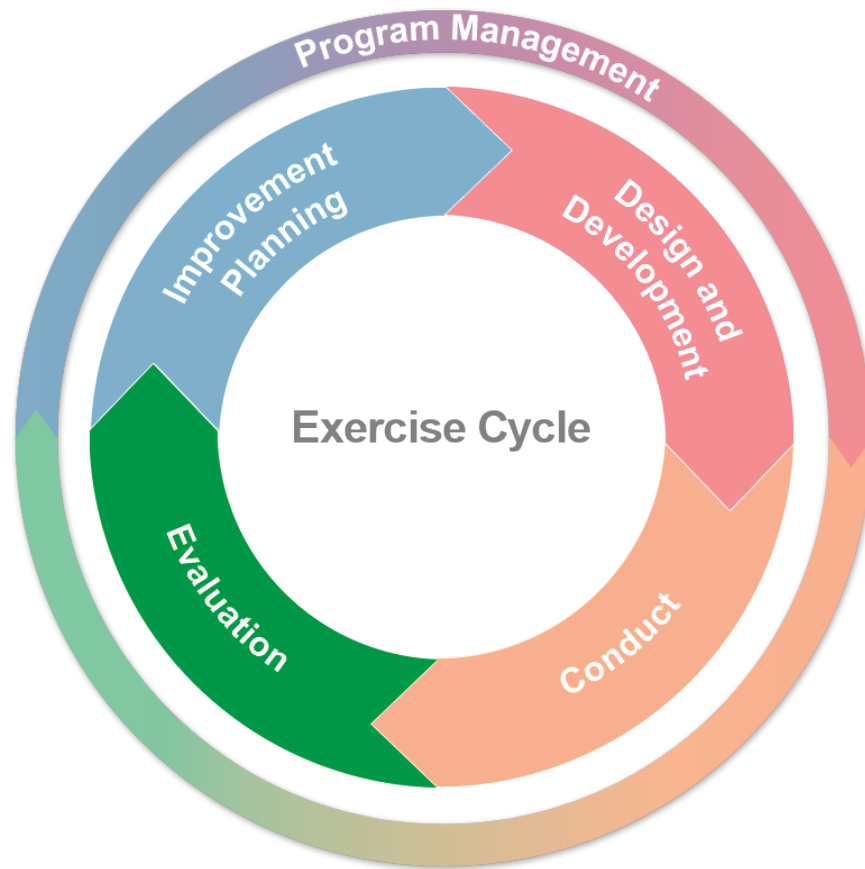




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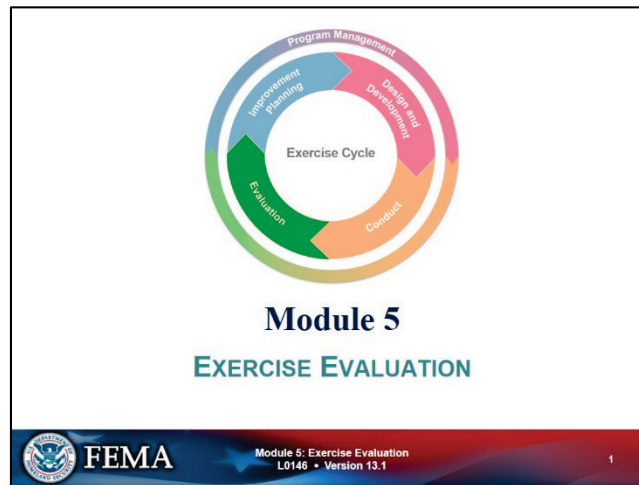
Module 5

Exercise Evaluation



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Slide 1



HSEEP Module 5: Exercise Evaluation

Exercise evaluation maintains the fundamental link between the exercise and improvement planning. Through exercise evaluation, organizations assess the capabilities needed to accomplish a mission, function, or objective. This assessment is based on the performance of critical tasks according to targeted levels for the selected capability.

Effective exercise evaluation involves:

- Planning for exercise evaluation
- Observing the exercise and collecting exercise data during exercise conduct
- Analyzing collected data to identify strengths and areas for improvement
- Reporting exercise outcomes in a draft AAR.

Using a common approach to evaluation supports consistent and meaningful reporting of exercise results.

Slide 2

Terminal Objective

After completing this module you should be able to describe the process used for exercise evaluation planning, data collection, analysis, and development of an AAR.

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Terminal Objective

After completing this module you should be able to describe the process used for exercise evaluation planning, data collection, analysis, and development of an AAR.

This evaluation process is used to identify performance and resource gaps or other issues that may need to be addressed in order for your organization to meet the priority capabilities from the Mission Areas assessed by the exercise.

Slide 3

Module 5: Agenda

Lesson 1: Evaluation Planning

Lesson 2: Exercise Observation and Data Collection

Lesson 3: Data Analysis

Lesson 4: Drafting the AAR

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Module 5: Agenda

The module is broken into four lessons:

Lesson 1: Evaluation Methodology and Planning

Lesson 2: Exercise Observation and Data Collection

Lesson 3: Data Analysis

Lesson 4: Drafting the After Action Report (AAR)

Each lesson provides information needed to design and execute exercise evaluation.

Slide 4

Lesson 1: Evaluation Planning

Enabling Objectives

After completing this lesson you should be able to describe:

- The composition of an evaluation team
- Purpose and development of an Exercise Evaluation Guides (EEGs)
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

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Lesson 1: Evaluation Planning

Enabling Objectives

After completing this lesson you should be able to describe:

- The composition of an evaluation team
- The purpose and development of Exercise Evaluation Guides (EEGs)
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

Slide 5

Evaluation Planning Phase

Initial planning for evaluations includes:

- Engaging senior elected and appointed officials to identify specific evaluation requirements
- Identifying evaluation requirements early in planning and design phases
- Ensuring consistency in evaluation method.

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Evaluation Planning Phase

Exercise planners should collaborate to ensure a consistent approach for evaluating capabilities during an exercise, and elected and appointed officials should be engaged early in evaluation planning in order to identify any specific evaluation requirements. Identifying clear evaluation requirements early in the

planning process will ensure that the design, development, and conduct of the exercise best support an effective and consistent process is used during evaluation.

Slide 6

Evaluation Team Responsibilities

- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train, and assign additional evaluators

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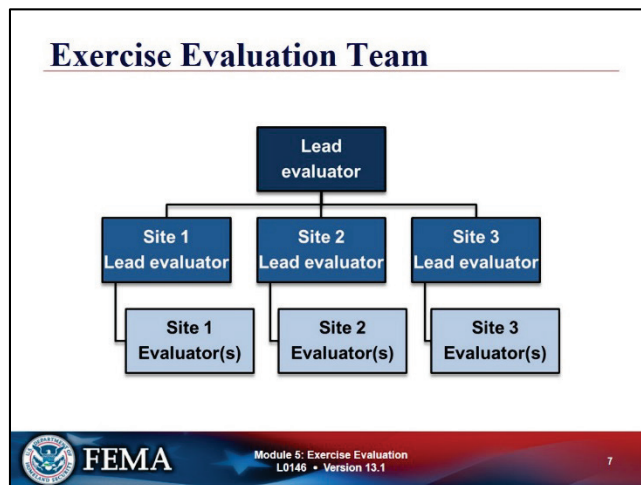
Evaluation Team Responsibilities

Early in the exercise planning process, the exercise planning team leader 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's objectives. A lead evaluator should also have the management skills needed to oversee a team of evaluators as well as the knowledge and analytical skills to undertake a thorough and accurate analysis of all objectives and core capabilities of an exercise. The lead evaluator must have the skills to effectively communicate and coordinate with the exercise controllers. In addition, the lead evaluator should be familiar with the mission areas and core capabilities associated with the exercise; plans, policies, and procedures of the participating organizations; incident command and decision-making processes; and key preparedness doctrine and policy.

The exercise planning team and lead evaluator should determine the tools and documentation needed to support the evaluation team, such as the need for a separate Evaluation Plan instead of relying on the evaluation section in the C/E Handbook. The lead evaluator also identifies data collection methods to ensure that information specific to examining capabilities for the individual exercise is recorded.

Members of the evaluation team should:

- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train, and assign additional evaluators.

Slide 7**Exercise Evaluation Team**

The exercise planning team and lead evaluator should determine the structure of the exercise evaluation team based on the scope of the exercise, the exercise objectives, associated core capabilities, and critical tasks that will be evaluated during the exercise. Specific security clearance levels may be required for some exercise play or locations. Exercises that involve multiple jurisdictions and/or multiple venues should consider assigning site leads, as illustrated by the example provided in this graphic. A site could be a jurisdiction, a specific emergency operations center, or another exercise location. These individuals support the lead evaluator and manage the activities of other evaluators assigned to that location.

Consideration should be given to an exercise's scope and objectives when selecting the number of individuals needed to support the evaluation process. For exercises of limited scope and having objectives with fewer capabilities, the lead evaluator and one additional person may be all that is needed. For more complex or larger exercises with a greater number of objectives and capabilities, more individuals may be required.

Exercises that involve multiple jurisdictions and/or multiple venues should consider assigning jurisdiction leads or site leads, as illustrated by the example here. A site could be a jurisdiction, a specific emergency operations center, or a location. These individuals support the lead evaluator and manage the activities of other evaluators assigned to that location.

Slide 8

Lead Evaluator

- Oversees evaluation process and planning
- Evaluation Plan development using:
 - Exercise-specific information
 - Plans, policies, and procedures
 - Determining Evaluator assignments
 - Developing instructions and Evaluation tools (e.g., EEGs)



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Lead Evaluator

The **Lead Evaluator** takes charge of planning the evaluation and works with the planning team members throughout the exercise planning process to determine the tools and documentation needed to support the evaluation team, such as development of a separate Evaluation Plan to accompany the Evaluator Handbook and provide guidance to the Exercise Planning Team when conducting the analysis of all the exercise data and feedback obtained from participants.

In general the development of the evaluation plan involves the following tasks:

- **Define evaluation requirements**—determine what needs to be evaluated and how information will be collected.
- **Prepare a plan for evaluating the exercise**—prepare the complete package of information on the evaluation process.
- **Select or develop the evaluation forms**—used to capture information during exercise observation and data analysis.
- **Finalize the plan for evaluation**—complete the activities necessary to organize the evaluation and prepare evaluation packets for use in exercise conduct.

The evaluation plan includes:

- **Exercise-specific information:** The scenario or a summary of the scenario, the functional groups for the exercise, and the exercise schedule of events (including the evaluation schedule).
- **Plans, policies, procedures, and agreements:** Copies of, or references to, the jurisdiction's applicable plans, policies, procedures, and agreements that would be expected to be discussed during discussion-based exercises and utilized/implemented during an operations-based exercise.
- **Evaluator requirements and assignments:** Numbers of evaluators needed, the background or subject matter expertise required, and the functional group or discipline that each will observe.

- **Evaluator instructions:** Instructions on what evaluators should do before they arrive (e.g., review exercise materials, jurisdictional plans and procedures, the evaluation plan/process), their roles and responsibilities throughout the exercise, and required deliverables following the exercise.
- **Evaluation tools:** Include the data collection instruments and jurisdiction-specific Exercise Evaluation Guides (EEGs).

Slide 9

Recruit, Assign and Train Evaluators

- Recruited from nonparticipating organizations
- Identified early in planning process
- Assigned based on knowledge of functional area(s) and plans, policies, procedures, and agreements
- Trained on use of Exercise Documentation tools, and
- What to look for and record during observation



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Recruit, Assign and Train Evaluators

Once evaluation requirements have been defined by the planning team, the lead evaluator **determines the necessary qualifications of the evaluators**, identifies appropriate individuals to serve in these roles, and oversees recruiting, assigning, and training these evaluators.

Whenever possible, evaluators should have experience and subject matter expertise in their assigned functional area. Those chosen should have functional knowledge in the area that they will be assigned to evaluate and be familiar with the plans, policies, procedures, and agreements between local agencies and jurisdictions.

The **goal** of the evaluation process is **to obtain objective evaluations**, and members of a participating agency may have pressures to favor outcomes for their agency. For this reason it is **best to recruit evaluators from local nonparticipating agencies** either within or from outside of the jurisdiction.

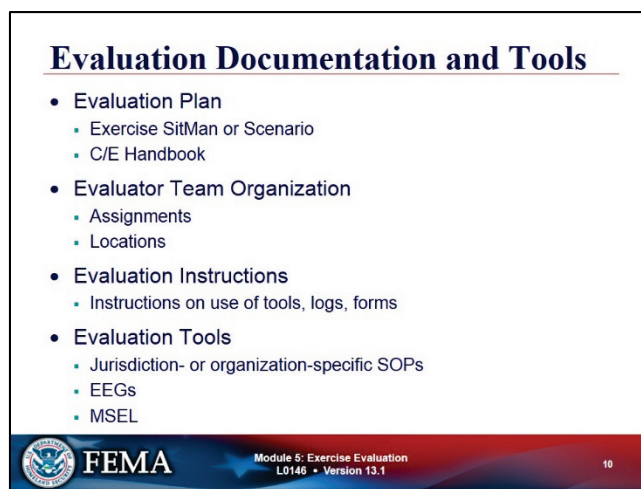
Evaluator assignments should be communicated to evaluators prior to exercise conduct so that they may focus on the specific functional tasks identified in the MSEL to be observed at their assigned location.

As discussed earlier, all evaluators receive a pre-exercise briefing to ensure that they have a shared understanding of key data to be collected and how that data will contribute to the evaluation of the exercise.

Pre-Exercise Evaluator Briefing

Before exercise play begins, the lead evaluator should meet with all evaluators to 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 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, as a Controller/Evaluator Briefing. Depending on the exercise organization, it may be necessary to conduct briefings at more than one exercise site.

Slide 10



Evaluation Documentation and Tools

- Evaluation Plan
 - Exercise SitMan or Scenario
 - C/E Handbook
- Evaluator Team Organization
 - Assignments
 - Locations
- Evaluation Instructions
 - Instructions on use of tools, logs, forms
- Evaluation Tools
 - Jurisdiction- or organization-specific SOPs
 - EEGs
 - MSEL

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Evaluation Documentation and Tools

The C/E Handbook or Evaluation Plan is the primary evaluation documentation for the exercise and typically contains the following information:

- **Exercise-Specific Details:** Exercise scenario, schedule of events, and evaluation schedule.
- **Evaluator Team Organization, Assignments, and Locations:** A list of evaluator locations, shift assignments, 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.
- **Evaluation Tools:** EEGs, the MSEL or a list of venue-specific injects, electronic or manual evaluation logs or data collection forms, relevant plans and procedures, Participant Feedback Forms, and Hot Wash templates.

Slide 11

Exercise Evaluation Guides (EEGs)

- Streamline and guide data collection
- Enable thorough assessment
- Support development of the AAR
- Provide a consistent process for assessing preparedness through exercises
- Help organizations map exercise results to exercise objectives, core capabilities, capability targets, and critical tasks for further analysis and assessment

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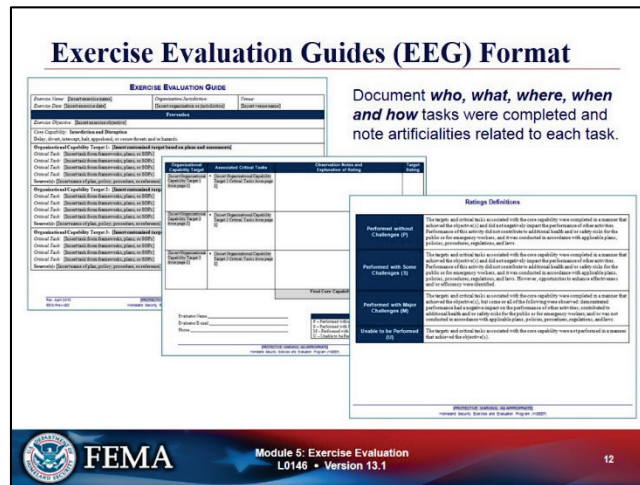
Exercise Evaluation Guides (EEGs)

EEGs provide a consistent tool to guide exercise observation and data collection. EEGs are aligned to exercise objectives and core capabilities, and list the relevant capability targets and critical tasks. These targets and critical tasks may be drawn from the National Preparedness Goal and the five national planning frameworks, a threat/hazard identification and risk assessment product, or from an organization's own plans and assessments.

EEGs are designed to accomplish several goals:

- Streamline data collection
- Enable thorough assessments of the participant organizations' capability targets
- Support development of the AAR
- Provide a consistent process for assessing preparedness through exercises
- Help organizations map exercise results to exercise objectives, core capabilities, capability targets, and critical tasks for further analysis and assessment.

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Exercise Evaluation Guides (EEG) Format

Document *who, what, where, when* and *how* tasks were completed and note artificialities related to each task.

Exercise Overview

Exercise Title	Exercise Objectives	Exercise Scenario	Exercise Location

Core Capabilities

Core Capability	Target Rating	Observation Notes

Critical Tasks

Critical Task	Target Rating	Observation Notes

Performance Ratings

Performance Rating	Target Rating	Observation Notes

Rating Definitions

Performance without Challenge (0)
The target and critical tasks were completed with no evidence of challenge. The target and critical tasks were completed with no evidence of challenge. The target and critical tasks were completed with no evidence of challenge.

Performance with Minor Challenge (1)
The target and critical tasks were completed with minor evidence of challenge. The target and critical tasks were completed with minor evidence of challenge. The target and critical tasks were completed with minor evidence of challenge.

Performance with Major Challenge (2)
The target and critical tasks were completed with major evidence of challenge. The target and critical tasks were completed with major evidence of challenge. The target and critical tasks were completed with major evidence of challenge.

Performance with Extreme Challenge (3)
The target and critical tasks were completed with extreme evidence of challenge. The target and critical tasks were completed with extreme evidence of challenge. The target and critical tasks were completed with extreme evidence of challenge.

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Exercise Evaluation Guides (EEG) Format

The EEG format is designed to present the following evaluation requirements to exercise evaluators:

- **Core capabilities:** The distinct critical elements necessary to achieve a specific mission area (e.g., prevention). To assess both capacity and gaps, each core capability includes capability targets.
- **Capability target(s):** The performance thresholds for each core capability; they state the exact amount of capability that players aim to achieve. Capability targets are typically written as quantitative or qualitative statements.
- **Critical tasks:** The distinct elements required to perform a core capability; they describe how the capability target will be met. Critical tasks generally include the activities, resources, and responsibilities required to fulfill capability targets. Capability targets and critical tasks are based on operational plans, policies, and procedures to be exercised and tested during the exercise.
- **Performance ratings:** The summary description of performance against target levels. Performance ratings include both Target Ratings, describing how exercise participants performed relative to each capability target, and Core Capability Ratings, describing overall performance relative to entire the core capability.

For each EEG, evaluators provide a target rating, observation notes including an explanation of the target rating, and a final core capability rating. In order to efficiently complete these sections of the EEG, evaluators focus their observations on the capability targets and critical tasks listed in the EEG.

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Activity 8

Activity 8: Develop EEG

Objective:

Develop an Exercise Evaluation Guide (EEG).

Time: 20 minutes, with a 10 minute report back.

Instructions:

- Assign a member to be the recorder for your group
- Develop a single core capability EEG with customized target and tasks based on one of your objectives
- Select one person to report back

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Activity: Developing EEGs

Objective: Develop and Exercise Evaluation Guide

Time: 20 minutes

Instructions:

Breakout groups should assign one member to be recorder and spokesperson for the group. The group should work together to develop a single core capability EEG with customized target and tasks based on one of the objectives created by the group in the earlier activity.

Exercise Objective:	
Core Capability:	
Activity: Establish Full Onsite Incident Command Critical Tasks: - Establish Incident Command. - Establish the command structure to manage the incident and meet objectives. - Establish branches, groups, and divisions needed to manage the incident and meet incident objectives, strategies, and tactics. - Maintain communications with EOC/MACC. - Coordinate operations with specialized emergency response teams (e.g., Special Weapons and Tactics [SWAT]/tactical, bomb squad/explosives, hazardous materials [HazMat], land-based search and rescue). - Transition from Incident Command to Unified Command for incidents involving multiple jurisdictions, a single jurisdiction with multiagency involvement, or multiple jurisdictions with multiagency involvement. - Implement processes to order, track, and assign incident resources. Source(s): - FEMA NIMS: Tab 1—ICS Organization, Pgs. 91–97 - FEMA NIMS: Component IV: Command and Management, Pgs. 45-61	
Observation Notes and Explanation of Rating: 	
Target Rating:	
Final Core Capability Rating	

Slide 14

Evaluator Time Requirements

Evaluators should be available for:

- Pre-exercise briefing and/or site visit
- Exercise conduct
- Post-exercise Hot Wash
- Controller and Evaluator Debriefing
- After Action Meeting



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Evaluator Time Requirements

When seeking commitments from those recruited to serve as evaluators, it is important that they understand the significant commitment of time required to support the entire scope of the exercise evaluation process. Evaluator's subject matter expertise may aid in the scenario development to ensure realism and critical focus elements for the evaluation, so it is important that those chosen are aware of the critical role they play toward the success of the exercise. When selected early in the planning process, they may lend their expertise to the development of the evaluation plan to ensure the validity of the evaluation process.

In addition to the early planning activities they also need to be available for:

- Pre-exercise training (Exercise [E]–1 day)
- Briefing and/or site visit
- The exercise itself (E)
- Post-exercise Hot Wash (E)
- After Action Meeting
- Evaluators will assist the Exercise Planning Team in drafting the AAR by providing the information they collected during their exercise observations.

Slide 15

Lesson 1: Review

In this lesson, we have discussed planning and organizing exercise evaluations by describing:

- The composition of an evaluation team
- Purpose and development of an Exercise Evaluation Guides
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

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Lesson 1: Review

In this lesson, we have discussed planning and organizing exercise evaluations by describing:

- The composition of an evaluation team
- Purpose and development of an Exercise Evaluation Guides
- The recruiting and assignment of evaluators
- The documentation and tools used to conduct exercise evaluations.

Questions?

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Lesson 2: Exercise Observation & Data Collection

Enabling Objectives

- After completing this lesson, you should be able to describe:
- The exercise observation data collection process
- The use of EEGs to record observations.

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Lesson 2: Exercise Observation & Data Collection

After completing this lesson, you should be able to describe:

- The exercise observation data collection process
- The use of EEGs to record observations.

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Observation and Data Collection

- Can differ between discussion-based exercises and operations-based exercises
- Forms the analytic basis for determining if critical tasks were successfully demonstrated and capability targets were met

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Observation and Data Collection

Exercise observations and data collection can differ between discussion-based exercises and operations-based exercises. Discussion-based exercises often focus on issues involving plans, policies, and procedures; consequently, observations of these exercises may consist of an evaluator or a note-taker recording data from participant discussions on EEGs.

Operations-based exercises focus on issues affecting the operational execution of capabilities and critical tasks. During operations-based exercises, evaluators collect and record participant actions, which form the analytical basis for determining if critical tasks were successfully demonstrated and capability targets were met.

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Observation

Conducted to examine:

- Utilization of plans, policies, and procedures related to capabilities
- Implementation of legal authorities
- Understanding and assignment of roles and responsibilities of participating organizations and players
- Decision-making processes used
- Activation and implementation of processes and procedures
- How and what information is shared among participating agencies/organizations and the public.

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Observation

Exercise evaluators should observe exercise activity in a non-attribution environment, in accordance with the evaluation training and EEGs. Evaluators will generally be able to observe the following topics related to execution of capabilities and tasks examined during the exercise:

- Utilization of plans, policies, and procedures related to capabilities
- Implementation of legal authorities
- Understanding and assignment of roles and responsibilities of participating organizations and players
- Decision-making processes used
- Activation and implementation of processes and procedures
- How and what information is shared among participating agencies/organizations and the public.

Slide 19

Data Collection

Supports AAR development by capturing:

- Decisions and recommendations
- Roles and responsibilities
- Coordination and cooperation
- Supplemental data/written records

Evaluators should not be a distraction or interfere with exercise play.

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Data Collection

Evaluators should retain their notes and records of the exercise to support the development of the AAR. As necessary, the lead evaluator may assign evaluators to collect supplemental data during or immediately after the exercise. Such data is critical to fill in gaps identified during exercise evaluation. For example, sources of supplemental evaluation data might include records produced by automated systems or communication networks, and written records, such as duty logs and message forms.

Slide 20

Exercise Observations

Observations come from a variety of sources, including:

- Event logs
- Video or audio recordings
- Evaluator notes
- Photographs
- EEGs



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EEG Observations

The EEG **Observations Section** allows exercise evaluators to record general exercise events, specific actions deserving special recognition, particular challenges or concerns, and areas needing improvement occurred.

The information recorded in the EEGs is used to develop the AAR/IP.

The standard sources, such as EEGs, are not the only sources of information, and all attempts should be made to gather as much information as possible.

Observations from exercises can come from a variety of sources, such as:

- Event logs
- Video or audio recordings
- Evaluator notes
- Photographs.

For operations-based exercises, evaluators should be given a format that suits the environment.

Slide 21

Recording Observations

- **If** and **how** quantitative or qualitative targets were met
- Actual **time required** for exercise players to complete the critical task(s)
- **How** target was or was not met
- **Decisions** made and information gathered to make decision
- **Requests** made and how requests were handled
- **Resources** utilized
- **Plans, policies, procedures, or legislative authorities used** or implemented
- Any **other factors** contributed to the outcomes.

Capability Target	Associated Critical Tasks	Observations: Status and Performance of Rating	Target Rating
Event Organization: Identify (Target: 10 minutes)	Event Organization: Identify (Target: 10 minutes)		
Event Organization: Plan (Target: 10 minutes)	Event Organization: Plan (Target: 10 minutes)		
Event Organization: Execute (Target: 10 minutes)	Event Organization: Execute (Target: 10 minutes)		
Event Organization: Debrief (Target: 10 minutes)	Event Organization: Debrief (Target: 10 minutes)		

Final Core Capability Rating

Evaluator Name: _____

Evaluator Email: _____

Phone: _____

Legend:

P: Performed without Challenge

S: Performed with Some Challenges

M: Performed with Major Challenges

U: Unable to be Performed



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Recording Observations

Observation notes include *if* and *how* quantitative or qualitative targets were met. For example, a capability target might state, “*Within 4 hours of the incident....*” Observation notes on that target should include the actual time required for exercise players to complete the critical task(s). Additionally, observations should include:

- **Actual time required** for exercise players to complete the critical task(s)
- **How** target was or was not met
- **Decisions** made and information gathered to make decision
- **Requests** made and how requests were handled
- **Resources** utilized
- **Plans, policies, procedures, or legislative authorities** used or implemented
- Any **other factors** contributed to the outcomes.

Based on their observations, evaluators assign a target rating for each capability target listed on the EEG. Evaluators then consider all target ratings for the core capability and assign an overall core capability rating. 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).

Slide 22

Activity 9

Activity 9: Recording Observations

Objective:

Use the Exercise Evaluation Guide (EEG) activities and tasks to capture exercise observations.

Time: 40 minutes, with a 10 minute report back.

Instructions:

- Review EEG to become familiar with what to observe
- Watch video and record observations and time
- Determine if required tasks were completed
- Comparing observations within your group

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Activity: Recording Observations

To complete this activity we will use a video observation to present you with a simulated experience of the challenges faced by evaluators when observing an exercise. This will help demonstrate the importance of anticipating the evaluation requirements in advance during Exercise Planning and customizing evaluation forms and EEGs for use by your exercise evaluators.

You will be watching the video and recording your group's consolidated observations in the EEG form

Each participant should enter observations using the EEG form in their group session, and compile the group's observations to share with the larger group during the Report-Back phase.

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Lesson 2: Review

Enabling Objectives

After completing this lesson, you should be able to describe:

- The exercise observation data collection process
- The components of an EEG and how Evaluators use EEGs to record observations

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Lesson 2: Review

After completing Lesson 2 you should be able to:

- Describe the exercise observation data collection process for discussion-based and operations-based exercises
- Describe the use of EEGs to record observations.

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Lesson 3: Data Analysis

Enabling Objective

After completing this lesson, you should be able to describe the processed used to analyze data to determine root causes for capability shortfalls.

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Lesson 3: Data Analysis

Enabling Objective

After completing this lesson, you should be able to describe the processed used to analyze data to determine root causes for capability shortfalls.

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Data Analysis Process

- Consolidation of data
- Examine and compare performance against targets
- Identify strengths and areas for improvement
- Conduct root-cause analysis
- Inform stakeholders of underlying causes within shortfalls.

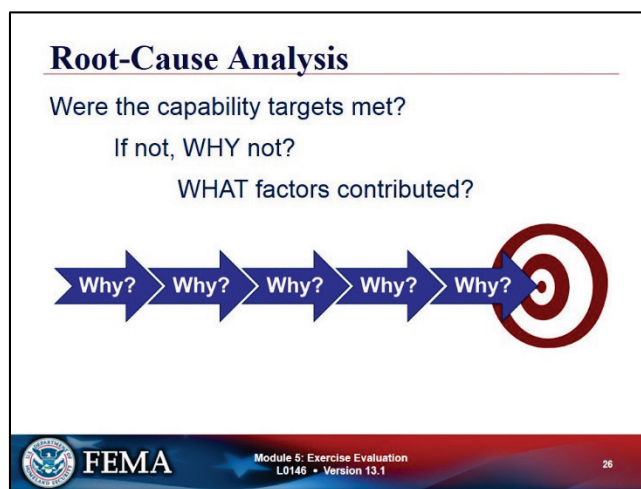
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Data Analysis Process

The goal of data analysis is to evaluate the ability of exercise participants to perform core capabilities and to determine if exercise objectives were met. During data analysis, the evaluation team consolidates the data collected during the exercise and determines whether participants performed critical tasks and met capability targets. Evaluators consider participant performance against all targets to determine the overall ability to perform core capabilities. Additionally, the evaluation team takes notes on the course of exercise play, demonstrated strengths, and areas for improvement. This provides the evaluators with not only what happened, but why events happened.

After this initial data analysis, evaluators examine each critical task not completed as expected and each target 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 each event back to earlier events and their respective causes.

Slide 26



Root-Cause Analysis

Root-cause analysis may also require the review and evaluation of an organization's plans, policies, and procedures. When completing the analysis, evaluators should consider the following questions:

- Were the objectives for each critical task met? If not, what factors contributed to this result?
- Did exercise discussions or activities suggest the critical tasks performed sufficiently to meet the capability targets? If not, what were the resulting impacts or consequences?
- What improvements are required? Are other resources needed? If so, how will they be obtained?
- Identify the strengths and weaknesses required to carry out those tasks. What decisions would need to be made, and who would make them?
- Do current plans, policies, and procedures support the performance of the critical tasks? Are participants familiar with these documents?

- Are personnel trained to perform the critical tasks? If not, what personnel may require additional training?
- Do personnel from multiple agencies or jurisdictions need to work together to perform the tasks? If so, are agreements or relationships in place to support the performance of the tasks?
- What should be learned from this exercise?
- What improvements are recommended? Who (position or agency) is responsible for implementing the improvements? What is the expected timeframe for completion of the improvement?

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Lesson 3: Review

In this lesson we described the processes used to analyze data to determine root causes for capability shortfalls.

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Lesson 3: Review

This lesson described the processes used to analyze data to determine root causes for capability shortfalls.

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Lesson 4: After Action Report (AAR) Draft

After completing this lesson you should be prepared to discuss the:

- Purpose of the After Action Report (AAR)
- Elements of an AAR
- AAR review process

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Lesson 4: After Action Report (AAR) Draft

After completing this lesson you should be prepared to discuss:

- The purpose of the After Action Report (AAR)
- The elements of an AAR, and
- The process used to develop the AAR.

The Evaluation Team takes the lead in the development of the AAR Draft Document.

The AAR provides feedback to participating jurisdictions on their performance during an exercise. The AAR provides a record of what happened during the exercise and is used to recommend changes directed at improving jurisdictional capabilities.

Slide 29

What Is an AAR?

- Summarize key information related to evaluation
- Overview of performance related to each exercise objective and associated core capabilities
- Length, format, and development timeframe of the AAR depend on the exercise type and scope.

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What Is an AAR?

The AAR is the document that summarizes key information related to evaluation. The length, format, and development timeframe of the AAR depend on the exercise type and scope. These parameters should be determined by the exercise planning team based on the expectations of elected and appointed officials as they develop the evaluation requirements in the design and development process.

The AAR should include an overview of performance related to each exercise objective and associated core capabilities, while highlighting strengths and areas for improvement. Therefore, evaluators should review their evaluation notes and documentation to identify the strengths and areas for improvement relevant to the participating organizations' ability to meet exercise objectives and demonstrate core capabilities.

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Elements of an AAR

- Exercise Overview
- Analysis of Core Capabilities
- Appropriate Appendices (e.g., Improvement Plan, Participant List)

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Elements of an AAR

The main focus of the AAR is the analysis of core capabilities. Generally, AARs also include basic exercise information, such as the exercise name, type of exercise, dates, location, participating organizations, mission area(s), specific threat or hazard, a brief scenario description, and the name of the exercise sponsor and POC.

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Activity 10

Activity: Writing AAR Contribution

Objective:
Develop the highest priority AAR contribution to improve jurisdictional preparedness.

Time: 30 minutes, with a 10 minute report back.

Instructions:

- Review Recorded Observations from Lesson 2 Activity
- Using areas noted for improvement create a single AAR/IP contribution
- Enter these in the Worksheet
- Be prepared to share with group during Report-Back

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Activity: Writing an AAR Contribution

In this activity you'll be practicing writing recommendations using the observations you recorded in the previous activity in Lesson 2.

Each group should develop 2–3 recommendations written in depth; remember to provide the following details:

- Identify the activity or task to be addressed by the recommendation—reference EEG item if possible.
- Provide specific information on standard or guidance used as reference for recommended improvement.
- Identify what actions are required and who is responsible for taking these actions, and include a deadline or timeframe for implementation.
- Indicate when/if these improvement recommendations require changes to plans, additional training, and/or equipment purchases before they can be implemented.

Participants who have experience writing recommendations should share their expertise within their groups.

Work as a group to record recommendations, and be prepared to share these with the larger group during the Report-Back.

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AAR Review

Exercise sponsor distributes AAR Draft to participating organizations and elected and appointed officials who...

- Review and determine areas for improvement
- Determine organization with responsibility for corrective actions.

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AAR Review

Upon completion, the evaluation team provides the draft AAR to the exercise sponsor, who distributes it to participating organizations. Elected and appointed officials, or their designees, review and confirm observations identified in the formal AAR, and determine which areas for improvement require further action. Areas for improvement that require action are those that will continue to seriously impede capability performance if left unresolved.

As part of the improvement planning process, elected and appointed officials identify corrective actions to bring areas for improvement to resolution and determine the organization with responsibility for those actions. This process is further described in Module 6: Improvement Planning.

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Lesson 4: Review

- In this lesson we discussed the:
- Purpose of the After Action Report (AAR)
- Elements of an AAR
- AAR review process.

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Lesson 4: Review

In this lesson we discussed the:

- Purpose of the After Action Report (AAR)
- Elements of an AAR
- AAR review process.

Questions?

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Module 5: Evaluation Summary

In this module, we have discussed the first four steps of the evaluation and improvement process:

- Plan and organize the evaluation
- Observe the exercise and collect data
- Analyze exercise data
- Develop the Draft AAR

This information leads us to
Module 6—Improvement Planning.



Module 6:
Improvement
Planning

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Module 5: Evaluation Summary

Evaluation is the keystone of the exercise process where exercise planners use documentation of exercise conduct to determine the actual capability of their jurisdiction in the areas that were tested.

In this module, we have discussed the first four steps of the evaluation and improvement process:

- Plan and organize the evaluation
- Observe the exercise and collect data
- Analyze the data
- Develop the Draft AAR.

The next and final module deals with Improvement Planning.

NOTES:

Acronyms

Acronym	Definition	First Appearance in Module
A/V	Audio/Visual	3
AAM	After-Action Meeting	6
AAR	After-Action Report	1
C&O	Concept and Objectives	3
C/E	Controller/Evaluator	3
COSIN	Control Staff Instructions	3
CPG	Comprehensive Preparedness Guide	2
DHS	Department of Homeland Security	1
EEGs	Exercise Evaluation Guides	1
EMI	Emergency Management Institute	1
EndEx	End of Exercise	4
EOC	Emergency Operations Center	2
EvalPlan	Evaluation Plan	3
ExPlan	Exercise Plan	3
FE	Functional Exercise	2
FEMA	Federal Emergency Management Agency	1
FPM	Final Planning Meeting	3
FSE	Full Scale Exercise	2
HazMat	Hazardous Materials	3
HSEEP	Homeland Security Exercise Evaluation Program	1
ICS	Incident Command System	2
IP	Improvement Plan	1
IPM	Initial Planning Meeting	3
IT	Information Technology	2
MAA	Mutual Aid Agreement	2
MOA	Memorandum of Agreement	2
MOU	Memorandum of Understanding	1
MPM	Mid-Term Planning Meeting	3
MSEL	Master Scenario Events List	3
NEP	National Exercise Program	1
NIMS	National Incident Management System	3
NOAA	National Oceanic and Atmospheric Administration	3
NPD	National Preparedness Directorate	1
NPS	National Preparedness System	1
OSHA	Occupational Safety and Health Administration	3
POC	Point of Contact	3

Acronym	Definition	First Appearance in Module
PPD-8	Presidential Policy Directive 8	1
SAA	State Administrative Agency	1
SimCell	Simulation Cell	3
SitMan	Situation Manual	3
SMART	Specific, Measureable, Achievable, Relevant, and Time-Bound	3
SME	Subject Matter Expert	3
SO	Incident Safety Officer	3
SOPs	Standard Operating Procedures	1
StartEx	Start of Exercise	3
TEP	Multi-year Training and Exercise Plan	1
TEPW	Training and Exercise Planning Workshop	1
THIRA	Threat and Hazard Identification and Risk Assessment	2
TTX	Tabletop Exercise	2
VIP	Very Important Person	3
XPAs	Extent of Play Agreements	1