Food Defense Preparedness and Recall Exercise Package (FD-PREP)

After Action Report/Improvement Plan

[Date]

The After Action Report/Improvement Plan (AAR/IP) lines up exercise Objectives with the National Preparedness Goal and related frameworks and guidance. Exercise information required to report preparedness and analyze trends is included. Users are encouraged to add more sections as needed to support their organizational needs.

# Executive Summary

## Major Strengths

The major strengths identified during this exercise are as follows:

[List here what went right during the exercise. Did your Food Defense Plan cover the situation in the scenario? Did your team know exactly whom to call in the situation described? Did you have good access control or cybersecurity measures in place?]

## Primary Areas for Improvement

Throughout the exercise, several opportunities to improve our ability to respond to the incident were identified. The primary areas for improvement, including recommendations, are as follows:

[List here the areas where your food defense planning could be improved. Do you need to get to know your local law enforcement authorities? Are your cyber systems unsecured against outside attacks?]

# Exercise Overview

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| --- | --- |
| **Exercise Name** | Food Defense Preparedness and Recall Exercise Package (FD-PREP) |
| **Exercise Dates** | [Indicate the start and end dates of the exercise] |
| **Scope** | This is a tabletop exercise planned for about 1 hour. It is meant for FSIS-regulated establishments or others who wish to test food defense plans or food defense practices |
| **Mission Area(s)** | Prevention, Protection, Mitigation, Response, Recovery |
| **Core Capabilities** | [ ]  Planning[ ]  Operational communications[ ]  Situational assessment[ ]  Public information and warning[ ]  Operational coordination[ ]  Intelligence and information sharing[ ]  Screening, search, and detection[ ]  Access control and identity verification[ ]  Physical protective measures[ ]  Cybersecurity[ ]  Risk management for protection programs and activities[ ]  Supply-chain integrity and security[ ]  Long-term vulnerability reduction |
| **Objectives** | [ ]  Test your food defense plan[ ]  Test your food defense practices[ ]  Test your recall plan[ ]  Test your response and recovery plans[ ]  Test your cybersecurity practices |
| **Threat or Hazard** | Intentional adulteration of meat, poultry, processed egg products, and fish of the order Siluriformes. |
| **Scenario** | **Choose the scenario. Estimated time to complete each scenario is 60 – 90 minutes.**[ ]  Settling the Score – A recently terminated employee adulterates your establishment’s product.[ ]  Virtual Outrage – Your establishment’s automated control systems are locked down by ransomware. [ ]  Smooth Operator – Your establishment’s reputation is at risk after an activist group spreads a malicious video.[ ]  Road Rage – Your establishment faces losses after theft of product and suspected contamination by an imposter transport contractor. |
| **Sponsor** | [Insert the name of the sponsor organization and 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)] |

**For more information about the exercise, please contact:**

Food Defense Assessment Staff

Office of Data Integration and Food Protection

Food Safety and Inspection Service

U.S. Department of Agriculture

Phone: 202 690 6486
**E-mail:** **fooddefense@fsis.usda.gov**

FSIS welcomes your feedback on this exercise. To provide feedback, please go to the FD-PREP website: <https://www.fsis.usda.gov/wps/portal/fsis/topics/food-defense-defense-and-emergency-response/tools-resources-training/fd-prep> and scroll down to “Provide Feedback on FD-PREP”.

Or write to **fooddefense@fsis.usda.gov**

# Analysis of Core Capabilities

Lining up exercise Objectives and Core Capabilities supports preparedness reporting. It allows you to evaluate trends across the exercises. Please indicate the Core Capabilities tested during this exercise.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Core Capability | Planning | Operational communications | Situational assessment | Public information and warning | Operational coordination | Intelligence and information sharing | Screening, search and detection | Access control and identity verification | Physical protective measures | Cyber security | Risk management for protection programs and activities | Supply-chain integrity and security | Long-term vulnerability reduction |
| Objective |
| Test your food defense plan |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| Test your food defense practices |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| Test your recall plan |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| Test your response and recovery plans |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]
| Test your cybersecurity procedures |[ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ] [ ]

## Core Capability Targets

Table 1 includes the Core Capability targets for the exercise. Core capability targets can be qualitative (e.g., for Cyber Security – employees are fully aware, trained, and practiced on how to deal with suspicious emails) or quantitative (e.g., for Access Control and Identity Verification – contractors and delivery persons are escorted in processing areas at least 80 percent of the time). Please add rows to the table as needed.

| **Objective** | **Core Capability** | **Capability Target** |
| --- | --- | --- |
| [Objective 1] | [Core capability] |  |
|  | [Core capability] |  |
| [Objective 2] | [Core capability] |  |
|  | [Core capability] |  |

Table 1. Summary of Core Capability Targets

## Core Capability Performance

Table 2 contains performance ratings for each Core Capability as observed during the exercise. The ratings were determined by the evaluation team. For each Core Capability, include a rating of how the participants performed. Also include strengths and areas for improvement. Please add rows to the table as needed.

| **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] |  |  |  |  |
|  | [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).
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Table 2. Summary of Core Capability Performance

The following sections provide an overview of the performance related to each exercise objective and linked Core Capability. This highlights strengths and areas for improvement.

## [Objective 1]

The strengths and areas for improvement for each Core Capability linked 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 *what* the problem or gap is. Do not include a recommendation or corrective action. Those will be documented in the Improvement Plan.]

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

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

Area for Improvement 2: : [Observation statement. This should clearly state *what* the problem or gap is. Do not include a recommendation or corrective action. Those will be documented in the Improvement Plan.]

Analysis: [Provide a summary of *why* the full capability level was not achieved.]

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

## [Core Capability 2]

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 *what* state the problem or gap is. Do not include a recommendation or corrective action. Those will be documented in the Improvement Plan.]

Analysis: [Provide a summary of *why* the full capability level was not achieved.]

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

Area for Improvement 2: [Observation statement. This should clearly *what* state the problem or gap is. Do not include a recommendation or corrective action. Those will be documented in the Improvement Plan.]

Analysis: [Provide a summary of *why* the full capability level was not achieved.]

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

# Appendix A: Improvement Plan

This (Improvement Plan) IP has been developed specifically for [Organization] as a result of the Food Defense Preparedness and Recall Exercise Package (FD-PREP) conducted on [date of exercise]. The IP lists specific corrective actions, assigns them to responsible parties, and lists target dates for their completion.

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