



Homeland Security

IMPROVEMENT PLANNING WORKSHOP (IPW) USER HANDBOOK

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PREFACE

The Homeland Security Exercise and Evaluation Program (HSEEP) is a capabilities-based exercise program that provides common exercise policy and program guidance that constitutes a national standard for exercises. The purpose of the program is to build self-sustaining exercise programs and provide a standardized methodology for designing, developing, conducting, and evaluating all exercises. The HSEEP methodology contains exercise program management methodology: the building-block approach to training and exercises.

Exercise program management assists a jurisdiction or agency in sustaining a variety of preparedness activities and includes multi-year planning, budgeting, grant management, and funding allocation. Program management is cyclical: a Multi-Year Training and Exercise Plan (TEP), developed at the Training and Exercise Planning Workshop (TEPW), is developed in accordance with the jurisdiction or agency's preparedness priorities. Exercise activities are then planned and conducted according to the TEP schedule.

An annual Improvement Planning Workshop (IPW), which precedes the TEPW, provides a forum to review action items gleaned from the previous year's After Action Reports (AARs) and real-world events, and drives the innovation of planning priorities. Priorities, in turn, drive the selection of training and exercises at the annual TEPW.



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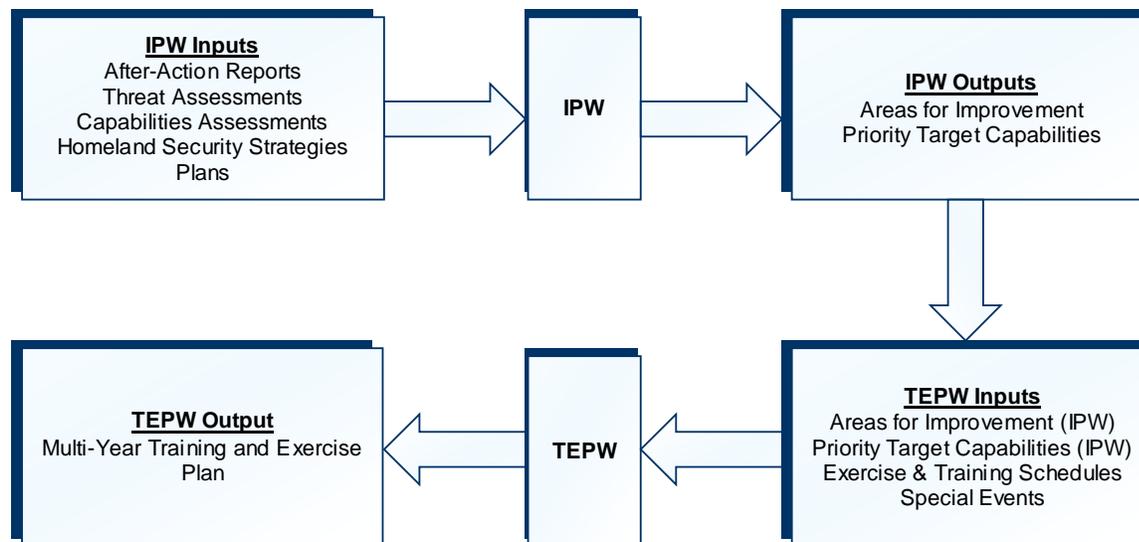
IMPROVEMENT PLANNING WORKSHOP (IPW)

Purpose

The U.S. Department of Homeland Security (DHS) has developed this *Improvement Planning Workshop (IPW) User Handbook*, which provides the necessary information and documentation to assist any jurisdiction or agency in conducting an annual IPW. It has been tailored to include documents appropriate to the needs of the jurisdiction or agency conducting the IPW, including guidelines, sample documents, timelines, and definitions. This handbook was developed to assist all levels of government (Federal, State, and local) in conducting an IPW. As such, each jurisdiction or agency should tailor all materials to its needs and processes.

The IPW provides an opportunity to determine the primary areas for improvement and target capabilities on which the jurisdiction or agency should focus its exercise programs. These areas for improvement and target capabilities constitute the foundation for the ongoing development and evolution of the Multi-Year Training and Exercise Plan, which is revised annually at the Training and Exercise Planning Workshop (TEPW). At the TEPW, stakeholders identify training and exercise opportunities to help the jurisdiction or agency address the areas for improvement as well as the target capabilities. **Figure 1** illustrates how the IPW ties into the TEPW and highlights the inputs and outputs of each workshop.

Figure 1. IPW and TEPW Process



Preparation

Sponsoring and conducting an IPW requires a great deal of preparation and coordination. Read-ahead material should be distributed to all IPW participants at least 4 weeks before the actual workshop to enable participants to understand what is expected of them and assist them in being prepared to contribute.



The read-ahead material will provide participants with an overview of the recent national preparedness initiatives that have helped shape the concept of the Multi-Year Training and Exercise Plan, which is the result of the TEPW. The read-ahead material should be presented to anyone who has not yet had Homeland Security Exercise and Evaluation Program (HSEEP) training and to new members of the planning group before conducting the IPW or TEPW to ensure an understanding of the basis of the process.

IPW participants should be aware of their jurisdiction or agency's capabilities, homeland security strategy, and improvement planning action items from the previous year's exercises and real-world events. They should be prepared to assess jurisdictional/agency capabilities, prioritize outstanding improvement planning corrective actions, and craft jurisdiction or agency-level priorities that will drive the host jurisdiction or agency's training and exercise planning.

Conduct

Overview

It is recommended that the IPW be held at most 1 month before the TEPW. To ensure the same participants are at both the IPW and the TEPW, the IPW can be held the day before the TEPW. This will ensure that the participants are familiar with the areas for improvement.

Sponsors should anticipate that the IPW will require 1 day for conduct. Because the output of the IPW forms the foundation of the TEPW, participants will focus on the following activities:

- **Identify strengths.** Identify strengths from the past year's real-world events and exercises.
- **Identify areas for improvement.** Develop areas for improvement from the past year's real-world events and exercises, the progress the jurisdiction or agency has made against last year's priorities, the homeland security strategy briefs, and the jurisdiction or agency's capability/threat/needs assessment.
- **Identify target capabilities.** Associate target capabilities with the areas for improvement.
- **Prioritize target capabilities.** Prioritize the primary target capabilities.

It is important to provide background information to participants before the activities. The jurisdiction or agency should provide a summary of progress made against the previous year's Multi-Year Training and Exercise Plan. This summary could include response and recovery operations during real-world events and exercises and training conducted during the previous year. Facilitators should invite participants to provide a brief on their jurisdiction or agency's homeland security strategy and areas of focus for the coming years. The jurisdiction or agency should provide an overview of the jurisdiction or agency's risk or capabilities assessment.

Jurisdiction or Agency Point of Contact (POC) Responsibilities

To ensure the IPW is effective, a list of basic roles and responsibilities has been designated to the jurisdiction or agency point of contact (POC). The jurisdiction or agency will provide the structure for all workshop activities (based on the HSEEP framework). It is the responsibility of all IPW participants to review their jurisdiction or agency's capabilities, homeland security



strategy, and improvement planning action items from the previous year's exercises and real-world events.

IPW Preparation

- Prepare all documentation and meeting facilitation materials (e.g., agendas, PowerPoint presentations, minutes) in support of the workshop.
- Invite and register all participants for the workshop (see Appendix B for sample invitation letter).
- Set workshop agenda (see Appendix B for sample agenda).
- Ensure that participants review the jurisdiction or agency homeland security strategy and the prerequisite IPW reading.

IPW Conduct

- Conduct and facilitate the IPW.
- If breakout groups are required, provide a facilitator for group discussions.
- Coordinate recording of major points of discussion.

Post-IPW

- Draft IPW summary, and submit it to the DHS.
- Finalize the jurisdiction or agency priorities, and distribute them to all TEPW participants.
- Schedule and prepare for the TEPW.

IPW Checklist

Please use the following checklist to ensure all the proper activities occur when conducting an IPW.

- Invite all applicable representatives, and provide an RSVP deadline.
- Ensure all IPW invitees are provided with all prerequisite materials.
- Ensure all IPW invitees understand the requirement to bring their previous year's improvement plans (IPs) to the IPW.
- Register all IPW attendees.
- Prepare all documentation and meeting facilitation materials (e.g., agendas, presentations, homeland security strategy, TCL) in support of the conference.
- Conduct and facilitate the IPW. Provide adequate facilitation, so that attendees stay focused on IPW goals. Coordinate recording of major points for discussion.
- Finalize jurisdiction or agency priorities. Draft IPW summary, and submit it to all IPW attendees, TEPW invitees, and the DHS.
- Prepare for the TEPW.



Timeline

Date	Activity
IPW – 6 to 8 weeks	Invite stakeholders.
IPW – 4 weeks	Send read-ahead material to IPW stakeholders.
IPW	Conduct IPW.
IPW + 2 weeks	Provide draft IPW summary to stakeholders.
IPW + 3 weeks	Stakeholders review and approve/disapprove IPW summary.
IPW + 4 weeks	Conduct TEPW.

Participants

IPW participants should be aware of their jurisdiction or agency’s capabilities, homeland security strategy, and improvement planning action items from the previous year’s exercises and real-world events. They should be prepared to assess jurisdictional/agency capabilities, prioritize outstanding improvement planning corrective actions, and craft jurisdiction or agency-level priorities that will drive the host jurisdiction or agency’s training and exercise planning.

It is recommended that the audience be kept to 50 or fewer participants and that participants include response and recovery partners. The following is meant as a possible list of invitees and should not be considered an all-inclusive mandatory list. Depending on the jurisdiction or agency, the invitee could be the preparedness officer, training and exercise officer, emergency management representative, homeland security representative, health officer, administrative agent, law enforcement representative, fire representative, and so forth.

- States, UASI entities, tribes, and local governments
- Emergency Support Function (ESF) leads
- Other Federal agencies (e.g., U.S. Department of Health and Human Services Office of the Assistant Secretary for Preparedness and Response, Transportation Security Administration, Defense Coordinating Elements)

To prepare for the IPW, participants should review the following:

- Current Multi-Year Training and Exercise Plan
- Target Capabilities List (TCL) (September 2007)
(see <https://www.llis.dhs.gov/docdetails/details.do?contentID=26724>)
- Jurisdiction or agency’s IPs from the previous year’s real-world events and exercises, focusing on the corrective actions that are outstanding or need to be validated through training and exercises
- Homeland security strategies and risk/threats/needs assessments, as applicable

Components

- **Jurisdiction or Agency Homeland Security Strategy.** A current overview of preparedness activities, planning, training, equipment, and exercises from all agencies



and programs should be discussed. Priorities gleaned from the jurisdiction or agency homeland security strategy should be identified before the IPW, and IPW invitees should be aware of the priorities before arrival.

- **Capabilities-Based Planning.** An overview regarding the focus on capabilities-based planning should be conducted. Jurisdiction or agency priorities should be clearly defined and discussed as they relate to the national priorities and should be linked to improvement planning efforts. Target capabilities that should be accomplished to attain jurisdiction or agency priorities should be listed.
- **IP Matrices.** Participants will review the previous year’s improvement planning corrective actions that were identified during evaluation of exercises and real-world events. The corrective actions that have not yet been accomplished should be prioritized and linked to the TCL. These priorities will drive the selection of training and exercises at the TEPW.
- **HSEEP.** A brief overview of HSEEP should be conducted, highlighting the program’s guidelines, goals, and objectives.

The following national preparedness initiatives set the context for capabilities-based improvement planning and should be taken into consideration as each jurisdiction or agency prepares for its respective annual IPW.

Homeland Security Exercise and Evaluation Program (HSEEP)

HSEEP was created to provide a consistent methodology for exercise planning, design, development, conduct, evaluation, and improvement planning processes. HSEEP provides the tools and resources such as policy, guidance, training, technology, sample materials, and direct support to promote regional, State, and local exercise expertise, while advancing a standardized means of assessing and improving preparedness across the Nation.

Capabilities-Based Planning

The National Planning Scenarios and the establishment of the national priorities steered the focus of homeland security toward a capabilities-based planning approach. Capabilities-based planning focuses on uncertainty. Because it can never be determined with 100 percent accuracy what threat or hazard will occur, it is important to build capabilities that can be applied to a wide variety of incidents. The Target Capabilities List (TCL) defines capabilities-based planning as “planning, under uncertainty, to build capabilities suitable for a wide range of threats and hazards while working within an economic framework that necessitates prioritization and choice.” As such, capabilities-based planning is all-hazards planning that identifies a baseline assessment of State or urban area homeland security efforts. An assessment of this kind is necessary to begin any long-term exercise strategy. This determines where current capabilities stand against the Universal Task List (UTL) and TCL and identifies gaps in capabilities. The approach focuses efforts on identifying and developing the capabilities from the TCL to perform the critical tasks from the UTL.



Evolution of Capabilities-Based Planning



Homeland Security Presidential Directive 8 (HSPD-8)

On December 17, 2003, the President issued Homeland Security Presidential Directive 8 (HSPD-8): National Preparedness. Among other actions, HSPD-8 required establishment of a National Preparedness Goal, which establishes measurable priorities, targets, and a common approach to developing capabilities needed to better prepare the Nation as a whole. The National Preparedness Goal uses a capabilities-based planning approach to help answer the following questions:

- How prepared are we?
- How prepared do we need to be?
- How do we prioritize efforts to close the gap?

As a result of HSPD-8 and the National Preparedness Goal, a set of National Planning Scenarios was developed to illustrate the effects and conditions of incidents of national significance for which the Nation should prepare.

National Preparedness Goal

The National Preparedness Goal is designed to guide Federal departments and agencies; State, territorial, tribal, and local officials; the private sector; nongovernmental organizations (NGOs); and the public in determining how most effectively and efficiently to strengthen preparedness for terrorist attacks, major disasters, and other emergencies.

The following eight national priorities were established by the DHS National Preparedness Goal:

1. Implement the National Incident Management System (NIMS) and National Response Framework (NRF).
2. Expand regional collaboration.
3. Implement the National Infrastructure Preparedness Plan.
4. Strengthen information sharing and collaboration capabilities.
5. Strengthen chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) weapons detection, response, and decontamination capabilities.
6. Strengthen interoperable communications capabilities.
7. Strengthen medical surge and mass prophylaxis capabilities.
8. Strengthen emergency operations planning and citizen protection capabilities.

National Planning Scenarios

The 15 National Planning Scenarios address all-hazards incidents, which include terrorism, natural disasters, and health emergencies. They represent the minimum number of scenarios necessary to illustrate the range of potential incidents, rather than every possible threat or hazard. The 15 National Planning Scenarios are:



1. Improvised Nuclear Device (IND)
2. Aerosolized Anthrax
3. Pandemic Influenza
4. Plague
5. Blister Agent
6. Toxic Industrial Chemical
7. Nerve Agent
8. Chlorine Tank Explosion
9. Major Earthquake
10. Major Hurricane
11. Radiological Dispersal Device (RDD)
12. Improvised Explosive Device (IED)
13. Food Contamination
14. Foreign Animal Disease (FAD)
15. Cyber

The National Planning Scenarios serve as the basis for identifying tasks that must be performed to prevent, protect against, respond to, and recover from these incidents, as well as the capabilities required to perform the tasks. The 15 scenarios provide for common planning factors in terms of the potential scope, magnitude, and complexity of major events that will help to determine the target levels of capability required and apportion responsibility among all potential partners. Developing appropriate capabilities to address this range of scenarios will best prepare the Nation for terrorist attacks, major disasters, and other emergencies.

Target Capabilities List (TCL)

The TCL includes 37 goals that will balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required for prevention, response, and recovery. This list is designed to help jurisdictions understand what their preparedness roles and responsibilities are during a major incident and includes everything from all-hazards planning to worker health and safety.

Universal Task List (UTL)

The UTL is a list of every unique task that was identified from the list of National Planning Scenarios developed under the leadership of the Homeland Security Council. The UTL is a reference to help plan, organize, equip, train, exercise, and evaluate personnel for the tasks they may need to perform during a major incident.



APPENDIX A: TARGET CAPABILITIES LIST (TCL)

Common Target Capabilities

- **Communications.** Communications is the fundamental capability within disciplines and jurisdictions that practitioners need to perform the most routine and basic elements of their job functions. Agencies must be operable, meaning they must have sufficient wireless communications to meet their everyday internal and emergency communication requirements before they place value on being interoperable (i.e., able to work with other agencies). Communications interoperability is the ability of public safety agencies (police, fire, emergency medical services [EMS]) and service agencies (public works, transportation, hospitals) to talk within and across agencies and jurisdictions via radio and associated communications systems, exchanging voice, data, and/or video with one another on demand, in real time, when needed, and when authorized. It is essential that public safety has the intra-agency operability it needs and that it builds its systems toward interoperability.
- **Community Preparedness and Participation.** This capability provides that everyone in America is fully aware, trained, and practiced on how to prevent, protect/mitigate, prepare for, and respond to all threats and hazards. This requires a role for citizens in personal preparedness, exercises, ongoing volunteer programs, and surge capacity response. Specific capabilities for universal preparedness—including knowledge of all hazards (technological, natural, and terrorist incidents) and related protective measures, skills, and supplies—will be determined through a collaborative process with emergency responders.
- **Planning.** Planning is the mechanism through which Federal, State, local, and tribal governments, nongovernmental organizations, and the private sector develop, validate, and maintain plans, policies, and procedures describing how they will prioritize, coordinate, manage, and support personnel, information, equipment, and resources to prevent, protect and mitigate against, respond to, and recover from incidents of national significance. Preparedness plans are drafted by a litany of organizations, agencies, and departments at all levels of government and within the private sector. Preparedness plans are not limited to plans drafted by emergency management planners. This capability sets forth many of the activities and tasks undertaken by an emergency management planner when drafting (or updating) emergency management (preparedness) plans.
- **Risk Management.** Risk Management is defined by the Government Accountability Office as “A continuous process of managing—through a series of mitigating actions that permeate an entity’s activities—the likelihood of an adverse event and its negative impact.” Risk management is founded in the capacity for all levels of government to identify and measure risk before an event, based on threats/hazards, vulnerabilities, and consequences, and to manage the exposure to that risk through prioritization and implementation of risk-reduction strategies. The capability and actions to perform risk management may well vary between levels of government; however, the foundation of risk management is constant.



- **Intelligence/Information Sharing and Dissemination.** This capability provides necessary tools to enable efficient prevention, protection, response, and recovery activities. Intelligence/information sharing and dissemination is the multijurisdictional, multidisciplinary exchange and dissemination of information and intelligence among the Federal, State, local, and tribal layers of government; the private sector; and citizens. The goal of sharing and dissemination is to facilitate distribution of relevant, actionable, timely, and preferably declassified or unclassified information and/or intelligence that is updated frequently to the consumers who need it. More simply, the goal is to get the right information to the right people at the right time. An effective intelligence/information sharing and dissemination system will provide durable, reliable, and effective information exchanges (both horizontally and vertically) between those responsible for gathering information and the analysts and consumers of threat-related information. It will also allow for feedback and other necessary communications in addition to the regular flow of information and intelligence.

Prevent Mission Area

- **CBRNE Detection.** The preventive chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) detection capability provides the ability to detect CBRNE materials at points of manufacture, transportation, and use. It is important to note that the activities and tasks described in this capability will be carried out individually for each specific agent, rather than for all agents at the same time. Therefore, when considering critical tasks and preparedness measures, each task and measure should be applied separately to each CBRNE agent. For example, in considering whether technical support (or “reachback”) is available, radiological/nuclear reachback is considerably different from chemical, biological, or explosive reachback. Preparedness in one or more of the CBRNE areas does not equate to preparedness across the entire CBRNE detection spectrum.
- **Information Gathering and Recognition of Indicators and Warnings.** This capability entails the gathering, consolidation, and retention of raw data and information from sources including human sources, observation, technical sources, and open (unclassified) materials. Unlike intelligence collection, information gathering is the continual gathering of only pure, unexamined data, not the targeted collection traditionally conducted by the intelligence community or targeted investigations. Recognition of indicators and warnings is the ability to see in this gathered data the potential trends, indications, and/or warnings of criminal and/or terrorist activities (including planning and surveillance) against U.S. citizens, government entities, critical infrastructure, and/or U.S. allies.
- **Intelligence Analysis and Production.** Intelligence analysis and production is the merging of data and information for the purpose of analyzing, linking, and disseminating timely and actionable intelligence with an emphasis on the larger public safety and homeland security threat picture. This process focuses on the consolidation of analytical products among the intelligence analysis units at the Federal, State, local, and tribal levels for tactical, operational, and strategic use. This capability also includes the examination of raw data to identify threat pictures, recognize potentially harmful patterns, or connect suspicious links to discern potential indications or warnings.



- **Counter-Terror Investigations and Law Enforcement.** This is the capability that includes the broad range of activities undertaken by law enforcement and related entities to detect, examine, probe, investigate, and conduct operations related to potential terrorist activities. Current and emerging investigative techniques are used with an emphasis on training, legal frameworks, recognition of indications and warnings, source development, interdiction, and related issues specific to antiterrorism activities.

Protect Mission Area

- **Critical Infrastructure Protection.** This capability enables public and private entities to identify, assess, prioritize, and protect critical infrastructure and key resources so they can detect, prevent, deter, devalue, and mitigate deliberate efforts to destroy, incapacitate, or exploit the Nation's critical infrastructure and key resources.
- **Epidemiological Surveillance and Investigation.** This capability is the capacity to rapidly conduct epidemiological investigations. It includes exposure and disease (both deliberate release and naturally occurring) detection, rapid implementation of active surveillance, maintenance of ongoing surveillance activities, epidemiological investigation, analysis, and communication with the public and providers about case definitions, disease risk and mitigation, and recommendations for the implementation of control measures.
- **Food and Agriculture Safety and Defense.** This is the capability to prevent, protect against, respond to, and recover from chemical, biological, and radiological contaminants and other hazards that affect the safety of food and agricultural products. This includes timely eradication of outbreaks of crop diseases/pests, assessments of the integrity of the food-producing industry, removal and disposal of potentially compromised materials from the U.S. food supply, and decontamination of affected food manufacturing facilities or retail points of purchase or service. This also includes appropriate laboratory surveillance to detect human foodborne illness or food product contamination. It is accomplished concurrent to protecting public health and maintaining domestic and international confidence in the U.S. commercial food supply. Additionally, the public is provided with accurate and timely notification and instructions related to an event and appropriate steps to follow with regard to disposal of affected food or agricultural products and appropriate decontamination procedures.
- **Public Health Laboratory Testing.** This capability is the ongoing surveillance, rapid detection, confirmatory testing, data reporting, investigative support, and laboratory networking to address potential exposure or exposure to all hazards including chemical, radiological, and biological agents in all matrices including clinical specimens and food and environmental samples (e.g., water, air, soil). Such all-hazard threats include those deliberately released with criminal intent as well as those that may be present as a result of unintentional or natural occurrences.

Respond Mission Area

- **Animal Disease Emergency Support.** This is the capability to protect, prevent, detect, respond to, and recover from threats and incidents that would result in the disruption of industries related to U.S. livestock, other domestic animals (including companion



animals), or wildlife and/or endanger the food supply, public health, or domestic and international trade. It includes the ability to respond to large-scale national and regional emergencies as well as to smaller-scale incidents through rapid determination of the nature of the event, initiation of the appropriate response, containment of the disrupting effects, and facilitation of recovery.

- **Citizen Evacuation and Shelter-in-Place.** This is the capability to prepare for, ensure communication of, and immediately execute the safe and effective sheltering-in-place of an at-risk population (and companion animals) and/or the organized and managed evacuation of the at-risk population (and companion animals) to areas of safe refuge in response to a potentially or actually dangerous environment. In addition, this capability involves the safe reentry of the population where feasible.
- **Critical Resource Logistics and Distribution.** This is the capability to identify, inventory, dispatch, mobilize, transport, recover, and demobilize and to accurately track and record available human and material critical resources throughout all incident management phases. Critical resources are those necessary to preserve life, property, safety, and security.
- **Emergency Operations Center (EOC) Management.** This is the capability to provide multiagency coordination for incident management by activating and operating an EOC for a preplanned or no-notice event. EOC management includes EOC activation, notification, staffing, and deactivation; management, direction, control, and coordination of response and recovery activities; coordination of efforts among neighboring governments at each level and among local, regional, State, and Federal EOCs; coordination of public information and warning; and maintenance of the information and communication necessary for coordinating response and recovery activities. Similar entities may include the National (or Regional) Response Coordination Center (NRCC or RRCC), Joint Field Offices (JFOs), National Operating Center (NOC), Joint Operations Center (JOC), Multi-Agency Coordination Center (MACC), Initial Operating Facility (IOF), etc.
- **Emergency Public Information and Warning.** This capability includes public information, alert/warning, and notification. It involves developing, coordinating, and disseminating information to the public, coordinating officials, incident management personnel, and responders across all jurisdictions and disciplines effectively under all hazard conditions.
- **Emergency Public Safety and Security Response.** This is the capability to reduce the impact and consequences of an incident or major event by securing the affected area, including crime/incident scene preservation issues as appropriate; safely diverting the public from hazards; providing security support to other response operations and properties; and sustaining operations from response through recovery. Public safety and security response requires coordination among officials from law enforcement, fire, and EMS.
- **Emergency Triage and Pre-Hospital Treatment.** This is the capability to appropriately dispatch EMS resources; provide feasible, suitable, and medically acceptable pre-hospital



triage and treatment of patients; provide transport as well as medical care en route to an appropriate receiving facility; and track patients to a treatment facility.

- **Environmental Health.** This is the capability to protect the public from environmental hazards and manage the health effects of an environmental health emergency on the public. The capability minimizes human exposures to environmental public health hazards (e.g., contaminated food, air, water, solid waste/debris, hazardous waste, vegetation, sediments, vectors). The capability provides the expertise to run fate and transport models; design, implement, and interpret the results of environmental field surveys and laboratory sample analyses; develop protective guidance where none exists; and use available data and judgment to recommend appropriate actions for protecting the public and environment. Environmental health identifies environmental hazards in the affected area through rapid needs assessments and comprehensive environmental health and risk assessments. It works closely with the health community and environmental agencies to link exposures with predicted disease outcomes, provides input in the development of Crisis and Emergency Risk Communication (CERC) messages, provides guidance on personal protective measures, and advises on environmental health guidelines.
- **Explosive Device Response Operations.** This is the capability to coordinate, direct, and conduct improvised explosive device (IED) response after initial alert and notification; coordinate intelligence fusion and analysis, information collection, and threat recognition; assess the situation and conduct appropriate render-safe procedures (RSP); conduct searches for additional devices; and coordinate overall efforts to mitigate CBRNE threats to the incident site.
- **Fatality Management.** This is the capability to effectively perform scene documentation; the complete collection and recovery of the dead, victims' personal effects, and items of evidence; decontamination of remains and personal effects (if required); transportation, storage, documentation, and recovery of forensic and physical evidence; determination of the nature and extent of injury; identification of the fatalities using scientific means; certification of the cause and manner of death; processing and returning of human remains and personal effects of the victims to the legally authorized person(s) (if possible); and interaction with and provision of legal, customary, compassionate, and culturally competent required services to the families of deceased within the context of the family assistance center. All activities should be sufficiently documented for admissibility in criminal and civil courts. Fatality management activities also need to be incorporated in the surveillance and intelligence sharing networks to identify sentinel cases of bioterrorism and other public health threats. Fatality management operations are conducted through a unified command structure.
- **Fire Incident Response Support.** This capability provides coordination and implementation of fire suppression operations, which include the following tasks: assessing the scene, assigning resources, establishing an Incident Command System (ICS) consistent with the National Incident Management System (NIMS), communicating the status of the situation, requesting additional resources, establishing a safe perimeter, evacuating persons in danger, rescuing trapped victims, conducting fire suppression, determining the cause of the fire(s), and ensuring the area is left in a safe condition. This



capability further includes support necessary to prepare the community and reduce vulnerabilities in a major event.

- **Isolation and Quarantine.** This is the capability to protect the health of the population through the use of isolation and/or quarantine measures to contain the spread of disease. Isolation of ill individuals may occur in homes, hospitals, designated healthcare facilities, or alternate facilities. Quarantine refers to the separation and restriction of movement of persons who, while not yet ill, have been exposed to an infectious agent and may become infectious. Successful implementation will require that sufficient legal, logistical, and informational support exists to maintain these measures. Most experts expect that isolation and quarantine will not stop the outbreak and that, if used, the focus will be on cases that might introduce the disease into the State or other geographic area.
- **Mass Care (Sheltering, Feeding, and Related Services).** This is the capability to provide immediate shelter, feeding centers, basic first aid, bulk distribution of needed items, and related services to persons affected by a large-scale incident. Mass care is usually provided by nongovernmental organizations (NGOs), such as the American Red Cross, or by local government. The capability also provides for companion animal care/handling through local government and appropriate animal-related organizations.
- **Mass Prophylaxis.** This is the capability to protect the health of the population through the administration of critical interventions in response to a public health emergency in order to prevent the development of disease among those who are exposed or are potentially exposed to public health threats. This capability includes the provision of appropriate followup and monitoring of adverse events as well as risk communication messages to address the concerns of the public.
- **Medical Supplies Management and Distribution.** This is the capability to procure and maintain pharmaceuticals and medical materials before an incident and to transport, distribute, and track these materials during an incident.
- **Medical Surge.** This is the capability to rapidly expand the capacity of the existing healthcare system (long-term care facilities, community health agencies, acute care facilities, alternate care facilities, and public health departments) in order to provide triage and subsequent medical care. This includes providing definitive care to individuals at the appropriate clinical level of care, within sufficient time to achieve recovery and minimize medical complications. The capability applies to an event resulting in a number or type of patients that overwhelm the day-to-day acute-care medical capacity. Planners must consider that medical resources are normally at or near capacity at any given time. Medical surge is defined as rapid expansion of the capacity of the existing healthcare system in response to an event that results in increased need of personnel (clinical and nonclinical), support functions (laboratories and radiological), physical space (beds, alternate care facilities), and logistical support (clinical and nonclinical equipment and supplies).
- **Onsite Incident Management.** This is the capability to effectively direct and control incident activities by using the ICS consistent with the NIMS.
- **Responder Safety and Health.** This is the capability that ensures adequate trained and equipped personnel and resources are available at the time of an incident to protect the



safety and health of onscene first responders, hospital/medical facility personnel (first receivers), and skilled support personnel through the creation and maintenance of an effective safety and health program. This program needs to comply with the Occupational Safety and Health Administration's (OSHA's) Hazardous Waste Operations and Emergency Response (HAZWOPER) standard (29 Code of Federal Regulations [CFR] 1910.120, as implemented by the U.S. Environmental Protection Agency [EPA] or State authorities) and any other applicable Federal and State regulations. The program also needs to be integrated into the ICS and include training, exposure monitoring, personal protective equipment, health and safety planning, risk management practices, medical care, decontamination procedures, infection control, vaccinations for preventable diseases, adequate work-schedule relief, psychological support, and followup assessments.

- **Search and Rescue (Land-Based).** This is the capability to coordinate and conduct search and rescue (SAR) response efforts for all hazards, including searching affected areas for victims (human and, to the extent no humans remain endangered, animal) and locating, accessing, medically stabilizing, and extricating victims from the damaged area.
- **Volunteer Management and Donations.** This is the capability to effectively coordinate the use of volunteers and donations in support of domestic incident management.
- **Weapons of Mass Destruction (WMD)/Hazardous Materials (HazMat) Response and Decontamination.** This is the capability to assess and manage the consequences of a HazMat release, either accidental or as part of a terrorist attack. It includes testing and identifying all likely hazardous substances onsite; ensuring that responders have protective clothing and equipment; conducting rescue operations to remove affected victims from the hazardous environment; conducting geographical survey searches of suspected sources or contamination spreads and establishing isolation perimeters; mitigating the effects of HazMat; decontaminating onsite victims, responders, and equipment; coordinating offsite decontamination with relevant agencies; and notifying environmental, health, and law enforcement agencies that have jurisdiction for the incident to begin implementation of their standard evidence collection and investigation procedures.

Recover Mission Area

- **Economic and Community Recovery.** This is the capability to implement short- and long-term recovery and mitigation processes after an incident. This will include identifying the extent of damage caused by an incident, conducting thorough postevent assessments, and determining and providing the support needed for recovery and restoration activities to minimize future loss from a similar event.
- **Restoration of Lifelines.** This is the capability to initiate and sustain restoration activities. This includes facilitating the repair/replacement of infrastructure for oil, gas, electric, telecommunications, drinking water, wastewater, and transportation services.
- **Structural Damage Assessment.** This is the capability to conduct damage and safety assessments of civil, commercial, and residential infrastructure and to perform structural inspections and mitigation activities. The capability includes being able to provide



contractor management, construction management, cost estimating, technical assistance, and other engineering services to support and manage response and recovery operations.



APPENDIX B: SAMPLE FORMS

Sample Invitation Letter

To: Homeland Security Exercise and Evaluation Program (HSEEP) Stakeholders

From: [Jurisdiction or Agency Representative]

Date: [Date]

Subject: Improvement Planning Workshop (IPW)

The [jurisdiction or agency] invites you to attend the [jurisdiction or agency's] Improvement Planning Workshop (IPW) on [date] at [location]. The workshop will begin at [time] and conclude at [time]; attendee registration will begin at [time].

The IPW provides a forum to determine the areas for improvement and target capabilities on which the [jurisdiction or agency] should consider focusing its exercise program. These areas for improvement and target capabilities constitute the foundation for ongoing development and evolution of the Multi-Year Training and Exercise Plan, which is revised annually at the Training and Exercise Planning Workshop (TEPW). The attached agenda and read-ahead material will provide you an overview of the IPW.

To prepare for the IPW, please review the following

- Current Multi-Year Training and Exercise Plan
- Target Capabilities List (TCL) (September 2007)
(see <https://www.llis.dhs.gov/docdetails/details.do?contentID=26724>)
- [Jurisdiction or agency] improvement plans from the previous year's real-world events and exercises, focusing on corrective actions that are outstanding or need to be validated through training and exercises
- Homeland security strategies and risk/threats/needs assessments, if applicable

We realize the importance in making preparedness planning decisions and therefore ask that requests for attendees other than yourself or an alternate representative be made through the [jurisdiction or agency].

We look forward to your participation in this workshop.

Attachments:

Registration Form

Agenda



Sample IPW Agenda

8:30 a.m.	Registration
9:00 a.m.	Welcome and Introductions
9:15 a.m.	Improvement Planning Workshop (IPW) Overview
9:30 a.m.	Previous Year's Multi-Year Training and Exercise Plan Progress
10:00 a.m.	Homeland Security Strategy Briefs
11:00 a.m.	Break
11:15 a.m.	Capability/Threat Assessment
11:45 a.m.	Activity 1: Identify Best Practices
12:15 p.m.	Lunch
1:15 p.m.	Activity 2: Identify Areas for Improvement
2:45 p.m.	Break
3:00 p.m.	Activity 3: Identify Target Capabilities
4:00 p.m.	Activity 4: Prioritize Target Capabilities
4:45 p.m.	Hot Wash
5:00 p.m.	Adjourn



Sample Participant List

State and Local Representatives

- Airport operations representative
- Board of animal health
- Citizen corps
- Emergency management
- Local or regional training and exercise coordinator(s)
- Medical/hospitals
- National Guard
- Ports authority
- Private sector (e.g., utilities, plants, and industry)
- Public health
- Public safety (e.g., law enforcement, fire, emergency medical services [EMS], medical examiner's office)
- Public works
- School district representative
- State Administrative Agency (SAA)
- State homeland security
- State-appointed exercise point of contact (POC)
- State-appointed training POC
- Transit authority
- Tribal liaison
- Urban Area Security Initiative (UASI) representative

Federal Partners

- Centers for Disease Control and Prevention (CDC)
- Environmental Protection Agency (EPA)
- Federal Aviation Administration (FAA) regional representative
- Federal Bureau of Investigation (FBI)
- Federal Emergency Management Agency (FEMA) regional representative
- Protective Security Advisor – Infrastructure Protection
- Transportation Security Administration (TSA) Transportation Readiness Division
- U.S. Coast Guard (USCG)
- U.S. Department of Agriculture
- U.S. Department of Defense
- U.S. Department of Energy
- U.S. Department of Health and Human Services (HHS) regional emergency coordinator
- U.S. Department of Transportation