

Inspection Checklist for Incident Response (7 CFR 331, 9 CFR 121, 42 CFR 73)

Entity Name:

Inspection Date:

Building/Rooms:

Inspectors:

When information is entered in this form, the form is to be considered "Sensitive Select Agent Information."

Section	Regulation Text	Observation	Status	Comments
14(a)	An individual or entity required to register under this part must develop and implement a written incident response plan based upon a site specific risk assessment. The incident response plan must be coordinated with any entity-wide plans, kept in the workplace, and available to employees for review. The current incident response plan must be submitted for initial registration, renewal of registration, or when requested.	An individual or entity required to register under this part must develop and implement a written incident response plan based upon a site specific risk assessment. The incident response plan must be coordinated with any entity-wide plans, kept in the workplace, and available to employees for review. The current incident response plan must be submitted for initial registration, renewal of registration, or when requested.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(b)	The incident response plan must fully describe the entity's response procedures for the theft, loss, or release of a select agent or toxin; inventory discrepancies; security breaches (including information systems); severe weather and other natural disasters; workplace violence; bomb threats and suspicious packages; and emergencies such as fire, gas leak, explosion, power outage, and other natural and man-made events.	The incident response plan must fully describe the entity's response procedures for the theft, loss, or release of a select agent or toxin; inventory discrepancies; security breaches (including information systems); severe weather and other natural disasters; workplace violence; bomb threats and suspicious packages; and emergencies such as fire, gas leak, explosion, power outage, and other natural and man-made events.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(c)	The response procedures must account for hazards associated with the select agent or toxin and appropriate actions to contain such select agent or toxin, including any animals (including arthropods) or plants intentionally or accidentally exposed to or infected with a select agent.	The response procedures must account for hazards associated with the select agent or toxin and appropriate actions to contain such select agent or toxin, including any animals (including arthropods) or plants intentionally or accidentally exposed to or infected with a select agent.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(1)	The incident response plan must also contain the following information: The name and contact information (e.g., home and work) for the individual or entity (e.g., responsible official, alternate responsible official(s), biosafety officer, etc.).	The incident response plan must also contain the following information: The name and contact information (e.g., home and work) for the individual or entity (e.g., responsible official, alternate responsible official(s), biosafety officer, etc.).	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(10)	The incident response plan must also contain the following information: Site security and control.	The incident response plan must also contain the following information: Site security and control.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	

Section	Regulation Text	Observation	Status	Comments
14(d)(11)	The incident response plan must also contain the following information: Procedures for emergency evacuation, including type of evacuation, exit route assignments, safe distances, and places of refuge.	The incident response plan must also contain the following information: Procedures for emergency evacuation, including type of evacuation, exit route assignments, safe distances, and places of refuge.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(12)	The incident response plan must also contain the following information: Decontamination procedures.	The incident response plan must also contain the following information: Decontamination procedures.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(2)	The incident response plan must also contain the following information: The name and contact information for the building owner and/or manager, where applicable.	The incident response plan must also contain the following information: The name and contact information for the building owner and/or manager, where applicable.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(3)	The incident response plan must also contain the following information: The name and contact information for tenant offices, where applicable.	The incident response plan must also contain the following information: The name and contact information for tenant offices, where applicable.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(4)	The incident response plan must also contain the following information: The name and contact information for the physical security official for the building, where applicable.	The incident response plan must also contain the following information: The name and contact information for the physical security official for the building, where applicable.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(5)	The incident response plan must also contain the following information: Personnel roles and lines of authority and communication.	The incident response plan must also contain the following information: Personnel roles and lines of authority and communication.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(6)	The incident response plan must also contain the following information: Planning and coordination with local emergency responders.	The incident response plan must also contain the following information: Planning and coordination with local emergency responders.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(7)	The incident response plan must also contain the following information: Procedures to be followed by employees performing rescue or medical duties.	The incident response plan must also contain the following information: Procedures to be followed by employees performing rescue or medical duties.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(8)	The incident response plan must also contain the following information: Emergency medical treatment and first aid.	The incident response plan must also contain the following information: Emergency medical treatment and first aid.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(d)(9)	The incident response plan must also contain the following information: A list of personal protective and emergency equipment, and their locations.	The incident response plan must also contain the following information: A list of personal protective and emergency equipment, and their locations.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	

Section	Regulation Text	Observation	Status	Comments
14(e)(1)	Entities with Tier 1 select agents and toxins must have the following additional incident response policies or procedures: The incident response plan must fully describe the entity's response procedures for failure of intrusion detection or alarm system.	Entities with Tier 1 select agents and toxins must have the following additional incident response policies or procedures: The incident response plan must fully describe the entity's response procedures for failure of intrusion detection or alarm system.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(e)(2)	Entities with Tier 1 select agents and toxins must have the following additional incident response policies or procedures: The incident response plan must describe procedures for how the entity will notify the appropriate Federal, State, or local law enforcement agencies of suspicious activity that may be criminal in nature and related to the entity, its personnel, or its select agents or toxins.	Entities with Tier 1 select agents and toxins must have the following additional incident response policies or procedures: The incident response plan must describe procedures for how the entity will notify the appropriate Federal, State, or local law enforcement agencies of suspicious activity that may be criminal in nature and related to the entity, its personnel, or its select agents or toxins.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
14(f)	The plan must be reviewed annually and revised as necessary. Drills or exercises must be conducted at least annually to test and evaluate the effectiveness of the plan. The plan must be reviewed and revised, as necessary, after any drill or exercise and after any incident. Drills or exercises must be documented to include how the drill or exercise tested and evaluated the plan, any problems that were identified and corrective action(s) taken, and the names of registered entity personnel participants.	The plan must be reviewed annually and revised as necessary.	<input type="radio"/> No <input type="radio"/> Yes <input type="radio"/> N/A	
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