



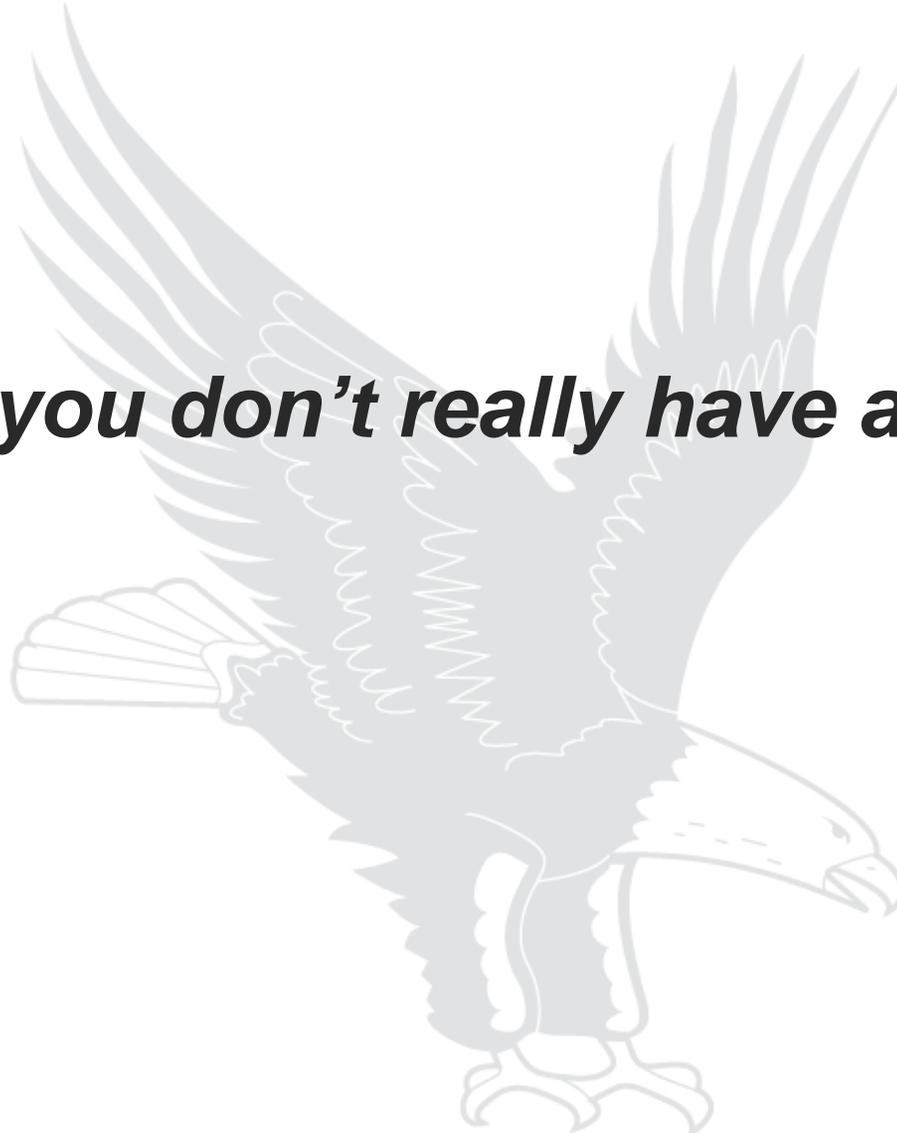
EXERCISE EVALUATION

EXERCISE EVALUATION

The process of observing and recording exercise activities, comparing the performance of the participants against the objectives, and identifying strengths and weaknesses

WHY EVALUATE THE EXERCISE?

Because you don't really have a choice !



GOOD EVALUATIONS CAN IDENTIFY...

- Whether the exercise has achieved its objectives
- Needed improvements in standard emergency procedures, or guidelines
- Needed improvements in the emergency management system
- Training and staffing deficiencies
- Needed operations equipment
- Need for continued exercising of the plan and the emergency management functions

PURPOSE OF EXERCISE EVALUATION

- Evaluate performance on critical tasks
- Validate strengths and identify areas for improvement
- Improve preparedness

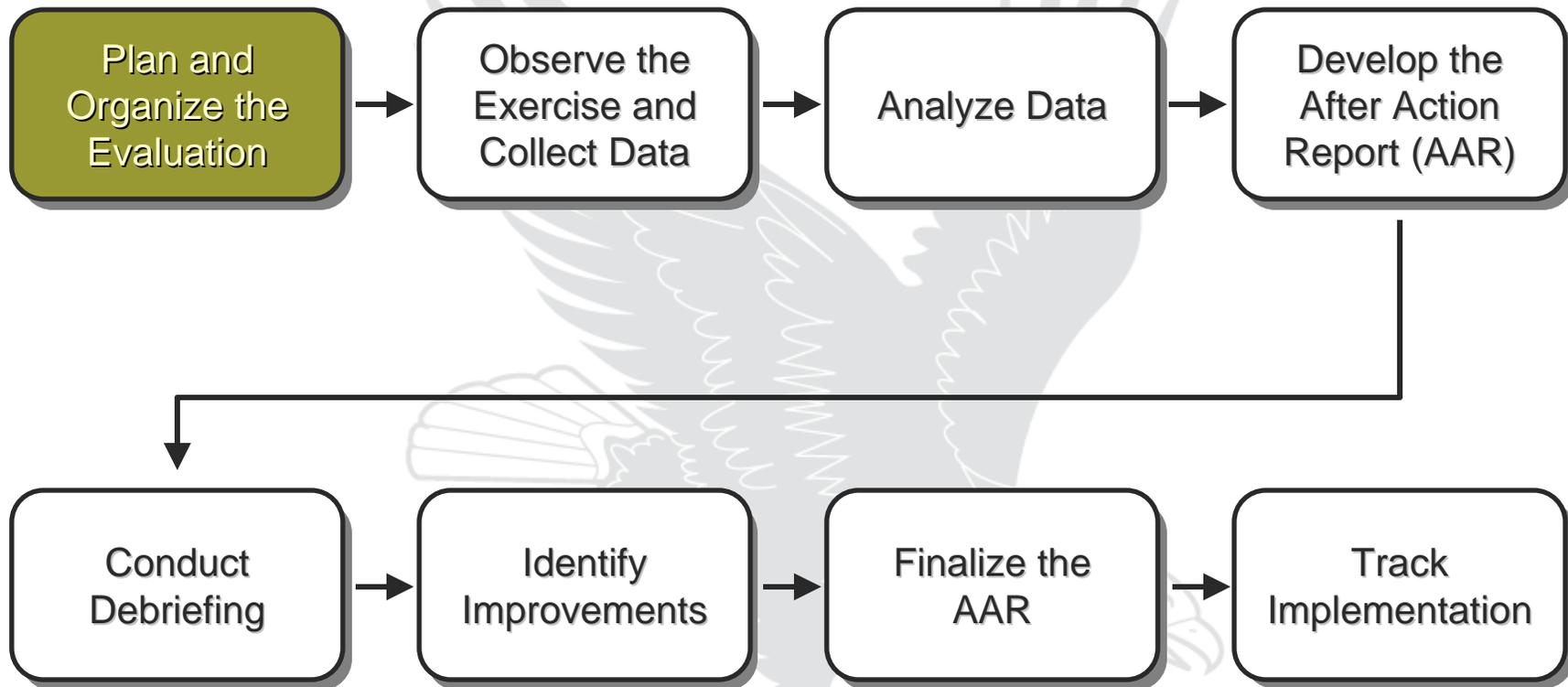


EVALUATION METHODOLOGY

EVALUATION METHODOLOGY

- Plan and organize the evaluation
- Observe the exercise and collect data
- Analyze data
- Develop the draft AAR
- Conduct exercise debrief
- Identify improvements
- Finalize the AAR
- Track improvement

EVALUATION AND IMPROVEMENT PROCESS



EVALUATION METHODOLOGY

- Plan and organize the evaluation
 - Part of design and objectives development process
 - Determine what, who, and how it will be collected



PLANNING AND ORGANIZING THE EVALUATION

- Define evaluation requirements
- Prepare a plan for evaluating the exercise
- Develop evaluation tools
- Recruit, assign, and train facilitators and evaluators
- Finalize the plan for evaluation

DEFINE EVALUATION REQUIREMENTS

While the exercise is being designed, the evaluation planning team will be provided, via the Exercise Plan (EXPLAN), the Master Scenario Event List (MSEL), and other exercise documents, information on:

- Exercise goals and objectives
- Exercise flow
- Critical actions
- Exercise participants
- Functions and activities to be evaluated

DEFINE EVALUATION REQUIREMENTS

- The evaluation team identifies evaluation requirements
 - Determine what will be evaluated and how information will be collected
 - Use exercise goals and objectives to determine tasks and policies, resources, and agreements to evaluate
 - That information will be used to define the discussion questions that should be asked during Discussion Based Exercises
 - Define appropriate tools for evaluators to use

PREPARE THE EVALUATION PLAN

Although the process for evaluating a tabletop exercise is less complex than that for a full-scale exercise, it is no less important. An evaluation plan or process should include the following items:

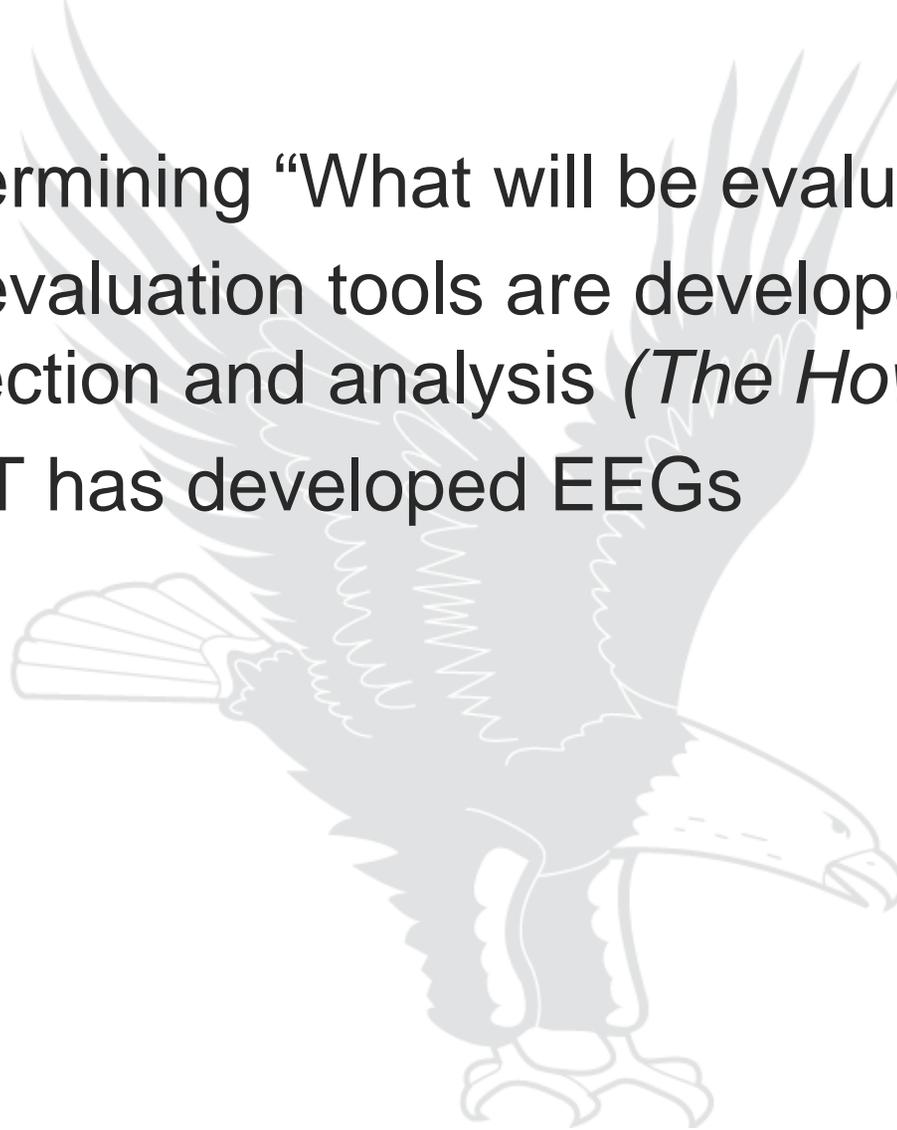
- Exercise-specific information
- This is the scenario or a summary of the scenario, the functional groups for the exercise, and the exercise schedule
- Plans, policies, procedures, and agreements
 - These are copies of or references to the jurisdiction's applicable plans, policies, procedures, and agreements that would be followed during a response
- Facilitator and evaluator assignments
 - Identify how many facilitators and evaluators are needed, the background required, and the functional group that each will observe
- Facilitator and evaluator instructions
 - Instructions on what facilitators and evaluators should do before they arrive as well as their role throughout the exercise
- Evaluation tools
 - Include the data collection instruments and guides

PREPARE THE EVALUATION PLAN

- **Exercise-specific information**
 - The EVALPLAN should include:
 - Scenario, the map of the play site (including evaluation locations), and the exercise schedule (including the evaluation schedule)
- **Evaluator team organization, assignments, and location**
 - The EVALPLAN should identify how many evaluators are needed, where they will be located, and how they are organized
 - Evaluators cannot see everything that occurs at any one location during a response
- **Evaluator instructions**
 - Evaluators should be given instructions on what to do before they arrive as well as how to proceed upon arrival
- **Evaluation tools**
 - The EVALPLAN should include the data collection instruments and guides

DEVELOP EVALUATION TOOLS

- After determining “What will be evaluated”
- Specific evaluation tools are developed for use in data collection and analysis (*The How*)
- DHS/OGT has developed EEGs



RECRUIT, ASSIGN, AND TRAIN EVALUATORS

- ID Lead Evaluator identified early in the planning process
- Fully participate as a member of the exercise planning team
 - Senior-level person who is familiar with response functions; the plans, policies, and procedures of the jurisdiction; command and decision-making processes; and interagency coordination
- A number of evaluators will also be needed to observe and record participant discussion during the exercise
 - Evaluators should be chosen for their knowledge and understanding of the specific functional area they will be assigned to observe

RECRUIT, ASSIGN, AND TRAIN EVALUATORS

- In addition to a facilitator to manage the exercise process, a facilitator and at least one evaluator will be needed for each functional group
 - The exercise facilitator sets the expectations for the exercise, introduces or presents the scenario and the various modules, manages the time and group report outs, and facilitates the discussion of any coordination issues between groups
 - The group facilitator keeps the group focused on the issues and discussion questions and ensures that all members have an opportunity to participate in the discussion
 - The role of the evaluator is to observe and record the discussion during the exercise, participate in the data analysis, and assist with drafting the AAR

[RECRUIT, ASSIGN, AND TRAIN EVALUATORS]

- Facilitators and evaluators are:
 - Generally drawn from non-playing members of participating organizations, contractors, or peer organizations
 - Have facilitation or training skills so that they can guide the discussion without injecting themselves into it
 - Have copies of the jurisdiction's plans, policies, procedures, and agreements
 - Have subject-matter knowledge
 - Trained and thoroughly prepared to effectively perform their assigned duties

[Recruit, Assign, and Train Evaluators]

- Training:
 - Should address all aspects of the exercise to include exercise goals and objectives, the scenario, participants, and evaluator roles and responsibilities
 - Include discussion of scenarios to expect
 - Include guidance on:
 - Observing the exercise
 - What to look for
 - What to record
 - How to use the Evaluation Guides or other evaluation tools
 - How to analyze the data

RECRUIT, ASSIGN, AND TRAIN EVALUATORS

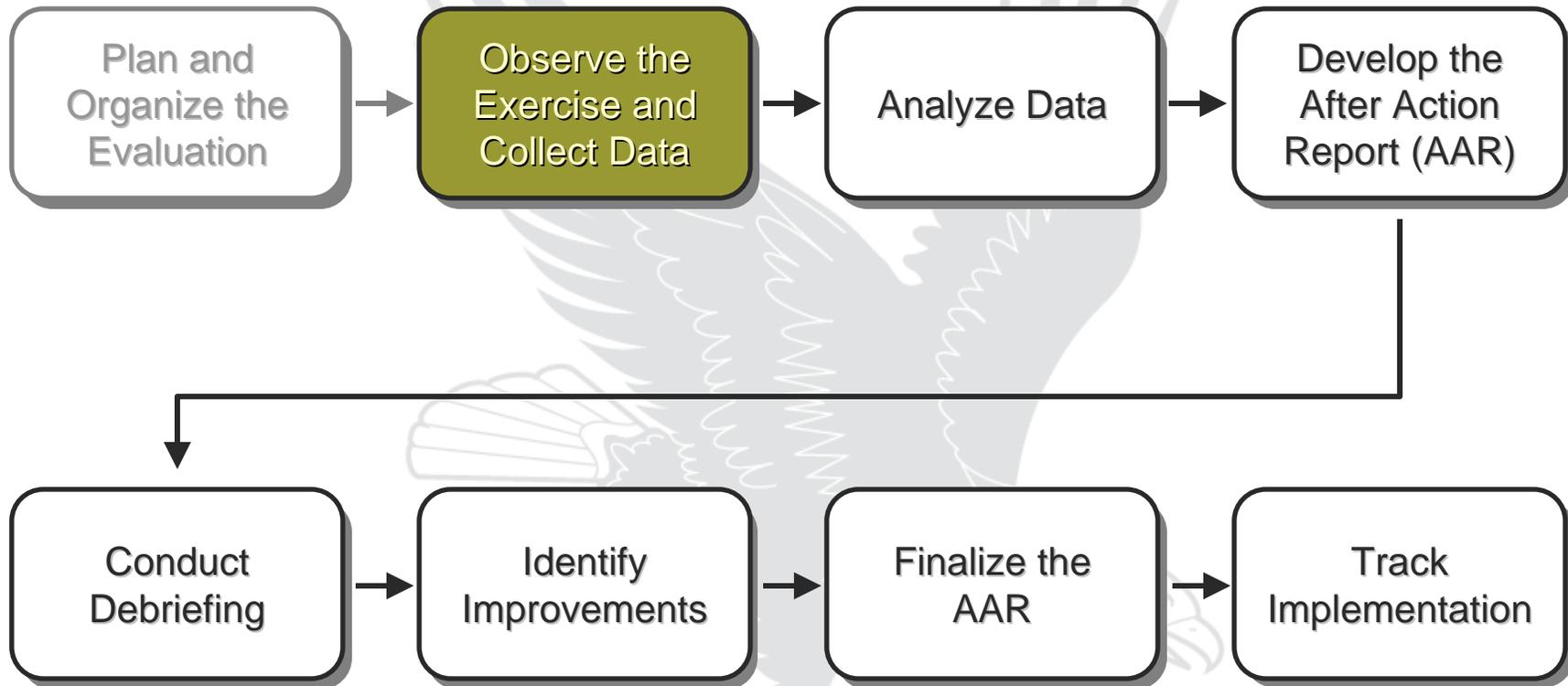
- Provide evaluators with copies of the following materials for review prior to the exercise:
 - Exercise documents: SITMAN, C/E Handbook
 - Appropriate jurisdictional plans, policies, procedures, and agreements
 - Evaluation materials
 - Evaluation Guides
 - Other evaluation tools
 - MSEL matrix, agenda and schedule, and evaluator specific information

FINALIZE EVALUATION PLANS

□ Final step to:

- Verify roles, responsibilities, and assignments and to provide any updates to the scenario or evaluation tools
- Prepare contingency plans
- The briefing should include a review of exercise activities and the scenario
- Provides time for evaluators to ask questions and ensure that they completely understand their roles and responsibilities
- Evaluator questions should be addressed and information clarified so evaluators feel confident they can effectively perform their assignments

EVALUATION AND IMPROVEMENT PROCESS



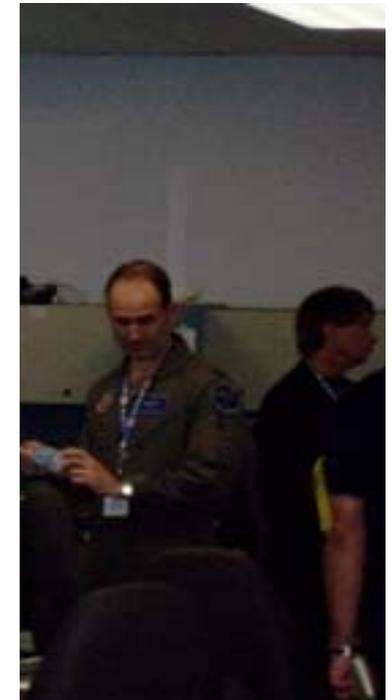
EVALUATION METHODOLOGY

- Observe the exercise and collect data
 - Record observations
 - Collect additional data from
 - Records
 - Logs
 - Etc
 - Annotate document usage
 - Plans
 - Procedures
 - Other documents



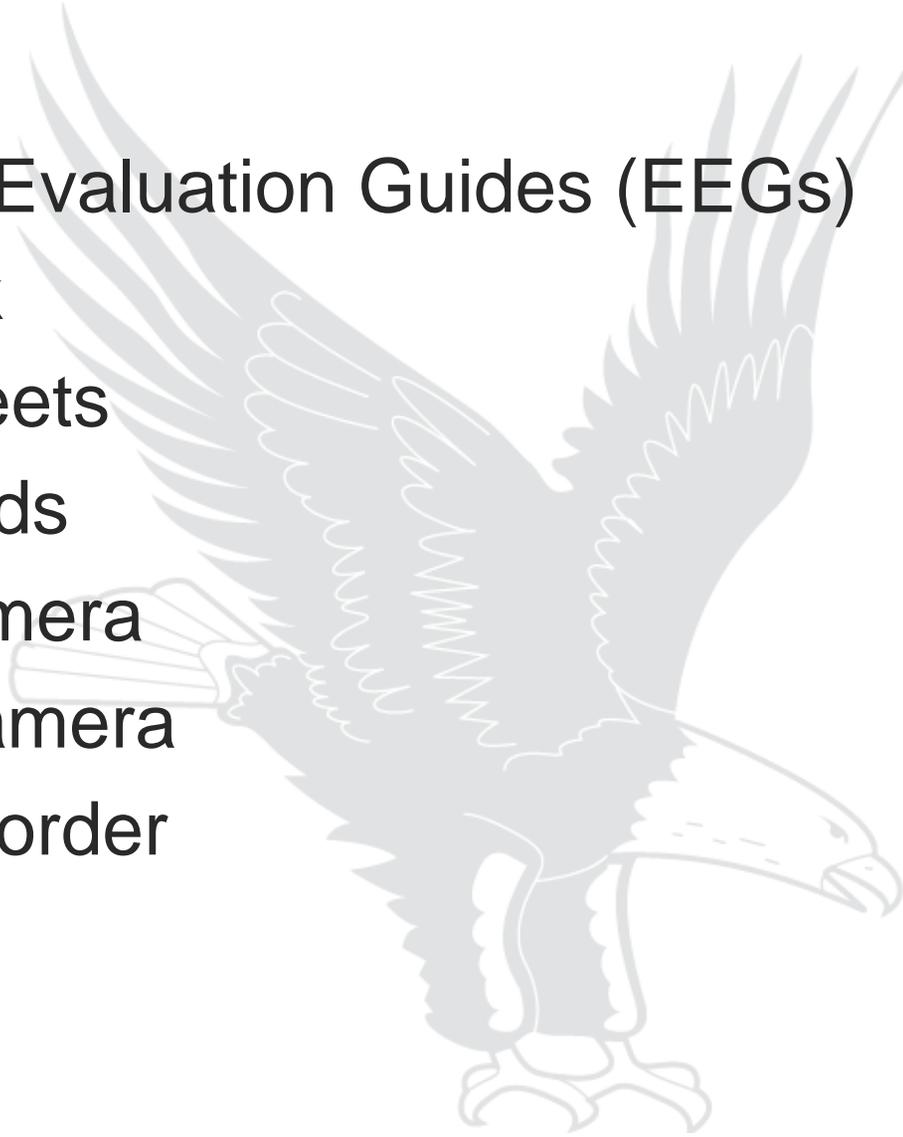
[OBSERVE AND COLLECT DATA]

- Be at evaluation site 15 minutes prior
- Be in position to best hear and see overall actions
- Do not interfere with exercise play
- Take detailed notes
 - Who?
 - What?
 - Where?
 - When?
 - Why?
 - How?



[OBSERVE AND COLLECT DATA: TOOLS]

- Exercise Evaluation Guides (EEGs)
- Notebook
- Blank sheets
- Index cards
- Video camera
- Digital Camera
- Voice recorder



[OBSERVE AND COLLECT DATA]

- Initiating scenarios
- Deviations from plan and implementation procedures
- Timeliness
- Monitoring and assessing scenario events
- Command and control
- Creative problem solving
- Plans or procedures that affect player efforts
- Equipment issues that affect player efforts

[OBSERVE AND COLLECT DATA]

- Message in: Passing of information
- Message out: Passing of information
- Discussion between participants
- Decision: Conclusion or determination
- Directive: Command to one or more people
- Movement/Activity: Any specific and clearly definable action
- Injects: Provided by controllers

EXERCISE EVALUATION GUIDES

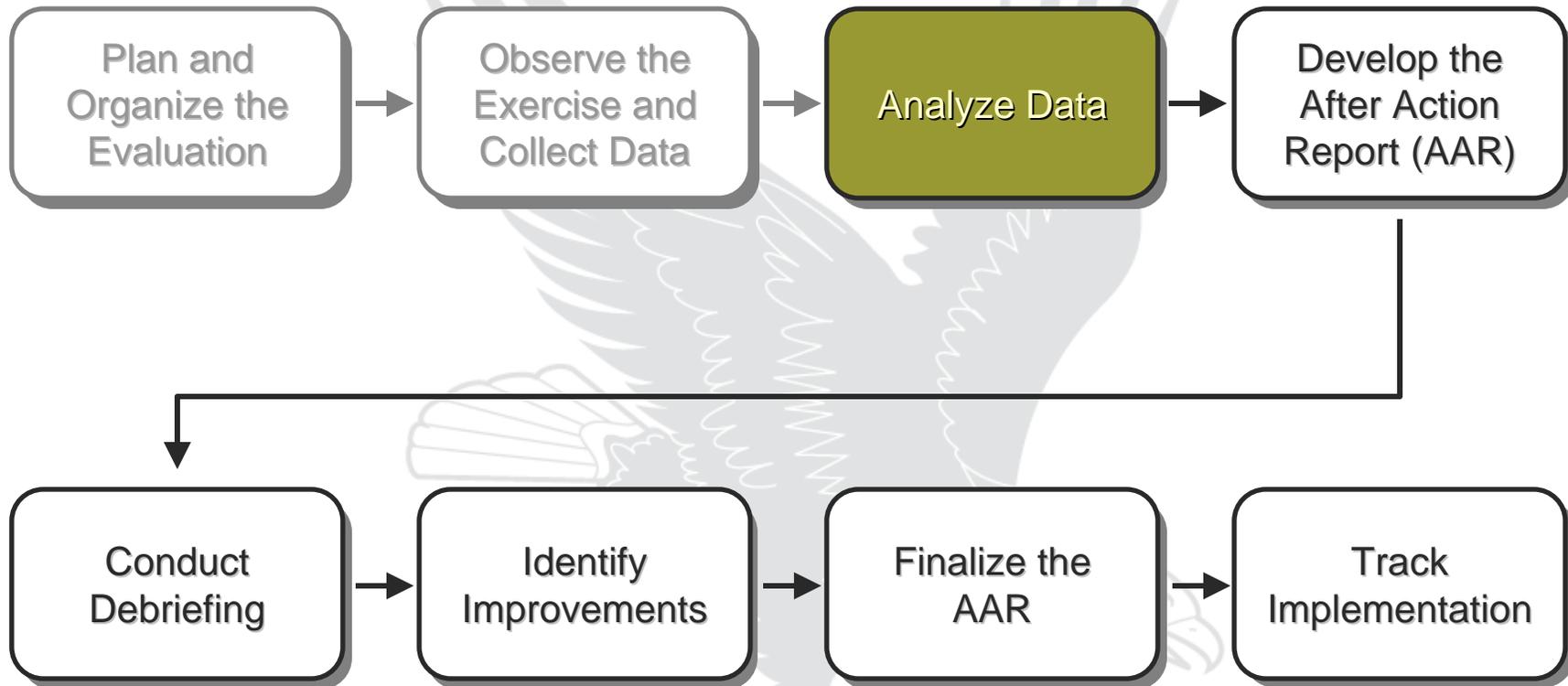
- OGT developed
- Identify the activities that the evaluator should be observing
- Provides consistency in tasks across exercises
- Link individual tasks to disciplines and outcomes



QUESTIONS



EVALUATION AND IMPROVEMENT PROCESS



ANALYZE DATA

- What happened?
- What was supposed to happen?
- Is there a difference?
 - Why?
- What is effect of difference?
- What should be learned?
- What improvement is needed?

ANALYZE DATA

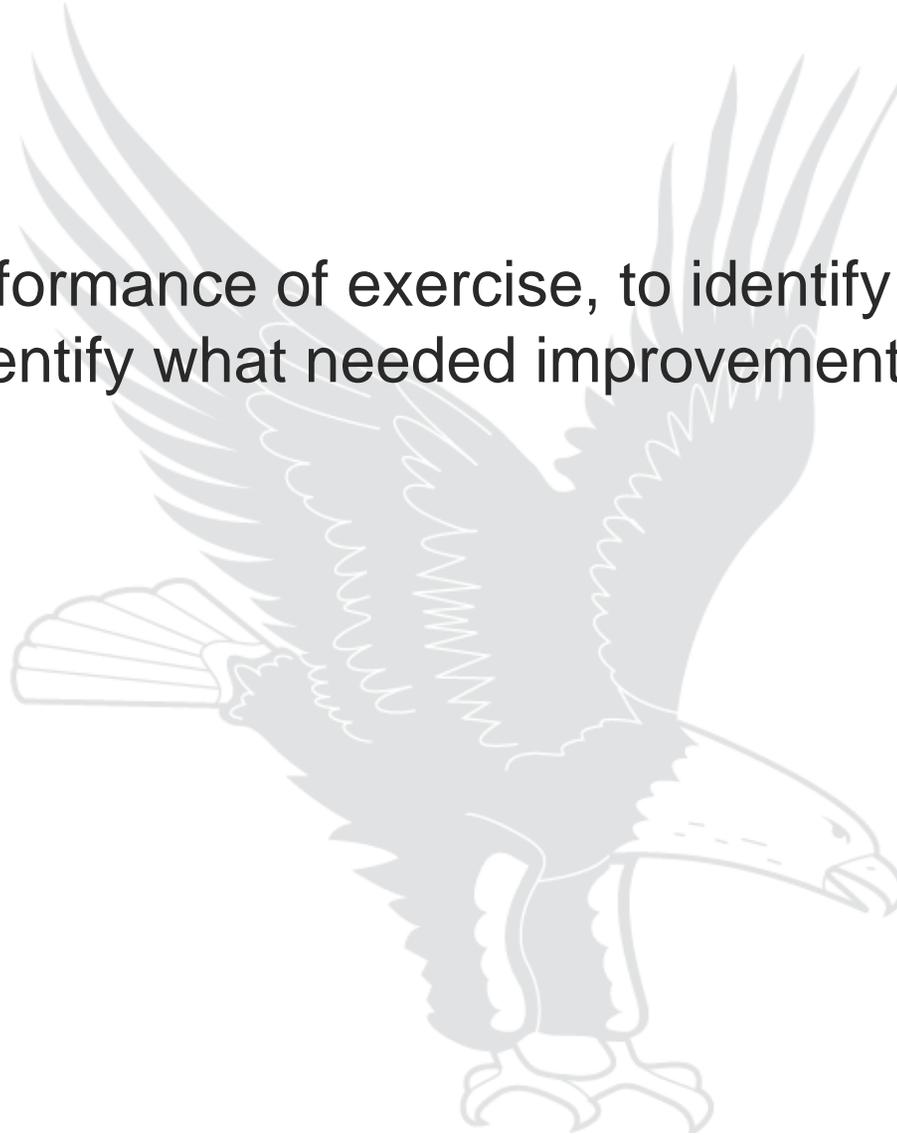
The analysis team should use the following questions as a guide for developing recommendations for improvement:

- What changes need to be made to plans, policies, procedures, and relationships/ agreements to support the performance of essential tasks?
- What changes need to be made to organizational structures to support the performance of essential tasks?
- What changes need to be made to leadership and management processes to support the performance of essential tasks?
- What training is needed to support the performance of essential tasks?
- What changes to resources or additional resources are needed to support the performance of essential tasks?
- What practices should be shared with other communities?

ANALYZE DATA

GOAL:

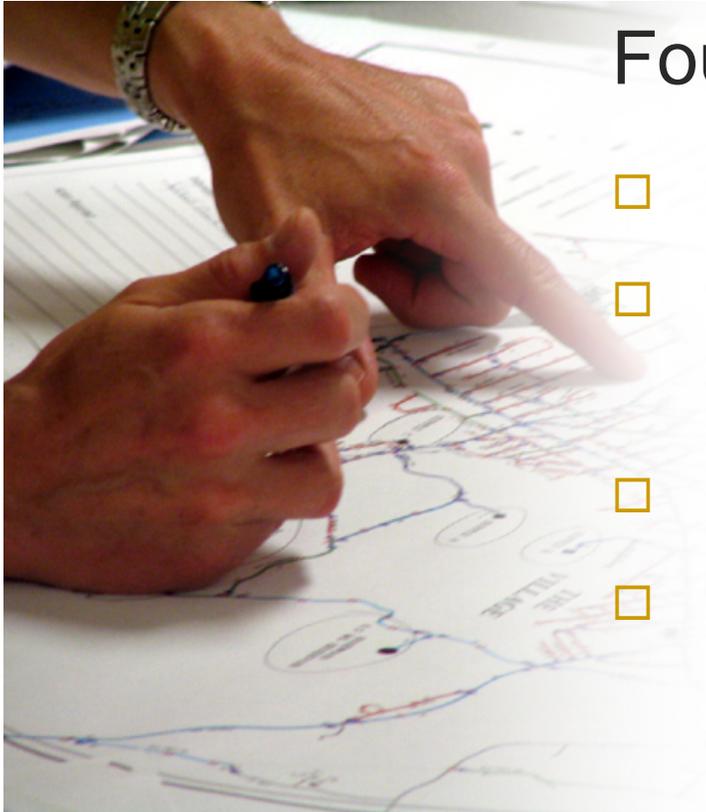
To assess performance of exercise, to identify what went well, and to identify what needed improvement



ANALYZE DATA

Four phases:

- Complete data collection
- Conduct player hot wash or critique
- Reconstruct exercise events
- Conduct cross functional analysis



COMPLETE DATA COLLECTION

- Evaluators complete their records
- Consolidate notes
- Gather any clarifying information
 - Times
 - Response elements
 - Actions taken
- Compare against other evaluators
- Turn in required documentation to evaluation team chief

EVALUATION METHODOLOGY

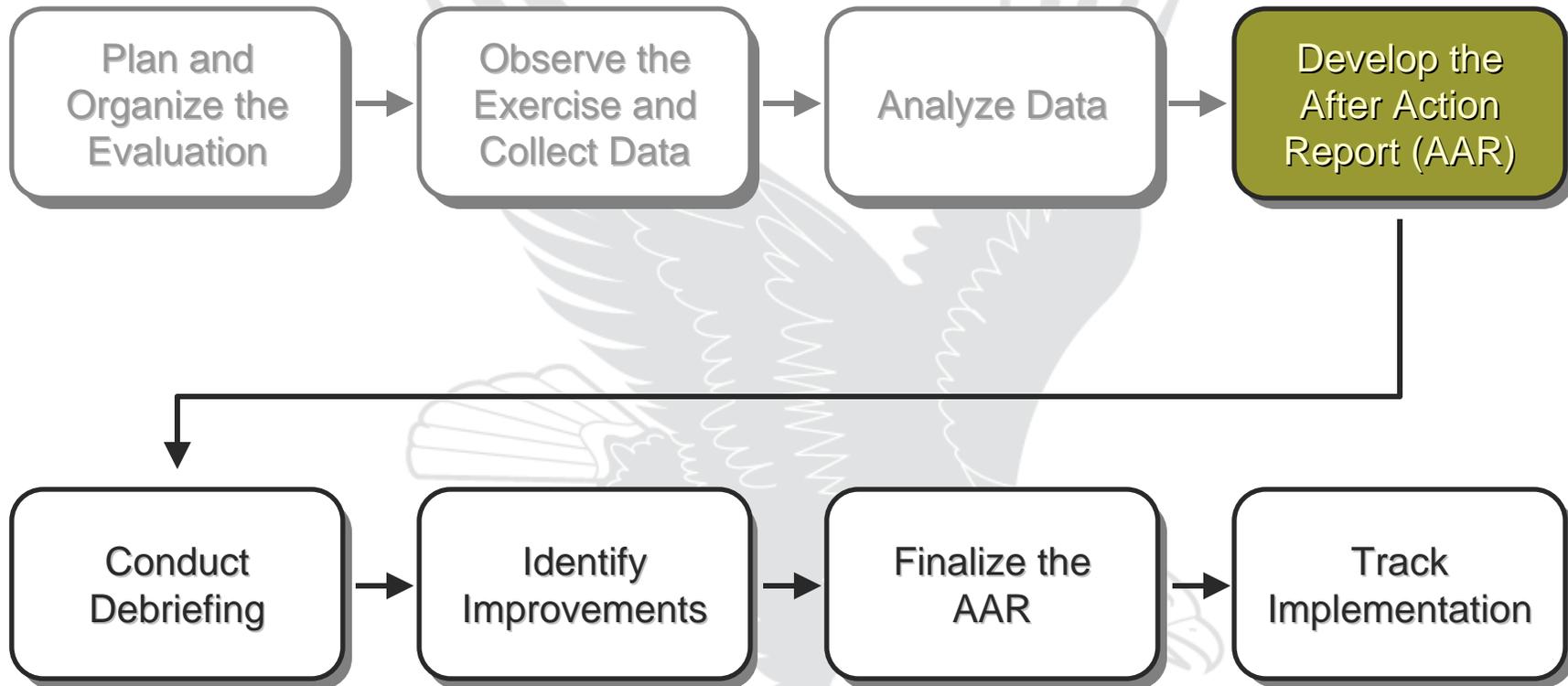
□ Conduct Hotwash

- Exercise controllers or evaluators should conduct within one hour of exercise completion
- Not a venue to present evaluation
- Focus on participant input to areas of strengths and improvements

IDENTIFY OPPORTUNITIES FOR IMPROVEMENT

- Enables the analysis team to develop recommendations for improvement.
 - State what should be done and who should do it
 - Have enough detail to make them useful
- Use the following questions as a guide for developing recommendations for improvement:
 - 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 leadership and management processes to improve performance?
 - What training is needed to improve performance?
 - What changes to (or additional) equipment is needed to improve performance?
- Focus on who will be responsible for carrying out the action
- Depends on whether the recommendation is aimed at the individual, team, department, function, or jurisdiction level

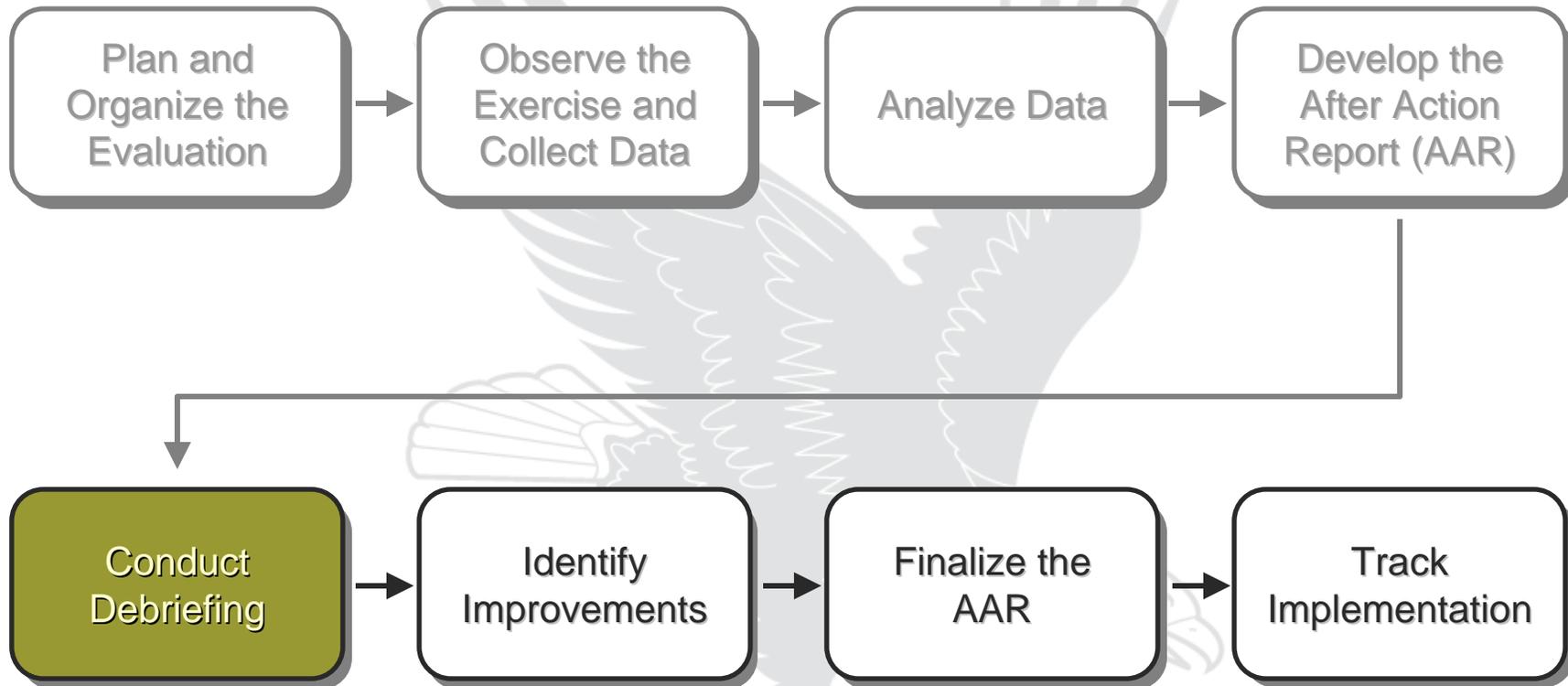
EVALUATION AND IMPROVEMENT PROCESS



EVALUATION METHODOLOGY

- Develop the AAR
 - Description of what happened
 - Exemplary practices
 - Issues that need to be addressed
 - Recommendations for improvement
- Present to executives/administration
- Draft improvement plan
 - Could be part of the AAR (appendix)

EVALUATION AND IMPROVEMENT PROCESS

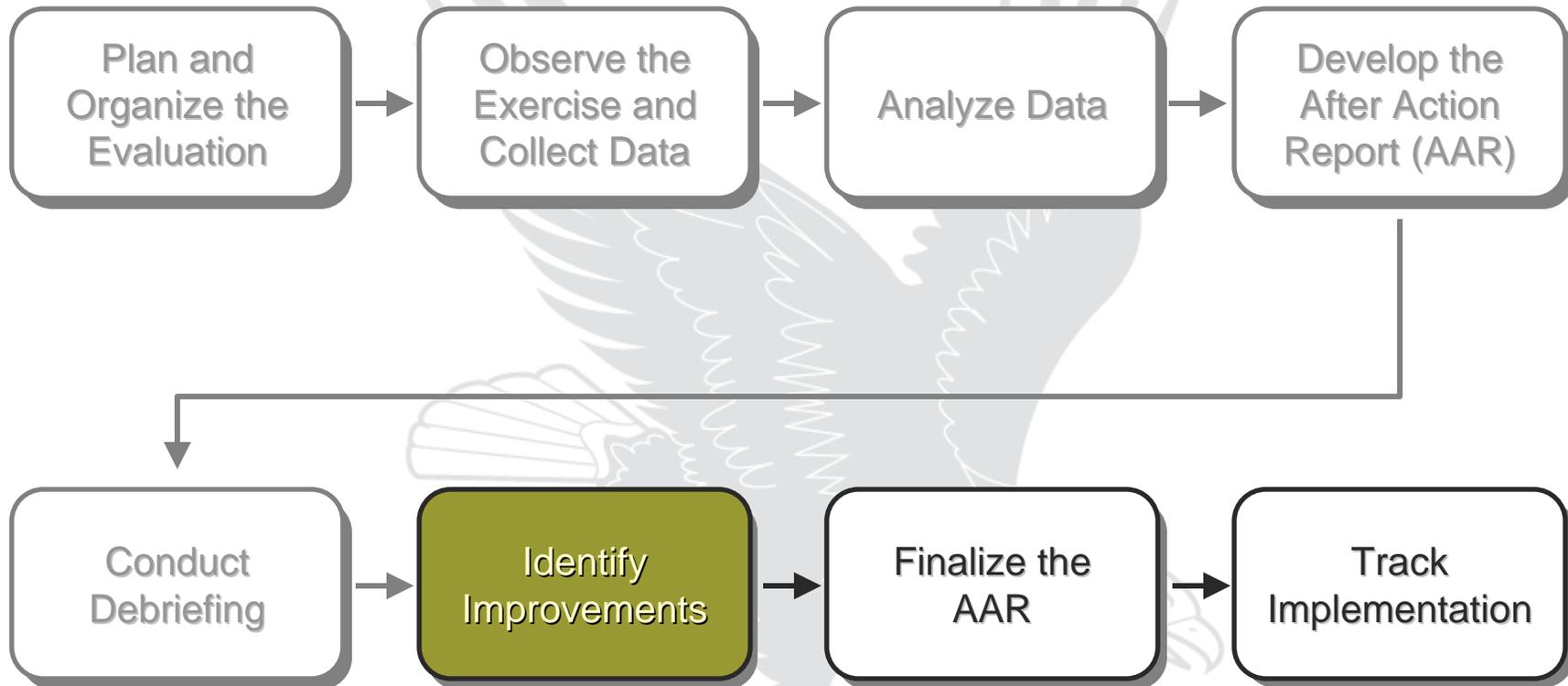


EVALUATION METHODOLOGY

- Conduct exercise debrief
 - Exercise planners / evaluators present findings, analysis, recommendations
 - Solicit feedback and validation from officials on their observations



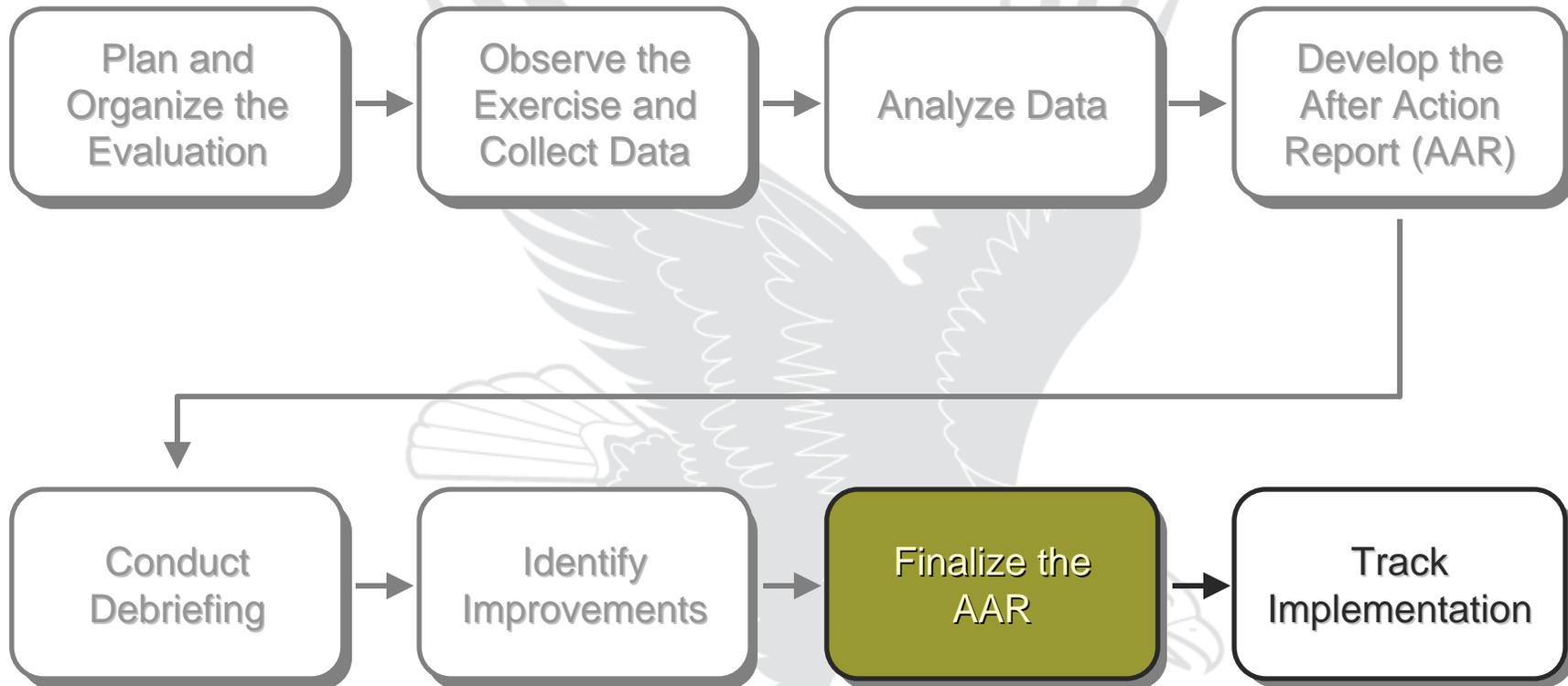
EVALUATION AND IMPROVEMENT PROCESS



IDENTIFY IMPROVEMENTS

- Identify improvements to be implemented
 - Specific actions
 - Translated into improvements
 - Identify ownership
 - Part of improvement plan (IP)
 - Should not be viewed as static rather dynamic
 - Cycle of improvement

EVALUATION AND IMPROVEMENT PROCESS



FINALIZE THE AAR

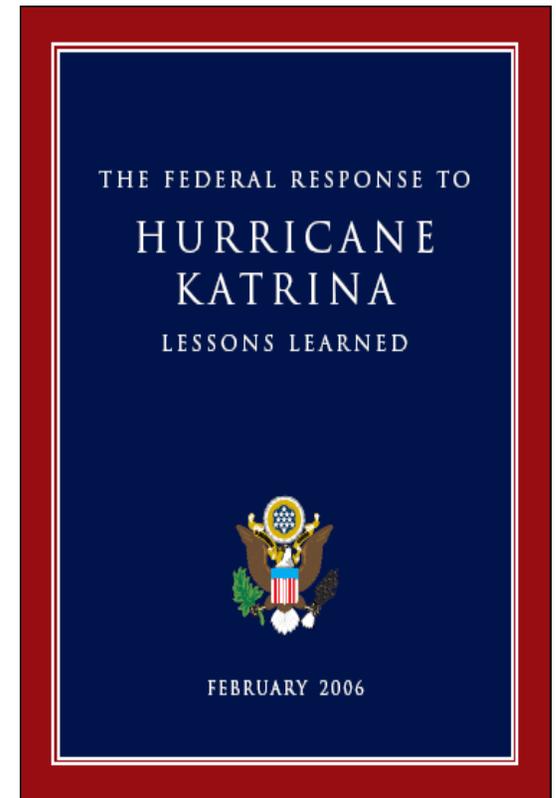
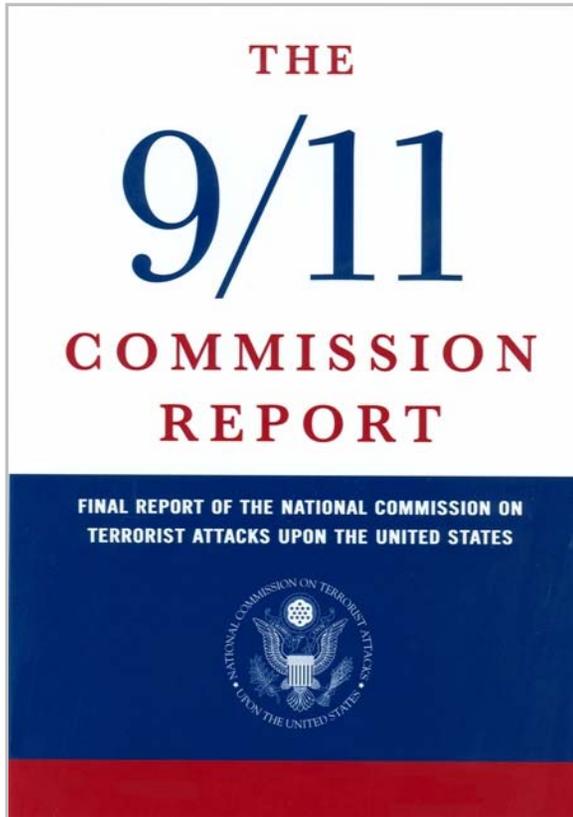
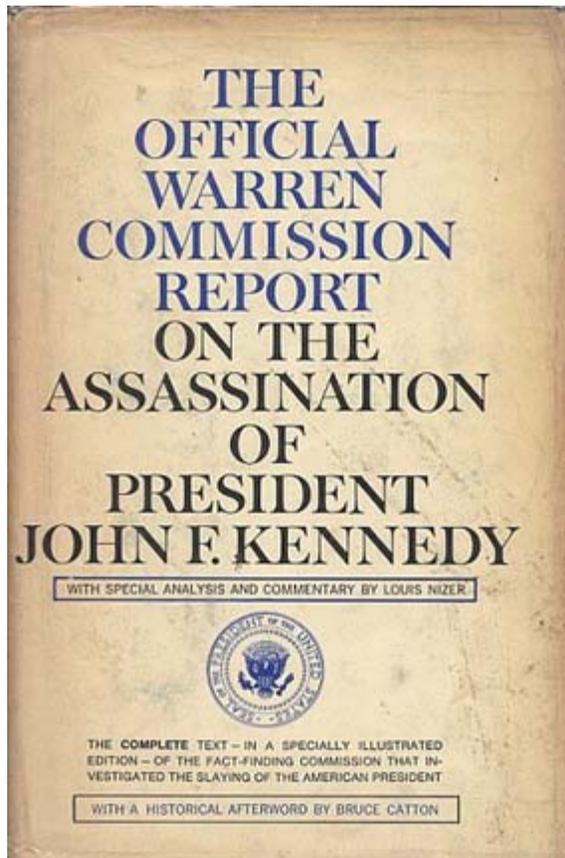
- Finalize the AAR
 - Following the debrief
 - Incorporate corrections and clarifications
 - Lock in improvement steps



AFTER ACTION REPORT

- The AAR is a tool used to provide feedback on the results of an exercise to officials from the participating agencies and jurisdiction
- The AAR summarizes the discussion related to the plans, policies, procedures, training, resources and agreements that have been put into place

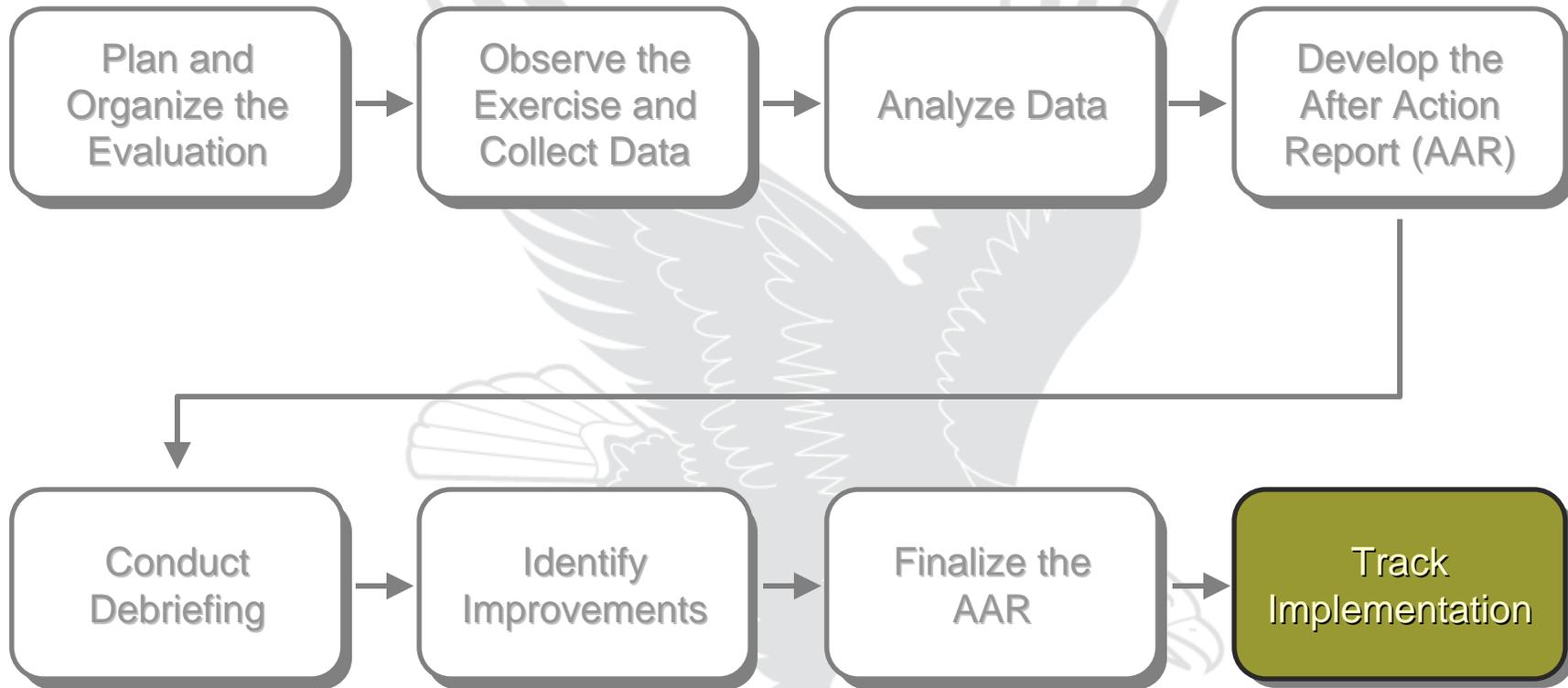
AFTER ACTION REPORTS



AFTER ACTION REPORT FORMAT

- Executive Summary
- Exercise Overview
- Exercise Goals and Objectives
- Analysis of mission outcomes
- Analysis of capacity to perform critical tasks
 - Consequences
 - Analysis
 - Recommendations
 - Improvement Actions
- Conclusions

EVALUATION AND IMPROVEMENT PROCESS



EVALUATION METHODOLOGY

- Track Implementation
 - By jurisdiction
 - Identify specific steps
 - What actions will be taken
 - By who
 - Timeline for completion

QUESTIONS





EVALUATION TEAM

EVALUATION TEAM LEADER

□ **Function?**

- Responsible for the evaluation methodology, for selecting and training the evaluation team, and for preparing the evaluation report

□ **Who?**

- Experience in evaluation, management, exercise design or participation, and training or education
- Normally, a member of the design team

□ **When?**

- Select evaluation team leader early in the design process
- Advantages:
 - Ensure the evaluation becomes an integral part of the exercise development effort
 - Maintain the integrity of the evaluation function
 - Prevent it from overlapping with the control and simulation functions
 - Ensure at least one person can devote time effort to evaluation

EVALUATION TEAM LEADER

□ Responsibilities

- Determines evaluation methodology
- Selects and prepares the team
- Prepares the evaluation report (AAR)

□ Who?

- Experience in evaluation, design, participation, or training
- Member of the design team

EVALUATION TEAM

- Identify early in exercise design
- Works with exercise director or design team leader
 - Evaluation team leader = Chief Evaluator
- Larger exercises will need a team structure:
 - Depend on the type of exercise, its complexity, and the availability of people to serve
 - A large full-scale exercise might require an evaluation director to supervise several team leaders at different sites —
 - Team leaders supervise several evaluators
 - With a team of this size, the various evaluators would be assigned to serve at selected sites and a means of coordination or communication set up among them
 - Consider development of an organizational chart would be helpful to keep lines of authority straight

EVALUATION TEAM STRUCTURE

- Team structure is dependant on the exercise
 - Type
 - Size
 - Complexity
 - Availability of personnel

SELECTION OF TEAM MEMBERS

Skills:

- Appropriate technical expertise in evaluation
- Communication skills, both verbal and written
- Organizational ability
- Ability to see the relationship between events and objectives
- Ability to adjust to rapidly changing situations

SELECTION OF TEAM MEMBERS

Attributes:

- “People skills”, sensitivity
- Objectivity
- Self-motivation
- Willingness to help
- Honesty and integrity (reports facts truthfully, keeps information confidential)
- Familiarity with the plan

EVALUATOR SOURCES

- Emergency services personnel who will not be playing in the exercise
- Neighboring jurisdictions
- Professional evaluators
- State or Federal personnel
- College or university faculty
- Public service organizations

DO NOT GRADE YOUR OWN TEST!

TRAINING OF TEAM MEMBERS

- The training of an evaluation team usually can be done in an orientation meeting
 - The nature and length of the meeting will depend on the experience and skill of the members
- Most evaluators — no matter how experienced — will need information on:
 - The exercise scenario
 - Rules of play
 - The objectives
 - Evaluation requirements and procedures
 - Evaluation forms
- Inexperienced evaluators may need some practice drills
- Evaluators from outside the organization/jurisdiction will need information about the evaluated organization/jurisdiction

EVALUATION TEAM MEETINGS

Evaluation team meetings are held to analyze the exercise and prepare the After Action Report. Evaluation team meetings may include:

- A meeting of the evaluation team shortly after the exercise
- A more formal meeting of the team a week or so later to analyze the findings and develop an accurate account of what worked and what did not
 - The team analyzes evaluation responses and any other data, and discusses how well each of the objectives was met
 - In cases where extensive travel is required, it may be wise to extend the team's stay rather than schedule an additional meeting
- Additional meetings as needed to analyze data and prepare the report
 - The exercise design team may join the evaluation team at one or more meetings to offer feedback and suggestions
 - The report should be prepared within one to three weeks after the exercise, while memories are still fresh

EVALUATOR COMMITMENTS

- Evaluators must be available for:
 - Pre-exercise training and briefings
 - Pre-exercise site visits
 - Entire exercise
 - Post exercise hotwash
 - Post exercise data analysis
 - Contributions to the AAR

QUESTIONS

