

DEPARTMENT OF MILITARY AFFAIRS
Division of Emergency Management
(Amended at ARRS Committee)

106 KAR 1:221. Local emergency management exercise.

RELATES TO: KRS 39A.050(2)(l), 39C.050(4), 39E.010(1), 39E.150, 42 U.S.C. 11001-11050

STATUTORY AUTHORITY: KRS 39A.050(2)(j), (m), 39A.070(3), 39E.040(6), 39E.080(4), 42 U.S.C. 11003(c)

NECESSITY, FUNCTION, AND CONFORMITY: KRS 39A.050(2)(m) requires the Division of Emergency Management to promulgate administrative regulations to implement KRS Chapter 39A through 39F. KRS 39A.050(2)(l) requires the Division of Emergency Management to institute exercise programs for local emergency management. This administrative regulation establishes requirements for exercising a local emergency management plan.

Section 1. Definitions.

- (1) "Exercise" means a test and evaluation of a local plan.
- (2) "Federal fiscal year" means a period beginning October 1 of a calendar year and ending September 30 of the following calendar year.
- (3) "Full-scale exercise" means a comprehensive test and evaluation of a local plan utilizing written objectives that emphasize the practice of multiple emergency management functions and require actual deployment of policy, coordination, and operations personnel, equipment, and resources in response to a simulated emergency.
- (4) "Functional exercise" means a limited test and evaluation of a local plan utilizing written objectives that emphasize the practice of direction and control procedures and requiring actual and simulated utilization of policy, coordination, and operations personnel, equipment, and resources in response to a simulated emergency.
- (5) "Local plan" means the written emergency operations plan of a city, county, charter county, or urban-county government, pursuant to KRS Chapters 39A through 39F.
- (6) "Tabletop exercise" means a group discussion led by a facilitator utilizing a written scenario narrative and a set of problem statements, directed messages, or prepared questions designed to test and evaluate a local plan.

Section 2. Tabletop Exercise Requirement. A tabletop exercise shall consist of development and use of:

- (1) A written scenario based on a hypothetical emergency situation; and
- (2) At least fifteen (15) written problem statements, directed messages, or prepared discussion questions worded specifically to test or evaluate the provisions of the local plan.

Section 3. Functional Exercise Requirement. A functional exercise shall consist of:

- (1) At least twenty-five (25) percent staffing of a primary or alternate local emergency operation center;
- (2) An operational test of communications and emergency power equipment in a local emergency operations center;
- (3) Use of message forms or status boards in a local emergency operations center;
- (4) Development and use of a written scenario based upon one (1) or more hazards established in the local plan;
- (5) Development and use of five (5) or more written exercise objectives;
- (6) Testing of seven (7) or more disaster and emergency response functions specified in a local plan;

- (7) Development and use of written evaluation criteria;
- (8) Designation and use of a lead evaluator; and
- (9) Conduct of an exercise critique involving exercise participants.

Section 4. Full-scale Exercise Requirement. A full-scale exercise shall consist of:

- (1) Completion of the requirements of Section 3 of this administrative regulation, except subsections (1), (5), and (6);
- (2) At least seventy-five (75) percent staffing of a primary or alternate local emergency management operations center;
- (3) Development and use of ten (10) or more written exercise objectives;
- (4) Testing of fifteen (15) or more disaster and emergency services response functions established in a local plan; and
- (5) Field deployment of at least five (5) emergency response and support agencies.

Section 5. Local Exercise Requirement.

- (1) Except as established in subsection (2) of this section, a local director shall:
 - (a) Schedule, design, conduct, and document one (1) tabletop functional, or full-scale exercise by September 30 of each federal fiscal year; and
 - (b) At least once during each period of four (4) consecutive federal fiscal years, include in an exercise established in paragraph (a) of this subsection, testing and validation of a local plan established in KRS 39E.150.
- (2) During each period of four (4) consecutive federal fiscal years, a local director shall schedule, design, conduct, and document at least one (1) functional or full-scale exercise in lieu of one (1) tabletop exercise established in subsection (1)(a) of this section.
- (3) Within thirty (30) days prior to conducting a tabletop exercise established in subsection (1)(a) of this section, a local director shall submit a final draft of the following to the area manager:
 - (a) A completed Exercise Scenario, KyEM Form 201, or computer-generated equivalent;
 - (b) A copy of the written exercise discussion problem statements, directed messages, and prepared questions established pursuant to Section 2(2) of this administrative regulation; and
 - (c) A completed Exercise Objectives, KyEM Form 202, or computer-generated equivalent.
- (4) Within thirty (30) calendar days following completion of a tabletop exercise, a local director shall submit to an area manager a written exercise report consisting of the following:
 - (a) A completed Exercise Scenario, KyEM Form 201, or computer-generated equivalent;
 - (b) A copy of the written exercise discussion problem statements, directed messages, and prepared questions established pursuant to Section 2(2) of this administrative regulation;
 - (c) A completed Exercise Participant Roster, KyEM Form 205, or computer-generated equivalent; and
 - (d) A completed Exercise Critique, KyEM Form 206, or computer-generated equivalent.
- (5) Within thirty (30) calendar days prior to conducting a scheduled functional or full-scale exercise, a local director shall submit the final draft of the following forms or computer-generated equivalent to the area manager:
 - (a) A completed Exercise Scenario, KyEM Form 201; and
 - (b) A completed Exercise Objectives, KyEM Form 202.
- (6) Within thirty (30) calendar days following completion of a functional or full-scale exercise, a local director shall submit to a county judge/executive, mayor, or area

manager a written local exercise report consisting of the following completed forms or their computer-generated equivalent:

- (a) Exercise Scenario, KyEM Form 201;
- (b) Exercise Objectives, KyEM Form 202;
- (c) Exercise Evaluation Criteria, KyEM Form 203;
- (d) Master Sequence of Events List, KyEM Form 204;
- (e) Exercise Participant Roster, KyEM Form 205;
- (f) Exercise Critique, KyEM Form 206; and
- (g) Exercise After Action Report.

Section 6. Exercise Substitution.

(1) In lieu of conducting and documenting a scheduled tabletop, functional, or full-scale exercise in a federal fiscal year, a local director may request to substitute the actual response of a local disaster and emergency services organization to a major emergency situation or disaster occurrence in a local jurisdiction during the federal fiscal year of the actual response.

(2) A local director requesting to substitute an actual response to a major emergency or disaster occurrence, in lieu of conducting and documenting a scheduled tabletop, functional, or full-scale exercise shall, within sixty (60) calendar days following termination of associated emergency response operations, shall submit to the area manager for transmittal to the Director of the Division of Emergency Management, an after-action report in memorandum form containing the following information:

- (a) A brief description of the type or kind of emergency situation or disaster that occurred in the local jurisdiction;
- (b) Date of the emergency situation or disaster occurrence;
- (c) The geographic area adversely affected by the emergency situation or disaster;
- (d) The estimated population in the adversely affected geographic area;
- (e) The major problems experienced and the actions taken by local government to mitigate or respond to the major problems;
- (f) Significant assets utilized to mitigate or respond to the emergency situation or disaster; and
- (g) Critique comments describing the general effectiveness of the mitigation or response efforts of local government forces, including the adequacy of the local plan and any significant deficiencies noted.

Section 7. Incorporation by Reference.

(1) The following material is incorporated by reference:

- (a) "Exercise Scenario", KyEM Form 201, June 2022;
- (b) "Exercise Objectives", KyEM Form 202, June 2022;
- (c) "Exercise Evaluation Criteria", KyEM Form 203, June 2022;
- (d) "Master Sequence of Events List", KyEM Form 204, June 2022;
- (e) "Exercise Participant Roster", KyEM Form 205, September 2000;
- (f) "Exercise Critique", KyEM Form 206, June 2022; and
- (g) "Exercise After Action Report", KyEM Form 207, June 2022.

(2) This material may be inspected, copied, or obtained, subject to applicable copyright law, at the Division of Emergency Management, Emergency Operations Center, 100 Minuteman Parkway, Frankfort, Kentucky 40601-6168, Monday through Friday, 8 a.m. to 4:30 p.m.

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