FSMA Section 205(c)2 : Introduction

Public Reporting burden of this collection of information is estimated to average 60 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to:

Department of Health and Human Services
Food and Drug Administration
Office of Chief Information Officer
Paperwork Reduction Act Staff
1350 Piccard Drive, Room 400 Rockville, MD 20850.
OMB Control #0910-NEW. Expires [date]

September 27, 2012

Dear State or Local Food or Feed Official,

You are receiving this request for information because, as the Program Director, you are considered one of the most knowledgeable officials in your agency. As the Program Director, you also have the ability to draw upon various personnel resources that may be apt to answering specific program questions. FDA is asking for your input in this survey of information regarding your food or feed program.

The Food Safety Modernization Act (FSMA), under Section 205(c)2, requires that the Food and Drug Administration (FDA) conduct a review of State and local capacities in order to develop and enhance the food safety and defense capacities of State and local agencies. The development and implementation of the strategies will help achieve the goals under an integrated food safety system to improve foodborne illness outbreak response, accelerate foodborne illness surveillance, strengthen inspection capacity of State and local agencies, improve the effectiveness of partnerships across governments to coordinate food safety and defense resources, and share information on a timely basis. The review is required to include both the current capacities as well as the current needs of State and Local regulatory agencies in terms of: staffing and expertise to perform food safety functions; staffing and expertise to perform food defense[1] functions; laboratory capacity to support surveillance, outbreak response, inspection and enforcement; and information systems to support data management and exchange among regulatory agencies.

After evaluating existing reports and surveys related to the topic areas above, FDA concluded it was necessary to conduct a survey that would provide more timely and complete information. The survey is sectioned into four key areas where the additional information is needed: Food and Feed Safety (Section 1),; Food Defense (Section 2), Information Technology (Section 3), and Interagency Agreements (Section 4). The survey development group will analyze the information gathered to determine gaps and report the findings to the appropriate groups that are working on the FSMA requirements specific to building food safety and defense capacity at the State and local level.

[1] **Food defense is not the same as food safety. Food defense focuses on protecting the food supply from intentional contamination from chemical, biological, radiological, or nuclear agents. Intentional acts are generally hard to predict. Food safety addresses the accidental contamination of food products by biological, chemical, or physical hazards. This unintentional contamination of food products can be reasonably anticipated based on the type of processing. (Food and Agriculture Sector Specific Plan, 2010, pg. 11)* http://www.fda.gov/downloads/Food/FoodDefense/FoodDefensePrograms/UCM243043.pdf

FDA, in collaboration with our partners, will use this information to develop strategies to help food inspection agencies enhance food and feed safety, food defense, laboratories, staffing and capacity, and information systems (IT) for their agencies

FDA has partnered with the Association of Food and Drug Officials (AFDO) to administer the current survey. FDA and AFDO kindly ask that you complete this survey within 2 weeks of receipt. The survey should be returned to AFDO using the directions stated below. AFDO will compile the results and provide to the FDA for analysis.

Thank you

FSMA Federal-State Integration Team

Instructions

GENERAL INFORMATION

Note: It is strongly recommended that you update to the latest free Adobe Reader software (Adobe Reader X) before starting the survey. Please visit: http://get.adobe.com/reader/

1. The Program Director that is most knowledgeable of the Food/Feed Inspection Program is the targeted respondent and who should complete this survey.

2. The survey should be completed on behalf of the agency. If possible, coordinate data from other divisions or sections if necessary within the agency and submit only one (1) survey form per agency.

3. If you need to send a partially completed survey to another employee please click *File* > *Save As* and save a copy to your hard drive (e.g. Desktop, My Computer). Then open a new email message and attach the partially completed survey.

4. If parts of the survey do not apply, or are not within your agency's scope of jurisdiction, simply leave them blank.

QUESTIONS OR ASSISTANCE

Randy Young
IT Administrator
Association of Food and Drug Officials (AFDO)
(717) 757-2888
ryoung@afdo.org

PRIMARY CONTACT

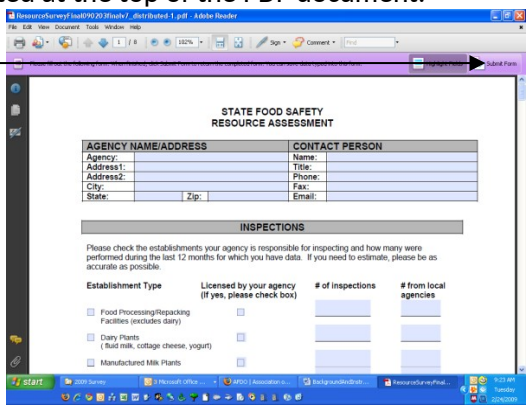
Please provide a primary contact for this survey:

First Name		Last Name	
Agency		State	
Title			
Email			
Phone			
Does your agency represent a state or local authority?			

HOW TO SUBMIT THE COMPLETED SURVEY

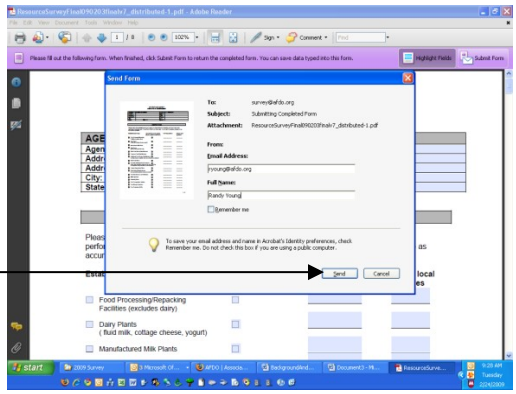
Note: If you encounter difficulties using the *Submit Form Button*, please attach your completed survey to a new email message and send to survey@afdo.org.

1. Click the *Submit Form Button* located at the top of the PDF document.



2. Enter your email address and full name in the send form dialog box.

3. Click Send



4. Select Your Email Client

   a. Desktop Email Application: Choose this option if you currently use an email application such as Microsoft Outlook Express, Microsoft Outlook, Eudora, or Mail.

   b. Internet Email: Choose this option if you currently use an Internet email service such as Gmail, Hotmail, or Yahoo!. You will then need to save your form to your computer and return it to survey@afdo.org as an email attachment.

Thank you for your participation and assistance!

Food & Feed Safety

1. Complete the table for those areas your regulatory program has jurisdiction over. Leave blank those areas your program does not have jurisdiction over.

Area	Number of Facilities /Firms	Number of Inspections per Year	How are you determining the number of inspections to conduct per year (check all that apply)
Animal Feed			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Bottled Water			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Dietary Supplements			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Food Salvage			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Manufactured Food			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Milk Shipper / Dairy			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Produce – raw			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Retail Food/Food Service			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Seafood			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Shell Eggs			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Shellfish			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Tissue Residue			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Transporters			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract
Other:			☐ Risk Categorization ☐ Statutory Requirements ☐ Under FDA Contract: % completed under contract

2. Complete the table for those areas your regulatory program has jurisdiction over by entering the total NUMBER of individuals for each category. Leave blank those areas your program does not have jurisdiction over.

Area	# Inspectors	# Support Staff	# Managerial Staff
Animal Feed	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Bottled Water	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Dietary Supplements	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Food Salvage	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Manufactured Food	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Milk Shipper / Dairy	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Produce – raw	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Retail Food/Food Service	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Seafood	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Shell Eggs	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Shellfish	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Tissue Residue	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Transporters	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time	Allocate 100% Time Allocate >50% Time Allocate <50% Time
Other:	Allocate 100% Time	Allocate 100% Time	Allocate 100% Time

	Allocate >50% Time Allocate <50% Time	Allocate >50% Time Allocate <50% Time	Allocate >50% Time Allocate <50% Time

3. How does your regulatory program adopt federal laws, regulations or national model codes?

- ☐ Laws are structured so that provisions are embodied into the state law
- ☐ Adopts equal language with regulations or policies
- ☐ By reference
- ☐ Does not have authority to change rules or laws

4. Has your regulatory program adopted federal laws, regulations or national model codes within the last 5 years?

- ☐ Yes, embodied into state law
- ☐ Yes, adopted equal language with regulations or policies
- ☐ No, why
    - ☐ Lack of policies and procedures
    - ☐ Lack of staffing to routinely complete this task
    - ☐ Lack of funding to routinely complete this task
    - ☐ Lack of IT support
    - ☐ Low priority
    - ☐ Not required

5. Does your regulatory program maintain a record of training for all inspectors and verify successful completion of training?

- ☐ Yes
- ☐ No, because
    - ☐ Lack of policies and procedures
    - ☐ Lack of staffing to routinely complete this task
    - ☐ Lack of funding to routinely complete this task
    - ☐ Lack of IT support
    - ☐ Low priority
    - ☐ Not required

6. Does your program require a professional certification or license for inspectors?

- ☐ Yes, which one? (check all that apply)
    - ☐ State Sanitarian certification or license (LEHP/REHS/RS)
    - ☐ NEHA Certified Professional Food Safety
    - ☐ Other:
- ☐ No

7. Does your regulatory program have an established and required training program other than professional certification of license for inspectors?

☐ Yes (complete questions A and B)

A. Does your regulatory program's training curriculum include any of the following topics? (check all that apply)

- ☐ Basic Food/Feed Labeling
- ☐ Basic Pest Control
- ☐ Basics of HACCP
- ☐ BSE and Ruminant Feeding Ban
- ☐ Enforcement
- ☐ Epidemiology
- ☐ Ethics
- ☐ Feed Ingredients, Processing and Technology
- ☐ Foodborne Illness Investigations
- ☐ Inspections & Compliance
- ☐ Microbiology
- ☐ NIMS/ICS
- ☐ Prevailing statues, regulations, and ordinances
- ☐ Professionalism
- ☐ Public Health principles
- ☐ Sampling and Sampling Technique
- ☐ Traceback investigations
- ☐ Other:

B. Does your training program include field work?

- ☐ Yes, Number of field work hours required:
- ☐ No

☐ No, why

- ☐ No resources to train
- ☐ No local support for a training program
- ☐ No time allocated for training
- ☐ Not required for federal/state funding
- ☐ Not required for inspector standardization/ program accreditation
- ☐ No program or professional certification required
- ☐ Responsibility for professional certification delegated to inspector
- ☐ Other:

8. Does your regulatory program require continuing education credits (CEUs) for inspectors?

☐ Yes, Number of CEUs per year:

☐ No, because:

- ☐ Lack of staff to maintain/review records
- ☐ Lack of Training Funds
- ☐ Not a Priority
- ☐ Other:

9. Does your regulatory program have written policies that address ethics issues related to training for food, feed or laboratory personnel?

☐ Yes

If Yes, do they address (check all that apply):

- ☐ Alcohol / drug use during working hours
- ☐ Appropriate use of department identification
- ☐ Approval of Outside Employment Activities
- ☐ Carrying of weapons
- ☐ Conflict of interest
- ☐ Gifts, Favors and Gratuities
- ☐ Government property use (computer, phones, credit cards, etc.)
- ☐ Government vehicle use (do's and don'ts)
- ☐ Outside employment
- ☐ Political Activities
- ☐ Proprietary information
- ☐ Public relations and media contact
- ☐ Purchases from regulated establishments
- ☐ Reporting of Financial Investments in regulated industry
- ☐ Theft of Agency Property

☐ No

10. Does your regulatory program provide ethics training for new hires and existing employees?

☐ Yes (complete questions A and B)

A. **Does it address:** (check all that apply)

- ☐ Alcohol / drug use during working hours
- ☐ Appropriate use of department identification
- ☐ Approval of Outside Employment Activities
- ☐ Carrying of weapons
- ☐ Conflict of interest
- ☐ Gifts, Favors and Gratuities
- ☐ Government property use (computer, phones, credit cards, etc.)
- ☐ Government vehicle use (do's and don'ts)
- ☐ Outside employment
- ☐ Political Activities
- ☐ Proprietary information
- ☐ Public relations and media contact
- ☐ Purchases from regulated establishments
- ☐ Reporting of Financial Investments in regulated industry
- ☐ Theft of Agency Property

B. **Does your program retain records of employee's successful completion?**

☐ Yes ☐ No

☐ No

11. Does your regulatory program utilize a risk based classification system for any type of inventory within your jurisdiction?

☐ Yes

If Yes, what criteria are used in your risk classification system? (check all that apply)

- ☐ Type of processing
- ☐ Type of foods/feed
- ☐ Volume produced
- ☐ Target population
- ☐ Compliance history
- ☐ Association with outbreaks/recalls
- ☐ Other:

☐ No, because:

- ☐ Lack of policies and procedures
- ☐ Lack of staffing to routinely complete this task
- ☐ Lack of funding to routinely complete this task
- ☐ Lack of IT support
- ☐ Low priority
- ☐ Other:

12. Does your regulatory program have a system for following up on recalls?

☐ Yes (check all that apply)

- ☐ Includes procedures for performing recall audit checks
- ☐ Includes procedures for identifying and maintaining records about essential recall information
- ☐ Includes procedures for promptly removing recalled products from markets
- ☐ Includes sharing information on recalls with affected government agencies
- ☐ Procedures are in writing

☐ No, because:

- ☐ Lack of policies and procedures
- ☐ Lack of staffing to routinely complete this task
- ☐ Lack of funding to routinely complete this task
- ☐ Lack of expertise or training to develop a recall system
- ☐ Lack of inter-agency communication protocols
- ☐ Lack of IT support
- ☐ Low priority
- ☐ Other:

13. Does your regulatory program have a process for receiving and evaluating complaints?

☐ Yes, does it include: (check all that apply)

- ☐ Complaint log or database
- ☐ Standardized complaint form
- ☐ Standardized complaint follow-up procedure
- ☐ Sharing information with other stakeholders as necessary
- ☐ Other:

☐ No, because:
- ☐ Lack of policies and procedures
- ☐ Lack of staffing to routinely complete this task
- ☐ Lack of funding to routinely complete this task
- ☐ Lack of IT support
- ☐ Low priority
- ☐ Other:

14. Does your program implement an inspection audit program?

☐ Yes, please check all that apply:
- ☐ Audit procedures are in writing
- ☐ Audit results are in writing
- ☐ Corrective actions are required when deficiencies are identified

☐ No, because:
- ☐ Not required by law, regulation or contracts
- ☐ Lack of policies and procedures
- ☐ Lack of staffing to routinely complete this task
- ☐ Lack of funding to routinely complete this task
- ☐ Lack of expertise and/or training
- ☐ Lack of IT support
- ☐ Low priority
- ☐ Other:

15. Does your program manage emergency response related to food or feed?

☐ Yes, please check all that apply:
- ☐ Investigate reports of illness, injury, and suspected outbreaks
- ☐ Correlate and analyze data
- ☐ Rapidly notify customers and consumers
- ☐ Share reports and surveillance summaries with other agencies
- ☐ Hot wash for best practices

☐ No, because:
- ☐ Lack of policies and procedures
- ☐ Lack of staffing to routinely complete this task
- ☐ Lack of funding to routinely complete this task
- ☐ Lack of IT support
- ☐ Low priority
- ☐ Responsibility of another program within our agency
- ☐ Responsibility of another program outside our agency
- ☐ Lack of MOU with responsible agency(ies)
- ☐ Other:

16. Does your program conduct trace-back and trace-forward investigations?

☐ Yes ☐ No

17. Does your program have a compliance and enforcement program?

- [ ] Yes, please check all that apply:
  - [ ] Compliance and enforcement strategies are documented in a policies, procedures or guidelines
  - [ ] Critical and chronic violations and violators are tracked
  - [ ] A risk-based system is used to determine scope of investigation, follow-up, or re-inspections
  - [ ] Progressive actions based on established timeline
- [ ] No, because:
  - [ ] Not required by law
  - [ ] Lack of policies and procedures
  - [ ] Lack of staffing to routinely complete this task
  - [ ] Lack of funding to routinely complete this task
  - [ ] Lack of IT support
  - [ ] Low priority
  - [ ] Other:

18. Which enforcement tools and compliance actions does your regulatory program have available for use? (Check all that apply)

- [ ] Cease Operations
- [ ] Closure
- [ ] Embargo
- [ ] Fees and Fines/Civil Penalties
- [ ] License Limitations
- [ ] License Revocations
- [ ] No enforcement tools or actions
- [ ] Notice of Violation
- [ ] Recalls
- [ ] Seizures
- [ ] Stop Sale
- [ ] Voluntary Disposal
- [ ] Other:

19. Does your regulatory program participate in food safety and inspection education and outreach activities?

- [ ] Yes, by: (check all that apply)
  - [ ] State program interacts with industry and consumers by sponsoring or actively participating in meetings such as: task forces, advisory boards, associations, or advisory committees
  - [ ] Program post food and feed safety and inspection information on a web site

- [ ] Program post food and feed safety inspection findings on a web site
- [ ] Program uses social media to facilitate dissemination of food and feed safety and inspection information in real time.
- [ ] Other:

- [ ] No, because:
  - [ ] Not required by law
  - [ ] Lack of policies and procedures
  - [ ] Lack of staffing to routinely complete this task
  - [ ] Lack of funding to routinely complete this task
  - [ ] Lack of IT support
  - [ ] Low priority
  - [ ] Other:

20. Does your regulatory program evaluate resources?

- [ ] Yes, by: (check all that apply)
  - [ ] The program conducts an annual assessment to determine if the program has staffing, budget, and equipment necessary to meet program operations
  - [ ] The program annually calculates the number of field staff needed to conduct inspection/investigation activities of plants/firms/establishments
  - [ ] The program establishes and maintains an inventory of assigned and available inspection equipment

- [ ] No, because:
  - [ ] Not required by law
  - [ ] Lack of policies and procedures
  - [ ] Lack of staffing to routinely complete this task
  - [ ] Lack of funding to routinely complete this task
  - [ ] Lack of IT support
  - [ ] Low priority
  - [ ] Other:

Food Defense

21. **Food Defense Staff Levels**

a. How many staff does your program have who allocate 100% of their time to Food Defense?

b. How many staff does your program have who allocate more than 50% of their time to Food Defense?

c. How many staff does your program have who allocate less than 50% of their time to Food Defense?

22. **Does your program have access to and utilize any of the following electronic systems related to surveillance and / or foodborne illness investigation?**

- ☐ eLaboratory Exchange Network (eLexNet)
- ☐ Epidemic Information Exchange (Epi-X)
- ☐ Food Emergency Response Network
- ☐ FoodNet
- ☐ FoodShield
- ☐ Health Alert Network
- ☐ Homeland Security Information Network – Food and Agriculture Portal
- ☐ InfraGard
- ☐ Lessons Learned Information Systems
- ☐ National Biosurveillance Integration System
- ☐ National Voluntary Environment Assessment Information System (NVEAIS)
- ☐ PetNet
- ☐ Pro-Med-Mail (International Society for Infectious Diseases)
- ☐ PulseNet
- ☐ Other:

23. **Does your program have a Food Emergency Response Plan?**

- ☐ No
- ☐ Yes

If Yes, does it address: (check all that apply)

- ☐ Activation of the Emergency Operations Center (EOC)
- ☐ Chain of Command
- ☐ Communication
- ☐ Emergency Management Assistance Compacts (EMACs) and Mutual Aid
- ☐ Food Emergency Response Teams
- ☐ Incident Identification
- ☐ Intra / interstate Coordination
- ☐ Mitigation
- ☐ Notification and Action Triggers
- ☐ Prevention
- ☐ Recovery
- ☐ Response Actions

24. **Do you have working relationships with the following to support Food Defense?** (check all that apply)

- ☐ Academia
- ☐ Centers for Disease Control and Prevention (CDC)
- ☐ Consumers
- ☐ Customs and Border Patrol (CBP)
- ☐ Industry Related Associations
- ☐ Joint Terrorism Task Force
- ☐ Laboratories
- ☐ Law Enforcement

- [ ] Emergency Management
- [ ] Emergency Medical Services
- [ ] Environmental Protection Agency (EPA)
- [ ] Epidemiology
- [ ] Extension Disaster Education Networks
- [ ] Food and Drug Administration (FDA)
- [ ] Fire Department
- [ ] Fusion Center
- [ ] Long Term Care Institutions
- [ ] Media
- [ ] Medical / Health Care Providers
- [ ] National Institutes of Food and Agriculture
- [ ] Non-Government Organizations
- [ ] Private Industry
- [ ] United States Department of Agriculture (USDA)
- [ ] Other:

25. How many times a year does your program use the following mechanism to discuss Food Defense issues with industry owners/operators, outside of Food Defense issues discussed during regulatory inspections?

Annual Association Conferences:	times a year
Emergency Management Event:	times a year
Food Protection Task Force:	times a year
Meetings:	times a year
Over the Phone:	times a year
Tabletop Exercises:	times a year
Workshops:	times a year
Other:	times a year

26. Does your regulatory program provide training or access to training on Food Defense for staff who have food safety and regulatory responsibilities?

- [ ] Yes

If Yes, indicate the mechanisms utilized: (check all that apply)

- [ ] Classroom
- [ ] Distance Learning (online learning)
- [ ] During re-certification / licensure training
- [ ] Exercises
- [ ] On the job training (in a firm/facility)
- [ ] Webinars
- [ ] Other:

- [ ] No, because: (check all that apply)
  - [ ] Budgetary Issues
  - [ ] Don’t Feel that Food Defense Warrants the Training
  - [ ] Infrastructure Barriers (Computer access limited, high speed internet not available)
  - [ ] No Access to Courses
  - [ ] No Time to Provide Training
  - [ ] Food Defense is not in program’s core mission
  - [ ] Food Defense is not a mandated activity
  - [ ] Not Aware of Training Courses
  - [ ] Other Priorities
  - [ ] Staffing
  - [ ] Other:

27. Currently, when does your program disseminate or educate entities on the following Food Defense materials, tools and resources?

During…	Don't Disseminate	Re-Licensure of Facilities	Inspection	Training Sessions	Meetings/ Conference	Other
ALERT: Management Awareness Tool	☐	☐	☐	☐	☐	
Employees FIRST: Front line food worker awareness tool	☐	☐	☐	☐	☐	
Food Related Emergency Exercise Boxed Set (FREE-B)	☐	☐	☐	☐	☐	
Mitigations Strategy Database	☐	☐	☐	☐	☐	
Preventative Measures Guidance	☐	☐	☐	☐	☐	
See Something, Say Something (Dec. 2010)	☐	☐	☐	☐	☐	
Vulnerability Assessment (CARVER+Shock)	☐	☐	☐	☐	☐	
Other:	☐	☐	☐	☐	☐	

28. During a regulatory inspection, how much time on average do personnel spend on the following Food Defense related tasks?

	Zero Time	1-10 Minutes	11-20 Minutes	21-30 Minutes	>30 Minutes
Dissemination of Food Defense Materials, Tools and Resources	☐	☐	☐	☐	
Food Worker Education on Food Defense	☐	☐	☐	☐	
Owner/Operator Education on Food Defense	☐	☐	☐	☐	
Other:	☐	☐	☐	☐	

If you answered "zero time" to any, please indicate why: (check all that apply)

☐ Don't feel the Food Defense risk warrants the inclusion in the program
☐ Lack of available staff
☐ Lack of budget
☐ Lack of necessary equipment
☐ Lack of trained staff

- [ ] Food Defense is not in program's core mission
- [ ] Food Defense is not a mandated activity
- [ ] Other:

29. Indicate the last time your regulatory program participated in an exercise with Food Defense objectives:

- [ ] Within Last Year
- [ ] 1-3 Years
- [ ] Greater than 3 Years
- [ ] Never

If Never, please indicate why: (check all that apply)

- [ ] Don't feel that Food Defense risk warrants the participation in exercises
- [ ] Don't have a food emergency response plan that addresses Food Defense
- [ ] Don't have a food emergency response plan to exercise
- [ ] Lack of budget to support exercise
- [ ] Food Defense is not in program's core mission
- [ ] Food Defense is not a mandated activity
- [ ] Not enough personnel to support organizing an exercise
- [ ] Other:

30. Does your regulatory program have an active grant or cooperative agreement specifically for Food Defense purposes?

- [ ] Yes
- [ ] No

Information Technology

31. **What method does your regulatory program use to record, update and store firm inventory information?**

- ☐ Paper Files
- ☐ Spreadsheets (Excel, Other)
- ☐ Other:
- ☐ Database

If Yes to Database:

What technology does it utilize?

☐ Oracle ☐ SQL Server ☐ Sybase
☐ Access ☐ DB2 ☐ Specify:

Is it capable of?

- ☐ Online data entry
- ☐ Offline data entry with syncing
- ☐ Online data retrieval

Is it hosted?

☐ Internally ☐ Externally

Is it supported by an outside vendor/contract?

☐ Yes ☐ No

32. **When new firms are added, what method does your regulatory program use to eliminate duplications to the firm inventory?**

- ☐ Manually
- ☐ Filter Spreadsheet
- ☐ Automated by Database/Application
- ☐ Other:

33. **Does your firm inventory include geo-coordinates/geo-location?**

☐ Yes ☐ No

34. **How does your regulatory program issue licenses?** (select all that apply)

- ☐ Program doesn't issue licenses
- ☐ Online account allows download or email
- ☐ Email
- ☐ Mail
- ☐ On-site
- ☐ Other:

35. **How does your regulatory program collect license fees, including late fees?** (select all that apply)

- ☐ Program doesn't collect license fees, including late fees
- ☐ Online Payment
- ☐ Mail Payment

- [ ] In Person Payment
- [ ] Phone Payment
- [ ] Other:

36. How does your regulatory program assign inspection frequency/priority to a firm?

- [ ] Database algorithm
- [ ] Filter Spreadsheet
- [ ] Manually (supervisor decision)
- [ ] Individual inspectors maintain list
- [ ] Other:

37. How is the inspection list generated for each inspector?

- [ ] Database algorithm
- [ ] Filter Spreadsheet
- [ ] Manually (supervisor decision)
- [ ] Individual inspectors maintain list
- [ ] Other:

38. How does an inspector in your regulatory program access/receive inspection lists/assignments?

- [ ] Direct communication from supervisor (email, verbal)
- [ ] Individual inspector pulls list of assignment from database/application (inspector interacts with system)
- [ ] Database/application generates list of assignment to inspector (system sends to inspector)
- [ ] Other:

39. What is the primary way an inspector in your program accesses previous inspection reports, records and consumer complaints prior to conducting field work?

- [ ] Paper files
- [ ] Electronic documents (Word, PDF)
- [ ] Electronic database/application
- [ ] Other:

40. How does an inspector in your program document results on appropriate forms during a field visit?

- [ ] Handwritten
- [ ] Entered into standalone electronic form (not compiled into a database/system)
- [ ] Entered into electronic form that is uploaded directly into a database
- [ ] Entered directly into database/application
- [ ] Other:

41. How does an inspector generate documentation to leave with firm/facility?

- [ ] Handwritten Copy
- [ ] Prints a Copy
- [ ] Emails a Copy

42. How do your program's inspectors submit inspection reports for review?

- [ ] Submit a Paper Copy

- [ ] Email a Copy
- [ ] Files it electronically on shared network
- [ ] Enters report data directly into a central database/application

43. How do supervisors in your program access inspection reports for review?

- [ ] Receives Paper Copy
- [ ] Receives Emailed Copy
- [ ] View electronic form on shared network
- [ ] View central database/application

44. How do supervisors in your regulatory program indicate that an inspection report has been reviewed?

- [ ] Handwritten signature or approval
- [ ] Electronic signature or approval
- [ ] Signature or approval is never required

45. How does the regulatory program establish and maintain a firm inspection history?

- [ ] Paper Files
- [ ] Spreadsheets (Excel, Other)
- [ ] Other:
- [ ] Database

If Yes to Database

Is it the same system used for firm inventory (question 29)?

- [ ] Yes
- [ ] No

If No

What technology does it utilize?

- [ ] Oracle
- [ ] SQL Server
- [ ] Sybase
- [ ] Access
- [ ] DB2
- [ ] Specify:

Is it capable of?

- [ ] Online data entry
- [ ] Offline data entry with syncing
- [ ] Online data retrieval

Is it hosted?

- [ ] Internally
- [ ] Externally

Is it supported by an outside vendor/contract?

- [ ] Yes
- [ ] No

Is it linked to a firm inventory system?

- [ ] Yes
- [ ] No

46. How does the regulatory program review data in order to conduct a self-assessment and measure efficiencies?

- [ ] Query Database

If Yes to Query Database, is it via

- ☐ Advanced search filter
- ☐ Utilize pre-defined database queries (canned reports)
- ☐ Create customized queries (custom report builder)

☐ Filter Spreadsheet

☐ Manual review

☐ Other:

47. How does the regulatory program review data in order to make enforcement decisions?

☐ Query Database

If Yes to Query Database, is it via

- ☐ Advanced search filter
- ☐ Utilize pre-defined database queries (canned reports)
- ☐ Create customized queries (custom report builder)

☐ Filter Spreadsheet

☐ Manual review

☐ Other:

48. How does your regulatory program share regulatory data with:

	Fax, Mail, Email	Telephone	Web Services (system to system)	Flat File (xml, cvs)	Website	Social Media
Other Divisions within your Agency	☐	☐	☐	☐	☐	☐
Other State and Local Agencies	☐	☐	☐	☐	☐	☐
Federal Agencies	☐	☐	☐	☐	☐	☐
Consumers, Public & Media	☐	☐	☐	☐	☐	☐
Industry	☐	☐	☐	☐	☐	☐

Interagency Agreements

49. Please identify the types of formal[2] interagency agreements in use by your agency to enhance resources for coordination for food safety and defense.

- ☐ Contracts
- ☐ Emergency Mutual Agreement Compact (EMAC)
- ☐ Executive Order
- ☐ Food Emergency Response Plan (FERP) based on the NASDA template
- ☐ Interagency SOPs
- ☐ Memorandum of Agreement (MOA)
- ☐ Memorandum of Understanding (MOU)
- ☐ None
- ☐ Other:

50. Please identify all of the agencies you have formal interagency agreements with:

- ☐ Centers for Disease Control (CDC)
- ☐ Department of Homeland Security (DHS)
- ☐ Environmental Protection Agency (EPA)
- ☐ Food and Drug Administration (FDA)
- ☐ Hospitals & Healthcare providers
- ☐ Industry (private laboratories, food manufacturing, distribution, or retail facilities, industry associations)
- ☐ Local agencies – inter-county/city (e.g., outside your county/city)
- ☐ Local agencies – intra-county/city (e.g., within your county/city)
- ☐ Media
- ☐ Non-profit organizations, including churches and volunteer organizations
- ☐ Schools
- ☐ State Agencies outside of your state – interstate
- ☐ State Agencies within your state – intrastate
- ☐ United States Department of Agriculture (USDA)
- ☐ Universities, including Extension
- ☐ Other:

51. Please identify the types of resources coordinated by the formal interagency agreements in use by your agency.

- ☐ Information (select types below)
  - ☐ Lab results
  - ☐ Epidemiological investigations
  - ☐ Inspectional findings
  - ☐ Enforcement actions
  - ☐ Recall information (effectiveness checks, distribution data)
  - ☐ Consumer complaints

[2] A formal interagency agreement is a written agreement signed by the leadership of each participating agency.

- ☐ Other types of information:
- ☐ Personnel
- ☐ Equipment
- ☐ Supplies
- ☐ Office/laboratory space
- ☐ IT systems
- ☐ Not applicable
- ☐ Other resources:

52. Please identify the types of informal[3] interagency agreements in use by your agency.

- ☐ Adoption of guidelines/best practices by multiple agencies
- ☐ Alliances
- ☐ Association
- ☐ Commodity/area specific partnerships
- ☐ Food Protection Task Forces
- ☐ None
- ☐ Other:

53. Please identify all of the agencies you have informal interagency agreements with:

- ☐ Centers for Disease Control (CDC)
- ☐ Department of Homeland Security (DHS)
- ☐ Environmental Protection Agency (EPA)
- ☐ Food and Drug Administration (FDA)
- ☐ Hospitals & Healthcare providers
- ☐ Industry (private laboratories, food manufacturing, distribution, or retail facilities, industry associations)
- ☐ Local agencies – inter-county/city (e.g., outside your county/city)
- ☐ Local agencies – intra-county/city (e.g., within your county/city)
- ☐ Media
- ☐ Non-profit organizations, including churches and volunteer organizations
- ☐ Schools
- ☐ State Agencies outside of your state – interstate
- ☐ State Agencies within your state – intrastate
- ☐ United States Department of Agriculture (USDA)
- ☐ Universities, including Extension
- ☐ Other:

54. Identify the purpose of the informal interagency agreements your agency has with other agencies for the coordination of resources.

- ☐ Information (select types below)
  - ☐ Lab results
  - ☐ Epidemiological investigations

[3] Informal interagency agreements are most likely not written down, however, these is an agreement and understanding between agencies to coordinate food safety and defense resources and minimize the occurrence of foodborne illness

- [ ] Inspectional findings
- [ ] Enforcement actions
- [ ] Recall information (effectiveness checks, distribution data)
- [ ] Consumer complaints
- [ ] Other types of information:

- [ ] Personnel
- [ ] Equipment
- [ ] Supplies
- [ ] Office/laboratory space
- [ ] IT systems
- [ ] Not applicable
- [ ] Other resources:

55. Are you pursuing the formalization of these partnerships/interagency agreements?

- [ ] Yes

If yes, using what method:

- [ ] Emergency Management Assistance Compact (EMAC)
- [ ] Executive Order
- [ ] Federal Emergency Response Plan (FERP)
- [ ] Memorandum of Agreement (MOA)
- [ ] Memorandum of Understanding (MOU)
- [ ] Standard Operating Procedure (SOP)
- [ ] Other:

- [ ] No

If no, why:

- [ ] Cost and resources required
- [ ] Inability to agree to details
- [ ] Lack of agency commitment
- [ ] Legislative constraints
- [ ] Paperwork is too burdensome
- [ ] Political barriers prevent formalizing the relationship
- [ ] Retain flexibility
- [ ] Other: