

T. Food Defense: Assessment of Possible Risks and List of Security Measures

NOTE:

NOTE: The Appendices were originally developed for Canadian operations, and provide examples only, based on Canadian and international resources. If your operation is outside of Canada, the following information may be relevant to you. It is recommended that you check whether country-specific requirements or guidance are available instead.

Assess whether the following potential food defense/security risk factors exist in your operation. Choose from the list of possible corrective actions to reduce the risk. You may already have measures and/or tools in place, and not all measures will be appropriate for every operation.

Place a check mark in the appropriate column; describe the risk (if yes) and actions (if any) taken to reduce the potential risk.

Could there be a risk in the following category (check the Y/N)?	Y	N	If YES, give details of what the risk may be	Action(s) taken to reduce potential risk NOTE: The following are options ; there may be other appropriate actions.
Assessment of Outside Security Risks				
Physical Security (e.g., door locks, lighting, etc.)				<input type="checkbox"/> Ensure proper lighting to monitor the establishment outdoors at night and early morning. <input type="checkbox"/> Protect perimeter access <input type="checkbox"/> Install self-locking doors and/or alarms on emergency exits. <input type="checkbox"/> Ensure doors, windows, roof openings/hatches, storage tanks etc., are secured <input type="checkbox"/> Regularly conduct and document security inspections of storage facilities, including temporary storage vehicles. <input type="checkbox"/> Restrict outdoor access to water wells/sources. <input type="checkbox"/> Other: _____ <input type="checkbox"/> Other: _____
Entry of inputs/product (e.g., monitoring loading/unloading etc.)				<input type="checkbox"/> Closely monitor loading and unloading of vehicles <input type="checkbox"/> Control access to loading docks to avoid unverified or unauthorized deliveries. <input type="checkbox"/> Keep parking areas separate from entrances to storage and packing/storing areas <input type="checkbox"/> Require advance notification from suppliers for all deliveries. Check all deliveries. <input type="checkbox"/> Hold unscheduled deliveries outside establishment premises pending verification. <input type="checkbox"/> Require drivers or delivery personnel to provide identification, preferably with a photo ID. <input type="checkbox"/> Other: _____

Assessment of Inside Security Risks

<p>General Security (e.g., signs, observations, areas, etc.)</p>			<ul style="list-style-type: none"> <input type="checkbox"/> Suspicious packages are reported to appropriate personnel <input type="checkbox"/> Clearly identify controlled access areas of the establishment <input type="checkbox"/> Previously unattended materials are checked before use <input type="checkbox"/> Increase visibility within the establishment (e.g., improve lighting, openness, increase supervision, add cameras). <input type="checkbox"/> Restrict access to controls for the following systems (HVAC, propane, natural gas, water, disinfection systems etc.) <input type="checkbox"/> Restrict access to market ready product <input type="checkbox"/> Other: _____
<p>Storage Security (e.g., controlled access)</p>			<ul style="list-style-type: none"> <input type="checkbox"/> Access to storage areas is controlled <input type="checkbox"/> Keep track of incoming materials and materials in use <input type="checkbox"/> Labels and packaging materials are controlled to prevent theft and misuse <input type="checkbox"/> Periodic examinations for tampering of materials in storage(s) are performed <input type="checkbox"/> Other: _____
<p>Water/Ice Security</p>			<ul style="list-style-type: none"> <input type="checkbox"/> Restrict access to storage tanks for potable water and to water reuse systems. <input type="checkbox"/> Access to ice-making equipment is controlled <input type="checkbox"/> Supplier food safety/security information is requested <input type="checkbox"/> Restrict access to product and packaging storage areas to designated employees only <input type="checkbox"/> Inspect water lines for possible tampering <input type="checkbox"/> Make arrangements with local health officials to ensure immediate notification to the establishment if the potability of the municipal water supply is compromised. <input type="checkbox"/> Other: _____
<p>Agricultural Chemical/ Cleaning and Maintenance Materials Control Security</p>			<ul style="list-style-type: none"> <input type="checkbox"/> Agricultural Chemicals are in a controlled access area or secured by a lock <input type="checkbox"/> Cleaning and Maintenance materials are stored properly <input type="checkbox"/> Maintain an up-to-date inventory of materials and investigate discrepancies. <input type="checkbox"/> Potentially hazardous waste (biological or chemical) is controlled and disposed of properly <input type="checkbox"/> Other: _____

Information Security				<input type="checkbox"/> Keep details of food defense/security procedures confidential as necessary. <input type="checkbox"/> Have up-to-date operation sketches/layout/blueprints for local law enforcement, including the fire department if needed. <input type="checkbox"/> Access to sensitive information such as site plans is controlled <input type="checkbox"/> Access to computer systems is protected through firewalls and/or passwords. <input type="checkbox"/> Validate the computer security system. <input type="checkbox"/> Other: _____ _____
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Assessment of Personnel Security Risks

Personnel Security (e.g., check references, use visitor log, check IDs, etc.)				<input type="checkbox"/> A method to recognize or identify employees and/or visitors is in place <input type="checkbox"/> Background or reference checks are conducted for new hires <input type="checkbox"/> Employees and/or visitors have restrictions on what they can bring in or take from the operation <input type="checkbox"/> Employees are not permitted to lock their lockers (if applicable) <input type="checkbox"/> Maintain employee records <input type="checkbox"/> Maintain visitor logs <input type="checkbox"/> Awareness training on security measures is provided <input type="checkbox"/> Employees are trained to report suspicious activities or unusual observations <input type="checkbox"/> Provide an appropriate level of supervision to employees <input type="checkbox"/> Other: _____ _____
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Assessment of Threat/Incident Response

Threat/Incident Response (e.g., reference your security plan, etc.)				<input type="checkbox"/> Establish procedures for responding to threats/incidents <input type="checkbox"/> Establish evacuation procedures and include in food defense/security plan. <input type="checkbox"/> Have procedures to ensure that adulterated or potentially harmful inputs/products are held. <input type="checkbox"/> Customer/consumer comments are investigated <input type="checkbox"/> Reporting unusual activities is encouraged <input type="checkbox"/> Product recall program is in place <input type="checkbox"/> Employees have the ability to stop activities to minimize a potential food defense incident/threat <input type="checkbox"/> Personnel and emergency contact information is kept up to date (including police/fire/ambulance) <input type="checkbox"/> Other: _____ _____
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Resources Available:

U.S. Food and Drug Administration. Food Defense Plan Builder
<http://www.fda.gov/Food/FoodDefense/ToolsEducationalMaterials/ucm349888.htm>

References:

United States Department of Agriculture. Food Defense Plan: Security Measures for Food Defense.
<http://www.fsis.usda.gov/wps/wcm/connect/673736b4-dd67-464f-a565-57f42fd984bd/Form-5420-5-General-Food-Defense-Plan.pdf?MOD=AJPERES>. Sept 2009.

U.S. Food and Drug Administration. Guidance for Industry: Food Producers, Processors, and Transporters: Food Security Preventive Measures Guidance. <https://www.fda.gov/regulatory-information/search-fda-guidance-documents/guidance-industry-food-security-preventive-measures-guidance-food-producers-processors-and>. Oct 2007.