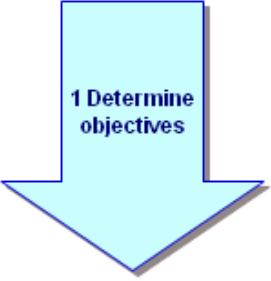





The Design, Management and Evaluation of Exercises/Tests

| NAME | Design, manage and evaluate exercises/tests of business continuity and emergency management |
|--|---|
| DESCRIPTOR | A four step approach to design, manage and evaluate activities which exercise/test elements of management |
| STEP | ACTIVITY and PERFORMANCE CRITERIA |
|  <p>1 Determine objectives</p> | <ol style="list-style-type: none"> 1. The need for the exercise/test is identified 2. The aim and objectives of the exercise/test which meet the identified need are determined |
|  <p>2 Design exercise/test</p> | <ol style="list-style-type: none"> 1. Exercise/test style, consistent with the objectives, is selected in consultation with stakeholders 2. Exercise/test is designed to ensure that objectives are met 3. Resources to support the exercise/test are identified and secured |
|  <p>3 Manage exercise/test</p> | <ol style="list-style-type: none"> 1. Personnel involved in the exercise/test are briefed in respect of aims, objectives, expectations and activity outcomes 2. The exercise/test plan is used to initiate and facilitate the conduct and direction of the exercise/test 3. The progress of the exercise/test is monitored and feedback provided to personnel. |
|  <p>4 Evaluate outcomes</p> | <ol style="list-style-type: none"> 1. A post exercise/test debrief is planned based on the conduct and outcomes 2. Debriefs are conducted with relevant personnel and stakeholders 3. The outcomes of the activities are reviewed against objectives 4. A report of the activity is prepared and distributed to stakeholders |

Exercise/Test Management Checklist

| | |
|---|--|
| Name of exercise/test | |
| Date of exercise/test | |
| <div style="background-color: #d9e1f2; padding: 10px; margin: 10px auto; width: 80%; border: 1px solid black;"> <p style="margin: 0;">Step 1: DETERMINE OBJECTIVES</p> </div> <p style="margin-top: 20px;"><i>1 Identify the need for the exercise/test.</i></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 80%;"> <ul style="list-style-type: none"> • Identify elements of management that require exercising or testing. <input type="checkbox"/> • Demonstrate the need for and benefits of exercising or testing the specific elements of management. <input type="checkbox"/> • Gain commitment (human, physical & financial resources) from stakeholders to be involved in the exercise or test. <input type="checkbox"/> </div> <div style="width: 15%; text-align: right; vertical-align: top;"> <p><i>Tick</i></p> </div> </div> | |
| <p><i>2 Determine the aim and objectives of the exercise/test, which meet the identified need.</i></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 80%;"> <ul style="list-style-type: none"> • Document the aim and objectives in clear, simple and measurable terms. <input type="checkbox"/> • Identify pathways to achieve the determined objectives. <input type="checkbox"/> • Evaluate the determined objectives. <input type="checkbox"/> </div> <div style="width: 15%; text-align: right; vertical-align: top;"> <p><i>Tick</i></p> </div> </div> | |

Step 2: DESIGN EXERCISE/TEST

3 Select exercise/test style/format consistent with the objectives.

Tick

- Examine the strengths and weaknesses of a range of alternative exercise/test styles/formats.
- Review, modify and justify the selection of exercise/test style/format.

4 Design the exercise/test to suit the determined objectives.

Tick

- Utilise an existing exercise/test style/format to design the exercise/test.
- Customise existing exercise/test styles/formats to design the exercise/test to suit determined objectives.
- Facilitate the design of an exercise/test with measurable outcomes that meets the determined objectives.

5 Identify and secure resources to support the exercise/test.

Tick

- Identify and secure required resources through informal processes.
- Negotiate the securing of identified resources with participating individuals and organisations.
- Identify and secure all resources required to support the exercise/test through formal processes.

Step 3: MANAGE EXERCISE/TEST

6 Brief personnel involved in the exercise/test with respect to aims, objectives, expectations and activity outcomes.

Tick

- Issue exercise/test documents to the participating individuals and organisation(s).
- Prepare and conduct a briefing of the participating organisation(s)?
- Brief control staff and outline the parameters by which the success of the exercise/test will be measured.

7 Use the exercise/test plan to initiate and facilitate the conduct and direction of the exercise/test.

Tick

- Apply a predetermined timetable defined within the exercise/test plan.
- Monitor exercise/test progress against the timetable.
- Where appropriate, adapt to changes in circumstances and contexts and modify the exercise/test to ensure that objectives are achieved.

8 Monitor the progress of the exercise/test and provide feedback to personnel.

Tick

- Conduct routine monitoring of the progress of the exercise/test.
- Consider the impact of changes to the activity program.
- Establish communication processes with control staff to ensure continual reporting and feedback of information.

| Step 4: EVALUATE OUTCOMES | |
|---|--|
| <p>9 Plan a post exercise/test debrief based on the conduct and outcomes of the exercise/test.</p> <ul style="list-style-type: none"> • Plan a debrief of participants at the conclusion of the exercise/test (e.g. hot wash-up). • Plan a debrief of the departments/organisation(s). | <p><i>Tick</i></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> |
| <p>10 Conduct debriefs.</p> <ul style="list-style-type: none"> • Conduct a debrief with exercise/test participants to gather feedback on performance, the exercise/test process and areas needing improvement. • Conduct a debrief with exercise/test control staff to gather feedback on the conduct of the exercise/test. • Conduct a debrief with umpires/referees to gather feedback on performance of participants and the validity of the objectives. | <p><i>Tick</i></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> |
| <p>11 Review the outcomes of the activity against the objectives.</p> <ul style="list-style-type: none"> • Use a structured approach to determine whether the outcomes of the activity have met the determined objectives. • Identify varying levels of achievement of objectives and reasons for non-achievement of objectives. • Review the exercise/test process and identify deficiencies and opportunities for improvement. | <p><i>Tick</i></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> |
| <p>12 Prepare a report of the activity for stakeholders.</p> <ul style="list-style-type: none"> • Prepare and distribute minutes of the exercise/test debrief. • Compile and distribute a report on the activity which contains all relevant documentation. • Analyze the activity outcomes to develop recommendations. • Present a report summarizing the activity and recommendations. | <p><i>Tick</i></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> |

| RANGE OF VARIABLES | |
|---|---|
| Activities which exercise/test elements of management (exercise/tests) may | <ul style="list-style-type: none"> explore issues promote awareness educate assess and demonstrate capability evaluate risk treatment strategies validate training audit performance evaluate management plans |
| Activities may include | <ul style="list-style-type: none"> Scenario analyses Case studies Role plays Discussion exercise/tests Functional centre exercise/tests (including specific task environments within the workplace) Field exercise/tests Synthetic training High level architecture Multi media Virtual reality Distributed interactive software |
| Stakeholders may include | <ul style="list-style-type: none"> Staff Client groups Members of the public Community groups Industry groups Public and private sector organisations Politicians |
| The design process may include | <ul style="list-style-type: none"> Determination of activity management structure Development of documentation Design of activity Issuing notification Briefings and de-briefings |
| Activity personnel may include | <ul style="list-style-type: none"> Activity director Directing staff/coordinators/facilitators Safety officers Assessors/umpires Public relations staff Casualty simulators Role player liaison officers Administrative/welfare personnel to support learning and assessment tools Assessment tools |

| | |
|---|--|
| Resource needs may include | Equipment Finance Personnel Facilities Logistics Activity communications |
| Activity documentation may include | Activity notification Activity management checklists General instruction Safety instructions Timetable/schedule of events Activity inputs (general idea special idea problems specific inputs) |
| EVIDENCE GUIDE | |
| Critical aspects of evidence | Ability to effectively plan, conduct and evaluate exercise/tests and activities devised for the demonstration of management. |
| Underpinning knowledge | Legislative and regulatory arrangements relative to management Adult learning principles Problem solving and decision making techniques management concepts and principles Consultation Monitoring Assessment and review techniques Project management principles |
| Underpinning skills | Conduct needs analysis Negotiate with client groups and stakeholders Plan and deliver briefings and de-briefings Provide feedback Manage and direct exercise/test activities Communicate in a group setting |

Developing and Managing Exercise and Tests – performance framework¹

| Item | Performance Quality Level | | |
|---|---|---|--|
| | Level 1 | Level 2 | Level 3 |
| <p>Concepts & Objectives (C&O)</p> <p>1.1 The need for exercise/test is identified in consultation with stakeholders</p> | Identify which risk management strategies will require being "exercise/tested". | <p>Communicate and consult with stakeholders.</p> <p>Determine roles, responsibilities and resource implications of involvement in exercise/test.</p> | Achieve and foster commitment from relevant stakeholders (financial and human resources) of involvement in exercise/test. |
| 1.2 Objectives of the exercise/test which meet the identified need are determined | <p>Determine the objectives of the exercise/test.</p> <p>Document objectives in clear, simple and measurable terms.</p> | Determine pathways to achieve those objectives. | Determine context evidence required to evaluate stated objectives. |
| 1.3 Exercise/test style, consistent with the objectives, is selected in consultation with stakeholders | Select the exercise/test style to meet stated objectives in consultation with stakeholders. | Justify the selection of exercise/test style to stakeholder groups | <p>Examine the strengths and weaknesses of a range of alternative exercise/test styles</p> <p>Review and modify.</p> |
| <p>Initial Planning Conference (IPC)</p> <p>2.1 Exercise/test design team is assembled for developmental workshop(s)</p> | Identify appropriate personnel to design and write exercise/test. | Assemble and brief exercise/test writing team and allocate tasks. | Evaluate and provide guidance to meet stated objectives. |
| 2.2 Design exercise/test | Implement existing exercise/test formats. | Customize existing exercise/test formats to suit objectives. | Design innovative exercise/test(s) to meet objectives. |
| 2.3 Resource allocation | Identify required resources. | Justify resource allocation to stakeholder groups. | Secure resources required to implement exercise/test in consultation with stakeholders. |
| 3. Manage exercise/test | Communicate aims, objectives, expectations and activity outcomes to personnel involved in exercise/test. | <p>Initiate and facilitate exercise/test.</p> <p>Consult with participating personnel and relevant stakeholders on evaluation of exercise/test.</p> | <p>Actively monitor the progress of the exercise/test.</p> <p>Debrief & evaluate the exercise/test, reviewing activity outcomes against objectives; provide feedback to participating personnel & stakeholders</p> |

¹ This quality definition matrix integrates Australia's National Emergency Management Competency Standards (PUAEMR005A); developmental work by Griffin & Gillis, 2002 (Ref <http://www.aare.edu.au/02pap/gri02636.htm>); and approaches in the Homeland Security Exercise/test & Evaluation Program of the United States of America to maximize the performance of due diligence.