

UNITED STATES DEPARTMENT OF AGRICULTURE  
FOOD SAFETY AND INSPECTION SERVICE  
WASHINGTON, DC

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# FSIS DIRECTIVE

5420.4,  
Revision 1

7/2/04

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**HOMELAND SECURITY THREAT CONDITION RESONSE -  
EMERGENCY PROCEDURES FOR THE OFFICE OF INTERNATIONAL AFFAIRS  
IMPORT INSPECTION DIVISION**

## I. PURPOSE

A. This Directive details the procedures that Food Safety and Inspection Service, Office of International Affairs, Import Inspection Division (FSIS, OIA, IID) field personnel will follow in the event of an Orange or Red Alert declaration by the Department of Homeland Security (DHS). In the event that an Orange or Red Alert is declared, import reinspection personnel are to follow the instructions in this directive for the duration of the declared heightened Alert.

B. This directive establishes:

- how threat conditions will be communicated to import inspection personnel,
- specific instructions to import inspection personnel on how to respond to threat conditions,
- a mechanism to communicate food security concerns/events that are observed to import establishment management, border agency personnel, and FSIS' Office of Food Security and Emergency Preparedness (OFSEP), and
- direction for sharing information with establishment management and border personnel in other agencies to effectively resolve food security concerns and protect public health.

## II. CANCELLATION

FSIS Directive 5420.4, dated 6/25/04

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**DISTRIBUTION:** Inspection Offices; T/A Inspectors;  
Plant Mgt; T/A Plant Mgt; TRA; ABB; TSC; Import Offices

**OPI:** OPPED

### **III. REASON FOR REISSUANCE**

This directive is reissued in its entirety to provide clarification of responsibilities regarding high risk products.

### **IV. REFERENCES**

9 CFR part 300 to end  
FSIS Directive 5420.1, Rev. 1, Homeland Security Threat Condition Response – Food Security Verification Procedures

### **V. BACKGROUND**

In 2002, the White House Office of Homeland Security established a Homeland Security Advisory System (HSAS) based on color to provide a more comprehensive and effective means to disseminate information regarding the risk of terrorist acts to Federal, State, and local authorities and to the American people. A declaration of a Threat Condition Orange by the Department of Homeland Security indicates that there is a high risk of terrorist attacks. A declaration of a Threat Condition Red reflects a severe risk of terrorist attacks. While the threat declaration may or may not involve the nation's food and agricultural sector specifically, it is imperative that any such declarations be communicated effectively and rapidly to all program areas within FSIS so that appropriate actions can be taken to respond to the threats and ensure the security of meat, poultry, and egg products.

### **VI. NOTIFICATION**

A. In the event of a declaration of any Threat Condition Orange or Red by the Department of Homeland Security, OFSEP will inform the FSIS Administrator and the senior executive leadership of all FSIS program areas and notify all employees of the heightened threat level.

1. Import inspection program personnel should continue to consult the Automated Import Information System (AIIS) for reinspection assignments to be performed during a heightened threat condition declaration. Should the AIIS become inaccessible during an Orange or Red Alert Condition, import inspection program personnel should follow the AIIS System Down (Contingency Plan) in the Import Manual of Procedures, Part 1, Section 1, until receiving instruction through proper channels.

2. Regional Import Field Supervisors and Assistant Regional Import Field Supervisors will:

a. Immediately confirm that the import inspection program personnel are aware of the declaration, and that they have conveyed the declaration to the management of import establishments.

b. Instruct import inspection program personnel to perform emergency food security verification procedures (see Section VII).

c. Monitor import establishment and border activity.

3. Import Surveillance Liaison Inspectors (ISLIs) will:

a. Coordinate activity with other border agencies, Animal and Plant Health Inspection Service (APHIS), Customs and Border Protection (CBP), and headquarters OIA. In particular, ensure that countries and establishments listed in shipping documentation are eligible to export meat, poultry or egg products to the United States. Any irregularities or alerts conveyed by other border agencies at the port covered by the ISLI should be passed on to OIA through the supervisory chain of command, if possible.

b. Assist import inspectors at import establishments, if necessary, and verify shipment documentation information.

c. Utilize radiation detectors to detect radiological contamination of product in suspect shipments.

4. Import Inspectors, upon receipt of notification of the elevated threat status from their supervisor, will:

a. Notify the establishment of the alert status.

b. Monitor establishment operations for any unusual activity that may be related to food security. Import inspectors will focus activities on high risk products as directed by OIA at the time of the declaration.

c. Report any observations related to food security to their supervisor and to the establishment.

d. Continue to utilize the AIIIS for inspection assignments.

e. Review shipments and documentation with increased scrutiny for evidence of tampering or falsification.

f. Perform food security verification procedures daily (PBIS Procedure 08S)

for as long as the declared threat level remains at the Orange or Red level. Any irregularities identified during the performance of food security verification procedures should be immediately reported to their immediate supervisor and import establishment management.

B. In the event of a declaration by the Department of Homeland Security of a

**Threat Condition Orange with a specific threat to the food and agriculture sector or a particular product or process:**

1. Regional Import Field Supervisors and Assistant Regional Import Field Supervisors will:

a. Communicate heightened alert status and all updates to all port-of-entry and import establishments.

b. Establish regular communication briefings with headquarters and field personnel.

c. Ensure import field personnel receive and implement special instructions from OIA regarding the reinspection of suspect shipments from designated foreign countries either through the AIIS or verbally.

2. ISLIs will:

a. Conduct food security verification activities as directed by OIA in coordination with other border agencies (APHIS, CBP). These activities may include reviewing high-risk products as directed by OIA at the time of the declaration and any product/shipments identified at ports-of-entry as suspicious, including the use of radiation detectors to detect radiological contamination of product in suspect shipments.

b. Assist import inspectors at import establishments, if necessary.

3. Import Inspectors will:

a. Continue to utilize the AIIS for reinspection assignments.

b. Review shipments and documentation for evidence of tampering or falsification.

c. Notify their supervisor if the AIIS is down that the contingency plan is being used, and await further instructions.

d. Stage and sample RTE and other high-risk product shipments as directed by the AIIIS, Import Inspection Division Contingency Plan, or instruction received through supervisory channels.

e. Follow any special instructions provided by their supervisor that are issued to the OIA Assistant Administrator (AA) regarding the reinspection of suspect shipments from designated foreign countries either through the AIIIS or verbally.

f. Conduct food security verification procedures daily as long as the declared threat level continues at Orange. Any irregularities identified during the performance of food security verification procedures should be immediately reported to the supervisor, ISLI, and import establishment management.

C. In the event of a declaration by the Department of Homeland Security of a threat condition Red with a specific threat to the food and agriculture sector or a particular product or process:

1. Regional Import Field Supervisors and Assistant Regional Import Field Supervisors will:

a. Follow all procedures in paragraph VI A – B of this directive.

b. Establish regular communication briefings with headquarters and field personnel.

c. Implement increased sampling in certain ports-of-entry or import establishments for all or targeted (e.g., high-risk products) shipments as directed by the senior executive leadership in OIA.

d. Implement detention of import shipments as directed by OIA.

e. In the event of a border closing, detain all products that have been presented to FSIS at the border.

f. In the event of an imminent threat to the safety of import inspection program personnel verify that all import inspection program personnel have been removed from the threatening situation and notify OFSEP through the senior executive leadership in OIA.

g. Provide on-site support to law enforcement personnel and emergency first responders.

2. ISLIs will:

- a. Continue surveillance at the ports and I-houses.
- b. Maintain communication with other ports in their area of coverage.
- c. In response to a specific incident within their jurisdiction, initiate and coordinate emergency response activities across all jurisdictions.
- d. Scrutinize shipments at import establishments, especially for high-risk products.
- e. Use radiation detectors to detect radiological contamination of product in suspect shipments.
- f. Prepare to respond to site specific requests for assistance from import supervisor.

3. Import Inspectors will:

- a. Increase scrutiny of all shipments.
- b. Hold all shipments pending further instructions in the likely event of a border and port-of-entry closure.
- c. Follow staging and sampling instructions through AIIS. If the AIIS is down, 100% reinspection is to be activated for all products.

## VII. FOOD SECURITY VERIFICATION PROCEDURES

A. The primary focus of the following food security verification procedures is to identify possible weaknesses in security at import facilities. The list is not all-inclusive, and import supervisors will need to determine whether and, if so, what additional verification activities are appropriate at import facilities. At a minimum, import supervisors will initiate the following verification activities:

**NOTE:** Import personnel are not required to document observations noted in the performance of the following food security verification procedures. All observations must be reported verbally to the establishment and the import supervisor.

1. Observe the outer perimeter of the establishment to ensure that fences, gates, etc. are intact. Ensure that doors to the establishment are secured against unauthorized entry.

2. Observe incoming shipments – confirm that all deliveries are verified against shipping documents by the receiving plant. Import inspectors and ISLIs should ensure the proper use of seals on tanker truck shipments of liquid egg products.

3. Observe the use and storage of any hazardous materials in the establishment, ensure that entry into storage areas is controlled, and that usage logs are maintained and current.

4. Observe edible products in storage areas for evidence of tampering.

5. Observe the security of the establishment's water reuse systems, especially water storage facilities; also, be aware of the establishment's drinking water supply. Note and report any observed irregularities in appearance, taste or odor to the establishment.

6. Observe maintenance, construction, and repair activity at the establishment to ensure that personnel performing such activities are properly identified and authorized to perform such activities.

7. Encourage establishment management to control unauthorized access. Observe the behavior of establishment employees, especially those who suddenly appear in areas where they are not assigned to work – note any sudden or unusual departures from normal operating procedures. Further, discuss with establishment management the importance of raising food security awareness through employee training programs.

8. Observe loading dock areas and vehicular traffic in and out of the establishment. Note any unusual activity and advise establishment management accordingly.

9. Hold improperly documented shipments outside the establishment pending verification and proper documentation of shipper and cargo information by Customs broker or importer.

10. Retain improperly documented shipments discovered within the establishment and notify ISLI of specific documentation problems.

B. Downgrading of a threat condition will be communicated by OFSEP to import supervisors through the senior executive leadership in OIA. The senior executive leadership in OIA will instruct import supervisors regarding a discontinuation of food security verification procedures in import facilities and a return to normal operation.

Product types of inspection (TOIs) will continue to be assigned in the AIIIS consistent with a de-escalation of the threat level and alert status. A summary of all activities and observations during the heightened threat condition will be prepared by the import supervisor and submitted to OIA.

C. Import supervisors are to maintain a record of all verbal and written food security-related reports received during all heightened threat condition and forward such record to OFSEP through their supervisory channels.

All questions related to this directive should be directed through normal supervisory channels.

*Philip S. Derfler /s/*

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