



Kansas City RICE '11 Full Scale Continuity Exercise Participant Guide

*Kansas City Federal Executive Board
FEMA Region VII*

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CONTENTS

Contents	2
Exercise Brief	3
Purpose	3
Exercise Objectives	3
Exercise Rules	3
Assumptions.....	6
Exercise Schedule.....	7
Participant Instructions	7
Scenario Overview	8
Feedback Instructions	9
Annex A: Participants Individual Exercise Evaluation Form	10
Annex B: General After Action Report (AAR).....	13
Annex C: Agency Specific After Action Report (AAR)	14

EXERCISE BRIEF

Kansas City RICE '11 is a continuity of operations focused exercise designed to establish a no-fault learning environment for participating organizations to practice and examine their continuity plans and procedures. Agency personnel will begin play on May 18, 2011 at 8:00 am from the agency's exercise location following the STARTEX (Start Exercise) order from the Exercise Control Cell. Exercise play is expected to terminate at 12:00 pm with an ENDEX (End Exercise) message from the Control Cell.

PURPOSE

The purpose of this exercise is to test the Federal Community's ability to activate, mobilize and commence initial emergency Continuity of Operations under guidance outlined in Federal Executive Branch (FEB) Federal Continuity Directive FCD-1, Federal statutes, Executive Orders, and Agency plans. This is a NO-FAULT, non-attribution exercise. Findings will not be forwarded to outside Agencies, higher headquarters, state and local agencies, or the media unless done so by individual Agencies. This exercise will focus primarily on activation of your Continuity of Operations Plan(s) from your continuity facilities in response to an earthquake that affects the Kansas City metropolitan area. The exercise will also heavily examine reconstitution procedures.

EXERCISE OBJECTIVES

KC RICE '11 will focus on the following objectives:

1. Testing alert notification and activation procedures for continuity personnel and all other personnel.
2. Demonstrate intra-agency and interagency communications capabilities.
3. Demonstrate ability to execute agency reconstitution planning.
4. Demonstrate capability to conduct MEFs from an alternate work location or from a telework location.

EXERCISE RULES

The following are the general rules that govern exercise play:

1. The exercise is designed to test procedures and systems, not individual performance.
2. Operations and actions by participants should be consistent with information outlined in their Continuity of Operations Plan(s). Again, the system is being tested, not people.
3. Use of equipment, telephone numbers, radios and radio frequencies should be consistent with the Continuity of Operations Plan(s).
4. It is recommended that all participants and groups write down operational and organizational actions performed during exercise activity on easels or on log sheets to document actions during the exercise.

5. Agencies need to create a log of exercise traffic. This information would be used to keep a log of lessons learned plus provide evidence that the exercise took place. It is recommended agencies set up a separate email for this exercise traffic. When responding to emails with follow-on email traffic, be sure to include a separate email address that captures the data and actions taken for future reference in the After Action Review process.
6. All live calls, facsimiles or emails that are used during the exercise **MUST** be prefaced with “**EXERCISE KC RICE ‘11 EXERCISE**” to prevent potential misinterpretation by outside parties.
7. Agencies will conduct play in the exercise from their Continuity Facility or an alternate site.
8. Agencies have the responsibility to write their respective Master Scenario Event List (MSEL) action items. Each Agency Lead Controller will send out agency-specific MSEL injects along with generic and informational injects; each Agency Lead Controller can determine when to release agency-specific injects.
9. Agencies have the sole responsibility to devise and deliver their action times during the exercise. They must name one person to run their exercise play from the Agency Continuity Facilities or alternate sites. The CWG exercise committee will handle all scenario development. The scenario piece will be given to the Agency Lead Controllers prior to the exercise.
10. Lead Controllers and participants shall use the KC RICE ‘11 exercise blog located at <http://kansascityrice.wordpress.com/2011/04/04/hello-world/>. The blog will serve as a forum for interagency discussion, observations, or questions that may arise during exercise play.
11. All communications messages between Agencies and Lead Controllers participating in the exercise are the responsibility of each individual Agency to execute.
12. Each participating Agency has the responsibility to staff sufficient exercise controller/evaluators for its Continuity Facility operations to include an Agency Lead Controller.
13. The Agency Lead Controller will be located at the Agencies Continuity Facility or alternate site. The Agency Lead Controller will deliver the scenario injects to exercise participants via various communications mediums. The Lead Controller is an exercise Trusted Agent, thus is not considered an agency player during the exercise.
14. Agencies will have access to an Exercise Communications Directory. The Communications Directory will list the Agencies Lead Controllers email address **ONLY**. All parties are encouraged to communicate with other agencies through the Agencies Lead Controller during the course of the exercise. This information will be secured as “For Official Use Only” and not releasable to non-governmental organizations or persons not participating in the exercise.
15. If agencies want to conduct unscripted play with other agencies, they may call the controller of the agency they want to talk to. That person will forward the call or information to the right person.
16. There will **NOT** be a functional interagency Joint Information Center (JIC) participating in the exercise. Each Agency will have to be prepared to play a press role within the exercise just for its exercise.

17. Agencies may generate unscripted free play during the exercise. They would direct such exercise play to their Agency Lead Controller. That person directs the traffic to the intended agency representative. Participants are encouraged to conduct unscripted play within their own agency if they so desire and if such interaction is in accordance with agency SOP.

ASSUMPTIONS

Operational Assumptions

1. The primary communications mode for this exercise will be via email activity between the Agency Lead Controller to the Agency Continuity Facility. Phone calls may be used as secondary means to distribute or receive information. Agencies are encouraged to utilize facsimiles and secure communications where possible to ensure the operational status of such devices.
2. At the start of the exercise all communications and IT infrastructure might or might not be intact and operational. Cell phone towers have a tendency to go down during severe events. Agency Lead controllers might also render them unavailable from time to time to test viability of other methods of communications.
3. All agency Continuity Facilities survive the event and are available.
4. The exercise focus will be response to a natural disaster. Other types of threats and secondary damage can adversely affect agency response.
5. Responses are to be based on accepted standards, practices and policies for agencies.
6. It is to be assumed that Washington always has good communication lines to Kansas City to deliver its instructions.
7. Communications with people not participating in the exercise may be simulated or accomplished through role-playing.
8. Responses to action items and inquiries should be accomplished with as much detail as possible and should meet exercise officials' requirements.
9. Participants can expect some limited feedback and interaction with their Agency Lead Controller.
10. Communications initiated by other agencies should be treated with the same level of importance exercise MSEL or action items.
11. Action items might not flow to participants in a logical chronological order.
12. Agencies are encouraged to conduct meetings of their senior people prior to deployment to the Continuity Facility to discuss what is known about the exercise scenario at that point.
13. Exercise training for participants is each agency's responsibility.

EXERCISE SCHEDULE

Time	Activity
Monday, May 16, 2011	
0900	Initial Earthquake Occurs
0900	Alert Notification
Wednesday, May 18, 2011	
0800	StartEx
1200	EndEx
1200	Internal Agency Hot Wash
1330	Exercise-Wide Hot Wash

PARTICIPANT INSTRUCTIONS

Before the Exercise

- Be familiar with your agency's Continuity Plan.
- Review the appropriate emergency plans, procedures, and exercise support documents.
- Be at the appropriate site at least 30 minutes before the start of the exercise, or as directed by the agency exercise controller.
- Read your Participant Guide, which includes information on exercise procedures.

During the Exercise

- Follow exercise rules as described beginning on page 3.

Following the Exercise

- At the end of the exercise, participate in the Agency Hot Wash immediately following the exercise at the exercise location.
- **Complete the Participant Feedback Form.** This form allows you to comment candidly on continuity activities and effectiveness of the exercise. Please provide the completed form to a controller. See page 9 for instructions on feedback procedures.
- Provide any notes or materials generated from the exercise to your controller for review and inclusion in the AAR.
- An overall exercise AAR will occur at 1:30 pm on May 18 with each Agency Lead Controller participating. Come prepared to discuss best practices and lessons learned from your agency.

SCENARIO OVERVIEW

The purpose of this overview is to provide exercise participants with background information and a chronology of significant events that will occur before and on the day of the exercise. In an effort to align with exercise activities of partner agencies, KC RICE '11 will build on the scenario for National Level Exercise (NLE) '11, which will be conducted simultaneously. For the purpose of this exercise, participants will operate under conditions for the following event-planning scenario:

On the morning of Monday, May 16, 2011, an earthquake occurs along the New Madrid Fault. Damages within a radius of several hundred miles of the epicenter are devastating. The effects of the earthquake are felt by all in Kansas City. The intensity felt in Kansas City is such that most large furniture has moved or tipped over. In some cases, structural damage has occurred. The damage to your primary facility is deemed significant enough to activate the continuity plan.

Note: The effects of an earthquake that is the basis for the NLE '11 scenario would have some effect on Kansas City. Most would feel the earthquake, and there is potential for cascading effects such as power outages. The fact that structural damages are exaggerated in the KC RICE '11 scenario will be noted as an exercise artificiality.

STARTEX will occur on the morning of Wednesday, May 18, 2011 at 0800. Within the two days since the initial earthquake, there have been two smaller aftershocks, forcing agencies to continually re-evaluate their operational status, as well as the operational status of key partners.

The scenario will drive participants to test participants' ability to perform essential functions from the continuity facility, communications systems operability, and communication partner organizations. The focus of the scenario will eventually shift to reconstitution. ENDEX will occur at 1200.

FEEDBACK INSTRUCTIONS

Please carefully review instructions for the collection of feedback. Feedback forms will form the basis for the overarching KC RICE '11 After Action Report. The due date for all feedback will be **May 27, 2011**. Feedback forms should be sent to Kenny Decker at SRA at Kenny_Decker@sra.com.

Annex A – Participants Individual Exercise Evaluation Form

This form is to be distributed to all participants within your agency. It is recommended that this form be completed by participants and collected during the internal hot wash following the exercise. Agencies have 2 options for submitting these results:

1. Scan and send all forms in a PDF file.
2. Tally results and send in a summary.*

*Note: Include number of participants/feedback forms counted in the summary so that they can be properly weighted in overall results of the AAR.

Annex B – General After Action Report (AAR)

Each agency is responsible for the submittal of 1 General After Action Report form. Feedback collected from these forms will also be incorporated into the overarching AAR.

Annex C – Agency Specific After Action Report (AAR)

Agencies are not required to submit this form. It is provided for use by each agency for their own internal AAR.

ANNEX A: PARTICIPANTS INDIVIDUAL EXERCISE EVALUATION FORM

(Please bring to the exercise)

Please fill out form at the end of the exercise. Answers to the following questions are meant to help us improve and enhance the Kansas City (KC) COOP Working Group (CWG) Exercises. Your answers are confidential. Thank you in advance for your time.

1. How much knowledge of Continuity of Operations Plan(s) and your role during continuity activation did you have prior to exercise? (circle one)

1	2	3	4	5
None of the knowledge	Some of the knowledge	Most of the knowledge	Nearly all of the knowledge	Not applicable

2. How prepared were you for the exercise? (circle one)

1	2	3	4	5
Not prepared at all	Somewhat prepared	Moderately prepared	Completely prepared	Not applicable

3. How did the exercise affect your understanding of Continuity of Operations Plan(s) and your role during continuity activation? (circle one)

1	2	3	4	5
Very negative effect	Somewhat negative effect	Somewhat positive effect	Very positive effect	Not applicable

4. How well did you understand the exercise's objectives listed in paragraph I. of this study guide? (circle one)

1	2	3	4	5
No understanding	Some understanding	Moderate understanding	Complete understanding	Not applicable

5. How well did the exercise meet the stated objectives? (circle one)

1	2	3	4	5
None of its objectives	Some of its objectives	Many of its objectives	All of its objectives	Not applicable

6. How helpful was the exercise materials and information you were provided before and during the exercise? (circle one)

1	2	3	4	5
Not at all helpful	Somewhat helpful	Moderately helpful	Extremely helpful	Not applicable

7. How would you rate the amount of time allowed for the exercise? (circle one)

1	2	3	4	5
Much less time than needed	Somewhat less time than needed	A little less time than needed	Just enough time	Not applicable

8. How well organized was the exercise? (circle one)

1	2	3	4	5
Not at all organized	Somewhat organized	Moderately well organized	Extremely well organized	Not applicable

9. Off-Site Exercise Execution – Please indicate your level of satisfaction with the exercise play and you ability to successfully receive the exercise action items in a timely and accurate manner.

1	2	3	4	5
Not at all organized	Somewhat organized	Moderately well organized	Extremely well organized	Not applicable

10. Considering all of the expectations you may have had about the exercise, to what extent has the exercise met your expectations? (circle one number below)

Falls Short of Expectations									Exceeded Expectations
1	2	3	4	5	6	7	8	9	10

11. What is the most significant thing that you learned from the exercise?

12. What deficiencies in your Continuity of Operations Plan(s) or Continuity planning did you identify?

13. What would you like to see done differently in future exercises?

ANNEX B: GENERAL AFTER ACTION REPORT (AAR)

(for submission to FEMA for AAR)

Agency:

Agency Personnel Participating: List all personnel participating

Exercise Name KC RICE '11

Exercise Objectives:

List the Exercise General Objectives
List any specific Agency Objectives

Exercise Description:

General Observations:

Agency Strengths Observed:

Agency Weaknesses Observed:

Conclusion:

- Items the Agency will take away from the exercise
- How could the Exercise get better?

ANNEX C: AGENCY SPECIFIC AFTER ACTION REPORT (AAR)

(for Agency internal AAR)

Agency:

Agency Personnel Participating: List all personnel participating

Exercise Name KC RICE '11

Exercise Objectives:

List the Exercise General Objectives

List any specific Agency Objectives

Exercise Description:

General Observations:

1. Comments on exercise design
2. Comments on exercise structure and flow
3. Comments about Agency preparation for the exercise
4. General Comments about Agency participation in the exercise

Agency Strengths Observed

1. Continuity of Operations Plans and Procedures
2. Identification, Resource and plan to execute agency mission essential functions (MEFs)
3. Delegations of Authority
4. Orders of Succession
5. Continuity Facilities

6. Continuity Communications
7. Vital Records Management
8. Test, Training and Exercise (TT&E)
9. Human Capital
10. Devolution of Control and Direction
11. Reconstitution

Agency Weaknesses Observed:

1. Continuity of Operations Plans and Procedures
2. Identification, Resource and plan to execute agency mission essential functions (MEFs)
3. Delegations of Authority
4. Orders of Succession
5. Continuity Facilities
6. Continuity Communications
7. Vital Records Management
8. Test, Training and Exercise (TT&E)
9. Human Capital
10. Devolution of Control and Direction
11. Reconstitution

Conclusion:

- Specific things the Agency will take away from the exercise
- How could the Exercise get better?