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)
Incident/Crisis Management: Challenges, Insights & Model Practices

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APEC FSCF PTIN
Food Safety Incident Management Seminar

May 2011
Goals for Today

– Explore Incident Management Challenges

– Characteristics of a Crisis, Imperative & Preparation

– Share Tools & Model Practices
“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?

United States

- 2001: 32%
- 2002: 44%
- 2003: 48%
- 2004: 51%
- 2005: 48%
- 2006: 49%
- 2007: 53%
- 2008: 58%
- 2009: 38%

U.K./France/Germany

- 2001: 35%
- 2002: 41%
- 2003: 35%
- 2004: 40%
- 2005: 36%
- 2006: 38%
- 2007: 34%
- 2008: 36%
- 2009: 36%

20-point drop

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

Communication & Cultural Differences

Gaps in Data or Data Accuracy

Raw Material Diversity

Multiple Country Considerations

Product Diversity

Product Diversity

Gaps in Data or Data Accuracy

Raw Material Diversity

Multiple Country Considerations

Communication & Cultural Differences

Gaps in Data or Data Accuracy

Raw Material Diversity

Multiple Country Considerations
## Incident Management Challenge # 2
### Enormous Global Complexity

<table>
<thead>
<tr>
<th>Category</th>
<th>Challenges</th>
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</table>
| **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.

APEC
Asia-Pacific Economic Cooperation
“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
<table>
<thead>
<tr>
<th>Ten Crisis Imperatives</th>
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<tbody>
<tr>
<td>1. Centralize Control</td>
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<td>2. Centralize Communications</td>
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<td>3. Maintain Credibility</td>
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<td>4. Think Strategically</td>
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<td>5. Know your priorities</td>
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<td>6. Be Proactive</td>
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<td>7. Research / Monitor / Calibrate</td>
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<td>8. Be Accessible, Responsive</td>
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<td>9. Leverage Positive Image / Reputation</td>
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<td>10. Limit the Duration</td>
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</table>
Crisis Lifecycle & Leadership Strategies

- Disequilibrium (Stress)
  - Preparation Phase
  - Immediate (Emergency) Phase
  - Intermediate Phase
  - Long Term Learning

- Time

- Conduct Continuous Planning
- Build the Team
- Focus on the Core Purpose
- Lead from the Front
- Mitigate the Threat
- Tell the Story
- Profit from the Crisis

* Braden, Cooper, Powell, Klingele, Robbins 2005
#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

Failures Teach more than Success
Identify What is Working and Replicate

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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?
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**

1. **Determine the business need to be met**
2. **Identify Sponsors – Senior Management**
3. **Identify a Facilitator**
4. **Identify a Participant(s)**
5. **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.
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.

<table>
<thead>
<tr>
<th>Decision/Activity</th>
<th>Responsible</th>
<th>Approver</th>
<th>Consulted</th>
<th>Informed</th>
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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
### Product Recall Standardized Data Elements to be provided:

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

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