## Exercise, Evaluation and Improvement Planning Checklist

**Appendix L – Exercise, Evaluation, and Improvement planning checklist and AAR/IP**

Plans, policies and procedures are tested at least annually in one or more exercises that are evaluated and result in corrective actions for plan improvement.

|  |  |  |
| --- | --- | --- |
| **Date** | ***Initials*** | **Tasks** |
|  | Emergency Response Plan | |
|  |  | Review and update your facilities Hazard and Vulnerabilities Assessment (HVA) annually. |
|  |  | Review your Emergency Operations Plan (EOP) for updating to meet your current needs and identify gaps annually. |
|  |  | Review and update all Memorandums of Understanding (MOU) with response services such as sheltering facilities, transportation, and emergency medical services (EMS), annually. |
|  |  | Distribute the EOP to your staff and identify where it is located in your facility. Include distribution and coordination with appropriate emergency response partners. |
|  | Providing Trained Staff | |
|  |  | Identify staff for emergency roles and responsibilities. Update their personal contact information as needed. |
|  |  | Have your staff update their personal family emergency plans annually. |
|  |  | Conduct training seminars and workshops annually to familiarize staff with the EOP especially the Evacuation Plan part of the EOP. |
|  |  | Plan an announced staff notification drill then conduct unannounced drills once each quarter. After each drill, evaluate the numbers contacted and how quickly they responded and try to improve on the next drill. |
|  |  | Identify the equipment and methods used for communication with your staff, patients, and emergency responders during an incident. |
|  |  | Update emergency response contact information: phone numbers, and contracted sheltering facilities annually. |
|  | Test all equipment: | |
|  |  | Phones, computer systems, alarms, general addressing systems, 2-way radios, 800 MHz radios, ham radios (all that apply) |
|  |  | Facility power generators, emergency lighting systems, flashlights |
|  | Conduct exercises to demonstrate plans and procedures in an exercise or real response | |
|  |  | Identify equipment, plans, or procedures that need to be tested or demonstrated |
|  |  | Identify staff who would gain experience in their response role. |
|  |  | Plan one or more drills for testing equipment, notification procedures, and other standard operating procedures annually. |
|  |  | Plan a seminar to share the EOP and any policy, plan, or procedural changes with your staff. |
|  |  | Plan a workshop to bring together key staff to develop or improve a procedure or plan. |
|  |  | Plan a tabletop discussion exercise to demonstrate how your all-hazard plans, policies, or procedures would apply to a specific type of incident and for your staff to gain experience.  Evaluate and improve your plan. |
|  |  | Plan a functional exercise to demonstrate a part of your plan, test a procedure, and give additional experience to your staff. Evaluate and improve your plan |
|  |  | Hold a full-scale exercise with your response staff and/or with other response partners to test your planned response to a specific type of incident. Evaluate and improve your plan. |
|  |  | Develop a one-year or multiple-year training and exercise plan to provide a timeline for accomplishing your training goals |
|  |  | Track the completion of corrective actions from your exercise after action reports in a facility-wide improvement plan. |

[Exercise Name]

After-Action Report/Improvement Plan

[Date]

The After-Action Report/Improvement Plan (AAR/IP) aligns exercise objectives with preparedness doctrine to include the National Preparedness Goal and related frameworks and guidance. Exercise information required for preparedness reporting and trend analysis is included; users are encouraged to add additional sections as needed to support their own organizational needs.

# Exercise Overview

|  |  |
| --- | --- |
| **Exercise Name** | [Insert the formal name of exercise, which should match the name in the document header] |
| **Exercise Dates** | [Indicate the start and end dates of the exercise] |
| **Scope** | This exercise is a [exercise type], planned for [exercise duration] at [exercise location]. Exercise play is limited to [exercise parameters]. |
| **Mission Area(s)** | [Prevention, Protection, Mitigation, Response, and/or Recovery] |
| **Core Capabilities** | [List the core capabilities being exercised] |
| **Objectives** | [List exercise objectives] |
| **Threat or Hazard** | [List the threat or hazard (e.g. natural/hurricane, technological/radiological release)] |
| **Scenario** | [Insert a brief overview of the exercise scenario, including scenario impacts (2-3 sentences)] |
| **Sponsor** | [Insert the name of the sponsor organization, as well as any grant programs being utilized, if applicable] |
| **Participating Organizations** | [Insert a brief summary of the total number of participants and participation level (i.e., Federal, State, local, Tribal, non-governmental organizations (NGOs), and/or international agencies). Consider including the full list of participating agencies in Appendix B. Delete Appendix B if not required.] |
| **Point of Contact** | [Insert the name, title, agency, address, phone number, and email address of the primary exercise POC (e.g., exercise director or exercise sponsor)] |

# Analysis of Core Capabilities

Aligning exercise objectives and core capabilities provides a consistent taxonomy for evaluation that transcends individual exercises to support preparedness reporting and trend analysis. Table 1 includes the exercise objectives, aligned core capabilities, and performance ratings for each core capability as observed during the exercise and determined by the evaluation team.

| Objective | Core Capability | Performed without Challenges (P) | Performed with Some Challenges (S) | Performed with Major Challenges (M) | Unable to be Performed (U) |
| --- | --- | --- | --- | --- | --- |
| [Objective 1] | [Core capability] |  |  |  |  |
|  | [Core capability] |  |  |  |  |
| [Objective 2] | [Core capability] |  |  |  |  |
| [Objective 3] | [Core capability] |  |  |  |  |
| **Ratings Definitions:**   * Performed without Challenges (P): The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. * Performed with Some Challenges (S): The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s) and did not negatively impact the performance of other activities. Performance of this activity did not contribute to additional health and/or safety risks for the public or for emergency workers, and it was conducted in accordance with applicable plans, policies, procedures, regulations, and laws. However, opportunities to enhance effectiveness and/or efficiency were identified. * Performed with Major Challenges (M): The targets and critical tasks associated with the core capability were completed in a manner that achieved the objective(s), but some or all of the following were observed: demonstrated performance had a negative impact on the performance of other activities; contributed to additional health and/or safety risks for the public or for emergency workers; and/or was not conducted in accordance with applicable plans, policies, procedures, regulations, and laws. * Unable to be Performed (U): The targets and critical tasks associated with the core capability were not performed in a manner that achieved the objective(s). | | | | | |

Table 1. Summary of Core Capability Performance

The following sections provide an overview of the performance related to each exercise objective and associated core capability, highlighting strengths and areas for improvement.

## [Objective 1]

The strengths and areas for improvement for each core capability aligned to this objective are described in this section.

## [Core Capability 1]

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

Area for Improvement 2: [Observation statement]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

## [Core Capability 2]

### Strengths

The [full or partial] capability level can be attributed to the following strengths:

Strength 1: [Observation statement]

Strength 2: [Observation statement]

Strength 3: [Observation statement]

### Areas for Improvement

The following areas require improvement to achieve the full capability level:

Area for Improvement 1: [Observation statement. This should clearly state the problem or gap; it should not include a recommendation or corrective action, as those will be documented in the Improvement Plan.]

Reference: [List any relevant plans, policies, procedures, regulations, or laws.]

Analysis: [Provide a root cause analysis or summary of why the full capability level was not achieved.]

# Appendix A: Improvement Plan

This IP has been developed specifically for [Organization or Jurisdiction] as a result of [Exercise Name] conducted on [date of exercise].

| **Core Capability** | **Issue/Area for Improvement** | **Corrective Action** | **Capability Element[[1]](#footnote-1)** | **Primary Responsible Organization** | **Organization POC** | **Start Date** | **Completion Date** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Core Capability 1: [Capability Name] | 1. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |  |
| [Corrective Action 3] |  |  |  |  |  |
| 2. [Area for Improvement] | [Corrective Action 1] |  |  |  |  |  |
| [Corrective Action 2] |  |  |  |  |  |

# Appendix B: Exercise Participants

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| --- |
| Participating Organizations |
| **Federal** |
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|  |
|  |
| **State** |
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|  |
| **[Jurisdiction A]** |
|  |
|  |
|  |
| **[Jurisdiction B]** |
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|  |

1. Capability Elements are: Planning, Organization, Equipment, Training, or Exercise. [↑](#footnote-ref-1)