Level Three Course Evaluation Program

MGT 381 Business Continuity Planning and Emergency Response

January 2012
This report was supported under award #2007-GD-T7-K007 from the U.S. Department of Homeland Security, Federal Emergency Management Agency, National Training and Education Division. Points of view or opinions in this report are those of the authors and do not represent the official position or policies of the U.S. Department of Homeland Security.
Executive Summary

In 2010, the Rural Domestic Preparedness Consortium (RDPC) implemented a post-training evaluation program to evaluate the effectiveness of its courses. This report details the results of the first course evaluation performed by the RDPC. The evaluated course is MGT 381 Business Continuity Planning and Emergency Response, which is one of several management-level, performance-based courses that RDPC currently offers to rural communities. MGT 381 is designed to prepare small and large businesses to effectively plan for emergencies and disasters.

The sample drawn for the evaluation consisted of participants who had completed MGT 381 from five separate training instances between 2008 and 2009. The adjusted sample size for the evaluation was 130 and a total of 32 completed surveys were returned, which resulted in a 25% response rate.

Overall, the evaluation uncovered positive and negative aspects related to the training objectives of the course. For example, participants indicated that the course had helped them to write a new or update an existing business continuity plan, form a business continuity plan development team, identify critical business functions and potential hazards, and complete a risk analysis. Conversely, the data indicated that large portions of the participants had not completed critical steps in business continuity planning:

- 43% had not identified their key information and vital records
- 48% had not completed a hazard vulnerability assessment
- 67% had not completed a business impact analysis
- 73% had not completed a preparedness prioritization worksheet

The RDPC will use the information obtained from this study to refine the MGT 381 course curriculum during its upcoming three-year review process in order to ensure the RDPC continues to offer high-quality training courses.
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1.0 Program Background and Purpose

The Rural Domestic Preparedness Consortium (RDPC) was established in 2005 by Congress to develop and deliver all-hazards preparedness training to rural communities across America. The mission of RDPC is to coordinate the development and delivery of preparedness training in support of rural homeland security requirements and facilitate relevant information sharing. It is essential that emergency responders in small, rural, and remote communities are properly trained to deal with all-hazards events. It is also important that the training delivered to rural emergency responders be effective in meeting its goals and objectives. For more information on the RDPC, please visit [http://www.ruraltraining.org/](http://www.ruraltraining.org/).

In 2010, the RDPC established a Level Three Course Evaluation Program to evaluate the training effectiveness of its courses. This program is based on Level Three of Donald Kirkpatrick’s *Four Levels of evaluating training programs — behavior*.¹ The purpose of the program is to measure the transfer in behavior that has occurred in the participant due to his/her completion of the training course. Therefore, the program assesses whether the knowledge, skills, and abilities (KSAs) that each participant acquires via the training course are being applied in the daily work setting of the participant.

Kirkpatrick claims that four conditions are necessary for change to occur in a participant’s behavior once he/she has attended a training course. The first two conditions — *the person must have a desire to change and the person must know what to do and how to do it* — can be accomplished through a training course by “…creating a positive attitude toward the desired change and by teaching the necessary knowledge and skills.” Furthermore, these two conditions are bestowed upon on the participants and their willingness to learn the training curriculum, as well as the training instructor and his/her ability to educate the participants to meet the learning objectives. The third condition — *the person must work in the right climate* — is outside of the training program’s (e.g., RDPC) control, as this condition pertains to the participant’s immediate supervisor or work environment as a whole. Kirkpatrick lists five different kinds of climate, which range from a supervisor intentionally preventing a participant from implementing the KSA that he/she acquired from the training course to a kind of climate in which a supervisor requires the participant’s learning transfer to the job. It is likely that participants in all RDPC training courses will work in climates more like the latter, since the participants of such courses are middle-to-senior management level and the training courses are essential to participants’ job duties. The final condition — *the person must be rewarded for changing* — can be either intrinsic or extrinsic, according to Kirkpatrick. Kirkpatrick explains that intrinsic rewards may include the feelings of satisfaction, pride, and achievement that can occur when change in behavior has positive results, while extrinsic rewards include praise from the boss, recognition by others, and monetary rewards, such as merit pay increases and bonuses. RDPC may contribute to either type of rewards by simply encouraging participants throughout the training process and by providing an incentive to participants, such as continuing education units.

RDPC used these conditions as a framework in developing the four criteria that courses must meet in the Level Three Course Evaluation Program.

1. The Terminal Learning Objective (TLO) for each training module must be observable and measurable for research and training purposes.

2. A process and the needed tools must be in-place to be able to evaluate the transfer in behavior from the classroom to the workplace (e.g., RDPC’s Level Three Course Evaluation Program).

3. Participants can and must use the tools that are in place to fulfill their responsibilities in the evaluation of the transfer in behavior.

4. Participants must be provided with on-the-job opportunities to demonstrate the TLO for each module learned in the training course.

Based on the criteria above, *MGT 381 Business Continuity Planning and Emergency Response* was selected as a suitable candidate for evaluation. Further, the evaluation was conducted in parallel with the required three-year course review and update of *MGT 381*. The remainder of this report details the results of the course evaluation.

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2.0 Overview of MGT 381

*MGT 381 Business Continuity Planning and Emergency Response* is an eight-hour, instructor-led course designed to teach executive-level managers and small business owners how to develop a comprehensive and effective business continuity program.

Both large and small-scale emergencies and disasters have become increasingly common in a world that is constantly changing due to population growth, climate extremes, and civil and political unrest. Since any department in an organization may be affected by emergencies and disasters, it is essential that the concept of business continuity planning be adopted by the entire organization and not just as a plan on paper, but as a program that is an all-encompassing solution relevant to the entire organization.

In today’s competitive economy, the benefits of having a plan for continuing operations before, during, and after emergencies and disasters far outweigh the costs. This course enables participants to fulfill their fiduciary responsibility to protect employees, the community, and the environment in the event of an emergency or disaster.

During the course, participants learn about the business continuity process, including identifying key functions necessary to their business operations, assessing the likelihood of potential hazards in their communities, determining the adequacy of existing resources, and writing a business continuity plan. Upon completion of this course, participants can successfully:

- Articulate the importance of a business continuity plan;
- List the costs involved in developing a business continuity plan;
- Identify and categorize functions critical to their business operations;
- Craft a business continuity plan purpose statement;
- Establish a business continuity plan development team and assign responsibilities among key members of the team;
- Identify potential hazards and conduct a risk assessment for each;
- Determine adequacy of existing resources and capabilities; and
- Develop activities for each functional area of a business continuity plan.

*MGT 381* is comprised of four modules each with individual Terminal Learning Objectives (TLOs). Table 2-1 presents the modules and their corresponding TLOs, which were utilized in the research design.

<table>
<thead>
<tr>
<th>Module</th>
<th>TLOs</th>
</tr>
</thead>
</table>
| Module 1: Establishing a Business Continuity Planning Program | 1.1 Identify functions that are necessary for a business to operate  
1.2 Write a purpose statement  
1.3 Organize key members of the business into an Incident Command System (ICS) |
| Module 2: Assessing Risks and Impacts and Developing Strategies | 2.1 List potential emergencies in a community  
2.2 Assess the likelihood of each emergency and determine their possible impact  
2.3 Determine the adequacy of existing resources and capabilities through the use of a Preparedness Prioritization Worksheet (PPW) |
| Module 3: Writing the Plan | 3.1 Discuss how to write an actual plan including an Executive Summary, along with basic plan functions: Planning Operations and Procedures, Direction and Control, Communication and Warning, Logistics and Facilities, Information Systems, Finance and Administration and Training and Curriculum  
3.2 List mitigation, preparedness, response, and recovery activities for each critical business function |
| Module 4: Testing and Evaluating the Plan | 4.1 Test and evaluate the plan in the context of a tabletop exercise |
3.0 Methodology

As previously mentioned, an evaluation survey was used for the MGT 381 level three course evaluation to assess whether the KSAs that each participant acquired via the training course have been applied in their daily work setting. The sample drawn for this study was comprised of participants who had completed the course from five separate training locations:

- Sioux City, Iowa (November 4, 2008)
- Cedar Falls, Iowa (November 5, 2008)
- Grand Rapids, Iowa (November 6, 2008)
- Grand Rapids, Iowa (March 12, 2009)
- Schnecksville, Pennsylvania (October 2, 2009)

Participants from these locations were specifically selected to participate in this study because it had been at least two and a half months since the training was completed. This timeframe was determined to be an adequate amount of time for participants to have possibly utilized the KSAs acquired from the training. A total of 131 participants were invited to participate in the survey. The mailing address that participants provided during course registration was used to send invitation letters to the participants.

Multiple methods were implemented to collect data for the study. Respondents were initially contacted via postal mail with a letter inviting them to participate in the study by completing it online or sending back a hard copy (see Appendix A for a copy of the invitation letter). The mailing date for this first mailing was January 25, 2010. Approximately two weeks later on February 26, 2010, as a courtesy reminder of the RDPC’s invitation to participate in the survey, postcards were mailed to all subjects who did not respond to the initial mailing. Lastly, in a final attempt to solicit a response from those subjects who had not yet participated in the study, the RDPC contacted each subject individually via telephone during the weeks of July 12, 2010, September 13, 2010, and October 4, 2010.

The course evaluation was completed via a survey instrument which included 15 single-choice, and two open-ended questions. All of the questions directly aligned with the modules that were listed in Section 2.0. Questions 1 through 5 aligned with Module 1, as they related to identifying functions that are necessary for a business to operate, write a purpose statement, and organize key members of the business into an ICS. Questions 6 through 12 pertained to Module 2, which focused on potential community emergencies and their possible impact. Questions 13 through 15 corresponded Module 3, which addresses the actual process of writing the Business Continuity Plan. Finally, questions 16 and 17 were very general in their scope, so they aligned with all lessons of the class. Appendix B provides a copy of the survey instrument.

RDPC utilized two survey formats to collect data for this study. The first format was a pen or pencil self-administered survey in which respondents returned via postal mail. The other format was an online self-administered survey which enabled the RDPC to download the data from a central server via the Internet. The software used to create the instrument and collect the data was the Statistical Package for the Social Sciences® (SPSS) Dimensions’ mrInterview™ program. Respondents were provided the online link to the survey in the cover letter that accompanied each mailing.

Additionally, each subject was assigned a unique three-digit survey code as an identifier to track his/her completion of the survey, which was also provided within the invitation letters. Subjects had to enter their survey codes in order to access the online survey. When participants preferred to mail the hard copy of the survey back the research personnel at the RDPC, the data was manually entered into a database. After the end of the collection period, both databases (on-line and hard copies) were combined and analyzed with the Predictive Analytics SoftWare® (PASW) 18.0 program.
4.0 Results

The adjusted sample size was 130 due to one participant having an insufficient mailing address. Overall, a total of 32 completed surveys were received, resulting in an adjusted response rate of 25%. Survey completion method was close to evenly distributed with 18 (or 56%) completed online completed and 14 (or 44%) returned via postal mail.

The data from each of the 32 surveys were analyzed using the PSAW 18.0. Statistical analyses to include frequencies and percentages were conducted to analyze the data. It was determined that these methods of univariate analysis were the most appropriate given the research objective. In regard to the single-response questions, subjects were asked whether they have utilized the skills learned via MGT 381.

The objective of this study was to determine how, if at all, participants who successfully completed MGT 381 utilized the KSAs acquired from the course for the purposes of business continuity planning and emergency management. Overall, the data indicates that many of the KSAs obtained via the course have been utilized by the participants. For example, a majority of the participants indicated that they have attempted to write a business continuity plan (67%) and have utilize the four key steps (Prevention, Preparedness, Response, and Recovery) taught in the course (77%). Further, in attempt to write business continuity plan, the following actions have been taken by the majority of the respondents:

- 55% formed a business continuity plan development team;
- 63% developed a risk analysis;
- 68% established an ICS;
- 77% identified its critical business functions and potential hazards; and
- 94% utilized the seven basic plan functions.

Tables 4-1 through 4-28 present the detailed results of each open-ended survey question (questions 1 through 15).

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>24</td>
<td>77%</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>23%</td>
</tr>
</tbody>
</table>

Table 4-1: Question 1 Results

Question 1: Have you utilized the four key steps (Prevention, Preparedness, Response, and Recovery) of the Business Continuity Planning Process? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>21</td>
<td>68%</td>
</tr>
<tr>
<td>No</td>
<td>10</td>
<td>32%</td>
</tr>
</tbody>
</table>

Table 4-3: Question 3 Results

Question 3: Have you established an Incident Command System to respond to emergencies within your organization? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>17</td>
<td>55%</td>
</tr>
<tr>
<td>No</td>
<td>14</td>
<td>45%</td>
</tr>
</tbody>
</table>

Table 4-2: Question 2 Results

Question 2: Have you ever formed a business continuity plan? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>24</td>
<td>77%</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>23%</td>
</tr>
</tbody>
</table>

Table 4-4: Question 4 Results

Question 4: Has your organization identified its critical business functions? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>24</td>
<td>77%</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>23%</td>
</tr>
</tbody>
</table>
### Table 4-5: Question 5 Results
Question 5: Have you utilized the Recovery Time Objective? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>11</td>
<td>36%</td>
</tr>
<tr>
<td>No</td>
<td>20</td>
<td>64%</td>
</tr>
</tbody>
</table>

### Table 4-6: Question 6 Results
Question 6: Have you had an opportunity to identify potential hazards that your organization faces? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>24</td>
<td>77%</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>23%</td>
</tr>
</tbody>
</table>

### Table 4-7: Question 6a Results
Question 6a: If “yes,” did you use what you learned in this course to identify potential hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>16</td>
<td>67%</td>
</tr>
<tr>
<td>No</td>
<td>8</td>
<td>33%</td>
</tr>
</tbody>
</table>

### Table 4-8: Question 7 Results
Question 7: Have you completed a Hazard Vulnerability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>15</td>
<td>52%</td>
</tr>
<tr>
<td>No</td>
<td>14</td>
<td>48%</td>
</tr>
</tbody>
</table>

### Table 4-9: Question 8 Results
Question 8: Have you developed a Risk Analysis in order to help you determine the seriousness of potential hazards to your organization? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>19</td>
<td>63%</td>
</tr>
<tr>
<td>No</td>
<td>11</td>
<td>37%</td>
</tr>
</tbody>
</table>

### Table 4-10: Question 9 Results
Question 9: Have you had the opportunity to complete a Business Impact Analysis? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>10</td>
<td>33%</td>
</tr>
<tr>
<td>No</td>
<td>20</td>
<td>67%</td>
</tr>
</tbody>
</table>

### Table 4-11: Question 9a Results
Question 9a: If “yes,” did you use what you learned in this course when determining the possible impacts of various hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>6</td>
<td>67%</td>
</tr>
<tr>
<td>No</td>
<td>3</td>
<td>33%</td>
</tr>
</tbody>
</table>

### Table 4-12: Question 10 Results
Question 10: Have you utilized internal resources as a part of your organization’s Capability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>18</td>
<td>62%</td>
</tr>
<tr>
<td>No</td>
<td>11</td>
<td>28%</td>
</tr>
</tbody>
</table>
Table 4-13: Question 11 Results
Question 11: Have you utilized external resources as a part of your organization’s Capability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>15</td>
<td>54%</td>
</tr>
<tr>
<td>No</td>
<td>13</td>
<td>46%</td>
</tr>
</tbody>
</table>

Table 4-14: Question 12 Results
Question 12: Have you developed a Preparedness Prioritization Worksheet? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>8</td>
<td>27%</td>
</tr>
<tr>
<td>No</td>
<td>22</td>
<td>73%</td>
</tr>
</tbody>
</table>

Table 4-15: Question 12a Results
Question 12a: If "yes," did you use what you learned in this course to identify potential hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>10</td>
<td>33%</td>
</tr>
<tr>
<td>No</td>
<td>20</td>
<td>67%</td>
</tr>
</tbody>
</table>

Table 4-16: Question 13 Results
Question 13: Have you completed a Hazard Vulnerability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>20</td>
<td>67%</td>
</tr>
<tr>
<td>No</td>
<td>10</td>
<td>33%</td>
</tr>
</tbody>
</table>

Table 4-17: Question 13a Results
Question 13a: Have you developed a Risk Analysis in order to help you determine the seriousness of potential hazards to your organization? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>16</td>
<td>84%</td>
</tr>
<tr>
<td>No</td>
<td>3</td>
<td>16%</td>
</tr>
</tbody>
</table>

Table 4-18: Question 13b Results
Question 13b: Have you had the opportunity to complete a Business Impact Analysis? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>16</td>
<td>94%</td>
</tr>
<tr>
<td>No</td>
<td>1</td>
<td>6%</td>
</tr>
</tbody>
</table>

Table 4-19: Question 13b Results
Question 13b: If "yes," did you use what you learned in this course when determining the possible impacts of various hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>14</td>
<td>87%</td>
</tr>
<tr>
<td>No</td>
<td>2</td>
<td>13%</td>
</tr>
</tbody>
</table>

Table 4-20: Question 13b Results
Question 13b: Have you utilized internal resources as a part of your organization’s Capability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>8</td>
<td>53%</td>
</tr>
<tr>
<td>No</td>
<td>7</td>
<td>47%</td>
</tr>
</tbody>
</table>
### Table 4-21: Question 13b Results

Question 13b: Have you utilized external resources as a part of your organization’s Capability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>12</td>
<td>80%</td>
</tr>
<tr>
<td>No</td>
<td>3</td>
<td>20%</td>
</tr>
</tbody>
</table>

### Table 4-22: Question 13b Results

Question 13b: Have you developed a Preparedness Prioritization Worksheet? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>14</td>
<td>82%</td>
</tr>
<tr>
<td>No</td>
<td>3</td>
<td>18%</td>
</tr>
</tbody>
</table>

### Table 4-23: Question 13b Results

Question 13b: If “yes,” did you use what you learned in this course to identify potential hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>14</td>
<td>93%</td>
</tr>
<tr>
<td>No</td>
<td>1</td>
<td>7%</td>
</tr>
</tbody>
</table>

### Table 4-24: Question 13b Results

Question 13b: Have you completed a Hazard Vulnerability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>11</td>
<td>73%</td>
</tr>
<tr>
<td>No</td>
<td>4</td>
<td>27%</td>
</tr>
</tbody>
</table>

### Table 4-25: Question 13b Results

Question 13b: Have you developed a Risk Analysis in order to help you determine the seriousness of potential hazards to your organization? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>10</td>
<td>62%</td>
</tr>
<tr>
<td>No</td>
<td>6</td>
<td>38%</td>
</tr>
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### Table 4-26: Question 13b Results

Question 13b: Have you developed a Preparedness Prioritization Worksheet? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>19</td>
<td>66%</td>
</tr>
<tr>
<td>No</td>
<td>10</td>
<td>34%</td>
</tr>
</tbody>
</table>

### Table 4-27: Question 13b Results

Question 13b: If “yes,” did you use what you learned in this course to identify potential hazards? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>17</td>
<td>57%</td>
</tr>
<tr>
<td>No</td>
<td>13</td>
<td>43%</td>
</tr>
</tbody>
</table>

### Table 4-28: Question 13b Results

Question 13b: Have you utilized internal resources as a part of your organization’s Capability Assessment? (n=31)

<table>
<thead>
<tr>
<th>Answers</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>7</td>
<td>47%</td>
</tr>
<tr>
<td>No</td>
<td>8</td>
<td>53%</td>
</tr>
</tbody>
</table>
In addition to the questions above, respondents were asked to answer two open-ended questions on the survey (See Appendix C). The first open ended question focused on actions taken as a direct result of attending the class (Please list any actions your organization has taken as a direct result of attending MGT 381 Business Continuity and Emergency Management class). Sixteen people listed actions as a direct result of attending MGT 381. Common actions among responses were developing new business continuity plans, reviewing and/or updating existing business continuity plans, and conducting training and exercises.

The second open ended question asked if the participants have been responsible for outlining key components of business continuity plan and/or developing a business continuity plan because of what they learned in MGT 381 (Because of what you learned in MGT 381 Business Continuity and Emergency Management, have you been responsible for outlining key components of business continuity planning and/or developing a Business Continuity Plan? If so, please explain.). Five participants indicated that they have indeed been involved in actions associated with the question. The remaining respondents indicated that they have not been involved in developing the business continuity plan with a common reasoning that there was already an existing plan at their employer. Appendix C provides the detailed responses of these final two questions.

5.0 Discussion

The objective of this level three course evaluation was to determine if participants who successfully completed MGT 381 utilized the KSAs acquired from the course for the purposes of business continuity planning and emergency management. While the majority of participants have utilized the KSAs learned during the training in their own businesses, a relatively large portion of participants still had not implemented important TLOs. For example, 48% of participants had not completed a hazard vulnerability assessment, 67% had not completed a business impact analysis, 73% had not completed a preparedness prioritization worksheet and, most alarming, 43% had not identified their key information and vital records. These are all critical steps in business continuity planning and may indicate that participants, even having taken the course, may still not have a comprehensive and secure business continuity plan for emergencies. All the information is available in the course, yet it appears that many participants are not utilizing the KSAs.

In future level three course evaluations for MGT 381, it is recommended that the survey instrument be modified in order to dig deeper into questions, asking for explanations of why a participant did not implement a specific aspect to their business continuity plan.

After completing the study, it was also realized that no questions were asked regarding how the participant included additional employees as they developed and subsequently implemented their business continuity plan. It is important to note that business continuity plans are only worthwhile if personnel are fully trained in regards to the plan and if the plan is integrated into the daily culture of the business. Employees need to be aware of their company’s plan regarding emergencies and disasters in order for a plan to operate effectively.

Future level three course evaluations of MGT 381 may want to add questions to the survey instrument regarding how business owners are incorporating their employees into the business continuity planning process.

Finally, it is important to note the limitations of this study. The sample of 131 individuals was comprised of participants who had completed the course from five separate training locations. While the response rate was an adequate 25%, it must be noted that only 32 participants completed and returned the survey, a relatively low number. It is recommended for future level three course evaluations, that the sample be drawn from a greater number of training locations in order to result in a larger number of survey responses. Having a larger sample size and larger response rate will result in a clearer picture and more information regarding the utilization of KSAs obtained from RDPC courses.

6.0 Conclusion

In summary, the findings from this study suggest that the course development and evaluation processes developed and administered adopted by the RDPC is effective at producing training courses that achieve the goal of increasing the KSAs of participants. Additionally, the findings suggest that improvements can be made in both arenas and should be taken under strong consideration by RDPC. In any event, the RDPC will use the information obtained from this level three course evaluation to refine the MGT 381 course curriculum during its scheduled three-year review and update and integrate the lessons learned from this evaluation into future evaluations.
Appendix A: Modified Version of First Invitation Letter

Dear Mr./Ms.__________:

You have been selected to participate in an evaluation research study regarding your completion of the course “MGT 381 Business Continuity and Emergency Management,” a training sponsored by the Rural Domestic Preparedness Consortium (RDPC). This study is being conducted by the Justice and Safety Center (JSC) at Eastern Kentucky University (EKU) and is funded by the U.S. Department of Homeland Security/Federal Emergency Management Agency Training & Exercises Integration Secretariat. In this study, researchers are assessing the transfer of knowledge from the classroom to the job in order to determine the success of the training, as well as to help guide the development and delivery of future training.

Your participation in this study is completely voluntary. There will not be any consequences for refusal to participate, nor will we identify those who refuse to participate. Your willingness to participate, however, will result in highly beneficial information for RDPC. It is important that your unique perspective is represented, so we ask that you not transfer the survey to another individual to complete without first consulting us. The information that you provide us will be kept confidential and you will not be identified in any way. Your information will only be combined with information from other respondents taking part in the study.

This project was reviewed and approved by EKU’s Institutional Review Board (IRB) for the Protection of Human Research Subjects. If you have questions about your rights as a participant in this study, please contact the EKU IRB Administration at 859-622-3636.

You may access the survey online at the following link: http://surveys.jsc.eku.edu/MGT381Evaluation.html. Once you access the survey, you will be required to enter a three-digit survey code number. Please locate your survey code number in the top-right corner of the first page of the paper version of the survey. The survey will take approximately 20 minutes to complete. Please complete your survey by March 22, 2010.

If you have any questions, please contact Brian Simpkins at (859) 622-6761 or brian.simpkins@eku.edu. Thank you for your willingness to share your experiences with us. We appreciate your participation.

Sincerely,

Dr. Pam Collins
Principal Investigator, RDPC / Executive Director, JSC – EKU
Appendix B: Survey Instrument

Rural Domestic Preparedness Consortium
MGT 381 Business Continuity and Emergency Management
Level 3 Program Evaluation Research Study

Instructions: Please answer the questions based on your experiences since taking MGT 381 Business Continuity and Emergency Management. If you encounter any problems while taking the survey, or have any questions or comments in general, please contact Brian Simpkins at (859) 622-6761 or brian.simpkins@eku.edu. Thank you in advance for your participation.

1. Have you utilized the four key steps (Prevention, Preparedness, Response, and Recovery) of the Business Continuity Planning Process?
   □ No
   □ Yes

2. Have you formed a Business Continuity Plan Development Team?
   □ No (If “no,” please skip to Question #3)
   □ Yes
   a. If “yes,” please list the departments that are represented on your Team.

3. Have you established an Incident Command System to respond to emergencies within your organization?
   □ No
   □ Yes

4. Has your organization identified its critical business functions?
   □ No (If “no,” please skip to Question #5)
   □ Yes
   a. If “yes,” please list them below.

5. Have you utilized the Recovery Time Objective?
   □ No
   □ Yes
6. Have you had an opportunity to identify potential hazards that your organization faces?

☐ No (If “no,” please skip to Question #7)
☐ Yes

a. If “yes,” did you use what you learned in this course to identify potential hazards?

☐ No
☐ Yes

7. Have you completed a Hazard Vulnerability Assessment?

☐ No
☐ Yes

8. Have you developed a Risk Analysis in order to help you determine the seriousness of potential hazards to your organization?

☐ No
☐ Yes

9. Have you had the opportunity to complete a Business Impact Analysis?

☐ No (If “no,” please skip to Question #10)
☐ Yes

a. If “yes,” did you use what you learned in this course when determining the possible impacts of various hazards?

☐ No
☐ Yes

10. Have you utilized internal resources as a part of your organization’s Capability Assessment?

☐ No
☐ Yes

11. Have you utilized external resources as a part of your organization’s Capability Assessment?

☐ No
☐ Yes

12. Have you developed a Preparedness Prioritization Worksheet?

☐ No (If “no,” please skip to Question #13)
☐ Yes

a. If “yes,” did you use what you learned in this course when completing the Preparedness Prioritization Worksheet?

☐ No
☐ Yes
13. Have you attempted to write a Business Continuity Plan?

☐ No (If “no,” please skip to Question #14)  ☐ Yes

a. If “yes,” did you use what you learned in the course when writing your Business Continuity Plan?

☐ No  ☐ Yes

b. If “yes,” did you use any or all of the seven basic plan functions in writing your plan?

- Planning: ☐ No  ☐ Yes
- Operating and Procedures: ☐ No  ☐ Yes
- Direction and Control: ☐ No  ☐ Yes
- Communication and Warning: ☐ No  ☐ Yes
- Logistics and Facilities: ☐ No  ☐ Yes
- Information Systems: ☐ No  ☐ Yes
- Finance and Administration: ☐ No  ☐ Yes
- Curriculum, Training and Evaluation: ☐ No  ☐ Yes

14. Have you identified an Alternate Site from which your organization could continue critical business functions?

☐ No  ☐ Yes

15. Has your organization identified their Key Information and Vital Records?

☐ No (If “no,” please skip to Question #16)  ☐ Yes

a. If “yes,” did you use what you learned in the course, to gather and protect Key Information and Vital Records?

☐ No  ☐ Yes

16. Please list any actions your organization has taken as a direct result of attending MGT 381 Business Continuity and Emergency Management.

_______________________________________________________________________________________________________
_______________________________________________________________________________________________________

17. Because of what you learned in MGT381 Business Continuity and Emergency Management, have you been responsible for outlining key components of Business Continuity Planning and/or developing a Business Continuity Plan? If so, please explain.

_______________________________________________________________________________________________________
_______________________________________________________________________________________________________

You have now completed the survey. Please look back over the survey and make sure you have answered all of the questions. If you have questions or comments about the survey, please contact Brian Simpkins at (859) 622-6761 or brian.simpkins@eku.edu.

THANKS AGAIN FOR YOUR TIME AND PARTICIPATION!
Appendix C: Responses to Open-Ended Questions

2. Have you formed a Business Continuity Plan Development Team?

2a. If "yes," please list the departments that are represented on your Team

- We are currently a staff of five, so we are all involved in this planning process
- Nursing, Safety, Plant Operation, Environmental, Telecom Performance
- Each location has their own team and is usually the safety committee
- Risk management, corporate real estate, executive group, operations, corporate communications
- Public Service, Public Works, Tax Collector, Property Appraiser, Clerk at Court, Sheriff's Office
- Cross section of a 3,700 person company
- Fiscal, IT, Human Resources, Operations
- Safety, Maintenance/Engineering, IT Department, Upper Management
- Administration, Public Works, Public Safety, Human Resources, Economic Development
- Facilities Customer Service, Human Resources, IT, Finance
- HR, Security, Safety, Processing, Purchasing, IT, Accounting
- All business units are represented
- Environmental Health and Safety, Human Resources, Operations, IT, Finance
- Building and Utilities Safety, Security, and Environmental Department
- Management Team Facilities Team, IT Team, External Operations Team, Internal Operations Team, Communications Team

4. Has your organization identified its critical business functions?

4a. If "yes," please list them below

- Patent Cause, Utilities, Human Resource
- Public Works, Information Management, Emergency Services, Personnel Accountability
- How much down time each department can tolerate? How to keep legal and financial obligations flowing. Highest priority is to keep the business/market winning with services available at all times.
- Operations/Network, IT
- E-911 Center, Emergency Operation Center, County Jail, Public Works - Debris Removal
- Confidential
- Manage emergencies
- Information services food payroll communications
- Public Works, Public Safety, Information Technology, Communications
- Security facility management - building, power, phones, personnel etc.
- No, this is private information
- They are in the process of annual review
- Maintain emergency operations center and maintain emergency communications (we are the 9-1-1 center)
- We had a documented pandemic plan that was modified to encompass all business continuity for company needs. Too large to list all critical functions. Each facility went through an exercise and has listed all critical functions as has the corporate office.
- Material management logistics food safety
- Phone Mail - Communication with constituencies Facilities/Computer Systems
- Law enforcement, first responders, educating public, provide crime prevention services
16. Please list any actions your organization has taken as a direct result of attending MGT 381 Business

- We are currently in the process of developing our plan and hope to have it completed by the end of 2010
- Completed continuity of business plan, which is revised at least yearly, exercised plan
- This was a class taken for personal and professional development. It was an excellent class but I have not applied it to any business.
- As a consultant, I have used the concepts and constructs from the course to coach my clients.
- Every location has a plan and is reviewed yearly
- Better knowledge on planning for key information so everyone works together
- Created Emergency contact hierarchy by potential disaster matrix
- Created the team
- None
- Started to look at what we need to do to better prepare, started to look at offsite storage of data, and off site areas to continue business as “usual.” Started to go through each department and prepare them for the “what ifs.”
- More training, table top drills, emergency management emergency support function for continuity of operations
- We had a continuity plan in place but the training was used to double check what we had done and to learn where we could possibly do better or to just stay familiar. To have a plan in place is good but to role play and talk with those who really deal with true hazards, real disaster and or threats of disaster helps keep us on track. A plan on paper is just that so keeping skills up to date helps with true planning and placing procedures in to action should the need arise.
- None at this time, but are considering working on a plan
- Identified backup personnel for essential functions
- A continuity of operations plan was written prior to taking this course so many of the things discussed had already been done. I am with a government agency not a business, but the concepts are the same.
- The company separate from my attendance of the course contracted an outside consultant to assist in the development of a continuity plan. The business continuity plan is in conjunction with a crisis communication plan and site specific emergency response plans. Drills and exercises have been conducted to test each plan. I felt the MGT 381 course was a good high level review.
- Emergency planning and numerous plant evacuations have been held
- I do not know at this time
- Working on developing a business continuity plan
- Have previously sustained emergencies. Have plans in place to address future emergencies
17. Because of what you learned in MGT 381 Business Continuity and Emergency Management, have you been responsible for outlining key components of Business Continuity Planning and/or developing a Business Continuity Plan? If so, please explain.

- Yes, I am the lead on this project based on being the one who attended
- Responsive for development and implementation of continuity of business plan
- No, we already had one in place, but as a team you can always help better the plan with great ideas
- Yes, business continuity planner for agency. Responsible for leading team, providing information to directors.
- Yes, they have asked me to play a key role in preparing and evaluating our business.
- The City of Allentown has had an emergency operations plan for years. We recently added a continuity of operations plan to the plan for municipal employees and city operations.
- No, this is a corporate plan
- Yes, developing the plan
- This was assigned to higher up personnel
- Not directly from the MGT 381 but a member of the business continuity planning team prior to the training at our organization
- The business continuity plan was in place prior to the course. The course was taken as a refresher only