Industry Vulnerability Assessment for Food Security

> 1-Always
> 2-Most of the Time
> 3-Some of the Time
> 4-Never/Not in Place
> N/A-Not Applicable

1. General Facility Characteristics:

	1	2	3	4	N/A
There is perimeter fencing around the facility	☐	☐	☐	☐	☐
There is security around employee parking lot(s) and facility	☐	☐	☐	☐	☐
There is limited access into or out of parking lot(s) and facility	☐	☐	☐	☐	☐
It is easy to identify unauthorized vehicles on site	☐	☐	☐	☐	☐
There is access control for all areas within the facility	☐	☐	☐	☐	☐
There are after-hours security measures	☐	☐	☐	☐	☐
Doors, windows, alternative entrances, etc. are locked and secure	☐	☐	☐	☐	☐
There is adequate interior, exterior and emergency lighting	☐	☐	☐	☐	☐
There are ID controls in place for all visitors to the facility	☐	☐	☐	☐	☐
There are surveillance cameras in the facility	☐	☐	☐	☐	☐
There are posted guards at the facility	☐	☐	☐	☐	☐
Procedures exist for accepting deliveries	☐	☐	☐	☐	☐
Deliveries are inspected prior to admittance	☐	☐	☐	☐	☐
All issued keys are accounted for	☐	☐	☐	☐	☐
Hazardous materials are locked and secure	☐	☐	☐	☐	☐
Inventory of hazardous materials is ongoing	☐	☐	☐	☐	☐
Our company has a trained security coordinator	☐	☐	☐	☐	☐
Our suppliers/vendors conduct security audits of our facility	☐	☐	☐	☐	☐
Our facility inspects incoming mail and packages	☐	☐	☐	☐	☐
Our facility's food production information systems have security software	☐	☐	☐	☐	☐

(ex. Anti-virus, firewall, passwords, etc.)

2. Human Resources and Safety Awareness:

We:

	1	2	3	4	N/A
Conduct reference, criminal and credit checks of all new hires	☐	☐	☐	☐	☐
Have a standard termination procedure	☐	☐	☐	☐	☐
Have a standard approach to handle disgruntled employees	☐	☐	☐	☐	☐
Have or can refer to an Employee Assistance Program	☐	☐	☐	☐	☐
Train our employees in food security and general safety awareness	☐	☐	☐	☐	☐
Train our employees to recognize suspicious/threatening behavior	☐	☐	☐	☐	☐
Have a positive identification system (badges) for our employees	☐	☐	☐	☐	☐
Provide employees the locks for their lockers	☐	☐	☐	☐	☐
Have a policy that enables management to examine employee lockers	☐	☐	☐	☐	☐

	1	2	3	4	N/A
Have a procedure to deal with workplace and domestic violence cases	☐	☐	☐	☐	☐
Train our supervisors in assessing threats	☐	☐	☐	☐	☐
Have a policy regarding weapons in the workplace	☐	☐	☐	☐	☐
Have a drug testing/zero tolerance policy in the workplace	☐	☐	☐	☐	☐
Have a daily roster of all employees on shift each day	☐	☐	☐	☐	☐
Place new employees on shifts with senior employees	☐	☐	☐	☐	☐
Have a policy of under what circumstances to notify law enforcement	☐	☐	☐	☐	☐
Have a ready set of contact numbers for local law enforcement	☐	☐	☐	☐	☐

3. Food Processing Procedures:

	1	2	3	4	N/A
Unauthorized personnel are kept out of food preparation areas and employee locker rooms	☐	☐	☐	☐	☐
Personal items are kept out of the food preparation areas	☐	☐	☐	☐	☐
There is restricted access to the food preparation area	☐	☐	☐	☐	☐
Lines that handle and transfer product are closely monitored	☐	☐	☐	☐	☐
Raw materials and supplies are secure and from known sources	☐	☐	☐	☐	☐
Raw materials are inspected prior to use	☐	☐	☐	☐	☐
Inventory of raw materials and finished products is ongoing	☐	☐	☐	☐	☐
Employees do not mix or batch product without supervision	☐	☐	☐	☐	☐
Gaps in production, processing and distribution history are reported	☐	☐	☐	☐	☐
Finished product is tested for quality and integrity	☐	☐	☐	☐	☐
Tamper evident packaging is used for finished product	☐	☐	☐	☐	☐

4. Planning for a Food Recall:

There is an emergency response plan in place for:

	1	2	3	4	N/A
Contamination/Recall of product(s)	☐	☐	☐	☐	☐

Written plan includes:
1. Detailing the scope of the recall, based on scientific principles
2. Maintaining the chain of custody for recalled products
3. Procedures for:
    a. Pick-up
    b. Storage
    c. Destruction of recalled products
4. Drafts of recall:
    a. Memos to customers
    b. Press releases
    c. Verification/contact log

	1	2	3	4	N/A
Extortion to facility	☐	☐	☐	☐	☐
Threats to facility and/or employees	☐	☐	☐	☐	☐

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We: 1 2 3 4 N/A
Conduct unannounced mock recalls at least once a year....................... ☐ ☐ ☐ ☐ ☐
Evaluate the results and put improved procedures in place when needed............ ☐ ☐ ☐ ☐ ☐

IN THE EVENT OF A FOOD RECALL, THIS FACILITY IS ABLE TO PRODUCE THE FOLLOWING:

Complete customer list for recalled product by state.............................. ☐ ☐ ☐ ☐ ☐
Contact list of all food suppliers.. ☐ ☐ ☐ ☐ ☐
Process flow chart for each product showing time, temperature, pH, etc............ ☐ ☐ ☐ ☐ ☐
Ability to know who was working on the food line.................................. ☐ ☐ ☐ ☐ ☐
Uniform process for obtaining samples... ☐ ☐ ☐ ☐ ☐
Immediate access to specialized testing labs...................................... ☐ ☐ ☐ ☐ ☐
A 1-800 number for consumers to ask questions and gain information................ ☐ ☐ ☐ ☐ ☐
Standard scripts for customer service representatives............................. ☐ ☐ ☐ ☐ ☐
Log or summary of consumer complaints for the time period of interest............. ☐ ☐ ☐ ☐ ☐
SOPs, HACCP Plan, monitoring logs, production logs and test results............... ☐ ☐ ☐ ☐ ☐
Copies of relevant microbiological or toxicological tests......................... ☐ ☐ ☐ ☐ ☐
Distribution list for each day of the time period of interest..................... ☐ ☐ ☐ ☐ ☐
(A Hard copy with electronic files that can be sorted, grouped or totaled are ideal)
Complete set of all labels and ingredients for all products or recipes............ ☐ ☐ ☐ ☐ ☐
Written explanation of all codes and dates.. ☐ ☐ ☐ ☐ ☐
Shelf life of each product.. ☐ ☐ ☐ ☐ ☐
Contact information for all regulatory personnel who have jurisdiction
over the facility... ☐ ☐ ☐ ☐ ☐

Distribution Data Example:

Product	Date of Manufacture	Time/Line/Crew	Ship Date	Quantity	Consignee Name	City	State
Applesauce	9/10/02	9:00P/3/Blue	9/15/02	2,000 cases	Eddie's Markets	Phoenix	AZ

Recall Contact Log Example:

Customer	Date/Time Contacted	Method/ Person Contacted	Quantity in Possession Description	Disposition	Comment
Eddie's Markets	10/1/02 9:30 a.m.	Telephone George Kohl WH Manager	None in WH already sent to 6 retail stores in Phoenix area	Pending	George is calling each store to advise them and determine inventory.

Bulk Items/Inventory   1 2 3 4 N/A
Employees are familiar with how all products should look prior to use................ ☐ ☐ ☐ ☐ ☐
There is separation of lot numbers for bulk items... ☐ ☐ ☐ ☐ ☐
There is an inventory system in place for bulk items... ☐ ☐ ☐ ☐ ☐
Unexplained increase or decrease in inventory is reported and investigated........ ☐ ☐ ☐ ☐ ☐

5. Other Procedures and Plans:

There are written procedures/plans for:

Investigating a food security situation inside the facility...................................... ☐ ☐ ☐ ☐ ☐
Identifying how restricted zones are arranged and controlled.............................. ☐ ☐ ☐ ☐ ☐
Identifying all entrances, exits and connections.. ☐ ☐ ☐ ☐ ☐
(vents, air circulation lines, pipes, electrical lines, drains)
Identifying areas and prevention of security for control panels, air circulation
lines, electrical boxes, gas or pressure valves, etc... ☐ ☐ ☐ ☐ ☐
Certain equipment that could be tampered with or contaminated......................... ☐ ☐ ☐ ☐ ☐
All areas where products and ingredients are stored and handled........................ ☐ ☐ ☐ ☐ ☐

Those items receiving a "4" or a "3" rating represent those areas that your facility may wish to address to decrease its level of vulnerability. Using the **TEAM** (Threat, Evaluation, Assessment and Management) approach, these and other risks are identified throughout the facility. Once these risks are listed, the probability and severity of each risk is determined. Control measures for each risk are selected and implemented. On-going review and oversight keep the plan active and effective.

NOTES: