



FOOD SAFETY AUDIT REPORT
AIB Food Safety Checklist English Template 20060428

DRAFT

By
Food Safety Auditor

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RATING

A food safety audit was conducted at this facility on **Error! Reference source not found.** The writer was accompanied throughout the audit by Mr. **(AUDITOR FILL IN)**.

Excellent cooperation was received by the writer, and on some occasions, the items were immediately corrected.

At the conclusion of the audit, a meeting was held to discuss the observations, recommendations, and rating.

Based on the observations made, the information obtained, and the criteria set forth in the *AIB Consolidated Standards for Food Safety*, the overall food safety level of this facility was considered to be:

UNSATISFACTORY (0)

An “Unsatisfactory” rating was assigned due to (AUDITOR FILL IN WHEN APPLICABLE)

The “serious” or “unsatisfactory” items are shaded, boxed, and bolded in the text of the report. Refer to the definitions in the AIB Consolidated Standards.

The “improvement needed” items are designated in bold type and require prompt attention.

The AIB International states that the report as given herein is to be construed as its findings and recommendations as of the date of this report. The AIB International accepts no responsibility and does not assume any responsibility for the food safety program in effect with (customer). That further AIB International is only making report of the food safety conditions of (customer) as of the date of this report and assumes no responsibility or liability as to whether (customer) carries out the recommendations as contained in this report or does not carry out the recommendations as contained in this report.

RATING ANALYSIS

DATE OF AUDIT: **Error! Reference source not found.**

TYPE OF AUDIT: Error! Reference source not found.

OVERALL RATING: **UNSATISFACTORY**

ADEQUACY OF FOOD SAFETY PROGRAM

PEST CONTROL

OPERATIONAL METHODS AND PERSONNEL PRACTICES

MAINTENANCE FOR FOOD SAFETY

CLEANING PRACTICES

TOTAL: **0**

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AIB FOOD SAFETY CHECKLIST – FOR FOOD SAFETY

OK = None or minor discrepancy

S = Serious

IN = Improvement Needed

U = Unsatisfactory

created 12/02

Adequacy of Food Safety Program	OK	IN	S	U	Comments
1. Responsibility and authority for ensuring compliance with federal, state, governmental and/or any other appropriate regulatory law or guideline had been clearly assigned to a competent supervisory level person(s), and a functional organizational chart was maintained. The competent supervisory level person ensured that all employees were aware of their responsibilities and mechanisms were in place to monitor the effectiveness of the operation and had obtained the required regulatory food security registration.					This regulatory compliance responsibility had been assigned to
Quality Manual					
2. The company had a system in place to ensure that it was kept informed of all relevant legislation; food safety issues; legislative, scientific, and technical developments; and industry codes of practice. This system was maintained at a central corporate level or at the plant level.					
3. The department(s) responsible for implementing hygiene/sanitation, quality control or quality assurance had established written procedures or work instructions outlining specific responsibilities of each department member and employee in a Quality Manual.					
4. These procedures and work instructions were defined in job descriptions, and appropriate arrangements were in place to cover for the absence of key employees.					
5. This Quality Manual stated the company's commitment to quality and had a scope that covered and implemented the requirements in these standards.					
6. The Quality Manual was readily available to relevant staff, and the company's management regularly reviewed its quality and production systems to ensure continued effectiveness and suitability.					The quality and production systems were last reviewed on
7. The Quality Manual included a clearly defined and documented quality policy statement that stated the company's intention to meet its obligations to produce safe and legal products and its responsibility to its customers.					
8. The company's senior management had demonstrated commitment to the implementation of the Company Quality Policy by signing off on this policy. All supervisory staff and key personnel understood and implemented the policy, and the policy had been communicated throughout the company and was regularly reviewed.					The quality policy was signed by

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
Self-Inspections					
9. The facility had established a formal food safety committee. This committee was multidisciplinary in membership and operated on a predetermined frequency ensuring that complete inspections of the entire facility were conducted no less than once per month. Records of each inspection were an integral part of this requirement, and documentation of specific assignments and actual accomplishments were maintained. Follow-up inspections were done to ensure that items were corrected.					The most recent monthly inspection was conducted on
10. The company audited systems and procedures critical to product safety, legality, and quality, to ensure they were in place, appropriate, and complied with. The audits were scheduled and their scope and frequency were established in relation to the risks associated with the activities being audited.					
11. These internal systems and procedures audits were carried out by competent auditors who were independent of the area of operation being assessed. Results of the internal audit were brought to the attention of the personnel responsible for the activity audited.					
12. Corrective actions and timescales for their implementation were agreed upon. A record of all programmed internal audits and associated corrective actions was maintained. Corrective actions were verified to ensure satisfactory completion.					
Budget					
13. All departments directly involved in implementing food safety have established an appropriate budget and support to maintain the proper and timely acquisition of appropriate tools, materials, equipment, monitoring devices, chemicals, and pesticides.					
Cleaning Programs					
14. A Master Cleaning Schedule for periodic cleaning assignments and a daily housekeeping schedule had been undertaken as a formalized written plan. The MCS specifies frequency, responsibility, and postcleaning evaluation and was up to date. The schedule includes the outside grounds, building, drains, utensils, and equipment, including refrigeration equipment.					The schedule was up to date, and conditions in the facility supported the documentation.

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
15. Detailed equipment cleaning procedures were developed for personnel training and maintaining the hygiene level of the equipment. These written procedures were developed and utilized for cleaning all equipment used for food storage, processing, and packaging and for all building areas and outside grounds.					
Documentation and inspection of incoming materials:					
16. Documented procedures for inspection of incoming raw materials were maintained.					
17. All incoming raw ingredients and packaging were inspected by trained personnel using proper and appropriate equipment.					
18. Records indicating date of receipt, carrier, lot number, temperature, amounts, and product condition were maintained.					
19. Bulk deliveries, both dry and liquid, include visual inspection both before and after unloading. These inspections were documented.					
20. Incoming vehicles were inspected to ensure product integrity. These inspections were documented.					
21. Raw materials susceptible to mycotoxins, pathogenic microorganisms, or autolysis from temperature abuse were segregated and covered by a separate written procedure.					
22. Appropriate specifications were on file for raw materials, packaging materials, finished products, and intermediate/semiprocessed products. The specifications were adequate and accurate to ensure compliance with relevant food safety and legislative requirements. Specifications were, where appropriate, formally agreed upon with relevant parties and reviewed periodically.					
23. Records of results of examinations and/or copies of supplier guarantees or certifications verifying compliance with federal or other governmental regulations, guidelines, or Defect Action Levels of raw materials, food packaging, and products were maintained.					
Hazard Analysis Critical Control Point (HACCP) program					
24. The HACCP program had a senior management commitment. This manager had signed the program.					

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
25. A multidisciplinary team had been established with a team leader identified. The team leader had been trained and demonstrated competence in understanding and applying HACCP principles. HACCP team members had been trained and had adequate experience. At least one team member had certified HACCP training.					
26. Prerequisite programs had been developed prior to the HACCP plan. These include cleaning and sanitation/hygiene, GMPs and personnel practices, pest control, preventive maintenance, chemical control, food safety customer complaints, recall and traceability, supplier specifications and control, and receiving, storage, and shipping.					
The HACCP program included the following points:					
27. Descriptions of each product manufactured and identified hazards inherent to the items manufactured.					
28. An assessment of risk had been completed and identified which hazards were of such nature that their elimination or reduction to acceptable levels was essential to the safe production of food.					
29. A hazard analysis study was undertaken for all products, new and old, to identify and assess all potential safety hazards and associated risks.					
30. The critical control points (CCPs) were identified and the procedure for controlling the hazard was well described. The CCPs identified were controlled and monitored within the predetermined limits described in the plan.					
31. The critical limits were identified. All critical limits were scientifically established and recorded.					
32. Specified monitoring frequency and designated person(s) responsible for testing.					Records were collected by
33. Establish and document deviation procedures.					
34. Establish and document verification procedures.					The records were verified by
35. Maintain documentation of procedures, records of conformance, and effective correction actions resulting from nonconformance.					
36. The processes and process lines were covered by the HACCP system and were reviewed on at least an annual basis. Records of this review should be maintained for a minimum of two years.					The annual review was conducted on
37. Management and employee training was conducted both in HACCP protocol and the associated program documentation. All employees working at a designated CCP area had basic training and experience.					

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
Training					
38. The Personnel Department had created specific, written procedures for providing food safety training to all personnel, including new employees, and maintained records of training completion. The training included written employee policies that have been established for the company.					
39. Refresher training was conducted on at least an annual basis for all existing employees.					The last refresher training was held on
40. Prior to beginning work, temporary personnel and contractors were trained as appropriate and were adequately supervised throughout the working period.					
41. A formalized, written program for evaluation of consumer complaints, particularly those related to adulteration, had been established. This program conformed to company policy and included the rapid dissemination of complaint information to all departments responsible for implementation of the food safety program. Complaint information was used, where appropriate, to avoid recurrence and implement ongoing improvements to product safety, legality, and quality. Actions appropriate to the seriousness and frequency of the problems identified appeared to be carried out promptly and effectively.					
42. A documented recall program was on file for all products manufactured. This procedure was regularly reviewed. All products were coded, and lot or batch number records were maintained. Distribution records were maintained to identify the initial distribution and to facilitate segregation and recall of specific lots.					This procedure was last reviewed on
43. The recall program was tested every six months, and documentation was maintained.					The last exercise was conducted on
44. All raw materials were identified in the program and work in progress, rework, and finished products were traceable at all stages of manufacture, storage, dispatch and, where appropriate, distribution to the customer.					
Each food manufacturer should establish a procedure for handling regulatory inspections and third party auditors that should include:					
45. Person(s) delegated to accompany all inspectors and company policy regarding photographs, records, and samples.					

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
Nonconforming Products					
46. Clear procedures for the control of nonconforming work in progress, finished, or returned product were in place and understood by all authorized personnel. These procedures include disposition by rejection, acceptance with restrictions, or regrading for an alternative use. Corrective actions appeared commensurate with the seriousness of risk identified. Adequate documentation shall be kept of the action taken. Records were kept of the disposition of the product and accounted for the total quantity of the nonconforming material produced.					
47. A suitably trained person evaluated and decided on the disposition of nonconforming product.					
Processing Records (when applicable)					
48. Processing records were maintained and contained sufficient information to comply with government regulations.					
49. Written operating procedures, instructions, and reference documents verified that processes and equipment employed were capable of producing consistently safe and legal product with the desired quality characteristics.					
50. These written, detailed procedures, instructions, and reference documents covered all processes critical to product safety, legality, and quality. The documents were clearly legible, unambiguous, and sufficiently detailed to enable the appropriate personnel to associate the documents with the corresponding process. The documents were readily accessible at all times. The documents were properly authorized and the correct versions were kept on file.					
51. The company maintained legible, genuine records to demonstrate the effective control of product safety, legality, and quality. The company had procedures in place for the collation, review, maintenance, storage, and retrieval of all records pertaining to product safety, legality, and quality. The records were retained in good condition, for an appropriate defined time period so that they can be reviewed. Any amendments to records were appropriately authorized.					

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
52. In the event of changes to product formulation, processing methods, equipment or packaging, the company, where appropriate, reestablished process characteristics and validated product data, to ensure product safety, legality, and quality. The reason for any changes or amendments to documents critical to product safety, legality, or quality systems and procedures were recorded. A procedure was in place to ensure obsolete documentation was rescinded, and if appropriate, replaced with a revised version.					
53. In the case of equipment failure or process deviation, procedures were in place to establish the food safety status of the product, prior to release for further processing or distribution. The company had procedures to investigate the cause of significant nonconformity to standards, specifications, and procedures that were critical to product safety, legality, and quality. Corrective actions were undertaken in a timely manner to prevent further occurrence of nonconformity. Any corrective action plan relating to safety, legality, or quality was approved by personnel who had defined responsibility and accountability for these areas of control. These personnel were responsible for verifying that the corrective action plan had been completed satisfactorily. Corrective actions were accurately documented, showing responsibility and accountability for completion.					
54. The company undertook or subcontracted analyses critical to product safety, legality, and quality using appropriate procedures and facilities. Procedures were in place to ensure reliability of test results. Personnel undertaking analyses were suitably qualified, and/or trained and were competent to carry out the analyses required.					
Evaluation of Suppliers					
55. The company had documented procedures for the evaluation, selection, and maintenance of approved suppliers of goods and services that affect product quality and food safety. A detailed food safety supplier audit was conducted at least annually.					
56. An up-to-date list of approved and nonapproved suppliers was available. The procedures defined how exceptions were handled, i.e., use of products or services, where inspection or monitoring had not been undertaken. These procedures included clear criteria for initial and ongoing assessment and standards of performance required.					

Adequacy of Food Safety Program (cont'd)	OK	IN	S	U	Comments
57. Assessment to monitor performance was done through in-house checks, certificates of analysis, or extended to supplier inspection, as appropriate.					
58. Supplier assessment included evaluation of HACCP systems, product safety information, and legislative requirements. The methods and frequency of assessment was based on the risk to the organization.					
59. Where the company undertook or subcontracted analyses critical to product safety, legality, and quality, the laboratory was independently accredited by a competent body.					
60. A glass and brittle or hard plastics policy had been written and implemented. The policy stated that no glass or brittle plastics were to be used in the facility, except where absolutely necessary. The policy also stated that no glass should be brought into the facility in employees' personal effects.					
61. Included in the policy was a procedure for handling any glass that was broken in the facility. The procedure also covered any brittle or hard plastic that was broken in a location where it could jeopardize the product.					
62. A list of all essential glass and brittle plastics had been compiled and the items on the list checked on a regular basis to ensure that any accidental breakage was noted and addressed.					The last glass and brittle plastic audit was conducted on
63. A formal preventive maintenance program and work order system was in use to prioritize the elements of identified structural, equipment, or utensil maintenance problems that could cause food adulteration. The company ensured that the safety and legality of product were not jeopardized during maintenance operations.					
64. The plant had established a formalized program for the control of bacteria, yeast, and mold, as required. Records of laboratory analysis and/or environmental samples were maintained by the appropriate department, as necessary. On site laboratory facilities, where provided, did not jeopardize the safety of product.					

Additional Comments for Adequacy of Food Safety Program:

- 1.

Pest Control	OK	IN	S	U	Comments
<p>65. The facility maintained a formalized in-house pest control program or service from an outside pest control contractor that included written procedures designed to prevent actual or potential adulteration from pest activity or use of materials and/or procedures designed to control pest activity.</p> <p>Where the pest control program was conducted in-house, it will be managed by a currently licensed employee. Where licenses are not required, the employee will be properly trained and documentation will be on file.</p>					
<p>The manufacturing facility serviced by in-house personnel (certified pesticide applicator) had the following documentation:</p>					
66. Sample labels and the associated Material Safety Data Sheets (MSDS) were maintained for each pesticide.					
67. The plant had written procedures for the application of all pesticides.					
68. Accurate records were maintained for the application of all pesticides.					
<p>Facilities serviced by a contracted licensed pest control company maintained documentation that included:</p>					
69. A service contract describing services to be rendered, including chemicals, methods, precautions, and MSDS.					
70. Sample labels of all pesticides used.					
71. Complete and accurate service records describing current pest activity and recommendations for reducing potential or actual activity.					
72. Documentation of pesticide application was accurate and maintained in accordance with government regulations. Record included materials applied, target organism, amount applied, area applied, method of application, rate of application, date and time treated, and applicators signature.					
73. Current copies of the liability insurance certificate and applicators license were on file.					
<p>The plant had established effective preventive programs for elimination of pest activity. Specific procedures included but were not limited to:</p>					
74. Outside bait stations had been installed for the control of rats and mice. EPA approved or registered rodenticide baits or monitoring (nontoxic) feeding blocks were used. The stations were tamper resistant, labeled, locked, and secured in place at 50- to 100-foot (15- to 30-meter) intervals around the facility's					

perimeter. Each station was signed and dated on the inside lid by the inspector following each visit. Reusable plastic ties or other materials easily cut were not used to secure covers. Only manufacturer supplied or recommended devices were used.

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Pest Control (cont'd)	OK	IN	S	U	Comments
75. The outside bait stations were checked on at least a monthly frequency as evidenced by the service sticker located inside each device.					
76. The internal rodent control program included devices such as glue boards, mechanical traps, extended trigger traps but not feeding stations of any kind. These measures were undertaken around the interior perimeters at 20- to 40-foot (6.5- to 13-meter) intervals or at least one trap on each wall less than 20-40 linear feet (6.5-13 meter) in storage areas. Traps were placed on both sides of each overhead and pedestrian door, where possible. Traps were located in any area where there was potential for rodent activity. The devices were numbered to ease identification.					
77. The internal rodent control devices were checked on at least a weekly frequency and were signed and dated on the interior of the trap by the inspector.					
78. Maps or schematics showing the locations of rodent control devices were maintained and kept current. Service labels were inside the devices.					
79. No rodent burrows, rodent runs, were observed.					
80. Electric flying insect control units were used as needed. Units were installed in locations that did not attract insects from outside the building. Units were not placed within ten feet of covered or protected products or packaging and at least 25 feet from exposed product, packaging, and equipment. Ultraviolet bulbs were replaced at least yearly to ensure maximum efficiency.					
81. Electric insect units were listed on the MCS for cleaning and monitoring on a regular basis. The units were cleaned weekly during the peak insect season and at least monthly during the off-peak season. Installation and use appeared to follow local, state, and federal guidelines.					
82. Birds were controlled by building them out, using netting, screening, or mechanical traps as required.					
83. All pesticide containers and application equipment were properly identified to correspond with the appropriate pesticide contained therein. Separate and distinct application equipment was used for herbicides and insecticide applications.					

Pest Control (cont'd)	OK	IN	S	U	Comments
84. If pesticide treatment was done in-house, pesticides and pesticide application equipment were stored in a locked room, preferably in an outside building away from production areas, and the area must be labeled and maintained for minimum access. The room or outbuilding was of adequate construction, ventilated, and contained materials necessary to ensure safety in case of spills, leakage, or personnel injury.					
85. Disposal of pesticides, pesticide residues, and pesticide containers appeared to be accomplished in accordance with federal and state regulations or consistent with the label, if applicable.					
86. Pest monitoring devices and appropriate integrated pest management strategies were used to provide ongoing monitoring for pest activity. Staff awareness training should be conducted and the reporting of problems encouraged.					
87. No rodents were observed in either the interior or exterior of the plant. There were no sightings of birds, insects, flies, or rodents in any foods or food related areas.					

Additional Comments for Pest Control:

1.

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Operational Methods and Personnel Practices	OK	IN	S	U	Comments
Receipt and Storage of Materials:					
88. The procedures for receipt, storage, and handling of raw materials were done in compliance with the GMPs.					
89. Damaged and/or badly soiled or infested containers were not accepted.					
90. Materials shipped in damaged, dirty, or infested vehicles were rejected. Proper documentation was maintained specifying defects and reasons for rejection.					
91. Perishable or frozen materials met specification temperature requirements at point of receipt. Temperatures were taken and recorded on the receiving documents.					
92. Receiving date was placed on the bottom unit of the pallet or individual container. The placement of this information on the outer stretch-wrap was discouraged.					
93. Ingredients, finished goods, packaging, and other items were off the floor and away from walls and ceilings at least 18 inches (50 cm).					
94. Adequate space for cleaning was maintained between rows of stored products.					
95. All ingredients and packaging were stored in clean, well ventilated, and dry areas and were protected from condensation, sewage, dust, dirt, toxic chemicals, or other contaminants.					
96. Rotation of all ingredients, packaging supplies, and other materials were undertaken on a "first-in, first-out" basis.					
97. Inventories were maintained at a reasonable and appropriate volume to avoid excessive age and insect infestation.					
98. A repalletizing program was implemented for all materials in storage for more than four weeks. A repalletizing date was affixed near the original receiving date when required.					
99. Pallets and skids were clean and in good repair.					
100. All toxic chemicals, including cleaning, maintenance compounds, and non-product-related materials, such as parts and equipment, were segregated from all food ingredients and packaging supplies. Chemicals were stored in a locked area on containment pallets.					
101. Research and Development materials were confined to a designated area and regularly inspected for signs of actual or potential contamination.					

Operational Methods and Personnel Practices (cont'd)	OK	IN	S	U	Comments
102. A designated morgue or salvage area was provided and fully segregated from usable stock. Reworking of salvage was done weekly or as necessary to keep quantities at a minimal level. Rework was clearly identified to maintain traceability.					
103. Procedures were in place to ensure product was not released unless all release procedures have been followed. Product was only released by authorized personnel.					
104. Breather bags and socks were stored in a dustfree environment.					
105. All outside receiving lines or caps to both bulk dry or liquid ingredients were locked and identified.					
106. Clear and concise sampling procedures were developed for obtaining quality control samples from ingredient containers. All openings from sampling were properly resealed and identified.					
107. Appropriate means of filtering of air or covering the inspection hatch was provided during the unloading process on bulk vehicles.					
Transfer and Handling of Materials:					
108. Containers were kept off the floor at all times and covered when not in use. All ingredient storage containers were properly identified to maintain identity and traceability.					
109. All sifters, sieves, rebolters, and scalpers for flour and other finely divided ingredients were checked at least weekly for torn screens and other defects. Records of the checks were maintained. Reject tailings were visually examined and inspected at least daily with observations documented. The records were up to date.					
110. All dry ingredients were sifted and all liquid ingredients strained before use with appropriately sized monitoring devices.					
111. All bulk liquid ingredients were provided with accessible and cleanable in-line receiving strainers. The inspections were documented.					
112. Rubbish, trash, or inedible waste was stored in properly covered labeled containers and emptied daily. When rubbish or inedible waste was transported, it does not come in contact with raw materials, work in process, or finished product.					
113. All ingredient containers in use had individual transfer scoops.					
114. All carryover product, work in progress, and/or ingredients were properly identified and dated. All carryover was minimized and used promptly at the first opportunity.					

Operational Methods and Personnel Practices (cont'd)	OK	IN	S	U	Comments
Operational Appearance:					
115. Production equipment was installed, and supplies were arranged in an orderly fashion. No unused equipment was stored in production or ingredient storage areas.					
116. Spillage, leakage, and waste were promptly removed as part of the daily housekeeping operations.					
Operational Practices:					
117. Effective measures were taken to prevent the inclusion of metal, wood, glass, and all other extraneous materials. This can be accomplished through the use of sifters, magnets, strainers, and metal detectors at appropriate locations.					
118. Metal detection was provided on each product line at the last possible point. The metal or foreign matter detectors incorporated both an alarm and, where applicable, an automatic rejection device. All diverted contaminants entered a locked box, and/or continuously extruded product was identified via an appropriate mark to identify the location of any contaminant.					
119. All such measures were monitored and documented regularly. Procedures for operation, routine monitoring, and testing of the metal and other foreign body detectors were established.					
120. Corrective action and reporting procedures were in place to respond to any failure of the metal or foreign body detector. This included isolation, quarantining, and re-inspection of all food produced since the last acceptable test of the detector.					
121. Hand washing stations were provided, where appropriate, with single use paper towels or hand dryers. All sinks were labeled for intended purpose of use. The sanitizer solution for the hand sanitizing stations was monitored for proper sanitizer concentration, if used.					
122. All washrooms, showers, and locker rooms were maintained in a sanitary manner and kept free of insects, rodents, and mold. "Wash Hands" signs were properly displayed in all rest rooms, lunchrooms, and smoking areas.					
123. Single service containers were not reused. Egg containers were not reused under any circumstances and were not washed in sinks or rack/pan washers.					

Operational Methods and Personnel Practices (cont'd)	OK	IN	S	U	Comments
124. Production facilities, equipment, and/or accessories were designed or provided to facilitate minimum hand contact with raw materials, work in progress, or finished product.					
125. Foods or raw materials capable of supporting the rapid growth of pathogenic microorganisms were held at 40°F or below or 140°F or above to whatever degree as appropriate and necessary to maintain internal temperatures below 40° or above 140° F.					
126. Effective measures were undertaken to prevent cross-contamination between raw materials, refuse, and finished foods. These measures included limiting the movement of personnel between these areas.					
127. Equipment, containers, and utensils used to convey, process, hold, or store raw materials, work in process, rework, or finished foods were constructed, handled, and maintained during processing or storage in a manner that prevented the contamination of raw materials, rework, or finished foods.					
Delivery Practices:					
128. Finished product had legible code marks that were readily seen. Code marks satisfied federal and state packaging requirements and federal "lot" definitions and were used in the product recall program.					
129. Distribution records were maintained to identify initial distribution as per federal regulations.					
130. All shipping vehicles were inspected prior to loading. These inspections were documented.					
131. Temperatures of perishable and/or frozen products were taken and recorded upon loading of trucks. All such products were loaded into a pre-cooled vehicle designated and maintained to sustain required temperatures during delivery. Temperatures of the pre-cooled vehicles were checked and recorded prior to loading. Procedures were, where appropriate, in place in the case of transportation breakdown. These procedures ensure product safety, legality, and quality.					
132. Where the material transported was susceptible to weather damage, vehicles were loaded and unloaded in covered bays so as to protect the material.					
Personnel Practices:					
133. Responsibility for ensuring compliance by all personnel to plant policy was clearly assigned to competent supervisory personnel.					

Operational Methods and Personnel Practices (cont'd)	OK	IN	S	U	Comments
134. Employees were encouraged to practice good personal hygiene habits at all times.					
135. Hand washing was performed at a frequency that was appropriate and done any time the hands became soiled.					
Employees adhered to the following principles when handling raw materials, work in progress, or uncovered finished product:					
136. Clean outer garments were worn by the plant personnel.					
137. Gloves, if worn, were subject to adequate control to avoid product contamination.					
138. Wore effective hairnets to include where applicable head, beard, and mustache covers to fully contain hair and beards.					
139. Removed insecure costume or hand jewelry, including watches, earrings, rings with settings, false fingernails, fingernail polish, and dangling jewelry. Any exception to this was spelled out in the company policy and the reasoning behind it explained.					
140. Perfume or aftershave was avoided by employees in contact with food products.					
141. Eating, drinking, chewing gum, and using tobacco products were restricted to designated areas only.					
142. Employee lunches and/or personal effects were not stored or placed in production or ingredient storage areas.					
143. Personal items, such as pens, pencils, tools essential to production tasks, or thermometers, were not carried in shirt pockets when employees were in production areas. Such items, when needed, were carried in proper holders below the waist.					
144. No person with obvious boils, sores, infected wounds, or any other infectious or communicable disease was permitted to contact food.					
145. All cuts and grazes were covered by a detectable metal strip bandage that was company issued and regularly tested with the metal detector.					
146. Noncompany personnel were required to conform to company sanitation policies and GMPs.					

Additional Comments for Operational Methods and Personnel Practices:

1.

Maintenance for Food Safety	OK	IN	S	U	Comments
147. The site was located and maintained so as to prevent contamination and enable the production of safe and legal products. Consideration had been given to local activities that may have potentially adverse impact, and measures were taken to prevent product contamination.					
Building structure:					
Plant grounds were maintained in a manner that would prevent the possibility of food adulteration. This included but was not limited to:					
148. Proper storing of equipment and removal of litter, waste, weeds, or tall grass from within the 20-foot immediate vicinity of the building.					
149. Maintained roads, yards, and parking lots free of dust or other potential contaminants.					
150. Grounds appeared to have adequate drainage.					
151. Dumpsters or compactors were installed and maintained to minimize leakage or contained such leakage to be easily removed and the area cleaned. Containers were closed or covered as required.					
152. Necessary measures were in place to maintain site security.					
153. All painted structural beams, supports, and other structural systems were maintained to prevent or eliminate any chipping, flaking, and peeling paint.					
154. Adequate aisles or a workspace was maintained between equipment and/or structures to allow adequate cleaning.					
155. Bulk systems and unloading areas were installed and maintained to prevent the adulteration of raw materials or finished product.					
156. Floors, walls, and ceilings were cleanable and kept in good repair.					
157. Adequate floor drains with grates were installed, maintained, and operational in any wet processing or wash areas.					
158. Adequate access was provided to the void for all hollow or suspended ceilings to facilitate cleaning, maintenance or services and inspection for pest activity.					
159. If roof leaks were present, they were promptly identified and repaired.					
160. Fixtures, ducts, and pipes were maintained to prevent condensate from contaminating foods, raw materials, or food contact surfaces.					

Maintenance for Food Safety (cont'd)	OK	IN	S	U	Comments
161. Adequate lighting was provided in all areas. Lightbulbs, fixtures, mirrors, skylights, or other glass suspended over product zones and areas, ingredients, and packaging supplies were of the safety type. Where this could not be provided, the glass management system took this into account.					
162. Air makeup units were fitted with clean filters and maintained free of mold and algae. Air return ducts for heating and air conditioning systems were provided with cleaning and inspection hatches. Fans, blowers, filters, cabinets, and plenums were placed on a preventative maintenance schedule.					
163. Fans and other air blowing equipment were located, cleaned, and operated in a manner that did not cause contamination of raw materials, work in progress, finished foods, food packaging materials, and food contact surfaces.					
164. The physical building was maintained to provide necessary barriers for effective protection against birds, animals, vermin, and insects.					
165. The maintenance department was responsible for the prevention of and systematic elimination of leakage and excessive lubrication. Where drive motors were mounted over product zones or conveyors cross or run parallel to others at different levels, catch pans were installed.					
166. Segregation of operations was undertaken to the degree appropriate and reasonable. Such segregation was accomplished through the use of air curtains, partitions, doors, and/or other exclusionary systems as appropriate.					
167. The plant had design standards to apply to all repairs, changes, or modifications of the structure to reduce the potential for the creations of contamination issues.					
Equipment:					
168. All plant equipment and utensils were designed and of such workmanship as to be adequately cleanable and were properly maintained.					
169. Temporary materials, such as tape, wire, string, cardboard, and plastic, were not used for permanent repairs. If these materials must be used for emergency repairs, they were dated and replaced with a proper permanent repair as soon as possible.					
170. Food contact surfaces were corrosion free and nontoxic.					
171. Seams on food contact surfaces were smoothly bonded. No spot or tack welds were observed.					

Maintenance for Food Safety (cont'd)	OK	IN	S	U	Comments
172. All ingredient and product holding, conveying, and processing systems including bulk systems were designed and constructed in such a way that they could be adequately cleaned and inspected.					
173. Wooden processing equipment should not be permitted for exposed raw materials, work in progress, or unwrapped finished product.					
174. All regulating and recording controls, thermometers, or other temperature measuring devices were installed and routinely calibrated on any equipment intended to sterilize, pasteurize, or otherwise prevent the growth of pathogenic microorganisms. This calibration was traceable to a national standard. Thermometers were present inside coolers, freezers, and other temperature-controlled storage rooms.					
175. Ongoing monitoring of temperature control systems were frequently undertaken with proper documentation maintained and readily available. Mechanical monitoring systems were also utilized and triggered an alarm when temperatures exceeded limits. The temperature recording devices were linked to suitable failure alarms.					
176. Compressed air used in processing was properly filtered to remove particles of 50 microns or larger and did not contain dirt, oil, or water. Traps and/or filters were inspected and/or changed regularly. The filters for air used on product contact surfaces was located as close to the point of use as practicable					
177. Only food grade lubricants were utilized on food processing machines. All such lubricants were fully segregated and stored in a secured and designated area.					
178. Flaking paint on equipment or excessive rust other than normal mild oxidation on mild black steel or ferrous metal was not present.					
179. Pan trucks, hand jacks, forklifts, and other transporting equipment were maintained in such a manner as to prevent the adulteration of products being transported.					
Services:					
180. Plant had a potable water supply from an approved source. Proper documentation was available.					

Maintenance for Food Safety (cont'd)	OK	IN	S	U	Comments
181. The quality of water, steam, or ice that came in contact with food was regularly monitored and presented no risk to product safety. Boiler chemicals were approved for food contact if the steam generated came in direct contact with food.					
182. All water installations and equipment was constructed and maintained to prevent back siphonage and/or backflow.					
183. The sewage disposal system was adequate and appropriate for the process and maintained to prevent either direct or indirect contamination of food.					
184. All washrooms, hand sinks, and locker rooms have both hot and cold running water readily available. Mix valves to adjust water temperatures were also provided. Toilet rooms did not open directly into production, packing, or storage areas.					

Additional Comments for Maintenance for Food Safety:

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Cleaning Practices	OK	IN	S	U	Comments
185. Cleaning operations were performed in a manner to prevent contamination of materials and products. Cleaning or replacement of light fittings and glass was done in a manner to minimize the potential for product contamination.					
186. Only cleaning compounds and sanitizers authorized for food contact surfaces were used for cleaning. Appropriate verification procedures or testing was done periodically to ensure that the concentration of Clean-In-Place (CIP) and other cleaning chemicals were consistent with the product labeling.					
187. When not in use, all cleaning compounds and sanitizers were properly labeled and stored in a locked compartment, away from production and food storage areas.					
188. Cleaning equipment and tools were supplied and readily available for use. All cleaning equipment was maintained and stored in such a way as not to contaminate foods or food equipment					
Cleaning Definitions:					
189. "Deep cleaning" was assigned to the appropriate department(s) and was accomplished by and consistent with a MCS or its equivalent.					
190. The use of air hoses for cleaning was permitted only for inaccessible equipment and in conjunction with deep cleaning operations.					
191. All cleaning procedures were carried out in compliance with applicable safety laws and regulations and according to formally established equipment cleaning procedures. When undertaken safely and in compliance with local and national laws and regulations, all equipment guards, trims, and panels were removed for inspection and cleaning of the interior of all equipment according to the MCS. All equipment guards, trims, and panels were replaced after inspection and cleaning of the interior of equipment.					
192. Equipment and structural "overheads," such as lights, pipes, beams, vent grids, etc., were scheduled for deep cleaning according to the MCS to prevent the development of insects or mold or accumulation of foreign matter.					
193. Daily "Housekeeping or Cosmetic Cleaning" was assigned to the appropriate departments and undertaken to ensure work and support areas were maintained during normal working hours. All such operations were undertaken in a manner to prevent contamination.					

Cleaning Practices (cont'd)	OK	IN	S	U	Comments
194. Hot water use for cosmetic cleaning in wet production areas was restricted and done in such a way as not to contaminate raw materials, work in progress, or production equipment with water droplets, mist, or direct contact.					
Maintenance cleaning:					
195. Maintenance cleaning was undertaken so not to contaminate raw materials, work in progress, or finished product.					
196. Nonsealed electrical panels and boxes were cleaned and/or inspected every four weeks.					
197. Maintenance mess, greases, and excess lubricants created during repairs or alterations were promptly removed. Emphasis was directed to full accounting of nuts, bolts, washers, wire pieces, tape, welding rods, and other small items.					
198. Only clean tools and wipers were used on product zones. Maintenance personnel observed proper hygienic practices when working on product zones or similar equipment. The use of cleaning utensils that can leave debris behind on product zones or areas was prohibited unless absolutely necessary, in which case inspection occurred after use to ensure that no debris remained that could contaminate the product. This included the use of wire brushes, sponges, scrub pads, etc.					
199. Forklifts, hand jacks, and similar equipment were scheduled for preventive maintenance and cleaning.					
Equipment and Utensil Cleaning:					
200. Food contact surfaces and utensils were cleaned on a regular basis and as often as necessary to eliminate food residue and maintain a good appearance. Food contact surfaces and machinery that required sanitizing were cleaned, sanitized, and tested for adequate destruction of pathogenic microorganisms. Nonfood contact surfaces were cleaned on a regular basis and as often as necessary to eliminate product residue and maintain a good appearance.					
201. To prevent microbial contamination, equipment and utensils were cleaned and sanitized on a predetermined schedule.					
202. Utensils and intermediate containers were washed between uses, if appropriate (or as needed), and stored in an inverted position off the floor.					

Cleaning Practices (cont'd)	OK	IN	S	U	Comments
203. Pans, trays, or other main product zones were cleaned frequently enough to prevent carbon particles or other contaminants from being transferred to products. Pans were stored in an inverted position to prevent potential adulteration of product.					
204. Sanitary trays and dollies were cleaned and maintained in such a way as to prevent product adulteration.					
205. Separate and distinct cleaning utensils were utilized for cleaning food contact surfaces (product zones) and structural cleaning (product areas). At no time were these cleaning utensils used to clean rest rooms, toilet fixtures, or floor drains. Proper identification (by color coding) and segregation of each classification of cleaning utensil was maintained. All cleaning utensils were cleaned after use and properly stored.					

Additional Comments for Cleaning Practices:

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