

Incident Response Plan Template

(42 CFR § 73.11, 7 CFR § 331.11, and 9 CFR § 121.11)

(August 2021)

Centers for Disease Control and Prevention (CDC)

Division of Select Agents and Toxins (DSAT)

Animal and Plant Health Inspection Service (APHIS)

Division of Agricultural Select Agents and Toxins (DASAT)

# Instructions for Using Incident Response Plan Template

Please note that the Incident Response Plan Template is not required by FSAP to be used by the entity. The purpose of this document is to facilitate creating an incident response plan that meets Section 14 of [7 CFR Part 331](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=b9126e9fba23e3e7933354a1d2630d72&ty=HTML&h=L&n=7y5.1.1.1.9&r=PART), [9 CFR Part 121](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=b9126e9fba23e3e7933354a1d2630d72&ty=HTML&h=L&n=9y1.0.1.5.58&r=PART), and [42 CFR Part 73](http://www.ecfr.gov/cgi-bin/text-idx?SID=30e8073a163f0f74b1dfcfc1fc488399&mc=true&node=pt42.1.73&rgn=div5). This document template is made to allow the entity to customize to fit the specific needs of the entity.

# Incident Response Emergency Contact Information

Fill in the following contact information lines as applicable to your organization. Feel free to add more lines as necessary.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name (first, last)** | **Title** | **Response Role** | **Phone number** | **Location** |
|  | **Responsible Official** |  |  |  |
|  | **Alternate Responsible Official(s)** |  |  |  |
|  | **Principal Investigator(s)** |  |  |  |
|  | **Security Officer** |  |  |  |
|  | **Police** |  |  |  |
|  | **Fire** |  |  |  |
|  | **Hazmat** |  |  |  |
|  | **FBI WMDD Coordinator** |  |  |  |

Fill in the following contact information lines as applicable to your organization. Feel free to add more lines as necessary.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name (first, last)** | **Title** | **Response Role** | **Phone number** | **Location** |
|  | **Biosafety Officer** |  |  |  |
|  | **Facility Operations/Manager** |  |  |  |
|  | **Security Officer** |  |  |  |
|  | **Building owner/manager** |  |  |  |
|  | **Tenant Offices** |  |  |  |

# Sample Incident Response Immediate Responsibilities

|  |  |
| --- | --- |
| **Incident Type** | **Immediate Responsibilities** |
| **Theft** **or Loss** of Select Agents and Toxins | 1. Notify local authorities. 2. Notify Federal Select Agent Program (FSAP). 3. Notify the Federal Bureau of Investigations –Weapons of Mass Destruction Directorate. |
| **Laboratory Acquired Infection** **(LAI)** involving select agents and toxins | 1. Contain select agents and toxins. 2. Ensure appropriate medical care is provided to the affected individual(s) and begin medical surveillance. 3. Notify local public health officials. 4. Notify FSAP. |
| **Bites/scratches** from select agent infected animals or Contact with body fluids from select agent infected animals | 1. Ensure appropriate medical care is provided to the affected individual(s) and provide medical surveillance. 2. Contain the select agents and toxins. 3. Notify FSAP. |
| **Needle sticks/sharps injury** involving select agents and toxins | 1. Ensure appropriate medical care is provided to the affected individual(s) and provide medical surveillance. 2. Contain the select agents and toxins. 3. Notify FSAP. |
| **Release of select agents and toxins** outside of secondary containment | 1. Contain the select agents and toxins. 2. Evacuate the area. 3. Decontaminate the area appropriately. 4. Perform occupational exposure assessments and ensure appropriate medical care is provided to affected individuals. 5. Notify FSAP. |
| **Occupational exposure** to select agents for individuals where medical surveillance has not been provided, including any immunocompromised or pregnant/ lactating women. (open bench work in clinical diagnostic laboratories) | 1. Ensure appropriate medical care is provided to the affected individuals and provide medical surveillance. 2. Contain the select agents and toxins. 3. Notify FSAP. |
| **Failure of validated select agent inactivation** procedure – where the material was removed from appropriate registered containment level | 1. Move material into registered containment space. 2. Assess for potential occupational exposures. 3. Notify FSAP. |
| **Discovery:** the finding of a select agent or toxin by an individual or entity that was not aware of its existence. Examples include, but are not limited to, the following:   1. A registered individual or entity finds a select agent or toxin not accounted for in its inventory; or   (2) A non-registered individual or entity finds a select agent or toxin. | 1. Move material into registered containment laboratory. If not registered, transfer or destroy select agents and toxins. 2. Notify FSAP. Note: Non-registered entities should contact FSAP first before transferring material. |

# Decontamination/Spill Response Plan

## Required Equipment/Supplies

|  |  |
| --- | --- |
| Equipment | Description/Location |
| **Personal protective equipment (PPE):** |  |
| Lab coat/Tyvek/Apron |  |
| Goggles/Eye Protection |  |
| Gloves |  |
| Booties |  |
| Respirator (if needed) |  |
| **Spill Kit:** |  |
| Hazard Sign |  |
| Biohazard Bag (for waste material) |  |
| Disinfectant |  |
| Absorbent Material |  |
| Broom/Dustpan |  |
| Forceps |  |
| Paper Towels |  |
| Ethanol |  |

## Decontamination Procedure

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Workplace Violence

List the incident type here. **Note**: It may be helpful to copy this information from the Regulatory Requirements table on page 10 of the Incident Response Plan.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Workplace Violence |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Bomb Threat

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Bomb Threat |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Sample Bomb Threat Checklist

**Following is information to be recorded by a bomb threat message recipient during or immediately after the threat is communicated.**

* Date/Time
* Time Caller Hung Up
* Phone Number Where Call Was Received Questions to ask Caller:
* Where is the bomb located? (Building, Floor, Room, etc.)
* When will it go off?
* What does it look like?
* What kind of bomb is it?
* What will make it explode?
* Did you place the bomb? (Yes, No)
* Why?
* What is your name?
* Where are you?

Record Exact Words of Threat:

Caller’s Voice

* Accent
* Angry
* Calm
* Clearing throat
* Coughing
* Cracking voice
* Crying
* Deep
* Deep breathing
* Disguised
* Distinct
* Excited
* Female
* Laughter
* Lisp
* Loud
* Male
* Nasal
* Normal
* Ragged
* Rapid
* Raspy
* Slow
* Slurred
* Soft
* Stutter

Background Sounds:

* Animal Noises
* House Noises
* Kitchen Noises
* Street Noises
* Booth
* PA System
* Conversation
* Music
* Motor
* Clear
* Static
* Office machinery
* Factory machinery

Threat Language:

* Incoherent Message Read
* Taped
* Irrational
* Profane
* Well-spoken
* Machinery
* Local
* Long distance

# Incident: Suspicious Package

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Suspicious Packages |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Natural Disaster

List the incident type here. Note: It may be helpful to create more than one set of instructions to apply to different types of natural disasters as necessary for your organization.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Natural Disasters |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Fire

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Fire |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Gas Leak

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Gas Leak |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Explosion

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Explosion |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Information Systems Breach (Unauthorized Access to Electronic or Hard Copy Material)

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Information Systems Breach |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Power Outage

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Power Outage |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Security Breach/Suspicious Activity

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Security Breach |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Inventory Discrepancy

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Inventory Discrepancy |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary.

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Theft

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Theft |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Loss

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Loss |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: Release

List the incident type here. Note: It may be helpful to copy this information from the Regulatory Requirements table.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
| Release |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Incident: [List Type]

List the incident type here. Feel free to copy and paste this template as many times as necessary to create plans for all incident types that may apply to your entity.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident** | **Definition of Incident** | **Examples** | **Likelihood of Advance Notice** |
|  |  |  |  |

## Procedure:

List the incident response plan steps, including call outs for specific responsible parties. Add or remove steps as necessary. **FSAP’s expectation is that the entity’s first priority is protecting people, followed immediately by securing select agents and toxins.**

|  |  |  |
| --- | --- | --- |
| **Person Responsible** | **Step** | **Priority** |
| Ex. Responsible Official (RO) | Step 1: | Medium |
| Ex. All | Step 2: | High |
|  | Step 3: |  |
|  | Step 4: |  |
|  | Step 5: |  |

# Annual Training

List the incident type, a description of the training (e.g., class, online presentation, drill or exercise), how the individuals receiving the training are evaluated to ensure comprehension, and the date that the training was performed. Note that training should be performed at least annually.

|  |  |  |  |
| --- | --- | --- | --- |
| **Incident Type** | **Description of Training** | **Evaluation Method** | **Date Performed** |
| Ex. Fire | Fire Drill | Successful Role Call | 5/5/2015 |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

# Incident Response Checklist

Ensure that the entity has an Incident Response Plan that applies to each of the following:

|  |  |  |
| --- | --- | --- |
| **SOP** | **Yes** | **No** |
| * Workplace Violence * Bomb Threat * Suspicious Packages * Natural Disasters * Fire * Gas Leak * Explosion * Information Systems Breach * Power Outage * Security Breach/Suspicious Activity * Inventory Discrepancy * Theft, Loss, Release * Annual Training |  |  |

Ensure that the Incident Response Plan contains the following information:

|  |  |  |
| --- | --- | --- |
| **Details** | **Yes** | **No** |
| * 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 name and contact information for the building owner and/or manager, where applicable. * The name and contact information for tenant offices, where applicable. * The name and contact information for the physical security official for the building, where applicable. * Personnel roles and lines of authority and communication. * Planning and coordination with local emergency responders. * Procedures to be followed by employees performing rescue or medical duties. * Emergency medical treatment and first aid. * A list of personal protective and emergency equipment, and their locations. * Site security and control. * Procedures for emergency evacuation, including type of evacuation, exit route assignments, safe distances, and places of refuge. * Decontamination procedures. |  |  |