will place state oil spill response and support staff within the Incident Management Team (IMT). In addition to the State On-Scene Coordinator (SOSC), ADEC priorities will be the Environment Unit (EU), Liaison Officer (LO), and Joint Information Center (JIC). After that, ADEC will supply as many state support staff as the incident scenario dictates. For an IMT exercise, ADEC will place state personnel in as many IMT Sections as possible in consideration of the objectives and impact to state interests.

State exercise players will augment the response during the exercise. The goal is to increase the value of the exercise for all parties.

ADEC's participation in the exercise and the purpose of augmentation is twofold:

1. ADEC has a regulatory function to oversee response effectiveness;
2. ADEC's goal for state staff players is to be actively engaged within the response structure and to provide guidance and assistance as needed and in a manner that elevates the effectiveness and success of the exercise for all participants.

It is important to understand that ADEC exercise players will not work at the direction of the ODPCP holder or their representatives and contractors. For example, the state exercise players assigned to an IMT Section or Unit will not fill the roles and responsibilities of the ODPCP holder. The ODPCP holder has an obligation to be capable of fully staffing each IMT Section or Unit as described in their approved ODPCP. State staff will work closely with the ODPCP holder to provide support and assistance in order to maximize the overall success of the exercise. To the greatest extent possible, our goal is to be a full partner in an oil spill response exercise as in an actual response; we will work to ensure the plan holder is clearly informed about issues of state interest and concerns the SOSC may have sooner rather than later. For example, state EU staff will provide the guidance, feedback, and support needed to ensure the success of developing and/or implementing a sensitive area protection plan while refraining from actually doing the work required of trained and capable ODPCP holder staff members.

While state staff exercise players are working with IMT Sections or with players in the field, they will also take note of when their assistance is beyond that expected of a trained and fully functioning IMT or field response. State staff exercise players will contribute to the final evaluation and After Action Report (AAR) developed with the exercise evaluation team (see a description of ADEC's role as exercise evaluators below). State player observations will be considered in ADEC's evaluation.

### *State Exercise Evaluator*

In keeping with HSEEP methodology, ADEC will assign state staff to the role of exercise evaluator. State exercise evaluators have responsibilities that are distinct from exercise players. Evaluators will evaluate the overall exercise (or IMT role or field unit, as assigned) based on agreed upon objectives, evaluation criteria, and critical tasks established during the exercise planning phase.

ADEC and other state staff that contribute to the exercise evaluation will focus on whether or not the ODPCP holder has demonstrated that the ODPCP is adequate for the exercise scenario and whether the ODPCP holder has demonstrated they are adequately trained and capable to implement the ODPCP. In summary, this means that the ODPCP holder is capable of activating and establishing the response organization, developing key objectives and a strategic approach, and deploying tactics effectively to control, contain and clean up discharged oil with identified plan resources.

### *ADEC Improvement Planner*

The lead ADEC improvement planner is typically the same individual as the ADEC ODPCP reviewer, (who also typically serves as the ADEC exercise planner). Exercises are evaluated on the ability of the ODPCP holder to meet the exercise objectives and the ODPCP holder's ability to effectively respond based upon ODPCP commitments. After the evaluation phase concludes, the lead ADEC improvement planner will collect data from various resources, draft an exercise evaluation letter and ensure its review by the ADEC Unit Manager and SOSOC for concurrence before sending to an ODPCP holder.

The various resources that the ADEC improvement planner may use include evaluation reports based on exercise evaluation of objectives, ADEC participant and evaluator feedback, and ADEC exercise lessons-learned debriefs and notes. ADEC shall document recommendations for improvement and any compliance issues that may need to be addressed in an exercise evaluation letter provided to the ODPCP holder. To assure effective preparedness improvement, as well as ODPCP compliance, corrective actions identified during individual exercises are tracked by the ADEC improvement planner to completion. For more information regarding improvement planning, please refer to the Improvement Planning section towards the end of the Guidance.

### *Scalable Participation and Evaluation*

In all cases, the numbers of state personnel that participate to fill roles are scalable. ADEC and other state staff will participate at levels that are appropriate to the scope of the exercise, whether the exercise is a drill or a full-scale exercise. The limiting factors for state participation in an oil spill response exercise that an ODPCP holder intends to "count" for a 485 exercise include:

- whether scheduling has occurred in a timely manner; and,
- the level of ADEC's involvement in exercise planning.

For ADEC initiated exercises, state staffing of the IMT, field, and evaluation roles will be appropriate for the exercise scenario.

During an oil spill response exercise, ADEC has a regulatory function to oversee a regulated facility owner's or operator's capability to carry out the ODPCP, but equally important is ADEC's goal to increase the value of an exercise for all parties by providing guidance and assistance as needed.

In summary, the key points for ADEC and state agency exercise participation includes:

- State agency personnel will not work for the ODPCP holder or for the Federal On Scene Coordinator (FOSC). State staff will work in partnership with their local and federal agency counterparts and the ODPCP holder to facilitate efficient exercise planning and execution, represent state interests, and achievement of UC objectives.
- ADEC will not staff a parallel IMT structure. ADEC will staff positions that provide value and a means of ensuring SOSC priorities are successfully addressed in the exercise and appropriate state support is provided to achieve UC exercise objectives.
- Provide state evaluator(s) for the exercise evaluation team. Evaluate the adequacy of the ODPCP and the operator's ability to implement it. ADEC exercise players provide input into the evaluation from the perspective of whether the response was effective and whether it aligns with the approved ODPCP.
- State UC staff are to evaluate the ability of the ODPCP holder to respond to the scenario as they would in a real event.

## HOW PREP AND ADEC'S EXERCISE PROGRAM INTERACT

ODPCP holders in Alaska must meet oil spill response exercise requirements for federal regulatory agencies as well as those for ADEC. While federal compliance is not the focus of this Guidance, ADEC recognizes that there are parallels between state-regulated and federally-regulated facility response exercise obligations. These parallels present opportunities for ODPCP holders to coordinate their exercise program to meet both state and federal exercise obligations. ADEC strongly supports and encourages ODPCP holders to do this, as the benefits are many. Such efforts reduce the number of exercises imposed on ODPCP holders; reduce the cost of exercises for ODPCP holders, state and federal agencies, local governments, and other stakeholders; and, improve overall exercise and response coordination statewide.

To meet federal oil pollution response plan exercise obligations, federally-regulated facilities often choose to use National Preparedness for Response Exercise Program (PREP) Guidelines. "PREP Guidelines are the result of a unified federal effort developed by the U.S. Coast Guard (USCG), the Environmental Protection Agency (EPA), the Pipeline and Hazardous Materials Safety Administration (PHMSA), and the Bureau of Safety and Environmental Enforcement (BSEE) to provide a mechanism for compliance with federal exercise requirements under the Oil Pollution Act of 1990 (OPA 90)." (USCG, 2016, p. 1-1) Although many regulated facilities maintain compliance with PREP to satisfy federal agency-specific response exercise regulations, PREP is a voluntary program, and regulated operators may elect to establish their own exercise program in lieu of it. PREP Guidelines are intended to represent the minimum requirements for ensuring adequate response preparedness. Distinctly stated within PREP, "If government, industry, or plan holders desire to expand their exercise programs beyond the PREP Guidelines, they are highly encouraged to do so." (USCG, 2016, p. 1-1)



ADEC's Oil Spill Response Exercise Program builds upon most aspects of the PREP Guidelines to assure the validity of State of Alaska approved ODPCPs. Table 2 presents PREP plan holder exercise types (USCG, 2016, p. 2-1) that may align with, and be expanded upon to address, an ODPCP holder's response obligations. The successful completion of an exercise is fully dependent upon coordinated exercise planning with ADEC ODPCP reviewer(s).

Table 2: Potential Alignment Opportunities for PREP and ADEC 485 Exercises

PREP Exercise Type	485 Exercises (565 for NTVs)	Notes and Recommendations
QI notification exercises	May partially satisfy state requirements	ADEC expects a broader stakeholder notification process inclusive of state agency resources trustees.
Remote assessment and consultation exercises for vessels	ADEC does not require this exercise type	ADEC recognizes that use of a vessel assessor is specific to USCG planning requirements. Not a response planning component under 18 AAC 75. Outside ODPCP scope.
Emergency procedures exercises for vessels	May satisfy state requirements	Coordinate with ADEC ODPCP reviewer to ensure exercise will be scaled to satisfy 485 needs as well as PREP requirements.
Emergency procedures exercises for facilities	May partially satisfy state requirements	Coordinate with ADEC ODPCP reviewer to ensure exercise will be scaled to satisfy 485 needs as well as PREP requirements (e.g., the exercise may be scaled to address a full 485 Response Planning Standard (RPS) scenario).
IMT exercises	May satisfy state requirements	Coordinate with ADEC ODPCP reviewer to ensure exercise will be scaled to satisfy 485 needs as well as PREP requirements (e.g., the exercise may be scaled to address a full 485 RPS scenario).
Vessels - shore-based salvage and marine fire-fighting management team exercises.	ADEC does not require this exercise type	ADEC recognizes that planning and preparedness for vessel salvage or fire-fighting is specific to USCG requirements. This planning component is outside the ODPCP scope under 18 AAC 75.425 or 18 AAC 75.426.
Equipment deployment exercises	May satisfy state requirements	Scaled appropriate to the facility and include strategies and tactics described in the ODPCP, up to and inclusive of the RPS scenario.
Government Initiated Unannounced Exercise (GIUE)	May satisfy state requirements	ADEC supports the use of unannounced exercises as a tool for assessing response readiness. ADEC tends to use this tool sparingly and will jointly conduct unannounced exercises with agency partners.

To receive recognition for completion of a 485 exercise, ADEC staff *must* be included in all phases of the exercise planning cycle, including the design and development, conduct, evaluation, and improvement planning phases. ADEC staff participation in the exercise planning process allows for the inclusion of specific ODPCP response obligations in an exercise in addition to federal PREP requirements. This can be done by building upon the PREP core components to meet ADEC requirements.

ADEC staff must be provided sufficient notice to participate in the first planning meeting of a 485 exercise (see scheduling section below for recommended timeframes). Figure 1 provides a general comparison of key components of PREP and ADEC's 485 processes.

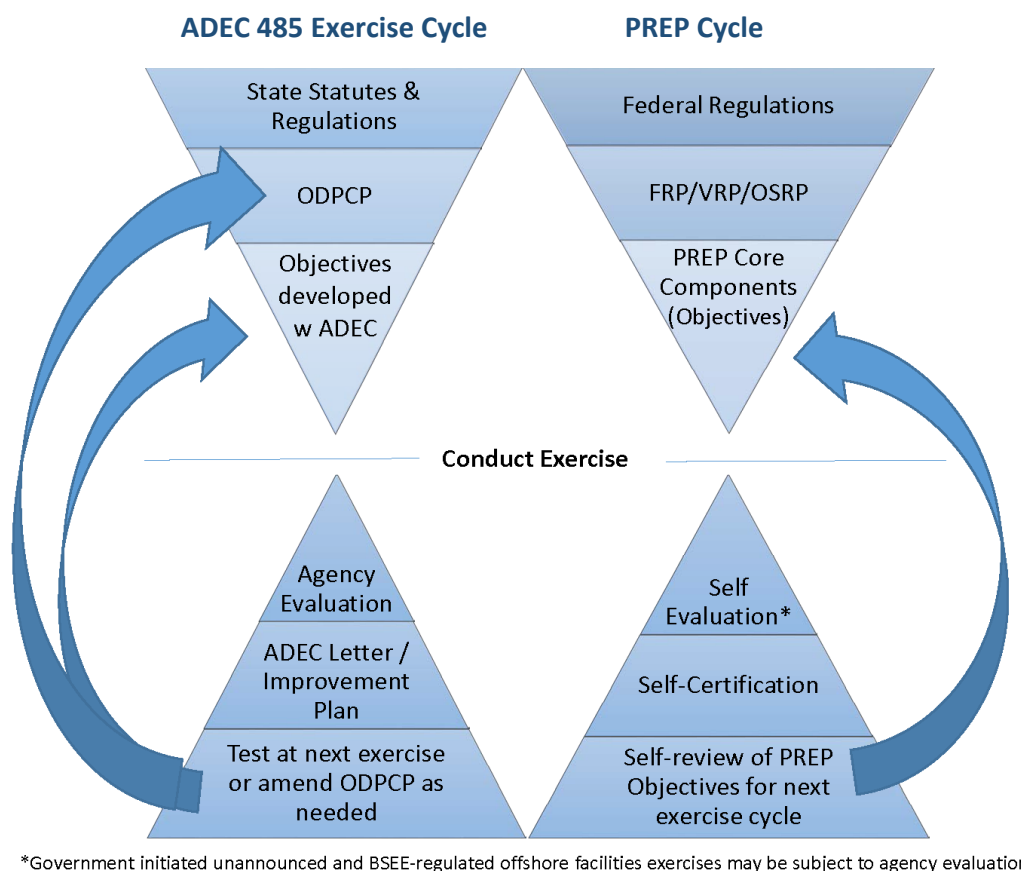


Figure 1. Comparison of key components of ADEC's 485 and the PREP exercise cycles

## HOW AND WHEN TO SCHEDULE EXERCISES

As noted in regulation, ADEC will consider an ODPCP holder's regularly scheduled training exercise as meeting state requirements if ADEC considers it equivalent to an exercise they would initiate (i.e., a 485 exercise). The first step to have the training exercise be considered equivalent to an ADEC initiated exercise, is to provide ADEC the opportunity to participate in exercise planning process. To ensure ADEC participation, it is essential that ODPCP holders notify ADEC of their intent to conduct an exercise well in advance. This includes coordinating ADEC participation in the first exercise planning meeting, which is essential to ensure appropriate ADEC personnel will be available and to make full use of the exercise opportunities. Exercises should also be scheduled at a time of year that corresponds to the exercise scenario and scope. For the purpose of validating the plan, this may be a critical consideration when field deployment is included as part of the exercise scope.

The needed planning period for an exercise is dependent upon the scale and complexity of the exercise method. ADEC's use of operations-based exercise for 485 exercises is discussed within the Exercise Methods section of this Guidance document.

The typical HSEEP planning periods projected for operations-based exercise methods are as follows:

- Drill: 2-4 months
- Functional exercise: 6-9 months
- Full-scale exercise: 6-12 months

### *ADEC Exercise Scheduling Tool*

ADEC has created an exercise schedule that is posted on the Spill Response Exercises webpage: <http://dec.alaska.gov/spar/ppr/prevention-preparedness/exercises/schedule/>. The scheduling tool serves to allow exercise planners to proactively schedule exercises, and to raise awareness of when oil spill response exercises are occurring to avoid scheduling multiple exercises on the same day.

There are several steps to coordinating with ADEC to schedule an ODPCP holder exercise:

1. The ODPCP holder will initiate the exercise scheduling process by notifying their ADEC ODPCP reviewer of the proposed date.
2. The ADEC ODPCP reviewer and ODPCP holder will discuss the date in relation to the scope of the exercise to ensure it will be conducted at the best time of year to accomplish the anticipated exercise objectives.
3. The ADEC ODPCP reviewer will determine if there are any exercises already on the schedule and notify the ODPCP holder of any conflicts.
4. Once a tentative date is agreed upon, the ADEC ODPCP reviewer will ensure the date, location, and exercise type is included on ADEC's web-based exercise schedule.
5. The ADEC ODPCP reviewer will manage any changes in date, location, or exercise method and ensure the schedule is updated accordingly.

### *ADEC Unannounced Exercises*

ADEC may conduct an unannounced exercise to test a specific portion of the ODPCP. Unannounced exercises will not appear on the exercise schedule. ADEC may choose to work with someone from the ODPCP holder's organization as a trusted agent to coordinate the exercise. A trusted agent is an individual on the exercise planning team that is trusted to not inform the players of the exercise or scenario.

## Exercise Methods

The main objective of every ADEC recognized 485 exercise is to validate the ODPCP (i.e., to ensure the ODPCP holder can demonstrate response capability). There are two broad categories of exercise methods described in HSEEP, namely discussion-based and operations-based methods. The operations-based exercise methods are the applicable means for ADEC to meet the main objective for a 485 exercise.

**Operations-based exercises are action-oriented and are characterized by an actual reaction to an exercise scenario.**

Operations-based exercises include drills, functional/tabletop exercises, and full-scale/combined IMT and field exercises, further detailed below. These exercise methods provide opportunities to assess an ODPCP inclusive of its relevant policies, agreements, strategies and tactics, response roles and responsibility capabilities, and to identify resource gaps. Exercises conducted to validate the ODPCP also provide valuable opportunities for improvement.

### DRILLS

A drill is a coordinated, supervised activity usually employed to validate a specific function or capability. Drills are commonly used to test new equipment, validate procedures, or practice and maintain current skills. For example, a drill may be used to test the notification procedures within an ODPCP or to verify an exclusion booming tactic to protect a sensitive shoreline resource. A drill is useful as a stand-alone tool, but a series of drills can be used by ADEC or an ODPCP holder to prepare for a full-scale exercise.

### FUNCTIONAL/TABLETOP EXERCISES

Commonly referred to as a tabletop exercise by ADEC and the Alaska Spill Response Community, functional exercises are designed to validate capabilities, multiple functions and/or sub-functions, or interdependent groups of functions. Functional exercises are typically focused on exercising an ODPCP holder's IMT, who are critical to the management, direction, command and control functions of oil spill response. In a functional exercise, events are projected through an exercise scenario with event updates that drive activity typically at the management level. A functional exercise is conducted in a realistic, real-time environment; however movement of personnel and equipment is usually simulated.

Functional exercise controllers typically work to ensure participant activity remains within predefined boundaries and ensures the exercise presents opportunities for players to play against the objectives. A MSEL (see glossary) may be used to guide controllers. Simulators (i.e., role players) in a Simulation Cell (SimCell or Truth) can inject scenario elements to simulate real events (i.e., injects). The purpose of a simulation or inject is to present opportunities for exercise players to meet the exercise objectives.

## FULL-SCALE/COMBINED IMT AND FIELD EXERCISES

Full-scale exercises, combining resources from both the IMT and the Field, are typically the most complex and resource-intensive exercise method. They may involve stakeholders that include multiple organizations and regulatory agencies, both state and federal. A full-scale exercise can serve to validate many facets of preparedness and may be held to test an ODPCP across the breadth of an ODPCP holder's commitments. They often include many players operating in the IMT or UC.

In a full-scale exercise, events are projected through an exercise scenario with scenario element updates to simulate real events (injects) that drive activity at the operational level. Full-scale exercises are usually conducted in a real-time, stressful environment that is intended to mirror a real incident. Personnel and resources may be mobilized and deployed to the scene, where actions are performed as if a real incident had occurred. The full-scale exercise simulates reality by presenting complex and realistic problems that require critical thinking, rapid problem solving, and effective responses by trained personnel.

The level of support needed to prepare for, and conduct, a full-scale exercise is greater than that needed for drills or functional exercises. The exercise site is usually large and site logistics require close monitoring. Safety issues, particularly regarding on-scene/in-field oil spill response equipment operations, must be monitored. Throughout the duration of the exercise, many activities occur simultaneously.

## OTHER EXERCISE METHODS

To ensure their organization can effectively respond consistent with the facility's state-approved ODPCP, ODPCP holders must have internal training programs. Internal training programs include training exercises. While training exercises do not meet the intent of an ADEC 485 exercise (see glossary), ADEC does value other training opportunities both for industry as well as for state staff. ADEC appreciates opportunities for ADEC staff to participate in other training exercises when requested by an ODPCP holder.

HSEEP's training framework includes a step-by-step progression of exercises inclusive of a range of discussion-based exercises. Typically focusing on strategic, policy-oriented issues, these discussion-based exercises can be used to familiarize players with, or develop new, plans, policies, agreements and procedures. In discussion-based exercises, facilitators and/or presenters usually lead the discussion, keeping participants on track towards meeting the activities objectives. HSEEP provides detailed information on incorporating discussion-based exercises into training programs.

ADEC encourages all ODPCP holders to consider HSEEP concepts and principles when developing oil spill response exercise training programs. While discussion-based exercises do not meet ADEC 485 exercise requirements due to their non-demonstrative format, ODPCP holders may choose to use them as part of their internal training programs. Within the confines of an ODPCP holder's regulatory obligations, there may be other types of exercises which may be constructed to meet ADEC 485 exercise requirements. While ADEC encourages innovation and improvement in development of these other exercise methods, coordination and approval from ADEC is required to assure 485 exercise criteria is met.



## The Exercise Planning Process

The HSEEP exercise planning methodology provides a consistent approach to planning and conducting oil spill response exercises. A primary benefit to ADEC is the ability to scale the methodology to the wide range of regulated operations (e.g., from small tank farms, crude oil tank vessels, to oil exploration and production facilities). While ADEC does not expect each step of each phase to be applied to every operator, application of the methodology should be coordinated with the ODPCP reviewer.

HSEEP's flexible, scalable, and adaptable methodology consists of four separate phases: exercise design and development, conduct, evaluation and improvement planning as depicted in Figure 2.

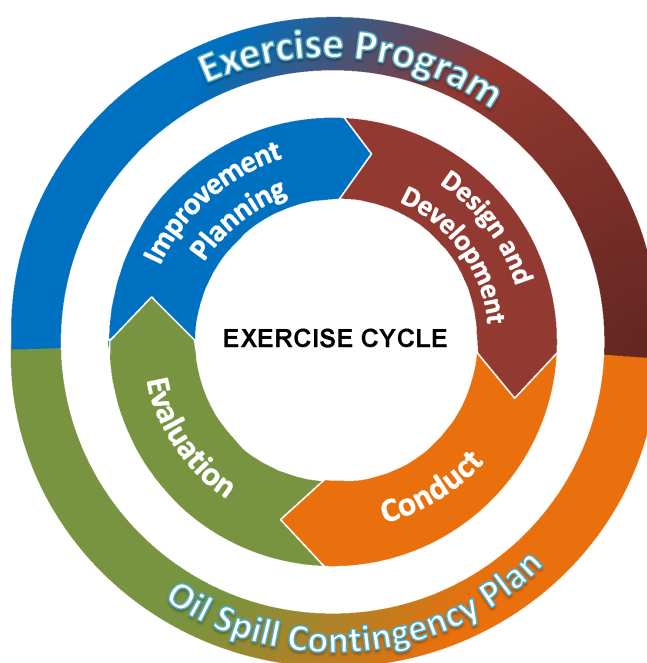


Figure 2. Exercise Planning Cycle, adapted from HSEEP 2013.

Each phase of HSEEP's exercise planning cycle methodology, adapted for 485 exercise application, is summarized in the following paragraphs. Each phase is discussed in additional detail within the following sections of the Guidance.

### *Exercise Design and Development*

In designing and developing an oil spill response exercise, exercise planning team members are identified and planning team meetings are scheduled. During the meetings, the planning team will identify and develop exercise objectives, design the scenario, develop evaluation criteria, create documentation, plan exercise conduct and evaluation, and coordinate logistics.

*Exercise Conduct*

After the design and development activities are complete, the exercise play is ready to begin. Within the conduct phase of the exercise cycle, essential activities includes briefing participants for exercise play, managing exercise play, and conducting immediate exercise wrap-up activities.

*Exercise Evaluation*

Evaluation is critical to an exercise that is used to validate an ODPCP. The exercise evaluation must be considered throughout all phases of the exercise planning cycle, beginning with the exercise planning team meetings to establish objectives and initiate exercise design. Effective evaluation assesses performance against exercise objectives, and identifies and documents strengths and areas for improvement relative to specific ODPCP oil spill response capabilities.

*Improvement Planning*

During the improvement planning phase, the evaluation team analyzes data, observations, recommendations, and identifies any corrective actions identified during an individual exercise. The corrective actions must be tracked to completion or resolution, to ensure that the exercise results in preparedness improvements.

## EXERCISE DESIGN AND DEVELOPMENT

*Design Phase*

The design phase lays the foundation for development of the exercise. It is the first step in planning an exercise, it sets the parameters for subsequent phases and is essential to the overall success.

The design phase includes the following steps:

- Establish exercise planning team
- Set objectives
- Determine scope (i.e., size, exercise method, date, duration, participant level)
- Create a scenario to assess the objectives
- Develop Exercise Evaluation Guides (EEGs) and supporting documentation, processes and systems to be used in the evaluation, control and simulation
- Obtain necessary approvals

**For all exercises, the design process should follow the same steps but be scaled to align with the scope of the exercise.** The exercise joint planning team, including the ADEC exercise planner, will coordinate during the process to align exercise design and development efforts.

*Exercise Joint Planning Team*

The exercise joint planning team (planning team) is responsible for exercise design, development, conduct, and evaluation. The planning team should be comprised of representatives from the ODPCP facility; ADEC or other state agencies; the USCG, EPA, or other federal agencies; or local stakeholders [such as Regional Citizen Advisory Councils (RCACs)], as appropriate. The planning team may be expanded to include subject matter experts to provide expertise for objective and

scenario development and exercise evaluation. Support agencies and organizations should be included as necessary throughout the planning process.

The ODPCP holder will normally assume the role of lead exercise planner. The lead exercise planner is responsible for the overall management of the exercise tasks across the whole process. The size of the planning team will be dependent upon the scale of the exercise and the exercise method. For a small equipment deployment or notification drill, all the planning tasks may be addressed by one or two people. In a complex full-scale exercise, the planning team may consist of 10 or more people. Table 3 identifies several fundamental considerations for planning team selection and discussion points for kick-off of an exercise planning process.

Table 3: Exercise Joint Planning Team Key Considerations

Item	Key Considerations
1	ADEC must be invited to participate in the first exercise planning meeting in order for the exercise to be considered a 485 exercise.
2	All core exercise planning team members should be able to make decisions for their organization.
3	If avoidable, planning team members should not participate as players in the exercise, however they may serve as evaluators (examples of exceptions to this include drills of limited scope or scale and functional exercises where one staff person from ADEC and the ODPCP holder are sufficient for exercise evaluation).

### *ADEC Exercise Planner Roles and Responsibilities*

The ADEC exercise planner should be the ADEC ODPCP reviewer for the ODPCP being exercised. The ADEC exercise planner role and responsibilities include:

- Work with the planning team to develop the exercise date, scope, objectives, scenario, and evaluation criteria in consideration of the specific ODPCP being exercised.
- Incorporate any conditions of approval, past exercise recommendations and lessons learned for the ODPCP being exercised. ADEC may need to add objectives and evaluation criteria to the planning effort to address specific ODPCP components.
- ADEC will not delete objectives but if it is applicable to an ODPCP component, ADEC will need to agree to the evaluation criteria.
- Coordinate and ensure the number of evaluators and state participants needed to right-size state participation to the scope of the exercise.
- Coordinate state participant training or briefing needs as appropriate
- Prepare ADEC evaluators and controllers (if needed) for the exercise
- Finalize ADEC specific document preparation [i.e., EEG, ADEC staff feedback forms and other supporting documentation for the exercise].

ADEC exercise participants will be assigned to the exercise by the State On-Scene Coordinator (SOSC) or their designee. An SOSC may delegate these duties as needed.

### *Planning Team Meetings*

This section summarizes the types of planning meetings most useful in exercise design and development phases (reference Table 4). For each of the planning meetings that are identified in

Table 4 and summarized in the following paragraphs, HSEEP provides detailed descriptions of each meeting including: the meeting’s general discussion points, useful tools, expected meeting outcomes, and additional follow-up as needed. Access to HSEEP for further meeting information is available online at <https://www.fema.gov/media-library/assets/documents/32326>.

The planning team lead and/or planning team members will decide the type and number of planning meetings needed for a given exercise. The meetings are scalable based on the scope of the exercise. For the smallest of exercises, the exercise may be able to be planned in one meeting. Larger exercises may need many additional meetings to complete tasks such as developing objectives, and evaluation criteria.

Table 4: Useful Planning Meetings during Exercise Design and Development Phases

Meeting	Focus
Concepts & Objectives ( <b>optional</b> , typically for complex exercises)	Develop scope and objectives
Initial Planning	Refine scope and objectives and develop scenario, evaluation criteria, and other planning activities
Midterm Planning	Refine scenario, trajectories, evaluation criteria, conduct site visit and any other planning activities
MSEL including injects ( <b>optional</b> , typically for complex exercises)	Develop MSEL
Final Planning	Final review planning activities and ensure logistics are set

### Concept and Objective Team Meeting

#### *Primary Focus Summary<sup>2</sup>*

A concepts and objectives meeting is the formal beginning of the exercise planning process. It is held to develop the scope and objectives of the exercise. A concepts and objective meeting helps planners determine: the exercise priorities to be addressed based on ADEC and ODPCP holder priorities; design objectives based on those priorities; align exercise objectives to ODPCP validation and improvement planning needs; and, identify additional exercise planning team members.

The exercise planning team, including the ADEC exercise planner, will attend concepts and objective meetings along with any subject matter experts needed to develop the scope and objectives of the exercise.

**For less complex exercises, a concepts and objective meeting can be conducted in conjunction with the exercise planning team’s initial planning meeting.**

<sup>2</sup> Reference HSEEP, pp 3-4 and 3-5 for additional information.

### Initial Planning Team Meeting

#### *Primary Focus Summary*<sup>3</sup>

An initial planning team meeting should be conducted for all exercises regardless of whether a concepts and objectives meeting is held. The purpose of this meeting is to determine and refine the exercise scope, objectives, evaluation criteria, and documentation needed to support exercise conduct and evaluation.

**During an initial planning team meeting, planning team members are assigned exercise design and development tasks related to their specific area of responsibility and expertise.**

### Midterm Planning Team Meeting

#### *Primary Focus Summary*<sup>4</sup>

Midterm planning meetings provide additional opportunities to engage the planning team and to settle logistical and organizational issues that may arise during exercise planning.

During a midterm planning meeting, exercise organization, the scenario, evaluation criteria, timeline development, scheduling, logistics, and administrative requirements are discussed. The meeting is held to review draft documentation and may also be used to develop a scenario timeline and scenario injects (MSEL) as time allows.

**For more complex exercises, a separate meeting may be held to develop a MSEL and scenario injects as discussed below.**

### Additional Planning Team Meetings and/or MSEL Meeting

#### *Primary Focus Summary*<sup>5</sup>

The MSEL meeting focuses on developing the MSEL, which is a chronological list that supplements the exercise scenario with event synopses, injects, expected participant responses, objectives to be addressed, and associated responsible personnel (players and simulators). It includes specific scenario events (or injects) that prompt responders to implement the plans, policies, procedures, and protocols that require testing during the exercise. It also records the methods that will be used to provide injects (e.g., phone calls, radio calls, email, etc.) that may be used to initiate player action.

**For more complex exercises, one or more additional planning meetings or MSEL meetings may be held to review the master scenario timeline, simulations, and injects. If not held separately, topics typically covered in a separate MSEL meeting can be incorporated into a midterm planning meeting or the final planning meeting.**

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<sup>3</sup> Refer to HSEEP, pp 3-5 and 3-6 for additional information.

<sup>4</sup> Refer to HSEEP, p 3-7 for additional information.

<sup>5</sup> Refer to HSEEP, p 3-8 for additional information.



## Final Planning Team Meeting

### Primary Focus Summary<sup>6</sup>

**A final planning meeting is the final opportunity for reviewing exercise processes and procedures by the planning team.**

To ensure that all elements of the exercise are ready for conduct, a final planning meeting should be conducted for all exercises. Prior to meeting, the exercise planning team will receive final drafts of all exercise materials. No major changes to the exercise design, scope, or supporting documentation should take place at, or following, the final planning meeting. The final planning meeting ensures that all logistical requirements have been met, outstanding issues have been identified and resolved, exercise packets are ready for printing, and evaluators have been identified and assigned.

### Exercise Scope

Determining exercise scope is about sizing the exercise to meet the objectives while taking into consideration and balancing the resources and personnel constraints of the ODPCP holder, ADEC, and other organizations participating in the exercise.

The first step in delineating the exercise scope is determining what exercise method is appropriate. If the overarching objective of the exercise is to evaluate an ODPCP holder's notification procedures, a functional/IMT tabletop exercise may be the best choice. If the overarching objective is to test a specific piece of spill response equipment, a drill may be the best choice.

Key elements that should be considered in determining the scope of the exercise include the following:

- Aspects of the ODPCP that will be tested during the exercise
- ODPCP holder and/or ADEC priorities
- Exercise method
- Participation level
- Exercise duration
- Exercise location

Using these considerations as a guide, exercise planners should be able to determine the exercise method that is appropriate for testing the ODPCP and other exercise parameters, such as what should be included in the exercise scenario and what should not be exercised.

### Exercise Objectives

For ADEC, the overarching objective of a 485 exercise is to assure that an ODPCP is adequate in content and execution, i.e., the ODPCP holder adequately demonstrates oil spill response capability up to and including the RPS volume. In general, any given exercise will not comprehensively assess an ODPCP holder's response capability, but rather focus on one or more component(s) of their

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<sup>6</sup> Refer to HSEEP, p 3-9 for additional information.

program. The planning team, inclusive of ADEC, shall incorporate a reasonable number of specific, measurable, achievable, relevant, and time-bound (SMART) objectives to serve as a foundation during the exercise design, conduct, and evaluation (FEMA, 2013). Objectives should consider lessons learned from past exercises and conditions unique to the facility.

The planning team should establish SMART objectives that can be measured and achieved in a given time frame. Table 4 presents HSEEP's SMART guidelines, modified for application during Alaska ODPCP holder 485 exercises. These guidelines are aligned with HSEEP's SMART approach.

Table 5: SMART Guidelines for 485 Exercise Objectives

SMART Guidelines for 485 Exercise Objectives	
Specific	Objectives should specifically address what needs to be done within the timeline for completion. Each objective should address the 'who, what, when, where, and why'.
Measurable	Objectives should establish a clear goal with an observable action or outcome. Objectives may also include descriptive measures that define the quantity and quality of successful completion.
Achievable	Objectives should be within the control, influence, and resources agreed to for exercise play and participant actions. Objectives should be aligned with the ODPCP holder obligations.
Relevant	Objectives should be integral to the demonstration of response capability of the ODPCP holder.
Time-bound	All objectives should incorporate specified and reasonable timeframes, in consideration of achievability.

In the development of objectives, the planning team may consider several points of interest. These may include regulatory commitments or requirements, areas that were previously identified as needing correction or improvement during previous exercises, or exercise obligations associated with ODPCP approval. Oil spill response exercise objectives must be established in alignment with the provisions of the Unified Plan and the applicable Subarea Contingency Plan.

Exercise conduct actions that are performed to meet the objectives must also be executed consistent with the Unified and applicable Subarea plan. For example, if an objective includes demonstrating the capability to complete a request for approval for aerial dispersant application, the procedures in the Unified Plan, Annex F, Appendix 1: *Oil Dispersant Guidelines* are to be followed during exercise conduct. Table 6 provides several example objectives for the operations-based exercise methods that ADEC may use for validation of an ODPCP.

### *Evaluation Requirements*

It is essential for the exercise planning team, inclusive of an ADEC exercise planner, to develop exercise evaluation criteria early in the exercise design process. Identifying evaluation requirements helps to guide the development of the exercise scenario and discussion questions. Evaluation requirements clearly articulate what will be evaluated during the exercise and how exercise play will be evaluated. An EEG should be used to document this information. (Reference the Appendix for an example EEG template.)

### Scenario Development

A master exercise scenario provides a written outline of the simulated event and its anticipated development over time. The master scenario may be written as a narrative or depicted by an event timeline.

Many exercise players from Alaska may consider ‘the scenario’ the information given at the start of play (i.e., description of the exercise spill and actions taken up to the start of the exercise). However, the spill description provided at the start of play is only a piece of the master scenario developed by the exercise planning team. During the exercise design and development phases, the exercise planning team must consider anticipated actions by the exercise players and agree upon the results of those simulated actions to further continued play. This ensures that an exercise is adequately simulated to allow player opportunity to meet an objective. The ultimate goal of the master scenario is to ensure that the players address an exercise objective.

Table 6: Example Objectives by Exercise Method and Response Component

Method	ODPCP Component	Objective Examples
Drill	Initial Response Actions	<ul style="list-style-type: none"> <li>• Response Team activated within specified time frame.</li> <li>• Notifications are made consistent with agency requirements.</li> <li>• Potentially affected stakeholders are notified.</li> <li>• Source control measures initiated within specified time frame.</li> <li>• Containment measures activated within specified time frame.</li> </ul>
Drill	Priority Protection and Recovery Tactics	<ul style="list-style-type: none"> <li>• Response team deploys deflection boom effectively and within specified time frame.</li> <li>• Oil collection boom and recovery skimmers are deployed and functional within specified time frame.</li> <li>• Oil storage is functional to facilitate on-going recovery operations as specified in ODPCP.</li> </ul>
Functional / Tabletop Exercise	Incident Management Team	<ul style="list-style-type: none"> <li>• Establish functional IMT and Unified Command within specified time frame.</li> <li>• Establish IMT and field communication capability within specified time frame.</li> <li>• Establish coordination with resource trustees.</li> <li>• Identify priority protection sites with agreed upon tactics within specified time frame.</li> <li>• Demonstrate liaison ability to engage with potentially affected communities and organizations within specified time frame.</li> </ul>
Functional / Tabletop Exercise	Operations / Logistics Sections	<ul style="list-style-type: none"> <li>• Demonstrate establishment of functional resource request process within specified time frame.</li> <li>• Demonstrate access to resources established in ODPCP and availability within specified time frame – use realistic mobilization and deployment times.</li> </ul>
Full Scale / Combined IMT and Field Exercise	May be scaled to full RPS scenario	<ul style="list-style-type: none"> <li>• Establish UC and IMT within specified time.</li> <li>• Demonstrate access to resources and functional capability of field response.</li> </ul>

The master scenario **SHOULD NOT** be provided to the exercise players. Players should receive an appropriate description of the spill incident and any initial actions that have occurred up to the start of the exercise. If the players are provided with the master scenario that is within the hands of the controllers, the elements of oil spill response decision making may lead to the exercise becoming more of a show than a true demonstration of capabilities. Exercise controllers have the important task and challenge of making sure that scenario information is made available to players in a timely and realistic manner, but not so much that it “scripts” the actions of the exercise players.

An ODPCP holder is obligated to assure that responders are adequately trained to respond to a spill should they have one. While an ODPCP holder may find it beneficial to conduct player refresher training in advance of a 485 exercise, especially for complex exercises, care must be taken to avoid revealing the master scenario.

The exercise planning team should select and develop scenarios that enable an exercise to assess objectives and responder capabilities. All scenarios should be realistic, plausible, and challenging. However, designers must ensure the scenario is not so complicated that it overwhelms the exercise players. Using the actual conditions of the day (i.e., weather and tides) is a more realistic and preferred way to run an exercise, unless achieving a particular objective requires a specific simulated condition.

The ODPCP should be referred to for potential scenarios, facility information, environmentally sensitive areas and to identify other areas of high socioeconomic value that need to be protected under scenario conditions. To validate an ODPCP holder’s response capabilities in different situations and environmental conditions, the scenarios should vary from exercise to exercise. The focus of an exercise scenario and its objectives may be to address past exercise lessons-learned or conditions that are unique to the facility (e.g., specific risk associated with the facility operations).

Scenarios should also be adequately descriptive and, optimally, contain a visual representation of the spill location and/or extent of the simulated spill. The complexity of the exercise should be scaled to the facility size and type and the agreed upon scenario. The scope of the scenario may address a spill of any size, up to and including the full RPS volume.

It is important for the exercise planning team not to prematurely focus on scenario development. The scenario purpose is to facilitate evaluation of an ODPCP holder’s capability to meet exercise objectives.

**The exercise planning team should refrain from developing the scenario until after the exercise scope and objectives have been developed.**

In summary, consider the following key elements in scenario development:

- The scenario, including the spill source and volume, should be scaled to facilitate the evaluation of the exercise objectives.
- Visual renditions of the simulated spill scenario are useful for exercise conduct initiation.

- Scenarios should include spill locations, estimated volumes, and a qualitative description of the simulated spill along with any technical details, (i.e., will detailed facility diagrams be needed?).
- Description of the source if source control is an objective.
- Use actual conditions of the day unless achieving a particular objective requires a specific simulated condition.
- Vary scenarios from exercise to exercise, incorporate past lessons learned, and address situations specific to the facility.
- The master scenario **SHOULD NOT** be shared with exercise players, however, exercise players should be provided:
  - An appropriate description of the spill itself to start the exercise (can be depicted visually).
  - Any actions that may have occurred up to the point of the start of the exercise, such as spill discovery and any source control actions.

An exercise planning team should consider the ‘Do’s and Don’ts provided in Figure 3 when designing an exercise scenario:

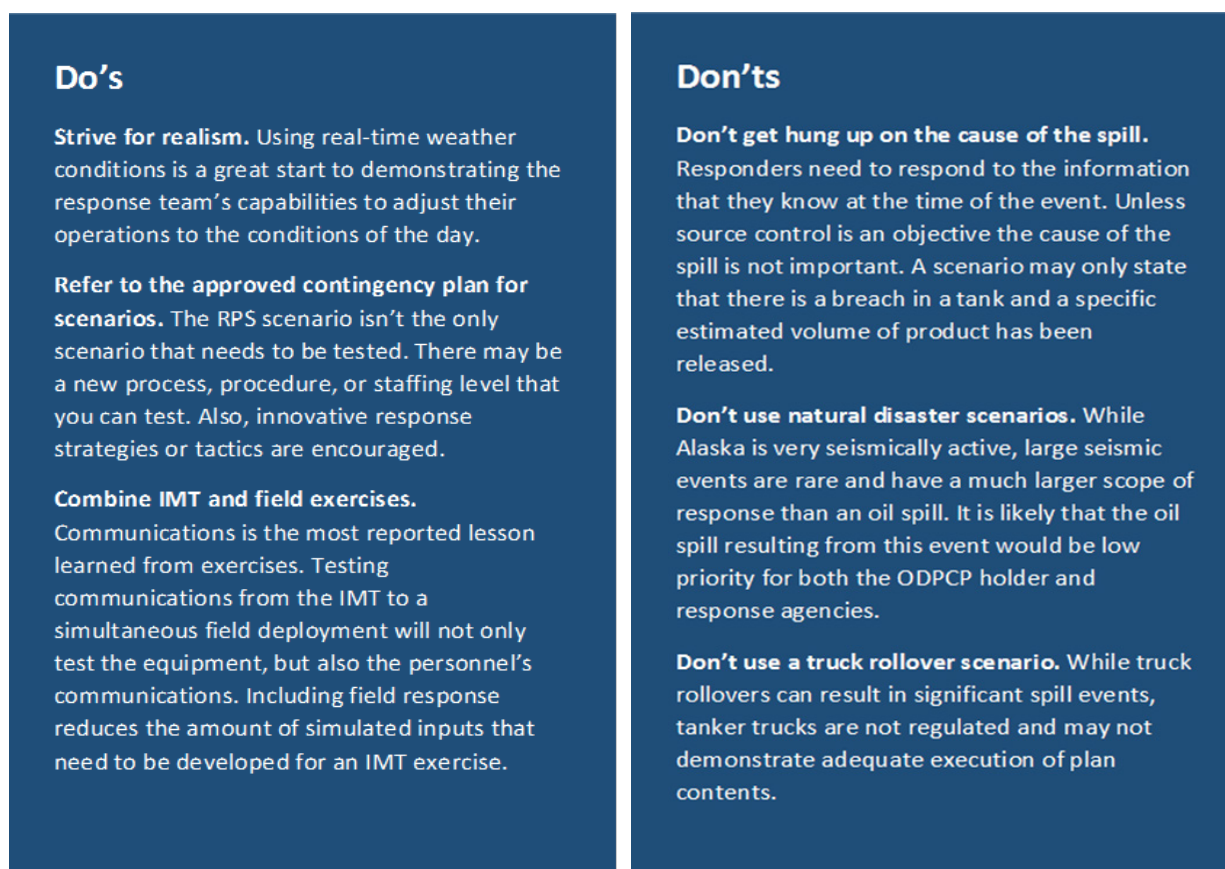


Figure 3. Exercise Scenarios Dos and Don'ts

### Exercise Documentation

Comprehensive, organized exercise documentation is critical to ensure that an accurate account of the exercise is preserved. Organizations, including ADEC, are able to leverage past documentation



to support future exercises and, more importantly, ensures that all critical issues, lessons learned, and corrective actions are appropriately captured to support improvement efforts. The documents identified within Table 7 are further detailed in the following sections.

Table 7: Exercise Design and Development Documents, Exercise Method, and Relevant User

Document*	Exercise Method	Relevant User
Exercise Plan	Drill, Functional, Full Scale	Players and Observers
Controller and Evaluator Handbook	Drill (Optional), Functional, Full Scale	Controllers and Evaluators
Master Scenario Events List (as warranted)	Drill, Functional, Full Scale	Controllers, Evaluators and Simulators
Exercise Evaluation Guides	Drill, Functional, Full Scale	Evaluators, Improvement Planners
Participant Feedback Form	All Exercises	All Participants

\*Documents complexity and substance should be scaled to align with the scope of exercise.

### Exercise Plan

The Exercise Plan provides general information about the exercise to all exercise participants. Since it is intended for all participants including exercise players, it does not contain master scenario information that may reduce the realism of the exercise. Players should review all elements of the Exercise Plan prior to participation.

An Exercise Plan typically contains the following sections, as applicable:

- Exercise scope and objectives
- Participant roles and responsibilities
- Rules of conduct
- Safety issues
- Logistics
- Security of and access to the exercise sites
- Communications
- Contact procedure for Simcell (truth)

### Controller and Evaluator Handbook

The Controller and Evaluator Handbook describes the roles and responsibilities of controllers and evaluators and the procedures they should follow, how exercise controllers communicate and coordinate with one another, and how they track exercise information. It may supplement the Exercise Plan or be a standalone document and typically contains the following sections:

- Assignments, roles and responsibilities of group or individual controllers and evaluators
- Detailed master scenario information (A MSEL may be used in complex exercises)
- Controller communications plan (e.g., a phone list, instructions for the use of radio channels)
- Evaluation instructions
- Exercise control structure

The planning team also develops controller and evaluator packets (which details controller and evaluator roles), providing, as warranted:

- MSEL, including injects and simulated events for each controller and evaluator
- Evaluation criteria for each exercise objective (EEGs)
- Maps and directions

### Preparation of the MSEL

A MSEL may be developed in the design phase to facilitate exercise play or to coordinate more complex exercises. The MSEL contains a chronological list of scripted events to generate activity or action to drive exercise play in support of the objectives. For example, a MSEL event may include an inject event to have controllers act as media or private citizens, driving the objective for players to establish a JIC and produce a unified and consistent message.

In general, MSEL development for an oil spill response exercise considers the master scenario and exercise objectives, simulated or actual events that are projected to occur in chronological order, a timeline of anticipated player actions, and identification of injects or simulations associated with the objective. Each MSEL 'event' entry (inject or simulation) should provide the following within the context of the scenario timeline:

- Designated scenario time for inject or simulation
- Event synopsis
- Controller responsible for delivering the inject, with controller or evaluator special instructions
- Intended player recipient of MSEL event
- Expected player response upon inject delivery
- Associated objective and / or critical task
- Notes Section to be used by controllers and evaluators to track events against those listed in the MSEL

### Exercise Evaluation Guides

EEGs are intended to help evaluators collect relevant exercise observations. Each EEG provides evaluators with information on what they should expect to see demonstrated or hear discussed. For more information, reference the Evaluation section EEG Development discussion within this Guidance and the example EEG template provided in the Appendix.

### Participant Feedback Form

At the end of an exercise, all participants should receive a participant feedback form that requests comment regarding various elements of the exercise. A participant feedback form is commonly used to assess exercise strengths and areas for improvement that participants may have identified. For an example participant feedback form that may be augmented for a specific exercise is provided in the Guidance Appendix.

## *Development Phase*

The exercise development phase involves preparing and planning for exercise conduct including the control, logistics, equipment, and materials needed. It also involves any training steps needed to prepare exercise evaluators and controllers.

### *Planning for Exercise Logistics*

The ODPCP holder plans and provides most of the logistical support necessary to conduct an exercise, such as preparing paperwork, planning for site access, preparing the incident command post, planning for participant transportation (as needed), and setting up for exercise control.

The level of logistical support that is needed for exercise conduct is dependent upon the scope and scale of the exercise. For example, a facility or room needed to conduct IMT or full scale exercises needs to be sufficient to support the number of anticipated exercise participants, along with needed audio or video equipment, communication equipment for participants, supplies, food or refreshments. Required security badging or identification required must be addressed well in advance of the exercise to ensure that this requirement will not hinder exercise conduct. Where applicable, transport and staging must also be planned for all participants.

The ADEC exercise planner participates in some exercise development tasks, being responsible for coordination and preparation of ADEC exercise participants. A summary of ADEC Specific Development Phase tasks for ODPCP holder led exercises include:

- Provide ODPCP holder with ADEC participant names
- Determine and facilitate logistics for ADEC participants (e.g., evaluator communications procedures, equipment needs such as radios, travel arrangements, participant lodging)
- Conduct pre-exercise briefing for all ADEC participants regarding ADEC expectations
- Ensure pre-exercise training, if warranted
- Provide participant packets
- Assure facility or site access and badging for participants as necessary
- Identify and communicate safety concerns or needs (e.g., PPE, emergency procedures)

### *Planning for Exercise Control*

As described in more detail under the Exercise Conduct section below, exercise control maintains the pace and direction of the exercise scenario.

To provide for continuity and efficiency in the exercise conduct and evaluation, the exercise joint planning team members should also serve as both controllers and evaluators. If these are the same individuals as the planning team members, there will be significantly less need to develop and provide special training for controllers or evaluators.

It is recommended that the controller team and the evaluator team makeup is consistent, e.g., include one representative each from the ODPCP holder, ADEC, and EPA or USCG (mirroring that of the joint planning team). The lead exercise planner typically serves as the lead exercise controller coordinating the scenario progression. Key elements of exercise control include controller safety and security, staffing, structure, training, and communications.

In exercise control, the use of a SimCell (or Truth) may be useful to deliver injects to players, receive player responses or inquiries, and provide other simulations as necessary to ensure alignment with the master scenario and facilitate player opportunity to meet the objectives. Physically, a SimCell is a working location from which controllers can monitor play and deliver injects and/or simulations in a realistic manner. Depending on the exercise method and scale, a SimCell may require a means of communication (e.g., a telephone, computer, e-mail account, radio).

For additional information on exercise control and developing a control structure that facilitates communication and coordination during the exercise, please refer to Chapter 3 of HSEEP.

### *Planning for Exercise Evaluation*

The exercise evaluation is dependent upon thorough planning and organization prior to an exercise. As described under the Design section above, the joint exercise planning team identifies exercise objectives and evaluation elements early in the exercise design process. And, as noted previously, there are significant benefits realized in the exercise conduct and evaluation when the joint planning team members also serve in controllers and evaluators roles.

During the exercise development phase, the evaluation team develops a comprehensive organizational approach and plan to support exercise evaluation (e.g., logistics, tools, and resources to conduct and evaluate the exercise). Additional discussion and information for coordinating evaluation planning can be found in the Evaluation section of this Guidance.

## CONDUCTING THE EXERCISE

Exercise conduct phase includes:

- Briefing participants
- Initiating the exercise
- Controlling the exercise, ensuring it remains within the exercise design and progresses in a manner to assess exercise objectives
- Evaluating the exercise against the objectives and ODPCP commitments
- Conclusion of the exercise including wrap up activities

### *Briefing Participants*

All exercise participants require an exercise briefing prior to the start of exercise play. Prepared participant packets or handouts, as applicable to the scope of the exercise, are useful to support and inform exercise participants. The lead exercise planner provides the exercise briefing just prior to the start of the exercise.

Provisions must be made for briefing participants at the same time if multiple locations are involved in an exercise as in a combined IMT and field exercise. In these situations, controllers assigned to these locations may ensure all participants are properly informed. The exercise ground rules for exercise play must be clearly communicated and all participants should be instructed to clarify and preface all in-play exercise communications with written or verbal **“This is a Drill”**.

At a minimum, the following topics should be addressed in an exercise briefing:

- Safety and security considerations for the exercise
- Ground rules for exercise play
- Roles and responsibilities of players
- Participating organizations and their roles
- Exercise communications and contact information

Additional briefings may be conducted for participants in advance of the exercise depending on participant needs and the scope of the exercise.

### *Starting Exercise Play*

After the exercise briefing, the lead exercise planner starts exercise play in a realistic manner, detailing the simulated spill, which should be pre-scripted as part of the scenario in advance of the exercise. Dependent upon the exercise method, and its scale and scope, exercise play may be started by means of a written (e.g., a player in the field is handed an inject) and/or verbal communication (e.g., full scale IMT exercise) or by a phone call (e.g., call out drill).

### *Exercise Control*

The purpose of exercise control is to maintain the pace and direction of the exercise scenario. Exercise controllers (SimCell or Truth), provide updated information on the simulated spill making different demands on the players being exercised. The purpose of an inject is most often to present a situation for players to address an objective.

Scaled to meet the needs of the exercise, exercise control may not always be needed. Complex functional/tabletop exercise play benefit from the use of a robust exercise control (SimCell or Truth). It is especially important for these exercises because of the amount of simulated activity that occurs. For exercises such as a drill, little or no control may be needed.

It is important that simulations and injects are developed in sufficient quantity and scope to drive and shape the exercise scenario: ultimately providing opportunity for the objectives to be met. To ensure the exercise does not stall or deviate from the scenario design parameters, the lead exercise controller and supporting controllers should gauge the flow of exercise information and injects to the exercise players and the activities of IMT Units. This also serves to keep players engaged and provide the ability to troubleshoot problems that may arise.

The exercise control structure will describe how exercise controllers communicate and coordinate with one another and how they track exercise information. These procedures, as well as clearly defined roles and responsibilities for each controller, should be detailed in the Control and Evaluation Handbook.

### *Evaluation of the Exercise*

During the exercise, each evaluator uses the EEGs prepared during the design and development phase to record both quantitative and qualitative data (i.e., effectiveness). The EEGs are developed to evaluate the critical tasks needed to achieve the exercise objectives. Ideally, the use of SMART

objectives that are specific, measurable, achievable, relevant, and time-bound will be useful in the evaluation.

Exercise players may inform an exercise evaluation and follow-up improvement planning through their observations and comment (see Exercise Evaluation section for more detail). State exercise evaluators, including the state exercise players, are specifically requested to provide evaluation on the effectiveness of an action taken to meet an objective.

### *Concluding Exercise*

The optimal time for an exercise to end is when the lead exercise controller and supporting exercise controllers and evaluators determine that exercise players have been provided sufficient opportunity to meet the exercise objectives. All participants should be informed of the conclusion of the exercise as timely and efficiently as possible.

### *Player Hot Wash*

A Hot Wash provides an opportunity for exercise participants to discuss exercise strengths and areas for improvement immediately following the conclusion of the exercise. It is important that the Hot Wash is conducted by an experienced facilitator to ensure the session is focused and constructive and remains brief. The information gathered during the Hot Wash may be used to inform the AAR and ADEC's Exercise Letter.

### *Debriefings*

Immediately following the exercise, a short debriefing should be conducted with exercise planning team members, evaluators and controllers to find out their level of satisfaction with the exercise and discuss any issues or concerns, and propose improvements. Notes from the debrief should be compiled by the lead exercise controller and distributed to the evaluation team members.

## EXERCISE EVALUATION

**Evaluating the exercise successfully is as equally important as conducting it successfully.**

The evaluation phase of the exercise cycle involves:

- Planning for exercise evaluation
- Observing the exercise
- Collecting exercise data during and shortly after exercise conduct
- Analyzing collected data to identify strengths and areas of improvement
- Prepare reports of exercise outcomes in a joint agency/ODPCP holder AAR and the ADEC Exercise Letter

Evaluation of an oil spill response exercise, including a 485 exercise, is the critical link between the exercise and continuous improvement. For all participating organizations, the exercise method, scale and scope should be considered when designating evaluators. There is a strong correlation between the assignment of knowledgeable evaluators in sufficient numbers and the value of the improvement planning phase.



ADEC role in exercise evaluation is focused on assuring the ODPCP is adequate in content and execution (i.e., the ODPCP holder demonstrates oil spill response capability). These priorities should be defined and communicated to the ODPCP holder, and incorporated into the exercise in the design and development phase.

### *Evaluation Planning*

It is important that evaluation planning begins during the initial planning phases of the exercise as described in the Exercise Design and Development Section. Identifying clear evaluation requirements early in the planning process will ensure that the design, development, and conduct phases support an effective exercise evaluation, and, ultimately, the improvement planning phase.

Exercise evaluation planning typically includes:

- Select evaluators and determine evaluation team requirements
- Review and finalize EEGs, which include critical tasks and objectives
- Recruit, train, and assign evaluators
- Develop and finalize evaluation documentation
- Conduct a pre-exercise evaluator/controller briefing

### *Evaluation Team*

Early in the exercise planning process, the lead exercise planner should appoint a lead evaluator to oversee all facets of the evaluation process. The lead evaluator participates fully as a member of the exercise planning team and should be familiar with the exercise objectives.

The exercise planning team and lead evaluator should determine the structure of the exercise evaluation team based on the scope of the exercise and the exercise objectives and critical tasks that will be evaluated during the exercise. The size of the evaluation team is scaled to the exercise needs. Realistically, small drills with limited scope may have a lead evaluator and possibly, one additional evaluator if needed.

The makeup of the evaluator team should mirror that of the planning team, which generally consists of one representative each from the ODPCP holder, ADEC, and EPA or the USCG. Additional evaluators, including any subject matter experts that may be added to the evaluation team based on the scope and objectives of the exercise. **It is highly recommended that all members of the exercise planning team serve as evaluators during exercise conduct. If the evaluators can be the same individuals as planning team members, there will be significantly less need to develop and provide special training for them and the entire exercise process will run more seamlessly.**

Ideally, the ADEC ODPCP reviewer serves as the ADEC exercise planner, the lead ADEC controller and ADEC evaluator (reference State Staff Roles and Responsibilities section). In these roles, the ADEC representative can efficiently address the evaluator planning tasks, which include:

- Ensure EEGs sufficiently address evaluation of ADEC priority objectives
- Identify ADEC evaluator needs
- Provide the ODPCP holder with a list of ADEC evaluator names

- Coordinate ADEC evaluator training with ODPCP holder as needed
- Coordinate ADEC evaluator logistics with ODPCP holder as needed
- Provide pre-exercise evaluator meeting for ADEC evaluators and all members of the evaluation team on ADEC expectations
- Ensure ADEC controllers and evaluators are provided the evaluation packet

The exercise planning team should determine the tools and documentation needed to support the evaluation team.

### *EEG Development*

EEGs provide a consistent tool to guide exercise observation and data collection. EEGs are aligned to exercise objectives and list the relevant player critical tasks to meet the objectives. EEGs should be developed to record such things as timeliness, quantity, quality, and effectiveness of player actions to meet established objectives. EEGs provide the evaluator with the critical information needed to effectively evaluate the exercise conduct and are designed to accomplish several goals, including:

- Streamline data collection
- Enable assessment of the player action to meet pre-established objectives
- Support development of AARs, ADEC Exercise Letters, and other improvement planning tools
- The exercise planning team should develop an EEG for each exercise objective

No matter the size of an exercise, an effective EEG should identify the:

- Exercise objective being exercised
- The critical tasks that the evaluator should observe/use to evaluate each objective
- The ODPCP section, policy, or procedure upon which the objective is based

### *Assign and Train Evaluators*

The planning team defines the evaluation team needs, including: the number, subject matter expertise, evaluator assignments, and the type of training or instruction that is needed. Evaluator assignments should be communicated to the evaluators in sufficient advance of the exercise. Additional evaluators may be added based on the exercise scope and need. As previously noted, efficiencies may be realized for the exercise if the planning team members also serve as evaluators (or lead evaluators).

Effective evaluator training ensures that exercise evaluators have a shared understanding of the key data that needs to be collected and how that data will contribute to the evaluation of the exercise. Evaluator training typically includes the following:

- General information about the exercise, including scope, objectives, scenario, and schedule
- Relevant evaluator documentation (e.g., Controller and Evaluator Handbook, EEGs)
- Specific ODPCP policies, procedures, agreements, or other information that are the focus of the exercise

### *Preparing for Evaluation Documentation*

Once the exercise scope, objectives and scenario have been defined and evaluation planning completed, the lead planner should finalize the evaluation section of the Controller and Evaluator Handbook or develop an exercise-specific Evaluation Plan.

These documents typically contain the following information:

- Exercise-Specific Details: Exercise scenario or MSEL, schedule of events, and evaluation schedule
- Evaluator Team Organization, Assignments, and Locations: A list of evaluator locations, shift assignments, EEGs, a map of the exercise site(s), evaluation team organizational chart, and evaluation team contact information
- Evaluator Instructions: Step-by-step instructions for evaluators for activities before, during, and following the exercise

For smaller facilities or in less complex exercises, the Controller and Evaluation Handbook may be a brief, simple document. For more complex exercises, it will be a longer document, containing all the information and tools that evaluators require.

### *Pre-Exercise Evaluator Briefing*

Before exercise play begins, the lead evaluator should meet with all evaluators to review and verify roles, responsibilities, and assignments, and to provide any significant updates (e.g., last-minute changes to the scenario, new assignments). The evaluator briefing provides an opportunity for all evaluators to ask questions and to ensure complete understanding of their roles and responsibilities.

Depending on a variety of factors, including exercise scope, objectives, and scenario, this briefing may be done in conjunction with exercise controllers, i.e., a joint controller and evaluator briefing. Depending on the exercise organization, provisions must be made to conduct briefings at each exercise site. As needed, the ADEC lead evaluator may conduct its own briefing for ADEC evaluators on ADEC expectations.

### *Data Collection*

**Evaluation and evaluation data is to be focused on actions to meet the exercise objectives.**

The primary sources of information for the evaluation includes:

- Recorded evaluator observations on ODPCP holder efforts to meet the objectives
- Exercise documentation generated during exercise play [i.e., specific Incident Command System (ICS) forms, Incident Action Plans, etc.]
- Feedback received from the participant Hot Wash
- Participant feedback forms
- Additional de-briefings collected and used in the final analyses of the exercise

Logistical practicalities may necessitate the need for each functional group or command post for the exercise (e.g., field teams, incident command posts) to hold their own Hot Wash and debriefings, including filling out participant feedback forms. Outcomes can be consolidated at a combined

debriefing with representatives from each group or center present. The evaluation team should retain notes and records of the exercise to support the development and findings in the final exercise AAR and the ADEC Exercise Letter.

Evaluators may collect supplemental data during or immediately after the exercise, which may be used to fill in gaps or address concerns identified during the exercise conduct and evaluation. Useful evaluation data might include: completed ICS forms; duty logs and message forms; partial or completed incident action plans; or personnel training logs.

### *Exercise Data Analysis*

An analysis of the exercise conduct and effectiveness of the ODPCP holder's ability to meet the exercise objectives should provide for both demonstrated strengths and identify areas for improvement (i.e., what went right, what went wrong).

During data analysis, the evaluation team consolidates data collected during the exercise and determines whether players performed critical tasks and effectively met the exercise objectives. The evaluation team also takes notes on the course of exercise play, demonstrated strengths, and areas for improvement. This informs the evaluators with not only what happened, but why events happened.

During the data analysis, it is important that evaluators review each critical task not completed as expected and each objective not met, with the aim of identifying a root cause. A root cause is the source of, or underlying reason behind, an identified issue toward which the evaluator can direct an improvement. When conducting a root-cause analysis, the evaluator should attempt to trace the origin of an exercise event back to earlier events and their respective causes. Root-cause analysis may also require the review and evaluation of the ODPCP.

When completing the analysis, evaluators should consider the following questions:

- Were the objectives met? If the objectives were not met, what factors contributed to this result?
- Did discussion or activities suggest the critical tasks were executed to effectively meet the objectives? If not, what was the impact or consequence?
- Does the current ODPCP support critical tasks and objectives? Were players familiar with the ODPCP and related documents?

Analyzing events in this sequence will help evaluators determine the underlying cause of issues, and inform ADEC and the ODPCP holder of improvement plans and corrective actions to address the concern.

## IMPROVEMENT PLANNING

After the evaluation phase concludes, the improvement planning process begins. During the improvement planning phase, exercise findings reports, including the AAR and the ADEC Exercise Letter, are compiled and issued. These reports detail observations, corrective actions, and recommendations to address improved oil spill response preparedness. To assure effective

preparedness improvement, as well as ODPCP compliance, corrective actions identified during individual exercise are to be tracked to completion.

### *Corrective Actions*

HSEEP defines corrective actions as concrete, actionable steps intended to resolve oil spill preparedness gaps and shortcomings that are identified in the exercise.

Once exercise data are analyzed, organizations (e.g., ODPCP holder, ADEC, federal agencies) perform an additional qualitative assessment to identify potential corrective actions. HSEEP provides a simple list of questions that, when applied to oil spill response exercises, offer organizations a guide for discussion of potential corrective action development:

- What changes need to be made to plans and procedures to improve performance?
- What changes need to be made to organizational structures to improve performance?
- What changes need to be made to management processes to improve performance?
- What changes to equipment or resources are needed to improve performance?
- What training is needed to improve performance?
- What are the lessons learned for approaching similar problems in the future?

### *After Action Report*

The AAR should provide an overview of the exercise (e.g., scope, objectives, method, participants, relevant documentation or photographs, and the scenario) and include outcomes from the evaluation process.

The main focus of an AAR is the analysis of exercise objectives while highlighting strengths and areas for improvement. Evaluators should review their notes and documentation to identify the strengths and areas for improvement relevant to the ODPCP holder's ability to meet exercise objectives.

Once all corrective actions have been consolidated, they may be incorporated into the AAR. Corrective actions are tracked to completion to ensure tangible oil spill preparedness improvement results. Development and input into the AAR is a collaborative process between the participating organizations. This includes ADEC representation input and consensus with the exercise summary and findings. Improvement planning team consensus on the AAR findings, corrective actions, and improvement planning serves to preclude unnecessary conflict.

As part of improvement planning, ODPCP holders are expected to employ an effective corrective action process. HSEEP, PREP, and ADEC's Oil Spill Response Exercise Guidance recognize that the use of such a process serves to address and track corrective actions, monitor progress to improve preparedness, and facilitate compliance.

### *ADEC Exercise Letter*

As a part of Alaska's oil spill response community, ADEC's mission is to improve oil spill response capability. Within the scope of a 485 exercise, ADEC may have both positive exercise observations and those that raise a concern that lends itself to improvement planning. It should be understood

that, ultimately, ADEC is responsible to provide oversight of a regulated facility's oil spill response capability and their legal obligations.

ADEC's Exercise Letter serves as a tool that the ODPCP reviewer uses to communicate a broad range of observations, findings, and needed corrective actions that may be identified during the exercise. Just as in the AAR, the main focus of the ADEC Exercise Letter is the analysis of exercise objective achievement and the completeness of the ODPCP itself. The ADEC ODPCP reviewer may use the AAR to facilitate parts of the ADEC Exercise Letter, but it is not required.

At a minimum, the ADEC Exercise Letter should provide the following information:

- An exercise overview to address, as applicable, ODPCP holder name, facility type, scope, objectives, method, relevant documentation or photographs, scenario, and ADEC contact person
- Whether the exercise counts as a 485 exercise
- Outcomes from the evaluation process (findings and observations)
- Corrective action needs, if applicable

In addition to ADEC evaluator input, state player observations will be used to inform ADEC's Exercise Letter, including findings, observations, and necessary corrective actions. ADEC may identify any number of recommendations and/or corrective actions to address improvement planning needs, such as a training audit, a targeted exercise, ODPCP amendment, or other improvement or corrective steps to ensure the ODPCP is adequate and to ensure the ODPCP holder is capable of effectively implementing their planned strategies and tactics in an emergency situation. The ADEC ODPCP reviewer could also require that the ODPCP holder submit a corrective action plan within a certain timeframe to address a particular concern.

The ADEC ODPCP reviewer will track the corrective actions identified in the ADEC Exercise letter to completion, ensuring that the exercise yields tangible oil spill response preparedness improvements, the ODPCP is complete, and the ODPCP holder is capable of adequately executing the ODPCP.

### *ADEC Exercise Lessons Learned Initiative*

For exercises that ADEC participates in, ADEC conducts an internal debriefing for state exercise participants. The purpose of this debrief is to evaluate the exercise and identify lessons learned (for both ADEC and the ODPCP holder) as part of ADEC's improvement planning process.

In addition to capturing internal lessons learned for ADEC's improvement planning purposes, ADEC also captures, summarizes, and shares top "external" lessons learned from exercises conducted during each calendar year. The intent in capturing and sharing lessons learned is to increase the value of exercises for ADEC and ODPCP holders, to share knowledge, and to identify gaps and innovations to promote continual improvement in oil spill response preparedness and capability.

The current year lessons learned report is available at: <http://dec.alaska.gov/spar/ppr/prevention-preparedness/exercises.aspx>



## Back Matter

### GLOSSARY OF TERMS

Term	Description
485 Exercise	The term (or phrase) “485 Exercise” refers to a discharge exercise that ADEC conducts to assure the content of an ODPCP is adequate and that the ODPCP holder can adequately execute the ODPCP. 485 Exercises are described in 18 AAC 75.485. ADEC may conduct two 485 Exercises per year on each ODPCP holder; although, failure of the ODPCP holder to demonstrate adequacy of their plan and its execution may lead to additional 485 Exercises. The 485 is distinct from a regular training exercise that an ODPCP holder may hold for plan familiarization or response skills training purposes. However, an ODPCP holder may convert one of their regular training exercises into a 485 Exercise by meeting certain criteria, including scheduling the exercise with ADEC and involving ADEC in exercise design and development, exercise conduct, exercise evaluation, and continued improvement. Within the Guidance, reference to a 485 exercise is a discharge exercise conducted by ADEC.
Controller	In operations-based exercises, controllers manage exercise play, directing the pace of exercise play, and providing exercise data to players. Controllers may prompt or initiate certain player actions through injects as described in the MSEL, ensuring exercise continuity. Controllers monitor the exercise scenario timeline and are the only participants that are to provide information on the scenario to players. Reference the Overview of ADEC’s Oil Spill Response Exercise Program Section for additional discussion on the roles and responsibilities of the state agency controller.
Critical Task	ADEC defines critical task as a distinct element required to perform or meet an objective. Critical tasks generally include the activities, resources, and responsibilities required to effectively fulfill an objective. Objectives and critical tasks are based on the ODPCP and any supporting documents (e.g., the Unified Plan and applicable Subarea Plan) to be validated and exercised during the exercise.
Evaluator	Evaluators passively assess and document player performance against established emergency plans (such as the ODPCP) and exercise evaluation criteria without interfering with exercise flow. Evaluators will use EEGs to measure and assess performance and capture unresolved issues.
Inject	Injects may be spoken or written information, inserted into an exercise and designed to generate player response. Injects may be associated with a specific exercise objective – providing the exercise player an opportunity to address a specific objective.
MSEL	The MSEL is an outline or chronological timeline of expected actions and events that are injected into exercise play by controllers to generate or stimulate player activity. The MSEL may be used to trigger necessary events so that specific objectives are met. The MSEL links a simulated activity to an exercise action, enhances exercise experience for players, and reflects an incident or activity meant to prompt players to action.
Objective	Distinct goal or outcome to be achieved during an exercise. Each objective for a 485 exercise is based upon an ODPCP component. Objectives are typically written using quantitative and qualitative statements (i.e., numbers, timeliness, and effectiveness). Objectives should be written using the SMART protocols described in Table 5 of the <i>ADEC Oil Spill Response Exercise Guidance</i> .
Participant	Includes all roles in an oil spill response exercise, e.g., players, controllers, planners, evaluators, etc.

Player	Players have an active role in the oil spill response scenario performing their regular roles and responsibilities. Players initiate actions that will respond to and/or mitigate the simulated emergency. For further discussion on the role of state agency players, please reference the State Staff Roles and Responsibilities Section.
Scenario	Exercise storyline scripted to provide opportunities for exercise players to respond to situations, demonstrating the ability to meet a specific exercise objective. It is inclusive of the situations presented from simulations and injects (MSEL). An oil spill response scenario is specific to a facility's ODPCP risks, including a spill scenario volume up to, or equal to, the calculated response planning standard volume.
Scope	The scope of an exercise is an indication of its extent. Considerations on defining the exercise scope include: the exercise method; level of participation; exercise duration, location, and parameters; and agency input or focus.
SimCell	In exercise control, a SimCell is used to generate injects, receive player responses, and provide other simulations as applicable. Physically, a SimCell is a working location for a number of qualified controllers to deliver injects and simulations in a realistic manner. Depending on the method of exercise, the SimCell may require a telephone, computer, e-mail account, radio, or other means of communication.
Simulation	For the purposes of the master exercise scenario, the players are provided with a plausible spill incident description to initiate play and exercise conduct. Throughout the exercise conduct phase, additional events may be simulated and communicated by exercise controllers (in the SimCell), for the purpose of triggering player response or action.

## ACRONYMS AND ABBREVIATIONS

AAC	Alaska Administrative Code
AAR	After Action Report
ADEC	Alaska Department of Environmental Conservation
ADF&G	Alaska Department of Fish and Game
ADNR	Alaska Department of Natural Resources
AS	Alaska Statute
BSEE	Bureau of Safety and Environmental Enforcement
DHS	Department of Homeland Security
EEG	Exercise Evaluation Guide
EPA	Environmental Protection Agency
EU	Environment Unit
FEMA	Federal Emergency Management Agency
FOSC	Federal On Scene Coordinator
FRP	Facility Response Plan
GIUE	Government Initiated Unannounced Exercise
Guidance	Oil Spill Response Exercise Guidance Manual
HSEEP	Homeland Security Exercise and Evaluation Program
ICS	Incident Command System
IMT	Incident Management Team
IOGP	International Association of Oil & Gas Producers
IPIECA	International Petroleum Industry Environmental Conservation Association
IPM	Initial Planning Meeting
JIC	Joint Information Center
LO	Liaison Officer
MSEL	Master Scenario Events List
NTV	Nontank Vessels
ODPCP	Oil Discharge Prevention and Contingency Plan
OPA 90	Oil Pollution Act of 1990
OSRP	Oil Spill Response Plan
PHMSA	Pipeline and Hazardous Materials Safety and Hazardous Materials Safety Administration
PREP	National Preparedness for Response Exercise Program Guidelines
RCAC	Regional Citizens Advisory Council
RPS	Response Planning Standard
SCP	Subarea Contingency Plan
SimCell	Simulation Cell
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SOSC	State On Scene Coordinator
SPCC Plan	Spill Prevention, Control, and Countermeasure Plan
UC	Unified Command

Unified Plan	<i>Alaska Federal/State Preparedness Plan for Response to Oil and Hazardous Substance Discharges/Releases</i>
U.S.	United States
USCG	United States Coast Guard

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## Appendices

- Exercise Planning Task List
- Exercise Objectives and Evaluation Criteria Guide
- Exercise Evaluation Guide
- Exercise Participant Feedback Form

## EXERCISE PLANNING TASK LIST

The simplified tasks\* illustrated below provides an overview of the scheduling and associated tasks required for a full-scale exercise, which may be scaled to the facility and the exercise scope.

Design	Weeks 24-26	<ul style="list-style-type: none"> <li>Designate exercise planning team coordinator and team               <ul style="list-style-type: none"> <li>Size of team</li> <li>Allocate individual responsibilities</li> </ul> </li> <li>Set general objectives based on the ODPCP</li> <li>Determine Scope               <ul style="list-style-type: none"> <li>Exercise method</li> <li>Size of exercise</li> <li>Involvement of other organizations</li> <li>Physical resources to be mobilized</li> </ul> </li> <li>Establish exercise specifics               <ul style="list-style-type: none"> <li>Date</li> <li>Location</li> <li>Duration</li> </ul> </li> <li>Obtain management approvals or concurrence</li> </ul>
	Weeks 22-23	<ul style="list-style-type: none"> <li>Develop specific objectives based on the ODPCP</li> <li>Develop scenario to assess objectives               <ul style="list-style-type: none"> <li>Reference the ODPCP, including planning scenarios</li> </ul> </li> </ul>
	Weeks 19-21	<ul style="list-style-type: none"> <li>Refine objectives and scenario</li> <li>Develop exercise assumptions (i.e., what response actions will be simulated for exercise conduct)</li> <li>Develop evaluation criteria and EEGs</li> </ul>

	Weeks 14-18	<ul style="list-style-type: none"> <li>For functional and full-scale exercises               <ul style="list-style-type: none"> <li>As applicable to exercise scale and scope, develop Master Scenario Events List (MSEL) or similar script to guide exercise controllers to ensure activity remains within predefined boundaries and that the exercise is driven to accomplish exercise objectives</li> <li>As applicable to exercise scale and scope, develop injects and simulation inputs (i.e., scenario inputs and simulated response actions)</li> </ul> </li> </ul>
	Weeks 7-13	<ul style="list-style-type: none"> <li>Document preparation               <ul style="list-style-type: none"> <li>Complete development of exercise assumption, evaluation criteria/EEGs, simulation inputs, injects and other supporting documentation</li> <li>Exercise planning team walk-through of the scenario, simulation inputs and injects</li> <li>Obtain commitment from ADEC participants</li> </ul> </li> </ul>
Development	Weeks 4-6	<ul style="list-style-type: none"> <li>Logistics               <ul style="list-style-type: none"> <li>Facility/site access</li> <li>Space requirements for exercise facilities</li> <li>Travel</li> </ul> </li> </ul>
	Weeks 1-3	<ul style="list-style-type: none"> <li>Materials               <ul style="list-style-type: none"> <li>Equipment requirements</li> <li>Communications systems</li> <li>Briefing notes and handouts</li> </ul> </li> <li>ADEC evaluator meeting</li> <li>ADEC participant meeting</li> <li>Site visit for field components of the exercise</li> </ul>
Conduct	Due day 0	<ul style="list-style-type: none"> <li>Brief participants</li> <li>Initiate exercise</li> <li>Maintain exercise through injects, simulation, and exercise control processes</li> <li>Evaluate the exercise conduct</li> <li>Hotwash</li> <li>Participant feedback forms</li> </ul>

Evaluation	+1-2 days	<ul style="list-style-type: none"> <li>Collect additional exercise data                             <ul style="list-style-type: none"> <li>Exercise/controller debriefings as applicable</li> <li>ADEC participant debriefing &amp; lessons learned</li> </ul> </li> </ul>
	+1-4 weeks	<ul style="list-style-type: none"> <li>Analyze exercise data to identify strengths and areas for improvement                             <ul style="list-style-type: none"> <li>Performance against objectives</li> <li>Identify strengths and areas for improvement</li> </ul> </li> <li>Capture lessons learned from ADEC participants</li> </ul>
	+2-4 weeks	<ul style="list-style-type: none"> <li>Prepare reports                             <ul style="list-style-type: none"> <li>Joint agency/ODPCP holder After Action Report</li> <li>ADEC Exercise Letter</li> </ul> </li> </ul>
Improvement Planning	+5-8 weeks	<ul style="list-style-type: none"> <li>Make recommendations                             <ul style="list-style-type: none"> <li>Continual improvement</li> <li>Revisions to ODPCP and procedures</li> <li>Additional training</li> </ul> </li> </ul>

\* Exercise Planning Task List. Adapted from IPIECA-IOGA, 2014, p. 40

## EXERCISE OBJECTIVES AND EVALUATION CRITERIA GUIDE

Consistent with HSEEP methodology, we recommend developing evaluation criteria from the exercise objectives, which for oil spill response exercises are based upon components of an approved ODPCP. In the context of validating an ODPCP, the ADEC ODPCP reviewer and the ODPCP holder may find the following table a useful resource in planning the facility oil spill response exercise. This information is not intended to restrict or limit the exercise scope or objectives, circumvent or limit ODPCP holder obligations, or predefine exercise critical task acceptance criteria. Rather, the information is offered to foster dialog between the ODPCP holder and the ADEC ODPCP reviewer.

This guide provides a *general* framework from which specific ODPCP objectives or evaluation criteria may be developed. Each exercise is specific to the facility and will have its own objectives and critical tasks based upon the *exercise scope and scenario*.

**Example:** the exercise scope may be limited to the initial response actions for the facility. Multiple ODPCP components apply to an initial response action exercise, including: safety, source control, reporting and notification, and containment tactics. Exercise evaluation and critical tasks may be identified for each of these components based upon the facility and exercise scenario.

ADEC's exercise evaluation criteria also considers whether the ODPCP is adequate in content and execution. It is also important to note that an ODPCP holder's success in meeting exercise objectives is inherently dependent upon appropriate training of facility and PRAC personnel (command and field).

ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
Reporting and Notification 18 AAC 75.425(e)(1)(B)	Exercise evaluation criteria developed to validate the ODPCP holder capability to implement notification procedures may address: <ul style="list-style-type: none"> <li>• Internal notifications, ramp up procedures for facility or company personnel, and PRAC activation</li> <li>• Regulatory agency reporting and notification requirements</li> <li>• Notification of potentially affected key stakeholders</li> </ul> Evaluators determine whether notifications were made consistent with the ODPCP and whether the ODPCP adequately provides the information to conduct effective notifications.
Safety 18 AAC 75.425(e)(1)(C)	Exercise evaluation criteria developed to validate the ODPCP holder capability to operate safely during the response may address: <ul style="list-style-type: none"> <li>• Safety-related immediate response actions</li> <li>• ODPCP Safety Officer duties</li> <li>• Procedure to develop an incident specific safety plan</li> </ul> Evaluators determine whether a safety plan was developed and whether the information in the ODPCP adequately provides the necessary information for responders to develop the incident safety plan and operate safety during response activities.

ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
<p>Communications 18 AAC 75.425(e)(1)(D)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to communicate in the field and between field and command may address:</p> <ul style="list-style-type: none"> <li>• Field communications procedures</li> <li>• Designated radio channels or frequencies and their intended use</li> <li>• Radio communications between IMT, field command, and field units</li> <li>• Procedures to expand the system as needed</li> <li>• Backup systems in place</li> </ul> <p>Evaluators determine whether communications were conducted consistent with the ODPCP and whether the information in the ODPCP adequately provides the necessary information for responders to conduct effective communications.</p>
<p>Procedures to Stop the Discharge 18 AAC 75.425(e)(1)(F)(i)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to stop a discharge and prevent its further spread are based upon:</p> <ul style="list-style-type: none"> <li>• Source control procedures</li> <li>• Follow up actions taken to stabilize the situation and prevent further release of oil</li> </ul> <p>Evaluators determine whether source control was conducted consistent with the ODPCP and if the actions are adequate to stop a discharge and prevent its further spread within the shortest possible time.</p>
<p>Deployment Strategies 18 AAC 75.425(e)(1)(E)(i)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to implement deployment strategies may address:</p> <ul style="list-style-type: none"> <li>• Timetable for activation of each of the main pieces of equipment</li> <li>• Logistic Support including transportation of equipment and personnel to the spill site</li> <li>• Alternative methods for transport of resources to the site in adverse weather conditions</li> <li>• Continual assessment of the need for additional equipment and personnel and timely delivery of those resources</li> <li>• Immediate and ongoing response actions that onsite personnel will perform until the PRAC arrives</li> </ul> <p>Evaluators determine whether transportation of resources to the spill site are consistent with the ODPCP. The evaluators also consider the adequacy of the logistical support information for resource mobilization, and whether it is practicable.</p>
<p>PRAC Mobilization 18 AAC 75.425(e)(1)(E)(ii)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to mobilize their PRAC may address:</p> <ul style="list-style-type: none"> <li>• Procedures for notifying and mobilizing each contractor</li> <li>• Procedures and timetables for transfer of any response duties to the contractor</li> </ul> <p>Evaluators determine whether PRAC mobilization was conducted consistent with the ODPCP and whether the ODPCP adequately provides information to mobilize resources to the spill site.</p>



ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
Fire Prevention and Control 18 AAC 75.425 (e)(1)(F)(ii)	Exercise evaluation criteria developed to validate the ODPCP holder's capability to implement fire prevention and control procedures, including: <ul style="list-style-type: none"> <li>• Shutdown of electrical power</li> <li>• Location of fire suppression equipment</li> <li>• Use of intrinsically safe equipment</li> </ul> Evaluators determine whether fire prevention and control was conducted consistent with the ODPCP and whether the ODPCP adequately provides the necessary information for responders to prevent and control a fire.
Discharge Tracking and Forecasting of Shoreline Contact 18 AAC 75.425(e)(1)(F)(iv)	Exercise evaluation criteria developed to validate the ODPCP holder's ability to track the spill and forecast shoreline contact may address: <ul style="list-style-type: none"> <li>• Procedures for real-time surveillance and tracking of spilled oil on open water</li> <li>• Equipment and methods used for surveillance and tracking of spilled oil</li> <li>• Procedures to forecast potential shoreline impacts</li> <li>• Potential sources of local information</li> </ul> Evaluators determine whether spill surveillance, tracking, and forecasting was conducted consistent with the ODPCP and whether the ODPCP adequately ensures responders have accurate spill location and trajectories.
Protection of Environmentally Sensitive Areas and Areas of Public Concern 18 AAC 75.425(e)(1)(F)(v)	Exercise evaluation criteria developed to validate the plan holder's ability to protect environmentally sensitive areas (ESAs) and areas of public concern (AOPCs) are based upon: <ul style="list-style-type: none"> <li>• Procedures for prioritizing ESAs and AOPCs</li> <li>• Site specific protection strategies and tactics</li> <li>• Equipment and personnel</li> <li>• Liaison coordination to facilitate local stakeholder concerns</li> </ul> Evaluators determine ODPCP holder ability to protect pre-identified ESAs and AOPCs before oil impact consistent with the ODPCP, whether the ODPCP adequately provides the necessary information for responders to prioritize and protect these sites, and/or the ODPCP holder ability to adjust strategies based upon the spill trajectory.
Containment and Control Strategies 18 AAC 75.425(e)(1)(F)(vi)	Exercise evaluation criteria developed to validate the ODPCP holder's capability to contain and control a spill may address: <ul style="list-style-type: none"> <li>• Appropriate response techniques</li> <li>• Specific boom deployment strategies and tactics</li> <li>• Specific strategies and tactics for land spills</li> <li>• Equipment and personnel requirements for these tactics</li> <li>• Considerations for deployment in differing conditions</li> </ul> Evaluators determine whether the ODPCP holder contained and controlled the spill effectively consistent with the ODPCP and whether the ODPCP adequately provides the necessary information for responders to contain and control the spill effectively.

ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
<p>Mechanical Recovery Strategies 18 AAC 75.425(e)(1)(F)(vii)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's ability to mechanically recover the contained and controlled oil may address:</p> <ul style="list-style-type: none"> <li>• Recovery strategies and tactics</li> <li>• Equipment and personnel required for these tactics</li> <li>• Deployment timeframes</li> <li>• Equipment used is appropriate for the spilled oil type and pre-established efficiencies</li> <li>• Planned hours of operation</li> <li>• Realistic maximum operating conditions for the equipment</li> </ul> <p>Evaluators determine whether the recovery strategies are consistent with the ODPCP and the ODPCP adequately provides the necessary information for responders to effectively recover oil.</p>
<p>Transfer and Storage of Oil 18 AAC 75.425(e)(1)(F)(viii)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to lighter oil from damaged tanks or undamaged tanks in the shortest time safely achievable may address:</p> <ul style="list-style-type: none"> <li>• Storage and transfer capacity and procedures</li> <li>• Equipment needed</li> <li>• Compatibility of transfer and storage equipment</li> <li>• Safety measures necessary during transfer</li> </ul> <p>Evaluators determine whether transfer and storage of oil was conducted consistent with the ODPCP and whether the ODPCP is adequate for responders to safely and effectively transfer and store oil.</p>
<p>Recovered Oil and Oily Water Transfer and Storage 18 AAC 75.425(e)(1)(F)(ix)</p>	<p>Exercise evaluation criteria to validate the ODPCP holder's capability to transfer and store recovered oil and oily water may address:</p> <ul style="list-style-type: none"> <li>• Procedures for transfer and storage of recovered oil and oily-waste mixture</li> <li>• Integration with oil containment and recovery strategies to ensure continuous recovery operations</li> <li>• Methods for estimating the amount of recovered fluids (may be subject to SOSC approval)</li> <li>• Equipment is sufficient and appropriate for transfer and storage needs</li> </ul> <p>Evaluators determine whether recovered oil and oily water transfer and storage was conducted consistent with the ODPCP and whether the ODPCP adequately provides for responders to manage recovered oil and oily water effectively.</p>

ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
Temporary Storage and Ultimate Disposal for Oily, Sanitary, and Solid Waste 18 AAC 75.425(e)(1)(F)(x)	<p>Exercise evaluation criteria developed to validate the ODPCP holder's ability to store and dispose of waste generated from the spill response may address:</p> <ul style="list-style-type: none"> <li>• State-approved waste management plan requirement</li> <li>• Expected type and amounts of waste</li> <li>• Identified storage sites and their capacities</li> <li>• Procedures for protecting the environment and controlling contamination from the storage site</li> <li>• Procedures, timetables, and transportation to transfer waste from temporary to permanent storage or disposal</li> <li>• Procedures for permits and authorizations</li> <li>• Equipment and personnel needed</li> <li>• Identification of ultimate disposal options</li> </ul> <p>Evaluators determine whether waste was handled consistent with the ODPCP and whether the ODPCP adequately provides the information for responders to effectively store and dispose of waste generated.</p>
Wildlife Protection 18 AAC 75.425(e)(1)(F)(xi)	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to protect wildlife, including:</p> <ul style="list-style-type: none"> <li>• Procedures and methods for wildlife protection, recovery, disposal, rehabilitation, and release of affected wildlife</li> <li>• Procedures and methods for minimizing wildlife contamination through hazing or other means</li> <li>• Procedures for permits and authorizations</li> <li>• Equipment and personnel needed</li> </ul> <p>Evaluators determine whether wildlife protection was conducted consistent with the ODPCP and whether the ODPCP adequately provides the necessary information for responders to protect wildlife.</p>
Shoreline Cleanup 18 AAC 75.425(e)(1)(F)(xii)	<p>Exercise evaluation criteria developed to validate the ODPCP holder's capability to draft and implement an effective shoreline cleanup plan may include:</p> <ul style="list-style-type: none"> <li>• Preparation of a shoreline cleanup assessment plan for UC approval</li> <li>• Preparation of a shoreline cleanup play (as necessary within the exercise scope)</li> <li>• Identification and activation (simulation or actual) of a shoreline cleanup assessment team</li> <li>• Analysis of available cleanup and restoration methods and techniques</li> <li>• Equipment and personnel to implement approved cleanup techniques</li> </ul> <p>Evaluators determine whether the Shoreline Cleanup Plan was developed consistent with the ODPCP and whether the information adequately supports shoreline cleanup.</p>

ODPCP Component	Exercise Objectives and Evaluation Critical Task Considerations
<p>Non Mechanical Response Options</p> <p>18 AAC 75.425(e)(1)(G)</p>	<p>Exercise evaluation criteria developed to validate the ODPCP holder’s capability to implement non mechanical response options, including:</p> <ul style="list-style-type: none"> <li>• Procedures for obtaining the necessary permits and approvals</li> <li>• Procedures for using non mechanical response options</li> <li>• Equipment and personnel needed</li> <li>• Activation of personnel and equipment as appropriate within the exercise scope</li> </ul> <p>Evaluators determine whether non mechanical response options were chosen and implemented consistent with the ODPCP and if the ODPCP is adequate for responders to implement these options.</p>

## EXERCISE EVALUATION GUIDE

### EXERCISE EVALUATION GUIDE TEMPLATE INSTRUCTIONS

Exercise criteria and critical tasks are established for each objective by the exercise planning team. This process is coordinated and completed during the exercise design and development phase. The conduct and evaluation team work to realize completion of the exercise and EEGs.

### Terminology

The EEGs are structured to capture information specifically related to the evaluation requirements developed by the exercise planning team. The following evaluation requirements are documented in each EEG:

Evaluation Requirement	Definition
<b>ODPCP response component</b>	The distinct ODPCP component based on ADEC's Response Action Plan components found at 18 AAC 75.425(e)(1). The Exercise Objectives and Evaluation Criteria Guide contained in the <i>ADEC Oil Spill Response Exercise Guidance</i> Appendix may provide assistance in scoping an exercise and establishing evaluation criteria based upon an objective.
<b>Objective(s)</b>	Each objective for a 485 exercise is based upon an ODPCP component. Objectives are typically written using quantitative and qualitative statements (i.e., numbers, timeliness, and effectiveness). Objectives should be written using the SMART protocols described in Table 5 of the <i>ADEC Oil Spill Response Exercise Guidance</i> . Examples of objectives for operations-based exercise methods are provided in Table 6 of the Guidance document.
<b>Critical tasks</b>	ADEC defines critical task as the distinct elements required to perform or meet an objective. Critical tasks generally include the activities, resources, and responsibilities required to effectively fulfill an objective. Objectives and critical tasks are based on the ODPCP and any supporting documents (e.g., the Unified Plan and applicable Subarea Plan) to be validated and exercised during the exercise.
<b>Objective ratings</b>	The summary description of performance against the critical tasks. Objective ratings describe how exercise players performed relative to an overarching objective.

### Documenting Observations

For each EEG, evaluators provide an objective rating and observation notes, including an explanation of the objective rating. To efficiently complete each section of the EEG, evaluators focus their observations on the objectives and critical tasks listed in the EEG.

Observation notes include if and how quantitative or qualitative targets were met. For example, an objective might state, "Within 4 hours of the exercise initiation, effectively protect ...." Observation notes on that objective should include the actual time required for exercise players to complete the critical task(s).

Additionally, observations should include:

- How the objective was or was not met
- Relevant decisions made and information gathered to make decisions
- Requests made and how requests were handled

- Resources utilized
- Plans, supporting documents, equipment, procedures, logistics used or implemented
- Any other factors contributed to the results

Evaluators may also note any obvious cause or underlying reason the objective was not met or critical task was not completed.

### *Assigning Ratings*

Based on their observations, evaluators assign an objective rating for each objective on the EEG. The rating scale includes four ratings:

- Performed without Challenge (P)
- Performed with Some Challenges (S)
- Performed with Major Challenges (M)
- Unable to be Performed (U)

Definitions for each of these ratings are included in the EEG.

### *Wrap-up*

At the conclusion of the exercise, submit all completed EEGs and any supporting documentation to the Lead Evaluator.

**Exercise Evaluation Guide\***

<b>Exercise Name:</b> [Insert exercise name]	<b>Plan Holder:</b>	
<b>Exercise Date:</b> [Insert exercise date]	[Insert organization or jurisdiction]	<b>Venue:</b> [Insert venue name]
<b>ODPCP Exercise Component:</b> [Insert ODPCP exercise component]		
<b>Exercise Objective 1:</b> [Insert customized SMART objective based on the ODPCP]		
<i>Critical Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Task:</i> [Insert task from ODPCP, policy or procedure]		
<b>Source(s):</b> [Attach copies of ODPCP section, policy, procedure, or reference being evaluated.]		
<b>ODPCP Exercise Component:</b> [Insert ODPCP exercise component]		
<b>Exercise Objective 2:</b> [Insert SMART objective based on the ODPCP]		
<i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure]		
<b>Source(s):</b> [Attach copies of ODPCP section, policy, procedure, or reference being evaluated.]		
<b>ODPCP Exercise Component:</b> [Insert ODPCP exercise component]		
<b>Exercise Objective 3:</b> [Insert SMART Objective based on the ODPCP]		
<i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure] <i>Critical Evaluation Task:</i> [Insert task from ODPCP, policy or procedure]		
<b>Source(s):</b> [Attach copies of ODPCP section, policy, procedure, or reference being evaluated.]		

\*This EEG template has been adapted for use from the Department of Homeland Security (DHS), Federal Emergency Management Administration's Homeland Security Exercise and Evaluation Program (HSEEP), 2013. An editable version of the template is available at the following webpage:  
<http://dec.alaska.gov/spar/pdr/prevention-preparedness/exercises/improvements/>



Exercise Objective	Associated Critical Tasks	Observation Notes and Explanation of Rating	Objective Rating
[Insert Exercise Objective 1 from page 1]	[Insert Objective 1 Critical Tasks from page 1]		
[Insert Exercise Objective 2 from page 1]	[Insert Objective 2 Critical Tasks from page 1]		
[Insert Exercise Objective 3 from page 1]	[Insert Objective 3 Critical Tasks from page 1]		

Evaluator Name \_\_\_\_\_

Evaluator E-mail \_\_\_\_\_

Phone \_\_\_\_\_

Ratings Key
P – Performed without Challenges
S – Performed with Some Challenges
M – Performed with Major Challenges
U – Unable to be Performed

**RATINGS DEFINITIONS**

<b>Performed without Challenges (P)</b>	The critical tasks associated with the objective were completed in a manner that achieved the objective. The activities were conducted in accordance with the ODPCP and supporting documents if any.
<b>Performed with Some Challenges (S)</b>	The critical tasks associated with the objective were completed in a manner that achieved the objective. The activities were conducted in accordance with the ODPCP and supporting documents if any. However, opportunities to enhance effectiveness and/or efficiency were identified.
<b>Performed with Major Challenges (M)</b>	The critical tasks associated with the objective were completed in a manner that achieved the objective. However, the activities were not conducted in accordance with the ODPCP and supporting documents if any. Additionally, opportunities to enhance effectiveness and/or efficiency were identified.
<b>Unable to be Performed (U)</b>	The critical tasks associated with the objective were not performed in a manner that achieved the objective.

## EXERCISE PARTICIPANT FEEDBACK FORM

Name: \_\_\_\_\_ (optional)

Role: \_\_\_\_\_

As part of a continuous improvement process, all participant feedback is valued and provides input into the exercise process and evaluation. Please comment on the following elements based on your role and experiences during this exercise.

Did you understand your individual role and responsibility?
Comment:
What are your observations of the challenges or obstacles faced during the exercise?
Comment:
Please describe any difficulties you encountered to acquire information needed to perform your role?
Comment:
What observations do you have about the integration of agency and industry participants?
Comment:
What recommendations would you like to make for future exercises?
Comment:

If you want to provide additional comments after the exercise, please contact:

Name: \_\_\_\_\_ Email: \_\_\_\_\_