

PTIN Food Safety Incident Management Workshop

Big Sky, Montana, USA
14-15 May 2011

Asia-Pacific Economic Cooperation (APEC)
Food Safety Cooperation Forum (FSCF)
Partnership Training Institute Network (PTIN)



Asia-Pacific
Economic Cooperation



FSCF Food Safety
Cooperation Forum
PTIN Partnership Training
Institute Network



FOOD STANDARDS
Australia New Zealand
Te Mana Kounga Kai - Ahitereiria me Aotearoa

Incident/Crisis Management: Challenges, Insights & Model Practices

Sarah Geisert
APEC FSCF PTIN

Food Safety Incident Management Seminar

May 2011



**Asia-Pacific
Economic Cooperation**

Goals for Today

- Explore Incident Management Challenges
- Characteristics of a Crisis, Imperative & Preparation
- Share Tools & Model Practices



Crisis Management Strategy

**“Anyone can steer the
ship when the sea is
calm.”**

Publilius Syrus





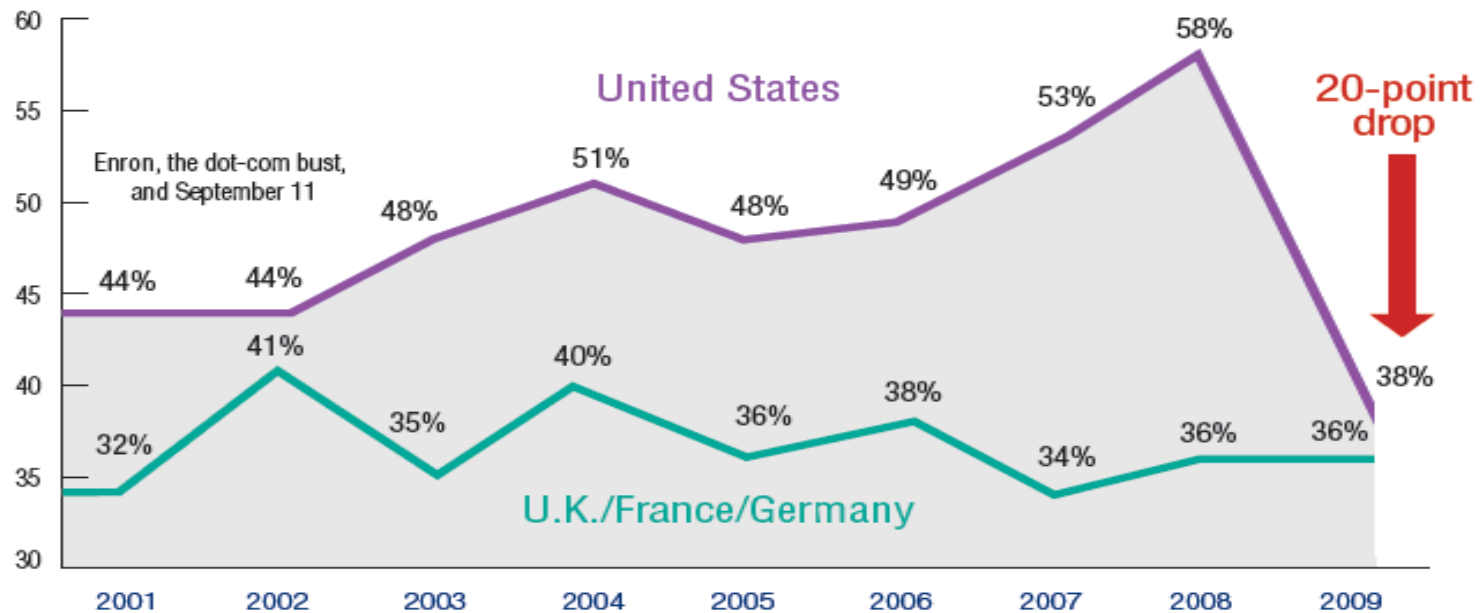
Food must be trustworthy

Incident Management Challenge #1:

TRUST

Edelman 2009 Trust Barometer

How much do you trust business to do what is right?



Informed publics ages 35 to 64 in the U.S. and U.K./France/Germany
Responses 6-9 only on 1-9 scale; 9 = highest





People want to know what they can trust,
but they're overwhelmed with information.





**Our response to Food Safety Incidents
must be equally trustworthy**

Communication – Four Steps Toward Empathy

OBLIVION

“Other people don’t think like me?”

- **Hear** others are different but still view the world through rose-colored glasses. Can’t understand why others don’t think just like they do.

AWARENESS

“Others aren’t like me – I’m so glad I’m not them!”

- **See** others as different, but often analytically dissociate from them. Consumers are often seen in a generalized way

SYMPATHY

“I can understand your pain.”

- **Understand** others have different emotions and can intellectually place themselves in their position

EMPATHY

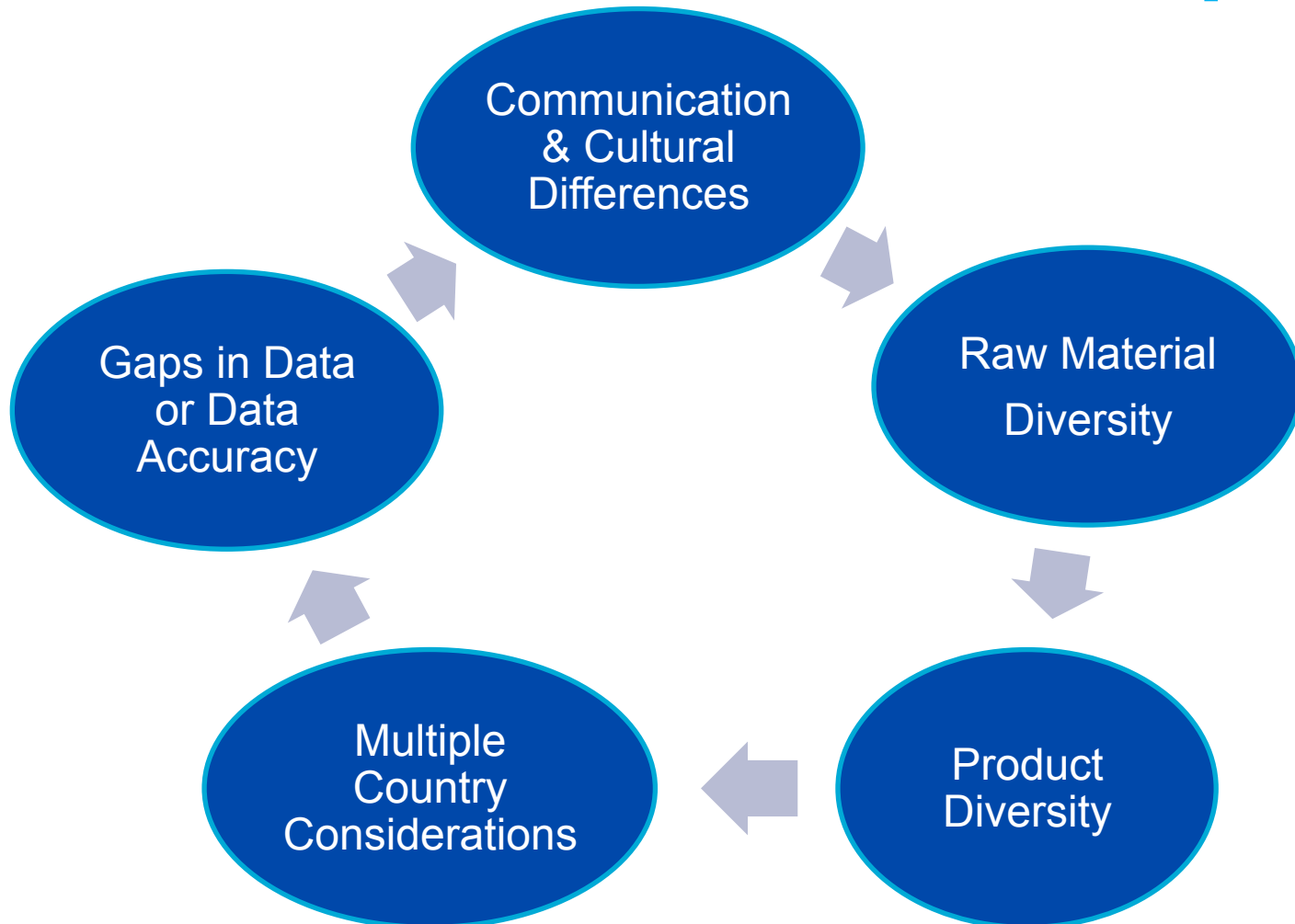
“I know your pain.”

- **Feel** the emotions that others feel on a visceral, life changing level



Incident Management Challenge # 2

Global Complexity



Incident Management Challenge # 2

Enormous Global Complexity

Raw Materials

- Traceability challenges
- Multiple country sources
- Multiple supplies for same material
- Potential impact to many consumer products
- Risk assessment often requires knowledge of intended use

Product

- Multiple users /uses of the Raw Material
- Traceability challenges
- Ready to eat or not ready to eat
- Post process contamination

Multiple Countries

- Non-harmonized recall/incident process
- Key in-country contacts unknown
- Infrastructure differences
- Sequencing of communications

Lack of or Poor Quality Data

- Issue Scoping and/or data needs unclear
- Evolving information
- Analytical standard and good laboratory practices inconsistencies
- Data Management Strategy



Incident Management Challenge # 3

Collaboration & the New Workplace

- Where do we work today and where are people with whom we need to collaborate?
- What does collaboration mean and what are new 'workplace' challenges that impact our ability to be successful?



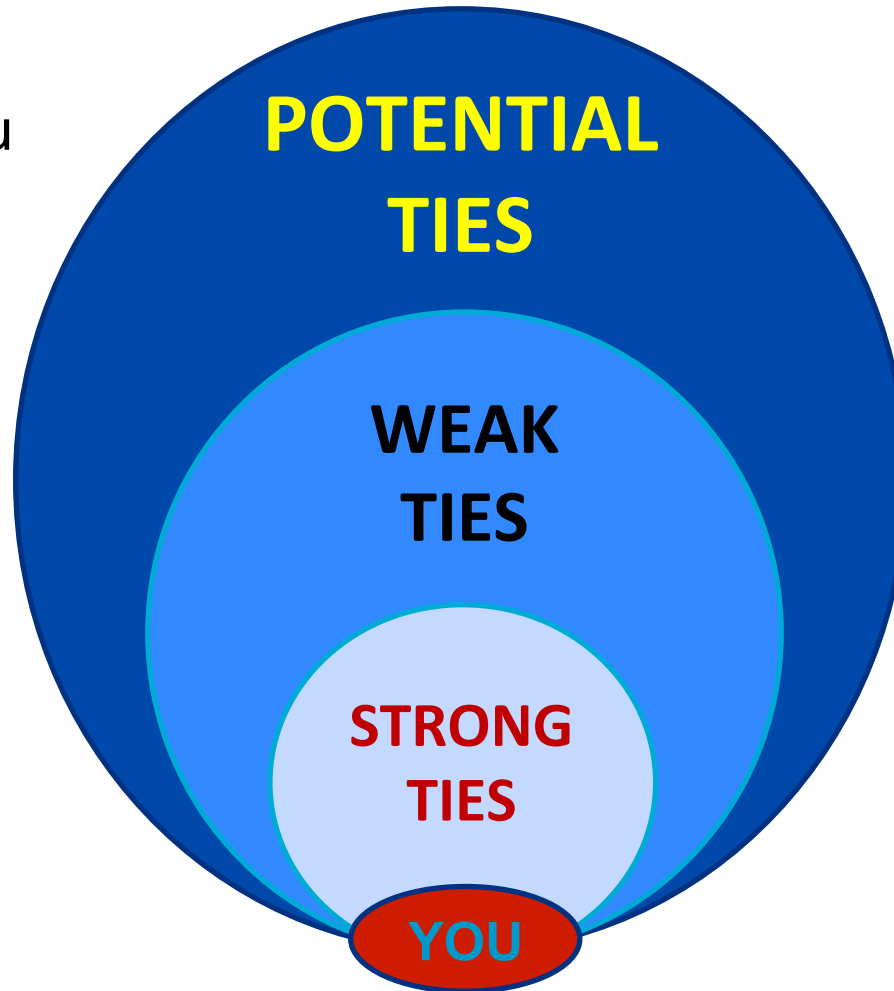
Collaboration Challenge – Focus Areas

- **Cooperation** - building trust with people you never met and between regulated industry and regulators
- **Convergence** – focus efforts on what is core to success
- **Coordination** – distance is not an excuse
- **Capability** – making best use of talent not matter where it is located
- **Communication** – sharing the same understanding
- **Cultural Intelligence** - going beyond your culture, your location



Challenge # 3 - Collaboration

- **Potential**
 - Valuable, if you knew them.
- **Weak**
 - Acquainted; periodic interactions.
- **Strong**
 - Well-known; regular interaction.



Connect
Attach

Coordinate
Align

Collaborate
Accelerate



Crisis/Incident Management Strategy

***“They all have a strategy...
until they get hit.”*** - famous boxer

***“In preparing for battle I have always
found that plans are useless, but
planning is indispensable”.***

- Dwight D. Eisenhower



Types of Crisis/Incident

Every Crisis is Unique

- Employee injury
- Food borne outbreak
- Acts of 'Mother Nature'
- Consumer safety/perception
- Workplace violence
- Property/facility damage or loss



Common Crisis Characteristics

1. Surprise
2. Insufficient Information
3. Escalating Flow of Events
4. Loss of Control
5. Intense Scrutiny from Outsiders /
Insiders
6. Beginning of “Siege Mentality”
7. Panic
8. Move to Public Policy Debate

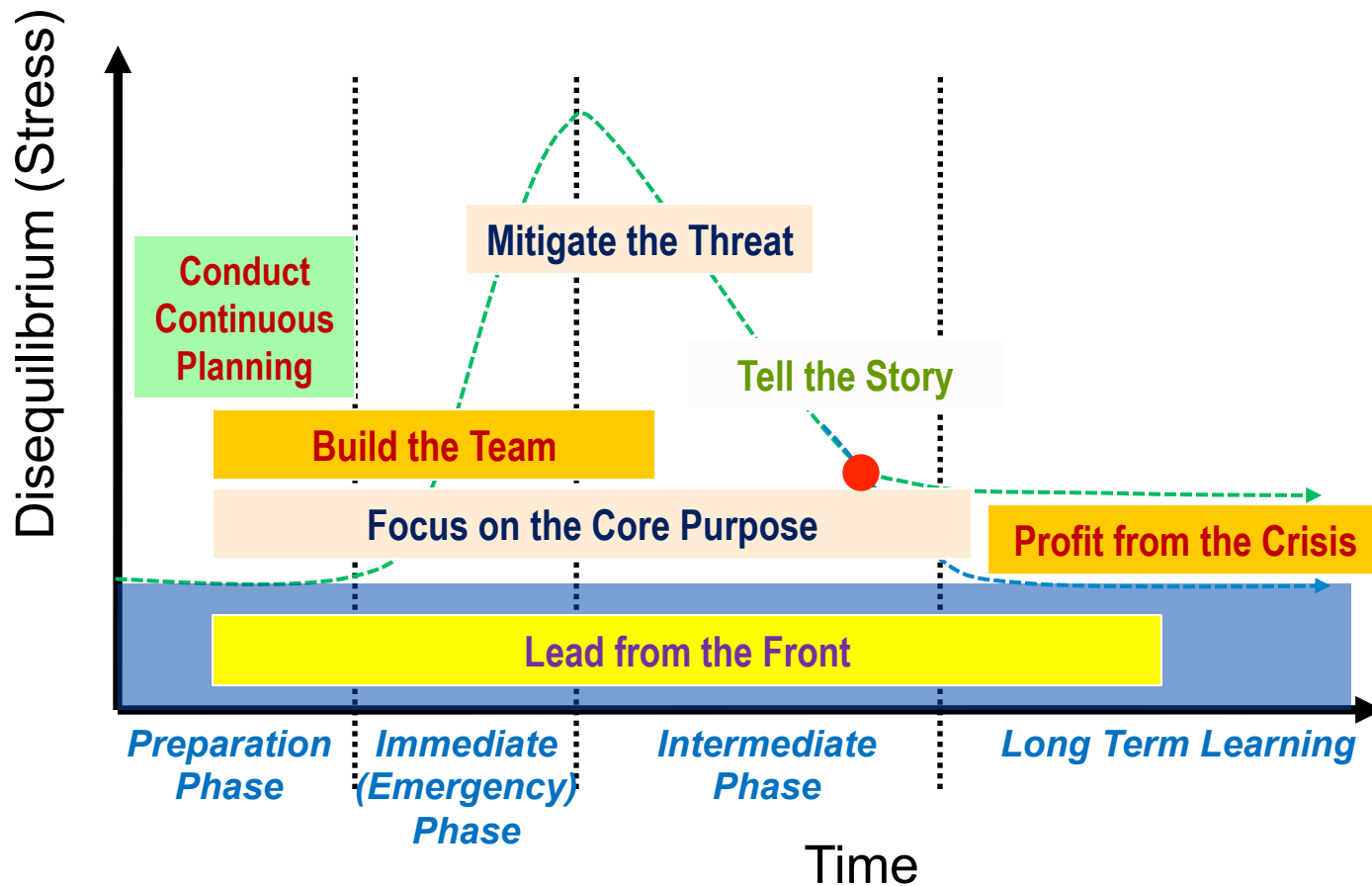


Ten Crisis Imperatives

- 1. Centralize Control**
- 2. Centralize Communications**
- 3. Maintain Credibility**
- 4. Think Strategically**
- 5. Know your priorities**
- 6. Be Proactive**
- 7. Research / Monitor / Calibrate**
- 8. Be Accessible, Responsive**
- 9. Leverage Positive Image / Reputation**
- 10. Limit the Duration**



Crisis Lifecycle & Leadership Strategies



#1. Preparation Phase

Spotting a Crisis Before it Happens

- **Conduct Continuous Planning**
 - Identify your risks/vulnerabilities
 - Know your organizations Crisis Plan or create one
 - Develop a Crisis Communications plan now
- **Build the Team**
 - Develop necessary relationships before you really need them
 - Engage content experts in ongoing dialogue
 - Pay attention to signals
 - Practice
- **Focus on the Core Purpose**
 - Values and expectations



#1. Preparation Phase

- **Crisis-Team Identification**
- **Develop Communication Plans & Scenarios**
 - Holding statements
 - Q&A
 - Talking Points
 - Messaging Research
 - Develop/Consider “What if’s”
- **Crisis Drills**
 - Ambush interviews
 - Hostile questioning
- **Monitoring**
 - Web sites
 - Social Media
 - News Stories & Press conferences



#2. Immediate Phase

The Crisis Erupts

- **Mitigate the Threat**
 - Determine and prioritize immediate risks
 - Gather and clarify information
 - Anticipate
- **Lead from the Front**
 - Put together a plan based on your pre-planning
 - Establish communication channels
 - Remain calm and visible



Four Time-Tested Responses

Deny it: ‘It’s not true..’Not us”

Explain it: “It’s true, but it is not what it seems.”

Apologize: “We’re sorry. It did happen, but here’s what we’ve done to make sure it doesn’t ever happen again.”

Attack: “Those who are making this charge are grossly irresponsible.”



#3. Intermediate Phase

Leading Through the Crisis

- **Lead from the Front**
 - Be visible and available
 - Monitor the situation
 - Maintain your perspective
- **Tell the Story**
 - Communicate, communicate, communicate
 - Reduce fear
 - One clear message
 - Empathic Communicator invaluable



#4. Long Term Learning

Don't Just Let the Dust Settle

- **Profit from the Crisis**
 - Leverage the urgency
 - Understand root cause and develop a corrective action plan
 - Close the loop with all involved
 - Debrief overall process or key aspect.
Revise plans incorporating new insights.
 - Teach others



Incident Management Tools & Techniques

Failures Teach more than Success
Identify What is Working and Replicate

People

- Assess skills needed – not the level it is the skill
- Core team members identified with back-up
- In house Technical experts
- Succession plan
- Network of external experts & Global resources

Process & Technology

- Define key Processes
- Available Templates
- Checklists
- Guidance documents
- Communication tools (i.e. phone lines/numbers, Q&A)
- Websites

Training

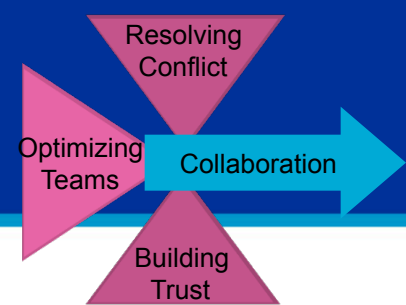
- Needs assessment
- Standardize key contact for local delivery
- Observational participation
- Case studies & exercises
- Incident Drills

Monitoring and Debrief

- Monitor external messages
- What worked?
- What did not work and why?
- Revisions completed
- Retrain on revised process



Team Wheel Model for Enhanced Collaboration



The Team Wheel is a model for team formation and effectiveness. It outlines the steps recommended to form and maintain an effective team.

Goals

What are our team's deliverables?

Team Roles

What do we expect from each other?

Processes

Do we have effective ways of doing our work?

Relationships

How well are we working together?

Individuals

Is each of us committed to the team?



Tools - Job Task Analysis

A Job Task Analysis (JTA) captures and documents the details of a specific job. The JTA process provides a **Standard method to identify duties, tasks and steps of a job**

THE JTA PROCESS

Determine the business need to be met

Identify Sponsors – Senior Management

Identify a Facilitator

Identify a Participant(s)

Schedule JTA sessions (Two 6-7 hour days is common, but not required)

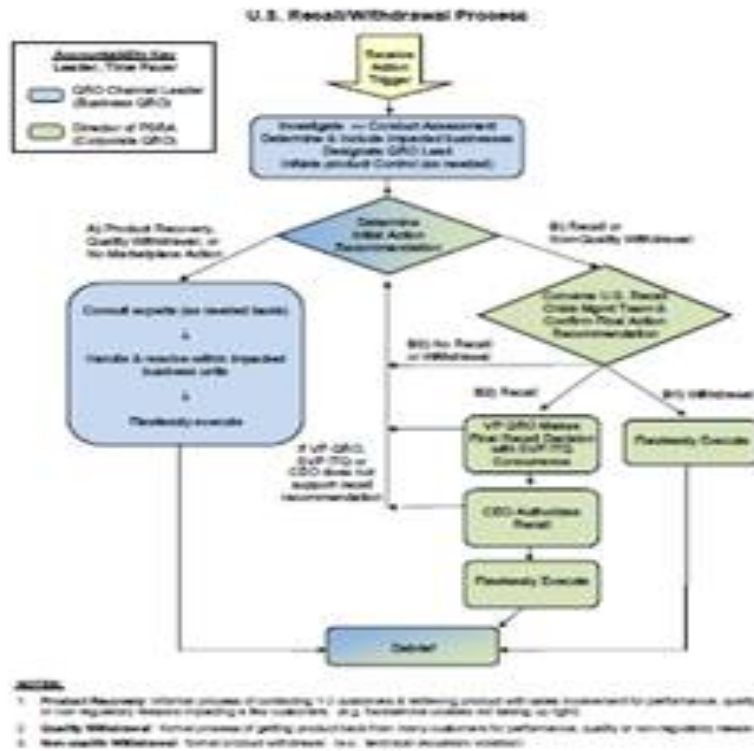
Important Premise

People who do the work are best equipped to describe and define their job most accurately.



Incident Management Tools

Decision Trees



RACI Model

RACI Responsibility Grid

Uses:

- Identify the role of those stakeholders involved in any given activity and/or decision.
- Communicate and manage stakeholder expectations.

Term Definitions:

- R = Responsible. Leads, facilitates and/or provides structure to ensure action is taken and a decision is made.
 A = Approver. Must sign off on a decision before it is implemented. (May designate Final Approver).
 C = Consulted. Those with information or expertise who should provide input before a decision is made.
 I = Informed. Those who must be notified after a decision is made, but need not be consulted prior to making a decision.

Traps to Avoid:

1. Having Cs and Is feel they are As.
2. Unbalance of R, A, C, I – e.g., too many As, no Rs
3. Using RACI mapping for everything. Use it for unclear areas or areas that have a lot of functional handoffs.
4. Not everyone needs a role in everything. "Not Involved" is an appropriate role to assign.

Decision/Activity	Responsible	Approver	Consulted	Informed



Incident Management Tools

One Page Tools

- Checklists
- Phone Numbers
- Stakeholder Information needs
- External Passwords List
 - FDA Reportable Food Registry
 - Retailer

Pre-arrangements

- Call-in phone lines – domestic & international
- Core attendees list
- Incident Meeting Room
- Templates

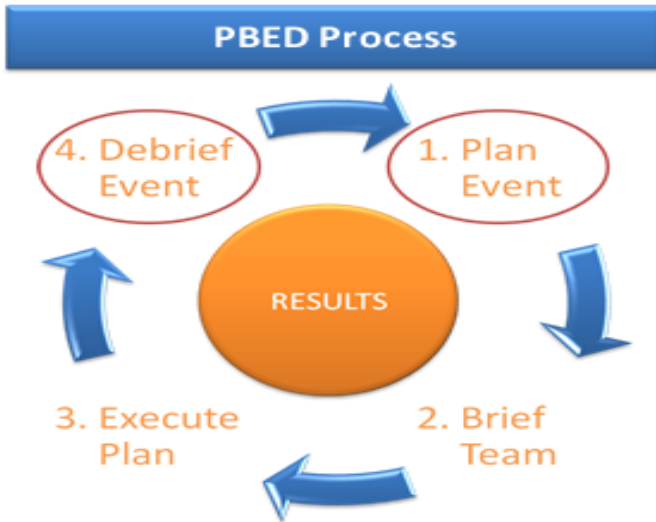


Incident Management Tools

Product Recall Standardized Data Elements to be provided:	US FDA	US FSIS	State or Provincial / Local	Customer	Consumer
Manufacturer's Name/Recalling company	x	x	x	x	x
Manufacturing/producing Location(s)	x	x	x	x	x
Address of manufacturing site	x	x	x		
Manufacturer's Recall Coordinator (name, contact information), Regulatory Contact	x	x	x		
Manufacturer's Recall Coordinator (name, contact information), Customer Contact				x	
Manufacturer's Consumer Contact information (toll free number, website, etc)	x	x	x	x	x
USDA Establishment number		x	x	x	x
Plant Number (i.e., dairy) [Not BT Food Facility Registration #]	x		x	x	x
Registration number under section 415(a)(3) [BT Registration of food facilities]	x				
Product Name / Description	x	x	x	x	x
Total Quantity (cases) Produced	x	x	x	x	x
Number of units per case	x	x	x	x	
Weight (size) per unit	x	x	x	x	x
Total Quantity under Manufacturer's control	x	x	x		
Total Quantity shipped (i.e., being recalled)	x	x	x	x	x
UPC code Consumer Unit	x	x	x	x	x
UPC code Cases	x	x	x	x	
Consumer unit Manufacturing Code (lot code)	x	x	x	x	x
<i>Explanation of how to interpret consumer unit manufacturing code</i>	x	x	x		
Consumer Unit Best By / Use By Date Code	x	x	x	x	x
Location of codes on consumer unit	x	x	x	x	x
Consumer unit label example	x	x	x	x	x
Shipping Case Manufacturing Code	x	x	x	x	
<i>Explanation of how to interpret shipping case manufacturing code</i>	x	x	x		
Shipping Case Best By / Use By Date Code	x	x	x		
Location of codes on shipping case	x	x	x	x	
Reason for recall (i.e. Listeria / Salmonella / Allergens / Foreign Material, etc.)	x	x	x	x	x
Explanation for recall (i.e. consumer complaints received, etc.)	x	x	x	x	x
Consumer instructions (i.e. destroy, return to store, etc.)	x	x	x	x	x
Customer instructions (i.e. destroy, return to manufacturer, etc.)	x	x	x	x	
Scope (geographical) of recall within originating Country	x	x	x	x	x
Scope (geographical) of recall outside of originating Country					
Consignee list (ship to name, address including zipcode, contact information)	x	x	x		
Individual customer consignee information (ship to name, address, contact information)	x	x	x	x	
Quantity shipped to consignee with identifier e.g., date, delivery number	x	x	x	x	
Sold to name (if different from ship to name)	x	x	x		
Has company press release been issued?	x	x	x	x	
Recall classification when known	x	x	x	x	
Photo of label/product	x	x	x	x	x



General Planning Tools Plan, Brief, Execute, Debrief



STEP 1: Identify Mission and Customer

STEP 2: Identify Planning Participants

STEP 3: Define Mission Objectives

STEP 4: Determine Critical Success

Factors

STEP 5: Document the Plan

BRIEF TEAM

EXECUTE

DEBRIEF



Asia-Pacific
Economic Cooperation

PBED GENERAL INFORMATION [Publish to PBED Library](#) [Save Locally](#) [Print Plan](#) [Print Debrief](#)

PBED File Name: Type file name here
 Location:
 Function: Optional use as needed
 Department: plant, department, group, or team name
 PBED Leader:
 PBED Status: In Progress
 Event Type: Select
 Event Start Date: approximate date

PLAN

STEP 1: IDENTIFY MISSION AND CUSTOMERS

Mission: What is the overall goal? What are we going to accomplish?
 Customer(s): Who has final plan approval?

STEP 2: IDENTIFY PLANNING PARTICIPANTS

Participant Name	Role in the Planning Process
<input type="text"/> Who is responsible for the plan?	<input type="text"/> What do we expect / need from this participant?

STEP 3: DEFINE MISSION OBJECTIVES

Objectives: [Change](#)
 What actions are needed to support the mission? (Specific, Measurable, Accountable, and Controllable)
 Insert Objective

STEP 4: DETERMINE CRITICAL SUCCESS FACTORS

Critical Success Factors: [Change](#)
 What things are KEY to mission success, but are NOT required to achieve the overall mission?
 Insert Critical Success Factor

STEP 5: DOCUMENT THE PLAN

Click here to attach a file OR Paste a link here OR fill in the table below for each objective.

Objective displays from list above
 Objective Owner:
 Notes:

What	Who	When	Status	Task Note
<input type="text"/> What tasks support the objective?				<input type="text"/> Select

Insert Item

Additional Planning Notes

Add any additional planning notes or links here

EVENT AGENDA

Click here to attach a file or Paste a link here or fill in the table below with your event agenda

Start Time	Activity	Location	Point(s) of Contact
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Insert Row

DEBRIEF

DEBRIEF INFORMATION

Title: Type file name here
 Mission: automatically filled in from plan
 Location: automatically filled in from plan
 Customers: automatically filled in from plan
 PBED Leader: automatically filled in from plan
 Event Date: automatically filled in from plan
 Debrief Members: List Debrief participants here.

OBJECTIVES
 DEBRIEF FOCUS POINTS
 LESSONS LEARNED
 ASSESSMENT OF CRITICAL SUCCESS FACTORS
 COMMENTS / PARKING LOT

DOCUMENTATION

The PBED form is in Landscape orientation. Go to File, Page Setup, and select Landscape BEFORE you print.

Crisis Case Study Scenarios Exercise

- Create different scenarios. Divide group. Each table has a different case
- Discuss your approach to the crisis scenario
- Select one spokesperson to report out on:
 - Immediate Actions
 - Intermediate Actions
 - Long Term Learning
- Use flip charts for report out
- You have 20 minutes
 - Includes a break!



We Must Lead Through Crisis!

- **Better Industry Understanding**
 - Crisis Challenges
 - Crisis Lifecycle, Imperative & Strategies
 - Tools and Techniques



Thank you!



GENERAL MILLS



Asia-Pacific Economic Cooperation

Contact Information

Sarah Geisert
Sr. Director Product Safety & Regulatory

General Mills
#1 General Mills Blvd. W01B
Minneapolis, MN 55426 USA
Phone: 952-474-5346
Cell: 612-845-6418
E-mail: Sarah.Geisert@Genmills.com



PTIN Food Safety Incident Management Workshop

Big Sky, Montana, USA
14-15 May 2011

Asia-Pacific Economic Cooperation (APEC)
Food Safety Cooperation Forum (FSCF)
Partnership Training Institute Network (PTIN)



Asia-Pacific
Economic Cooperation



FSCF Food Safety
Cooperation Forum
PTIN Partnership Training
Institute Network



FOOD STANDARDS
Australia New Zealand
Te Mana Kounga Kai - Ahitereiria me Aotearoa