



# DRILL

**Design,  
Execution,  
and Evaluation  
Instruction Packet**



**ALLIANT ENERGY™**

## OVERVIEW OF THE DRILL PROCESS – WHAT IS A DRILL?

A drill is a test of a business process or procedure to see how individuals would handle a set of mock scenarios or events. It is not a pass/fail exercise. A drill is an opportunity to learn where improvements can be made in a process or in a series of processes to enhance the level of understanding, and insure the best possible execution during an actual event. It is used for testing alternative operating procedures, testing alternative equipment or processes, and evaluating how well people are trained on using or executing the alternative options.

Everyone should be familiar with the act of evacuating a building in the event of an emergency, or more commonly referred to as a “fire drill.” A fire drill has all of the components that make up a drill of any process or procedure. Think of the steps that are taken to plan, execute and evaluate a fire drill to help you conceptualize the steps you will need to make in order to test the process or procedure you are concerned with.

Other examples of a drill might be testing the processes put in place for a physical or cyber security threat, or what many of us participated in, a Y2K drill. In either case, events are prepared to test the actions of individuals that are faced with situations that are outside of their normal operating procedure. An evaluation would follow to determine what alternate processes worked well and what did not.

Below is a list of high level components to a drill:

### Objectives

What we intend to prove while conducting the drill. An example of objectives for a Y2K drill would be:

- A. Provide back-up communications in the event of phone outages
- B. Protect the health and safety of the public
- C. Augment an emergency staff beyond normal staffing limits
- D. Demonstrate communication capabilities with government agencies

### Scenario Summary

The scenario summary gives a short synopsis of what will take place throughout the entire drill. It’s a big picture of the events that will trigger responses from the participants or players. This is a summary of the highlights of the messages that will be presented.

### Mini-Scenarios

Describe the events in detail. They should provide the evaluators with the information they need to assess whether the response they are seeing to an event is correct. They should also provide guidance as to how this event can be remedied or mitigated.

## Messages

Messages help move the scenario along. They can be either a verbal message given to a participant, or it can be a written message you hand to them describing a situation.

## Evaluations

Evaluations and the process surrounding evaluations, allows us to see how capable our abilities are when we respond to major emergency events. They will show where our process is weak and needs improvement and what we are doing well that makes us stand apart from others in the industry.

## CREATING, EXECUTING AND EVALUATING A DRILL

There are three sub-drills that take place in order to complete an entire drill exercise. The names given to the three sub-drills are:

- **Tabletop drill (TT).**
- **Functional drill (F).**
- **Full Scale drill (FS).**

## TABLETOP DRILL GUIDELINES

### DEFINITION

A Tabletop (TT) drill simulates a situation in an informal, stress-free environment. Participants are people on a decision making level, who gather around a table to discuss general problems and procedures with the focus on training and familiarization with roles, procedures and responsibilities. It is best suited to rehearsing only one or a few functions and is largely a discussion guided by a facilitator(s) or two who shares responsibilities.

### PURPOSE

A TT is an effective method of reviewing scripts and implementing procedures and policies. It will acquaint key personnel with responsibilities and procedures, as well as with one another.

### FORMAT

The drill begins with the reading of a short narrative, which sets the stage for the situation to be rehearsed. The facilitator will stimulate discussion by either or both of the following approaches: (1) problem statements to the participants, either as individuals or as units, followed by participant(s) discussing the action to be taken in response to a (2) simulated message, which is more detailed than problem statements. In either instance, introduction of the problem will generate discussion.

### LEADERSHIP/ROLES

A facilitator leads the TT discussion, decides who gets a message, calls on others to participate, asks questions, and guides the participants towards sound decisions.

### PARTICIPANTS

This depends on the objectives of the drill, and can involve few or many from various disciplines.

## **EXECUTION**

The facilitator will set the stage by presenting the scenario, and will sustain and control the action as the TT proceeds. It is important that all participate and that no one person or unit dominate the discussion. The facilitator will present the problem statements, stimulate discussion and must avoid jumping in with the right solutions when discussion stalls.

## **POST-DRILL**

As the TT is intended to present problems and stimulate problem solving, it is more of a planning session than a true drill, and accordingly, usually there is no critique. Critiques will take place at the higher levels of drills. Always remember that a TT is for training, not testing. It is not a pass/fail situation but rather a learning situation.

## **FUNCTIONAL DRILL GUIDELINES**

### **DEFINITION:**

A Functional (F) drill is similar to the TT drill, except rather than simulate a situation, it will actually be executing a situation. Participants will be the actual participants in their regular work locations. The focus on the F drill is to execute the drill real-time with a limited number of participants. This deployment will be able to test the feasibility of the procedures that have been designed and put in place. For instance, will the communication plan that was designed, actually work with people deployed in areas across a company, service territory, or the country, depending on the scope of the drill?

### **PURPOSE:**

An F drill is an effective method of testing the deployment of the participants and testing whether the logistics will be a problem for them when executing their responsibilities during the drill exercise. It will acquaint key personnel with responsibilities and procedures, as well as with one another.

### **FORMAT:**

The drill begins with the reading of a short narrative, which sets the stage for the situation to be rehearsed. Evaluators will then start distributing messages, at their respective sites, to keep the simulation moving along. As messages are distributed, this will provoke the participants to act on the message and the communication will continue to everyone else involved.

### **LEADERSHIP/ROLES:**

An evaluator leads the F drill at each particular site that is participating. They are responsible for distributing messages to the participants, and observing the actions taken by the participants. The participants are responsible for carrying out an action based on the information on the messages. The evaluator steps in and assists the participant only if the message is taken in the wrong context, and the participant starts to respond in a misunderstood direction.

## **PARTICIPANTS**

This depends on the objectives of the drill, and can involve few or many from various disciplines.

## **EXECUTION**

The evaluator will set the stage by reading the narrative, and will keep the drill moving by passing out messages at the predetermined time. It is important that all participants understand that the evaluator is not there to assist, and that each understands their roles well enough to handle whatever simulated message that comes along.

## **POST-DRILL**

Immediately following the end of the F drill, the participants, and evaluators will complete the evaluation forms. This information will be compiled and will be discussed as soon as time permits after the F drill is complete. This information will be used to critique the drill, and try to come up with solutions to improve or enhance the process or procedure that was being tested. Always remember that a Functional drill is for training, not testing. It is not a pass/fail situation, but rather a learning situation. This holds true for the TT as well as the FS drill.

## **FULL SCALE DRILL GUIDELINES**

### **DEFINITION**

The Full Scale (FS) drill is exactly like the F drill except there is a full deployment of participants that would replicate a real situation. Also, the process or procedure should be carried out on a real-time basis. The previous drills may have been carried out during business hours for the sake of resources being available, but at this stage, the drill should be carried out whenever the real situation that is being tested is most likely to happen.

All other steps will be carried out exactly as the F drill outlines. At the conclusion of this drill, the success or failure should be assessed. If the participants and evaluators feel that the objectives of the drill have not been met, plans and/or procedures should be modified, with all of the information from the drill documented. Another Full Scale drill can be executed if the drill design team feels this is necessary.

## GENERAL DESIGN REQUIREMENTS ASSOCIATED WITH THE FULL SCALE DRILL

Generally speaking, there are 8 steps in drill design, common to other drill design:

1. Assess needs
2. Limit scope
3. Write a purpose statement
4. Determine objectives
5. Write a narrative
6. Identify major and detailed events
7. Prepared expected actions
8. Write messages or problem descriptions (provide “hidden text” on the message that will contain expected actions for the evaluator)

- Determine if you will be focusing on position specific or facility specific drill:

**Position Specific** – Where you are evaluating how well a specific position in a facility functions. Are the personnel assigned, trained and how well do they use available resources?

**Facility Specific** – Where you Evaluate how well the facility functions and if the facility is effective

- Decide on the date that you would like to conduct the drill. Past experience shows that for a large-scale drill, you need about one month of time in between each drill phase. For example, if you are going to have a Table Top drill, Functional drill, and the Full Scale drill, you will need at least three months from the time you start the drill design, to the time you are executing the Full Scale drill.
- Develop the scope of the drill. This should include the limits that the drill will take on. Based on the scope of the drill, you can then determine what areas of the company you need to have participation from, and can begin to form your drill design team.
- Write a Purpose Statement for the drill. This statement should coordinate with the scope of the drill. The purpose statement can continually be looked back at during your drill design to make sure that details you are putting together are still consistent with the reason the drill is being done.
- Create a drill design team. This team should be comprised of a lead person from each area that the drill will encompass, along with a Facilitator that will guide the design team. This team will get together and focus on the high-risk issues and contingency script testing that need to be done. There will be an initial meeting with this group to discuss the scope, and generate a list of objectives to cover for the drill. An example of a partial list of objectives is in appendix A.

- Create a narrative for the drill. A narrative is a short description of the current conditions, which sets the stage for the situation to be drilled. The narrative can include such items as the time of day, the current weather conditions and forecasts, the current status of the areas that will be drilled, current news that may effect the area, current status of employees that will be participating in the drill, and current deployment of personnel. See appendix B for an example of a narrative for a Y2K drill.
  
- Identify major and detailed events. Major events should be documented for the drill you are designing. For any given drill, there should not be more than a few major events defined. In some cases, there may be only one major event that the entire drill will be designed around. This major event(s) will generate tens if not hundreds of messages that will keep the drill moving. An example of a major event in a Y2K drill might be a loss of power in a certain location or city. This would generate several messages that would cascade into many more for an individual area.
  
- Prepare expected actions. Once the major and detailed events have been identified, expected actions can be documented. Create expected actions for each major and detailed event based on what group(s) it would effect, and what the expected actions would be for the identified work areas. This should be kept at a functional level, being careful not to get too detailed or identify a specific person(s). This will come in the next step.
  
- Write messages or problem descriptions. This is the end result of the above design. Based on the events and expected actions defined above, detailed messages need to be created for all participants that are effected by a specific event during the drill. The same message may be given to several people or work areas, and each needs to be identified. Messages will include the following information:
  - Event number
  - Message number
  - Message to whom
  - Message from
  - Method of delivering the message during the drill
  - Clock time
  - Simulated time (when appropriate)
  - Message context or problem description
  - Evaluator notes
  - Expected action

*An example of a message can be found in Appendix C.*

*An example of a Summary of all messages with timeline can be found in Appendix D.*

## FINALIZE SCOPE AND OBJECTIVES OF FULL SCALE DRILL

Determine final list of events that will be included in the Functional drill. This will be a subset of the full list of events for the Full-Scale drill.

Finalize scope and objectives for the Full-Scale drill.

After this meeting, individual core group members will need to form sub-teams to identify potential participants and evaluators to be used in the drills. This list should contain the persons name, the work area they are responsible for, their physical location during the drill, and the phone number they can be reached at during the drill.

Contingency plans will be created for each area identified in the drill. This plan is put together to show what should be done in the event an application or business process cannot be executed the way it normally is everyday. See Appendix E Contingency Plan Template.

Review the narrative for the drill. This is a document that describes the current conditions at the start of the drill. Based on the information in the narrative, this may or may not change the course of the drill. Decisions may be based on what information is in the narrative, so care should be taken as to how it is written.

After the participants have been identified, they should be instructed to create checklists that they will follow during the drill. This list will contain all the things the participants will be checking when the drill is executed. Statuses will be “called in” to a central location, commonly referred to as Event Operations Center (EOC). Depending on the severity of failure, a value will be assigned to the problem. These statuses will be summarized at the EOC, and the criticality of the failure will be prioritized. See the next section for Tips in designing the EOC.

Create a communication plan for use in the drill. In particular, who will be talking to who, and passing along what information. This is extremely important in order to have any organization of the drill. There should be preset communication instructions that everyone should follow in order to prevent confusion and drill break-down. One example of a communication plan would be to have the participants “call in” their statuses to the EOC. The EOC can then summarize the status of the drill and report this to the business sponsor of the drill and/or the media. The EOC can in turn report back to the rest of the participants the overall status of the drill.

Create a drill duration document. This document should describe how long the drill will be, and what timeline the drill will cover. It is often the case that the physical drill time is far less than the real time of the event. The drill itself may cover only a few hours, but the simulated time of the event may be an entire weekend.

## TIPS IN DESIGNING THE EVENT OPERATIONS CENTER (EOC)

### Roles of an EOC

- Coordinate the status reporting of an event.
- Coordinate all of the incoming status messages and formulate periodic outgoing status messages for the participants, executive sponsors, media, etc...
- Actively manage the front line response to any problems that may occur
- Manage the sponsors of the particular drill and bring them in if necessary
- Minimize having EOC staff that have other functional responsibilities and may have to leave the EOC to tend to other business needs
- Every person in the EOC needs a backup so the Center can keep running for extended periods.
- 12-hour shifts are commonly used
- EOC's need guidelines that define the role of executives during an emergency, when visitors are allowed, EOC chain of command, etc.

### Operating an EOC

- If information will be distributed outside of the EOC, either internal or external communication, it may be important to have a representative from Legal and Corporate Communications present
- If it is important to communicate with the media during your drill or an actual event, past experience suggests that the Media Center should not be located at or around the EOC
- Be sure that all locations participating in the drill can be communicated to for the current status feedback by the EOC. For example, if status messages are left on voicemail, and some areas do not have access to voicemail, an alternative communication plan must be developed
- A "stand and deliver" policy is effective communication within the EOC, as important developments arise
- After a drill or event, an immediate debriefing provides a fresh recall of things that worked well or could be improved
- During drills that utilize an EOC, it can be helpful to have third parties act as EOC evaluators
- Having customers or sponsors observe the drill can build confidence with those stakeholders

## **EOC Infrastructure**

- Changing the EOC layout has many implications to the infrastructure requirements, staffing and EOC management. This layout is likely to change as a result of the practice drills that take place
- Additional telecom lines for phones, fax machines and printers may need to be installed
- Special 800 numbers may have to be setup to accommodate a large volume of incoming calls for status reporting
- Satellite phones may be necessary in the event desk phones and cell phones are not working.
- A conference phone may be necessary for discussing issues that arise
- A television may be required if the weather or other headline news is crucial to the drill
- EOC's need consideration for other business needs, such as space for media, executives, backup staff, food, security, etc...
- Conference call situations create disturbing noise in the EOC, which can be accommodated by using headphone sets, or installing temporary sound barriers
- Having an electronic status screen proves to be helpful by minimizing paper from status calls, can be updated by all groups real time, and can be viewed by a wide number of people with real-time information

## **Conclusion**

- The operations of an EOC and the role of its participants will vary, depending on the mission of the EOC
- However, regardless of an EOC's mission, effectively communicating (within, across and outside of the business) will be the biggest challenge
- An EOC has a significant infrastructure requirement, which takes a lot of coordination to assemble and often extends beyond the immediate walls of the EOC itself

## FORMAL GENERIC TRAINING FOR EVALUATORS IN EXECUTING A DRILL

Each evaluator should be familiar with the following:

- The basic objectives of the drill
- The assumptions and precautions being taken
- The scenario, including the initiating events and the expected course of action, to be taken
- The various locations that will be involved and the specific items to be observed at those locations
- The evaluation forms provided

### Evaluator Instructions

- Evaluators should position themselves in their assigned locations prior to the activation of the facility or activity for which they have responsibility
- Watches should be synchronized between the evaluators for the exercise.
- Each evaluator should have copies of the messages controlling the progress of the drill scenario. Messages should not be delivered out of sequence or other than as authorized by the Lead Evaluator
- Evaluators should not provide information to the participants regarding scenario progression or resolution of problems
- The drill participants are expected to obtain information through their own organizations and use their own judgement in determining response actions and resolving problems
- If the participants are experiencing major difficulties in properly responding to the scenario, the evaluators may intervene on a limited basis
- When an evaluator must come to the aid of a participant, the evaluator should document on the evaluation form the type of aid given to the participant
- Each evaluator should take detailed notes regarding the progress of the drill and the response of the drill participants at their assigned locations
- Evaluators should carefully note the arrival and departure times of participants, the time when major activities or milestones occur and problem areas encountered

### Evaluator Instructions

- Familiarity of personnel with appropriate procedures, duties and responsibilities
- Timely notifications where applicable
- Properly controlled documentation and accurate, timely record keeping
- Utilization of correct communications, procedures and techniques

- Capability of facility managers to interface with personnel
- Capability of facility managers to coordinate facility activities
- Consideration for personnel and public safety
- Adequacy of interface between other emergency response facilities
- Development of strategies to mitigate the scenario event
- Adequacy of staffing
- Availability and utilization of proper equipment
- Adequacy of interface with emergency support personnel
- Adequacy of briefing sessions conducted by facility managers
- Timely requests for additional assistance
- Coordination and interface between emergency response team members
- Availability of reference documents
- Properly maintained records

*See Appendix F for an Example of an Evaluator Evaluation Form*

### Critique Process

- Identify solutions to problem areas, not just the problem.
- Commend good or excellent performance as well as improvement items.
- Help improve the process.

## **EXECUTE THE TABLETOP (TT) DRILL**

Review the final list of messages that will be used for the functional drill. Pay special attention to the timing of the messages as it pertains to other functional areas. Make sure this timing makes sense and that it will provoke a common sense response from the participants

Run through a Tabletop exercise, which consists of walking through the messages and evaluating their validity. This includes verifying that the messages make sense in the order that they are presented.

Finalize who the participants and evaluators are, what locations they will be positioned at, what messages go with each location, and verify the times they will be participating in the drill.

# TRAINING OF ALL PARTICIPANTS THAT WILL BE INVOLVED IN THE DRILL

- Go over the objectives of the drill with the participants. This will give them some idea of what they are trying to accomplish without giving away the specific scenarios that will be tested.
- Go over the drill scope. This will lay out how far reaching the drill goes, and who are the potential participants that they can contact during the drill that they know will be participating.
- Go over the procedural aspects of the drill including:

## Terminology

**Status Desk or EOC** – Where participants are to call in with the current status

**Checklists** – The document used to report to the status desk

**Status Codes** – The color code used to report your status

**Area Name** – What your functional area will be referred to during the drill

## Backup Communication Plans

Review the plans that will be used in the case that the primary communication method is disabled. Ex. radios, cell phones, satellite phones

## Review Documentation

Review where all documentation is located and what is expected in the use of particular documents

Examples of documentation included are: status-reporting checklists; phone lists of participants; contingency documents; emergency preparedness documents; participant organization chart; etc...

*See Appendix H for an Example Organization Chart.*

*See Appendix I for an Example Phone List.*

## Pre Drill Communication test

Check in to verify accurate phone numbers to call  
Verify you have the correct version of the phone list for the drill

- Review the security aspects of the drill. Make sure people will be able to get to their designated locations at the required times for the drill. (Ex. if participants will be at a particular location after hours, will that facility be open, or will a special key be required?)
- Assign one person per location to be responsible for supplies that will be necessary for the drill. This may include batteries, flashlights, radio, food and drink, pens and paper, etc...
- Review the release policy for the drill. At some designated time during the drill, participants will need to know when their

involvement in the drill is complete. This can be done by designating a specific time the drill will end, or setting a minimum time they need to be involved and checking in after that to request permission to be dismissed from the drill.

- Upon Completion of the drill, the participants are required to fill out a participant comment form, which they will immediately forward on to their respective evaluator.

*See Appendix G for an example of a Participant Comment form:*

## **EVALUATOR REVIEW**

Review all messages with and without evaluator/coordinator notes.

- Based on the Tabletop exercise above, members of the design team should verify that all messages are accurate and can be easily understood.
- Messages can be added, deleted, or modified based on how well they were responded to during the TT drill.

Review the Participant Evaluation form, which should be filled out immediately after the drill.

- Verify that the questions on the form make sense for the particular drill that will be executed.
- For example, if everyone is at one location, it doesn't make sense to ask the participants for feedback on the usefulness of remote locations being used.

Review the Evaluator Evaluation form, which should be filled out immediately after the drill.

- Verify the accuracy of the evaluation form based on the drill that is being performed.

Review the timeline summary of all events associated with the drill.

- Review a summary of all of the messages that will be used in the drill.
- Make sure the timeline makes sense as it pertains to the items in the drill that will be tested. For example, if there are messages that go to two different participants for a related issue, make sure the timing of the messages is accurate, so the meaning of the message isn't lost. If a message is delivered to a participant that a problem has occurred, and this participant is to call another participant to get some information to make sure that both participants have the data they need to make an intelligent decision for the scenario.

Review narrative to describe current conditions that may or may not effect the drill.

Review the communication plan that will be used during the drill.

- Make sure that any equipment that is necessary for the drill is in place.
- Verify that the backup equipment is in place or can be accessed by participants.

## **EXECUTE FUNCTIONAL DRILL (F)**

All drill locations participating will be staffed to facilitate the drill exercise.

- As the name implies, this drill is used to test the functionality of the drill. Based on how the drill is set up, will the logistics work that were planned? If there are people that need to communicate with each other and are at different sites, is the communication set up, and is it timely enough to accommodate the objectives of the drill?

The drill will begin with a reading of a narrative at each location that will be participating.

- All participants and evaluators should have their watches or clocks synchronized to the same time.

Once the drill gets underway, messages will be distributed at their assigned time to the participants. Based on the content of the message, the participants will respond to the message. The evaluators will be watching the actions of the participants, and making notes where necessary as to what is working well, and where there is some confusion.

This action will continue until the predefined time of the drill termination. At this time, the drill will end, and/or, participants may call to an EOC to request to be dismissed from the drill.

All evaluations are due at the completion of the drill, with a teleconferencing review following. This review will consist of the evaluators that participated in the drill, and will be facilitated by a member of the Drill Design team. The meeting will consist of discussing the good and bad points of the drill, and will focus on issues that can be changed in order to make the Full Scale drill more effective.

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## **FINALIZE REMAINING EVENTS ASSOCIATED WITH THE SCOPE AND OBJECTIVES OF THE DRILL**

Finalize all events that will be included in the Full-Scale drill.

- Based on the information recovered from the review meeting for the Functional Drill, try to determine how the events will be altered, if necessary, for the Full-Scale drill.

Determine any new or past drill scenarios that need to be exercised.

- Based on the outcome of the Functional drill, determine what, if any, scenarios need to be modified, added or deleted.

Identify any additional messages that need to be included in the Full-Scale drill.

- This should be determined based on the feedback and comments from the evaluators of the Functional drill. If there was confusion of a participant based on lack of information in a message, or perhaps no message at all.
- Was there functionality in the drill that was not useful, or may have been out of the scope of the drill. In this case, the message may have to be deleted or modified.

Identify any new participants and evaluators that need to be used in the drill.

- Based on any new messages introduced, will this cause another group or business area to be involved?
- If new participants or evaluators are involved, additional training will have to be scheduled for all new individuals identified.

## **EVALUATOR REVIEW WHERE THE FINAL PACKETS WILL BE DISTRIBUTED**

This is intended to be the last meeting before the Full-Scale drill.

Evaluator packets and participants will be distributed along with any final discussion of the Full-Scale drill taking place.

## **EXECUTE THE FULL SCALE DRILL**

All drill locations will be staffed to facilitate the drill.

- This will be a full deployment of all participants and evaluators that will be participating in the drill.
- This drill will function in real-time in that it will be conducted at the time that the objectives of the event are most likely to happen.
- This will be the closest simulation that can be produced barring the actual event you are drilling for becomes a reality.

The drill will begin with a reading of a narrative at each location that will be participating.

- All participants and evaluators should have their watches or clocks synchronized to the same time.

Once the drill gets underway, messages will be distributed at their assigned time to the participants. Based on the content of the message, the participants will respond to the message. The evaluators will be watching the actions of the participants and making notes where necessary as to what is working well, and where there is some confusion.

This action will continue until the predefined time of the drill termination. At this time, the drill will end, and/or, Participants may call to an EOC to request to be dismissed from the drill.

All evaluations are due at the completion of the drill, with a teleconferencing review following. This review will consist of the evaluators that participated in the drill, and will be facilitated by a member of the Drill Design team. The meeting will consist of discussing the good and bad points of the drill, focusing on determining if the objectives of the drill have been met. If the answer is NO, this drill will have to be reviewed and determine what changes can be made in order to meet the objectives.