

**U.S. Department of Agriculture
Food Safety and Inspection Service**

**Industry Self-Assessment Checklist
for
Food Security**

Revised April 2005



Industry Self-Assessment Checklist for Food Security

It is vital that all food slaughter and processing establishments, and all import, export, and identification warehouses take steps to ensure the security of their operations. USDA's Food Safety and Inspection Service (FSIS) created this self-assessment instrument to provide a tool for establishments to assess the extent to which they have secured their operations. The contents of the instrument are based primarily on the food security guidelines that FSIS published in 2002, *Food Security Guidelines for Food Processors*, available at www.fsis.usda.gov. Those guidelines identify security measures that establishments can adopt to enhance the security of their operations.

The checklist consists of the following (9) sections:

- I. Food Security Plan Management
- II. Outside Security
- III. Inside Security
- IV. Slaughter and Processing Security
- V. Storage Security
- VI. Shipping and Receiving Security
- VII. Water and Ice Supply Security
- VIII. Mail Handling Security
- IX. Personnel Security

To use the checklist, read each question under each section and check the response that best describes the food security practice in the establishment. If a question is not applicable, check "N/A". For example, if an establishment only conducts processing activities, then questions that ask about live animals or slaughter operations would not apply. Similarly, if an establishment only conducts import/export inspection activities, then questions related to processing or slaughter would not apply. A "Yes" response for every question is desirable but not expected due to the layering of certain security measures. A "No" answer on a question does not necessarily constitute a breach in security. The establishment might have other management strategies or activities conducted at different frequencies that accomplish food security goals.

A “No” should, however, trigger a critical thought process in establishment operators on whether management decisions should be made regarding additional security measures they may need to put in place at the particular operational sector/area of the establishment covered by the “No” response. In addition, Appendix 1 lists resources and websites that discuss additional security measures for establishments. Resources/websites specific to a section or question are shown at the corresponding section/question throughout the checklist for quick and easy reference. “NA” responses should be reviewed periodically to validate them against current operations.

The final outcome of this self-assessment should provide establishments with a relative measure of overall security of their operations and guide them in the development and/or revision of their food security strategies.

This checklist is one of several outreach efforts by FSIS to assist the industry to enhance the security of its regulated food products. Model food security plans have also been developed for voluntary use by the industry. The Agency is also considering additional measures that may be appropriate to ensure the safety and security of meat, poultry and egg products under certain elevated threat conditions specific to food and agriculture.

I. FOOD SECURITY PLAN MANAGEMENT

A **food security plan** is a written document developed using established risk management procedures and consists of specific standard operating procedures for preventing intentional product tampering and responding to threats or actual incidents of intentional product tampering.

1. Does this establishment have a written food security plan?
 - Yes
 - No [GO TO QUESTION 4]

2. Which of the following procedures, plans, or information are either included in the food security plan or have been put in place as a result of the food security plan? *(Check “Yes” or “No” for each item.)*

	Yes	No
Is there a designated person or team to implement and oversee the food security plan?	<input type="checkbox"/>	<input type="checkbox"/>
Are members of the food security management team trained in all provisions of the food security plan?	<input type="checkbox"/>	<input type="checkbox"/>
Are periodic drills conducted on operational elements of the food security plan?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
Are regular food security inspections conducted to verify key provisions of the food security plan?	<input type="checkbox"/>	<input type="checkbox"/>
Is the security plan reviewed (and revised if necessary) periodically?	<input type="checkbox"/>	<input type="checkbox"/>
Are the details of food security procedures kept confidential?	<input type="checkbox"/>	<input type="checkbox"/>
Is the emergency contact information for local, state, and federal government homeland security authorities and public health officials included in the security plan? State contact list: www.whitehouse.gov/homeland/contactmap.html	<input type="checkbox"/>	<input type="checkbox"/>
Is the above contact information periodically reviewed and updated?	<input type="checkbox"/>	<input type="checkbox"/>
Is there an established liaison between plant officials and the local homeland security officials and other law enforcement officials?	<input type="checkbox"/>	<input type="checkbox"/>
Is there an established relationship between the establishment and the appropriate analytical laboratories for possible assistance in investigation of product tampering cases?	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures for responding to threats of product tampering included in the plan?	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures for responding to actual incidents of product tampering detailed in the plan? http://www.state.tn.us/agriculture/security/fsig.html	<input type="checkbox"/>	<input type="checkbox"/>
Are communication procedures for notifying law enforcement, public health officials, and FSIS inspectors in-charge when a food security threat is received or when evidence of actual product tampering is observed included in the plan?	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in the plan for corrective action in cases of product tampering to ensure that adulterated or potentially injurious products do not enter commerce?	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in the plan for safe handling and disposal of contaminated products?	<input type="checkbox"/>	<input type="checkbox"/>
Are employees encouraged to report signs of possible product tampering or breaks in food security system (e.g., award system)?	<input type="checkbox"/>	<input type="checkbox"/>
Are evacuation procedures in the security plan? Visit www.osha.gov/dep/evacmatrix/index.html for guidance material provided by the U.S. Department of Labor, Occupational Safety and Health Administration	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in place to restrict access to the facility during an emergency to authorized personnel only?	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
Are designated entry points for emergency personnel clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>
Does the establishment have a documented recall plan?	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in the recall plan reviewed and updated as necessary?	<input type="checkbox"/>	<input type="checkbox"/>
Do recall procedures ensure segregation and disposition of recalled products?	<input type="checkbox"/>	<input type="checkbox"/>

II. OUTSIDE SECURITY

3. Which of the following security procedures does this establishment have in place for the exterior of this establishment? (Check "Yes" or "No" for each procedure.)

	Yes	No
Are the plant's boundaries and grounds secured to prevent entry by unauthorized persons (e.g., by locked fence or gate)?	<input type="checkbox"/>	<input type="checkbox"/>
Are "No Trespassing" signs posted at plant's boundaries?	<input type="checkbox"/>	<input type="checkbox"/>
Is there sufficient outside lighting to allow detection of unusual activities on any part of the establishment outside premises during non-daylight hours?	<input type="checkbox"/>	<input type="checkbox"/>
Do emergency exits have self-locking doors and/or alarms?	<input type="checkbox"/>	<input type="checkbox"/>
Is positive identification required to control entry of visitors to the plant (e.g., picture IDs or sign-in/sign-out at entrance)?	<input type="checkbox"/>	<input type="checkbox"/>
Is an updated list of establishment personnel with open or restricted access to the establishment maintained at the security office or another secure location?	<input type="checkbox"/>	<input type="checkbox"/>

4. Are the following secured with locks, seals, or sensors at all times to prevent entry by unauthorized persons? (Check "Yes" or "No" for each item, or "N/A" if the item is not applicable.)

	Yes	No	N/A
Outside doors and gates?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Windows?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Roof openings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vent openings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trailer (truck) bodies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tanker truck hatches?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Railcars?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bulk storage tanks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Which of the following security procedures does this establishment have in place for vehicles entering the establishment? (Check "Yes" or "No" for each procedure.)

	Yes	No
Are <u>incoming</u> private vehicles (e.g., employees or visitors) inspected for unusual cargo or activity?	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>outgoing</u> private vehicles (e.g., employees or visitors) inspected for unusual cargo or activity?	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>incoming</u> commercial vehicles (e.g., delivery trucks) inspected for unusual cargo or activity?	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>outgoing</u> commercial vehicles (e.g., delivery trucks) inspected for unusual cargo or activity?	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>incoming</u> tanker truck shipments checked for documentation of chain of custody prior to loading?	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>employee</u> vehicles identified using placards, decals, or some other form of visual identification?	<input type="checkbox"/>	<input type="checkbox"/>
Are authorized <u>visitor/guest</u> vehicles identified using placards, decals, or some other form of visual identification?	<input type="checkbox"/>	<input type="checkbox"/>

III. GENERAL INSIDE SECURITY

6. Which of the following security procedures does this establishment have in place within the interior of this establishment? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable.)

	Yes	No	N/A
Is emergency lighting provided in the establishment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is active surveillance of the inside facility and operations maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are emergency alert systems tested periodically?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the locations of controls for emergency alert systems clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all restricted areas (i.e., areas where only authorized employees have access) within the plant clearly marked?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are visitors, guests, and other non-establishment employees (e.g., contractors, salespeople, truck drivers) restricted to non-product areas unless accompanied by an authorized establishment employee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are updated plant layout schematics provided at strategic and secured locations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A
Are procedures in place to check toilets, maintenance closets, personal lockers, and storage areas for suspicious packages?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an inventory of tools and utensils (e.g., knives) conducted regularly as needed to ensure security?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an inventory of keys to secured areas of the facility conducted regularly to ensure security?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are ventilation systems constructed in a manner that provides for isolation of contaminated areas or rooms?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Are the central controls for the following restricted (e.g., by locked door/gate or limiting access to designated employees) to prevent access by unauthorized persons?

Check "Yes" or "No" for each item, or "N/A" if the item is not applicable.
www.cdc.gov/niosh/bldvent/2002-139.html

	Yes	No	N/A
Heating, Ventilation, and Air Conditioning systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Propane Gas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Water systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Electricity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disinfection systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clean-in-place (CIP) systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Does this establishment collect and analyze samples in-house?

- Yes
 No [GO TO QUESTION 10]

9. Which of the following security procedures does this establishment have in place for its in-plant laboratory facilities, equipment, and operations? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., this establishment does not use live cultures of pathogenic bacteria].)

	Yes	No	N/A
Is access to the in-plant laboratory facilities restricted to authorized employees? (e.g., by locked door, pass card, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to control receipt of samples received from other establishments?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A
Is a procedure in place to receive and securely store reagents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to control and dispose of reagents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to receive and securely store live cultures of pathogenic bacteria?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to dispose of live cultures of pathogenic bacteria?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Does this establishment use a computer system to monitor processing operations?

- Yes
 No [GO TO QUESTION 12]

11. Which of the following security procedures does this establishment have in place for its computer systems? (*Check "Yes" or "No" for each procedure.*)
<http://www.fiu.edu/security.guidelines.html>

	Yes	No
Is the access to the system password-protected? http://www.umich.edu/~policies/pw-security.html	<input type="checkbox"/>	<input type="checkbox"/>
Are firewalls built into the computer network?	<input type="checkbox"/>	<input type="checkbox"/>
Is the system using a current virus detection system?	<input type="checkbox"/>	<input type="checkbox"/>

IV. SLAUGHTER AND PROCESSING SECURITY

12. Which of the following security procedures does this establishment have in place for its slaughter and processing operations? (*Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., this establishment does not mix or batch ingredients].*)

	Yes	No	N/A*
Is access to product production/slaughter and holding pen areas restricted to establishment employees and FSIS inspection personnel only?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A*
Is the mixing and batching of product and ingredients and other operations where large amounts of exposed product are handled continuously monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are lines that handle and transfer products, water, oil, or other ingredients monitored to ensure integrity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the packaging integrity of ingredients examined for evidence of tampering before use?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the restricted access to in-plant irradiation equipment and materials clearly marked and maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are records maintained to ensure the capability to trace-back raw materials to suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are records maintained to ensure the capability to trace-forward finished products to vendors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

*“N/A” RESPONSE POSSIBLE IN ABOVE SECTION FOR IMPORT, EXPORT, AND ID ESTABLISHMENTS.

V. STORAGE SECURITY

13. Which of the following security procedures does this establishment have in place for its storage areas? (Check “Yes” or “No” for each procedure, or “N/A” if the procedure is not applicable [e.g., this establishment does not use restricted ingredients].)

	Yes	No	N/A
Is access to raw product storage areas, including holding coolers restricted (e.g., by locked door/gate) to designated employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an access log maintained for raw product storage areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to non-meat ingredient storage areas restricted to designated employees only?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an access log maintained for ingredient storage areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to finished product storage areas restricted to designated employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to external storage facilities restricted to designated employees only?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A
Are silo storage tanks for raw egg product and other bulk ingredients (syrup, oils, etc.) maintained under lock and seal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are silo storage tanks for pasteurized egg product and other bulk finished products maintained under lock and seal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are silo storage tanks for inedible egg product and other bulk inedible products maintained under lock and seal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are periodic security inspections of storage facilities (including temporary storage vehicles) conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are records maintained on facility security inspections results?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the inventory of restricted ingredients (i.e., nitrites, etc) reconciled against the actual use of such ingredients on a regular basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are product labels and packaging held in a secure area to prevent theft and misuse?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the inventory of finished products regularly checked for unexplained additions and withdrawals from existing stock?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

14. Which of the following security procedures does this establishment have in place for the storage of hazardous materials/chemicals such as pesticides, industrial chemicals, cleaning materials, sanitizers, and disinfectants? (*Check "Yes" or "No" for each procedure.*)

	Yes	No
Is the access to inside and outside storage areas for hazardous materials/chemicals such as pesticides, industrial chemicals, cleaning materials, sanitizers, and disinfectants restricted to designated employees?	<input type="checkbox"/>	<input type="checkbox"/>
Are hazardous material/chemical storage areas separated from production areas of plant?	<input type="checkbox"/>	<input type="checkbox"/>
Is a regular inventory of hazardous materials/chemicals maintained?	<input type="checkbox"/>	<input type="checkbox"/>
Are discrepancies in daily inventory of hazardous materials/chemicals immediately investigated?	<input type="checkbox"/>	<input type="checkbox"/>
Are the storage areas for hazardous materials/chemicals constructed and safely vented in accordance with national or local building codes?	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to receive and securely store hazardous chemicals?	<input type="checkbox"/>	<input type="checkbox"/>
Is a procedure in place to control disposition of hazardous chemicals?	<input type="checkbox"/>	<input type="checkbox"/>

VI. SHIPPING AND RECEIVING SECURITY

Visit: <http://www.fsis.usda.gov/oa/topics/transportguide.htm>

15. Which of the following security procedures does this establishment have in place for its shipping and receiving operations? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., no tanker trucks on premises].)

	Yes	No	N/A
Are trailers on the premises maintained under lock and/or seal when not being loaded or unloaded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are tanker trucks on the premises maintained under lock and seal when not being loaded or unloaded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the loading and unloading of vehicles transporting raw materials, finished products, or other materials used in food processing closely monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

16. Which of the following security procedures does this establishment have in place for handling outgoing shipments? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., no tanker trucks on premises].)

	Yes	No	N/A
Are outgoing shipments sealed with tamper-evident seals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the seal numbers on outgoing shipment documented on the shipping documents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are tanker trucks visually inspected to detect the presence of any material, solid or liquid, in tanks prior to loading liquid products?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are records maintained of the above inspections of tanker trucks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are chain-of-custody records maintained for tanker trucks?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

17. Which of the following security procedures does this establishment have in place for handling incoming shipments? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., this establishment does not receive live animals].)

	Yes	No	N/A
Is access to loading docks controlled to avoid unverified or unauthorized deliveries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is advance notification from suppliers (by phone, e-mail, or fax) required for all incoming deliveries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suspicious alterations in the shipping documents immediately investigated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all deliveries verified against the roster of scheduled deliveries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A
Are unscheduled deliveries held outside facility premises pending verification?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are off-hour deliveries accepted?	<input type="checkbox"/>	<input type="checkbox"/>	
If off-hour deliveries are accepted, is prior notice of the delivery required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If off-hour deliveries are accepted, is the presence of authorized individual to verify and receive the delivery required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the integrity of internal compartments in the truck, lot packaging, or in-transit security checks for less-than-truckload (LTL) or partial load shipments of materials verified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are incoming shipments of raw product, ingredients, and finished products required to be sealed with tamper-evident or numbered seals (and documented in the shipping documents) which are verified prior to entry?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the integrity of incoming shipments of raw product, ingredients, and finished products checked at receiving dock for evidence of tampering?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the FSIS Public Health Veterinarian notified immediately when animals with unusual behavior and/or symptoms are received? http://www.inspection.gc.ca/english/ops/secur/livbete.shtml	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the feed and drinking water supplies for live animals protected from possible intentional contamination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are transportation companies selected with consideration of the procedures companies have in place to safeguard the security of product/animals being shipped?	<input type="checkbox"/>	<input type="checkbox"/>	
Are transportation companies selected with consideration of background checks conducted on drivers and other employees who have access to product/animals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are ingredient suppliers selected with consideration of food security measures implemented by the suppliers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are vendors of compressed gas selected with consideration of food security measures implemented by vendors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are vendors of packaging materials and labels selected with consideration of food security measures implemented by vendors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

18. Does this establishment allow returned goods, including returns of U.S. exported products, to enter the plant?
- Yes
 No [GO TO QUESTION 20]
19. Which of the following security procedures does this establishment have in place for returned goods? (Check "Yes" or "No" for each procedure.)

	Yes	No
Are all returned goods examined for evidence of possible tampering before salvage or use in rework?	<input type="checkbox"/>	<input type="checkbox"/>
Are records maintained of returned goods used in rework?	<input type="checkbox"/>	<input type="checkbox"/>
Are returned goods reworked/examined at a separate designated location in the establishment to prevent potential cross-contamination of products?	<input type="checkbox"/>	<input type="checkbox"/>
Does the establishment follow the procedures outlined in FSIS Directive 9010.1 for return of U.S. exported products? http://www.fsis.usda.gov/oppde/rdad/fsisdirectives/9010-1.pdf	<input type="checkbox"/>	<input type="checkbox"/>

VII. WATER AND ICE SECURITY

Visit <http://cfpub.epa.gov/safewater/watersecurity/index.cfm> and www.epa.gov/region1/eco/drinkwater/pdfs/drinkingH2Ofactsheet.pdf for guidance material from the U.S. Environmental Protection Agency, Water Security.

20. Which of the following security procedures does this establishment have in place for its water and ice supply? (Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable.)

	Yes	No	N/A
Is access to water wells restricted? (e.g., by locked door/gate or limiting access to designated employees)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to ice-making equipment restricted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to ice storage facilities restricted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to storage tanks for potable water restricted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is access to water reuse systems restricted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>potable</u> water lines periodically inspected for possible tampering? (i.e., visual inspection for physical integrity of infrastructure etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are <u>non-potable</u> water lines inspected for possible tampering (i.e., visual inspection for physical integrity of infrastructure, connection to potable lines, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have arrangements been made with local health officials to ensure immediate notification of the plant if the potability of the public water supply is compromised?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

VIII. MAIL HANDLING SECURITY

21. Which of the following security procedures does this establishment have in place to ensure mail handling security?

	Yes	No	N/A
Is mail handling activity conducted in a separate room or facility away from in-plant food production/processing operations?	<input type="checkbox"/>	<input type="checkbox"/>	
Are mail-handlers trained to recognize and handle suspicious pieces of mail using U.S. Postal Service guidelines? http://www.usps.com/news/2001/press/serviceupdates.htm	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

IX. PERSONNEL SECURITY

22. Which of the following security procedures does this establishment have in place for ensuring that establishment personnel adhere to the security requirements?

(Check "Yes" or "No" for each procedure, or "N/A" if the procedure is not applicable [e.g., the establishment does not use contractors].)

	Yes	No	N/A
Are background checks or selective background checks conducted for new permanent staff who will be working in sensitive operations prior to hiring?	<input type="checkbox"/>	<input type="checkbox"/>	
Are background checks or selective background checks conducted for workers in sensitive operations for new temporary, seasonal, and contract employees prior to hiring?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do all plant employees receive training on security procedures as part of their orientation training?	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to ensure positive identification/recognition of all establishment employees?	<input type="checkbox"/>	<input type="checkbox"/>	
Are identification procedures in place to ensure the positive identification/recognition for temporary employees and contractors (including construction workers, cleaning crews, and truck drivers) in the establishment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in place to screen employees entering the plant during <u>working</u> hours?	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to screen entry of employees into the plant during <u>non-working</u> hours?	<input type="checkbox"/>	<input type="checkbox"/>	
Are procedures in place to screen the entry of contractors into the plant during <u>working</u> hours?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in place to screen entry of contractors into the plant during <u>non-working</u> hours?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in place to restrict temporary employees and contractors (including construction workers, cleaning crews, and truck drivers) to areas of plant relevant to their work?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No	N/A
Are procedures in place to ensure clear identification of personnel with their specific functions/assignments (e.g., colored garb)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an updated shift roster, i.e., who is absent, who the replacements are, and when new employees are being integrated into the workforce, distributed to supervisors at the start of each shift?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a policy in place on what personal items may and may not be allowed inside the plant and within production areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are announced and unannounced inspections of employees' lockers conducted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are employees and/or visitors restricted on what they can bring (cameras, etc.) into plant?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are employees prohibited from removing company-provided clothing or protective gear from the premises?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

APPENDIX 1 – LIST OF RESOURCES

These resources contain security guidelines applicable to multiple sections of the checklist that establishments can adopt to enhance their capabilities to prevent intentional product tampering and to respond to threats or actual incidents of intentional product tampering. Additional resources with guidelines that apply only to specific sections are shown at appropriate sections throughout the document for easy access and reference.

FSIS Model Food Security Plans

http://www.fsis.usda.gov/Food_Security_&_Emergency_Preparedness/Security_Guidelines/index.asp#industry

FSIS “Security Guidelines for Food Processors”

<http://www.fsis.usda.gov/oa/topics/SecurityGuide.pdf>

World Health Organization (WHO) – “Terrorist Threats to Food – Guidelines for Establishing and Strengthening Prevention and Response Systems” (ISBN 92 4 154584 4)

<http://www.who.int/foodsafety/publications/general/terrorism/en/>

U. S. Food and Drug Administration (FDA) – “Food Security, Processors, and Transporters; Food Security Preventive Measures Guidance”

<http://www.cfsan.fda.gov/~dms/secguid6.html>

U.S. Food and Drug Administration (FDA)-“ Retail Food Stores and Food Service Establishments; Food Security Preventive Measures Guidance”

<http://www.cfsan.fda.gov/~dms/secgui11.html>

Center for Disease Control and Prevention (CDC), National Institute of Occupational Safety and Health (NIOSH) –“Protecting Building Environments from Airborne Chemical, Biological, or Radiological Attacks”

<http://www.cdc.gov/niosh/bldvent/2002-139.html>

USDA, Food and Nutrition Service (FNS) “A Biosecurity Checklist for Food Service Programs, Developing a Biosecurity Management Plan”

<http://schoolmeals.nal.usda.gov/Safety/FNSFoodSafety.html>

Canadian Food Inspection Agency (CFIA) – “Suggestions for Improving Security”

<http://www.inspection.gc.ca/english/ops/secur/protrae.shtml>

Center for Infectious Disease Research and Policy (CIDRAP), Academic Health Center, University of Minnesota

<http://www.cidrap.umn.edu/cidrap/content/biosecurity/food-biosec/guidelines>

County of San Diego, Department of Environmental Health, “Guidelines for Food Safety and Security”

http://www.sdcounty.ca.gov/deh/fhd/pdf/food_safety_security_217.pdf