

Slide 1



The diagram illustrates the Exercise Cycle as a circular process with five stages: Program Management (top, purple), Design and Development (top-right, pink), Conduct (bottom-right, orange), Evaluation (bottom-left, green), and Improvement Planning (top-left, blue). Arrows indicate a clockwise flow between these stages.

Module 5
EXERCISE EVALUATION

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NOTES:

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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.

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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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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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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 Team Responsibilities

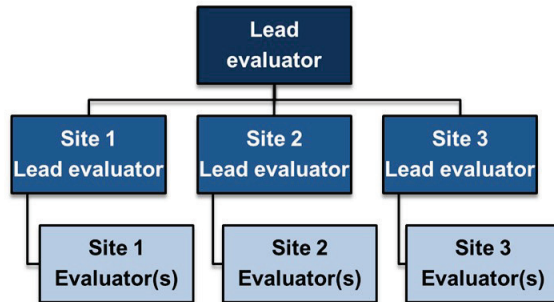
- Be familiar with the mission areas, core capabilities, plans, policies and procedures to be examined during the exercise
- Determine the structure of the evaluation team
- Determine the tools and documentation needed to support the evaluation
- Conduct a pre-exercise C/E Briefing
- Recruit, train,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

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Exercise Evaluation Team



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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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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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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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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 (EEG) Format

[illegible]

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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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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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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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Slide 16**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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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

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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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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Exercise Observations

Observations come from a variety of sources, including:

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



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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.

Organizational Capability Target	Associated Critical Tasks	Observation Notes and Explanation of Rating	Target Rating
Identify Organizational Capability Target 1 (Example)	Identify Organizational Capability Target 1 Critical Tasks (Example)		
Identify Organizational Capability Target 2 (Example)	Identify Organizational Capability Target 2 Critical Tasks (Example)		
Identify Organizational Capability Target 3 (Example)	Identify Organizational Capability Target 3 Critical Tasks (Example)		
Final Core Capability Rating			

Evaluator Name: _____
 Evaluator E-mail: _____
 Phone: _____

Legend:
 1 - Not Observed
 2 - Observed with Minor Challenges
 3 - Observed with Major Challenges
 4 - Observed with Significant Challenges

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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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Slide 23**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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Slide 24**Lesson 3: Data Analysis****Enabling Objective**

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

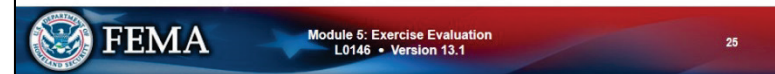
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Data Analysis Process

- 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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Root-Cause Analysis

Were the capability targets met?

If not, WHY not?

WHAT factors contributed?



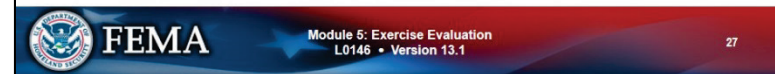
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Slide 27**Lesson 3: Review**

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

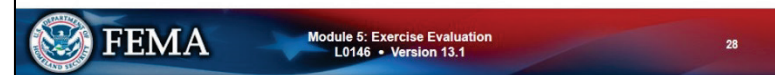
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**Slide 28****Lesson 4: After Action Report (AAR) Draft**

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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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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**Slide 30****Elements of an AAR**

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

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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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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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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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Module 5: Evaluation Summary

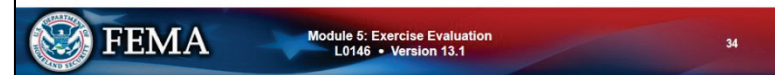
In this module, we have discussed the first four steps of the evaluation and improvement process:

- 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.

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

Acronym	Definition	First Appearance in Module
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
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