FASCAT

FOOD AG SECTOR CRITICALITY ASSESSMENT TOOL

FASCAT 3.0 Guidance

Overview

Guidance Document

As outlined in the National Infrastructure Protection Plan, government and the private sector are jointly responsible for protecting the critical components that make up the designated Critical Infrastructures and Key Resources (CIKR). Further, the new FDA Food Safety Modernization Act requires food production, processing and distribution firms to conduct hazards analysis of their supply, processing and production chains, to document these hazards and their analysis as well to document and implement protective controls to protect these critical systems.

Fundamental to that effort is to identify what those critical components are. In some infrastructures, these critical components are physical assets. The Food and Agriculture infrastructure, due to its unique, complex, broad based, globally distributed and highly integrated nature, is a system of systems. Therefore, prior to implementing vulnerability assessments, developing protective and mitigation strategies or focusing limited resources on preventive, protective or response planning capabilities, it is vital to assess the systems and subsystems that make up the infrastructure. Only then can those which are truly critical in terms of consequences to our population, the economy and the infrastructure's viability be identified.

This document and the WEB-based FASCAT software tool provided within the FoodSHIELD Portal are integral to the CIKR Information Sharing Environment (ISE). They are designed to assist your firm or your state, in partnership with both the private sector and other regional states as appropriate, to share critical sector information with select owner/operators, select state and federal officials via an established analysis process. This process applies a nationally standardized framework for assessing hazards and the criticality of supply chain nodes, systems and sub-systems within your firm or within your state's Food and Agriculture infrastructure.

For our state users, you will also then be able to provide:

1. An effective response to future DHS National Data Calls for information on critical infrastructure components for Food and Agriculture. The assessment tool will aid in identifying those critical systems and sub-systems within the Food and Agriculture infrastructure and sub-sectors that have national significance and may, depending upon current DHS data call guidance, be reportable.

2. A means to identify sector systems/sub-systems that are critical to key state commodity chains or food systems and that should be prioritized for further state or organizational level vulnerability assessment and possible protective measure(s) or mitigation strategy development.

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3. Export your assessment results via ICDA into the DHS ACAMS system.

For our private sector users, you will be able to:

1. Meet the hazard identification, assessment and documentation requirements of the new FDA Food Safety Modernization Act.

2. Determine the information to support additional vulnerability assessments, development and implementation of preventive controls, mitigation and response planning as well as other risk reporting and documentation requirements.

This new FASCAT 3.0 integrates many of the lessons learned from the last two year's data calls into this web based application. The terminology and system/sub-system descriptions are now synchronized with the current Department of Homeland Security (DHS) taxonomy to facilitate integration of assessment results with required DHS reporting formats. This version also integrates IMPLAN economic modeling into queries in order to support justification for economic impacts, essential to the data call system nominations. Additionally, selected scenarios developed by past users have been integrated into the tool as a helpful tool to assessing potential hazards scenarios within selected supply chains.

The FASCAT 3.0 tool includes:

- Data input screens
- Data selection lists
- Radio button selection processes (point and click)
- Automated scoring process
- Data summary worksheets for complete assessments
- Data analysis tools

FASCAT 3.0 includes representative flow charts which are provided for reference to assist the assessment team in identifying which supply chain and system component is being assessed. Interactive supply and commodity flow chart feature will be reintroduced in future versions of the tool along with a simplified, user friendly supply chain chart builder.

It is critical for users to follow a process that engages the state agencies and private sector. Unlike many critical infrastructures such as nuclear power, energy and dams, states don't generally have the primary data on all the elements of the Food and Agriculture infrastructure. This infrastructure exists primarily within the private sector and, while it is inspected, licensed and regulated by government, it is owned and operated outside of government.

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As a result, engaging across state agencies and with the private sector is the only way to successfully fully characterize the Food and Agriculture infrastructure within each state and assess what is most critical.

It is important to recognize that this is not a standalone risk assessment or vulnerability assessment tool, but rather this is a hazard and system characteristics based assessment that employs a raking and comparative analysis of sub-sectors/sub-systems against others in that same system or those in another such system. Indeed, the objective is to facilitate the identification of those Food and Agriculture infrastructure systems and sub-systems that should be considered critical and which, upon consideration of a variety of factors, should be prioritized for further vulnerability assessment, implementation of protective controls, mitigation and response planning within the sector by the owner/operators in coordination with federal, state.

In general, that means that representatives from multiple agencies with direct working knowledge of the infrastructure need to be engaged. This includes agencies responsible for agriculture (e.g. inspection program leads, emergency response leads), animal health (e.g. state veterinarian), environment (e.g. waste permitting), health (e.g. inspection, foodborne illness, epidemiology), transportation, law enforcement, homeland security and others. In addition, representatives from the private sector need to be involved, either as individual lead companies or associations (e.g. farm bureaus, animal agriculture associations, food processing associations). Based on several pilots, the most efficient way to approach this is to have the state lead this effort. The first step is to conduct a training session with all of the appropriate government and private sector leads to familiarize them with the tool and to review/augment their available data. After updating or adding to their Food and Agriculture system data, the second step is to host a working session to populate FASCAT to determine an initial characterization of the infrastructure and an assessment of what is most critical in the state.

Through the use and further development of this tool, the sector owner/operators, each state, and thus the country, will move toward a greater understanding of what is critical in the Food and Agriculture sector. As a result, precious resources can be focused on increasing the protection of the system from man-made, natural, or accidentally threats. These efforts will assist in reducing the probability of a successful attack, increase our ability to rapidly identify threats, and assist in recovery to normalcy post-event.

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Use and Operation of the FASCAT Criticality Assessment Tool

Accessing the FASCAT Tool

While an early, limited application PC-based version of the tool is available to the public on the FOODSHIELD portal, this new, more advanced and comprehensive version of the FASCAT tool is only available through the FOODSHIELD portal to those with login credentials. This is because the tool and any data assessed via the web version of the tool is compartmentalized within password protected areas of the portal in order to protect the confidentiality of the information for the information owners.

Organization of the FASCAT 3.0 Tool

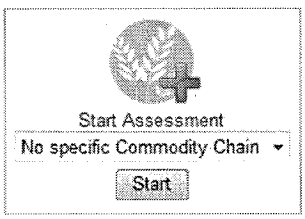
FASCAT has six main components that utilize separate worksheets within the program:

- The organization and participants input Form
- The Assessment Results Summary page
- The Systems/Sub-system Identification and Selection Worksheet
- The Hazards, Consequences, Characteristics worksheet
- The ICDA Outputs Tool
- The User Query Tool Page

FASCAT 3.0 Users Guide to Completing the Worksheets

To Start a New Assessment

- Locate the **Start Assessment** icon
- Select a **Commodity Chain** from the dropdown menu



Selecting a commodity chain will place the assessment into a commodity workgroup, so that individuals with the proper security rights can view this assessment.

Note: To start an assessment without selecting a commodity chain, click **Start** > **Start a New Report**.