

when food safety counts

# Food Safety Audit

## Packinghouse with HACCP v08.06

Auditor: \_\_\_\_\_ Educational Audit (Y/N): \_\_\_\_\_

Audit Start (Time \_Data): \_\_\_\_\_ Audit End (Time \_Data) \_\_\_\_\_

Audit Scope: \_\_\_\_\_

Commodities: \_\_\_\_\_

Facility Name: \_\_\_\_\_

Facility Address: \_\_\_\_\_

G.P.S. Coordinates: \_\_\_\_\_

Facility Tel: \_\_\_\_\_ Facility Fax: \_\_\_\_\_

Facility Contact Name: \_\_\_\_\_ Facility Contact Position (Title): \_\_\_\_\_

Facility Contact E-mail: \_\_\_\_\_

Customer Name: \_\_\_\_\_

Customer Address: \_\_\_\_\_

Customer Tel: \_\_\_\_\_ Customer Fax: \_\_\_\_\_

Customer Contact Name: \_\_\_\_\_ Customer Contact Position (Title): \_\_\_\_\_

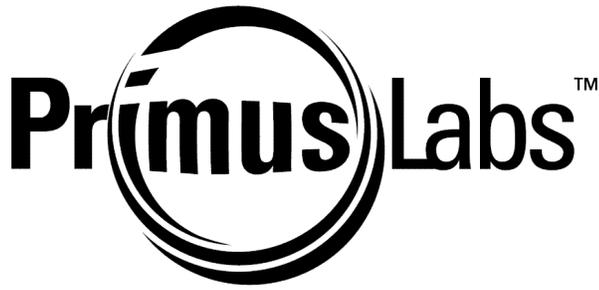
Customer Contact E-mail: \_\_\_\_\_

Buyer (s): \_\_\_\_\_

Buyer Audit Number if relevant e.g. Costco Audit Number: \_\_\_\_\_

Billing Address (Circle):                      Facility                      Customer                      Buyer

Other Comments: \_\_\_\_\_



# Food Safety Audit Packinghouse

when food safety counts

## Good Manufacturing Practices

		Max. point value		Verified
General Food Safety  1.1.1	Is there a designated person responsible for the food safety program?	10		
General Food Safety  1.1.2	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	15		
General Food Safety  1.1.3	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	10		
General Food Safety  1.1.4	Are signs supporting GMP's posted appropriately?	10		
Pest Control  1.2.1	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15		
Pest Control  1.2.2	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15		

comments:

Pest Control 1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	10		
Pest Control 1.2.4	Is the area outside the facility free of evidence of pest activity?	10		
Pest Control 1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15		
Pest Control 1.2.6	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	10		
Pest Control 1.2.7	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	5		
Pest Control 1.2.8	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	5		
Pest Control 1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	5		
Pest Control 1.2.10	Are all pest control devices properly installed and secured?	5		
Storage Areas & Packaging Materials 1.3.1	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)?	15		

comments:

Storage Areas & Packaging Materials 1.3.2	Is the storage area completely enclosed?	10		
Storage Areas & Packaging Materials 1.3.3	Is the facility's use restricted to the storage of food products?	5		
Storage Areas & Packaging Materials 1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	10		
Storage Areas & Packaging Materials 1.3.5	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15		
Storage Areas & Packaging Materials 1.3.6	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	10		
Storage Areas & Packaging Materials 1.3.7	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	5		
Storage Areas & Packaging Materials 1.3.8	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	5		
Operational Practices 1.4.1	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	15		
Operational Practices 1.4.2	Are packing and/or processing areas completely enclosed?	15		

comments:

Operational Practices 1.4.3	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	15		
Operational Practices 1.4.4	Is all re-work / re-packaging handled correctly?	10		
Operational Practices 1.4.5	Are raw ingredients examined before use?	5		
Operational Practices 1.4.6	Are finished products coded (carton and unit packaging) for the day of production?	10		
Operational Practices 1.4.7	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	10		
Operational Practices 1.4.8	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	10		
Operational Practices 1.4.9	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	15		
Operational Practices 1.4.10	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	15		
Operational Practices 1.4.11	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	5		

comments:

Operational Practices 1.4.12	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	5		
Operational Practices 1.4.13	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	5		
Operational Practices 1.4.14	Are food safety measuring devices working properly?	3		
Employee Practices 1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	15		
Employee Practices 1.5.2	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	5		
Employee Practices 1.5.3	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	10		
Employee Practices 1.5.4	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	5		
Employee Practices 1.5.5	Is jewelry confined to a plain wedding band?	3		
Employee Practices 1.5.6	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons , sleeves and gloves)?	5		

comments:

Employee Practices 1.5.7	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	5		
Employee Practices 1.5.8	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	5		
Employee Practices 1.5.9	Is smoking, eating, chewing and drinking confined to designated areas?	10		
Employee Practices 1.5.10	Are all items removed from shirt or blouse top pockets?	3		
Equipment 1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	15		
Equipment 1.6.2	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	10		
Equipment 1.6.3	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	15		
Equipment 1.6.4	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	5		
Equipment 1.6.5	Are all thermometers non-glass and non-mercury?	10		

comments:

Equipment Cleaning 1.7.1	Are food contact surfaces clean?	15		
Equipment Cleaning 1.7.2	Are non-food contact surfaces clean?	10		
Equipment Cleaning 1.7.3	Are items (barrels, bins, etc.) that are used to hold or store product clean?	10		
Equipment Cleaning 1.7.4	During cleaning are foods and packaging protected?	15		
Equipment Cleaning 1.7.5	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	5		
Equipment Cleaning 1.7.6	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	5		
Equipment Cleaning 1.7.7	Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	10		
Equipment Cleaning 1.7.8	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	10		
Equipment Cleaning 1.7.9	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	3		

comments:

Equipment Cleaning 1.7.10	Are excess lubricants and grease removed from the equipment?	5		
General Cleaning 1.8.1	Are spills cleaned up immediately?	10		
General Cleaning 1.8.2	Are waste and garbage frequently removed from packing and storage areas?	5		
General Cleaning 1.8.3	Do floor drains appear clean, free from odors and well maintained?	5		
General Cleaning 1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	10		
General Cleaning 1.8.5	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	5		
General Cleaning 1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	3		
General Cleaning 1.8.7	Is cleaning equipment available and stored properly?	5		
General Cleaning 1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	5		

comments:

General Cleaning  1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	5		
General Cleaning  1.8.10	Are toilet facilities and hand-wash stations clean?	15		
General Cleaning  1.8.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	5		
General Cleaning  1.8.12	Is the maintenance shop organized - i.e. equipment and spares stored in a neat and tidy fashion?	5		
General Cleaning  1.8.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	5		
General Cleaning  1.8.14	Are shipping trucks clean and in good condition?	5		
Buildings and Grounds  1.9.1	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	15		
Buildings and Grounds  1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	15		
Buildings and Grounds  1.9.3	Has the facility eliminated the use of wooden items or surfaces?	5		

comments:

Buildings and Grounds 1.9.4	Is there adequate lighting in the packing and storage areas?	5		
Buildings and Grounds 1.9.5	Is ventilation adequate to remove dust, steam, and odors?	3		
Buildings and Grounds 1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	10		
Buildings and Grounds 1.9.7	Are the floor drains where they are needed for drainage and cleanup?	5		
Buildings and Grounds 1.9.8	Are doors to the outside pest proof?	5		
Buildings and Grounds 1.9.9	Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)?	3		
Buildings and Grounds 1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)?	3		
Buildings and Grounds 1.9.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	5		
Buildings and Grounds 1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	5		

comments:

Buildings and Grounds  1.9.13	Employees personal items are not being stored in the production and material storage areas?	5		
Buildings and Grounds  1.9.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	5		
Buildings and Grounds  1.9.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	5		
Buildings and Grounds  1.9.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	5		
Buildings and Grounds  1.9.17	Are pallets inspected to separate and replace dirty or broken pallets?	5		
Buildings and Grounds  1.9.18	Is the area around the dumpster/cull truck/trash area clean?	3		
Buildings and Grounds  1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	5		
Buildings and Grounds  1.9.20	Are all water lines protected against back siphonage?	5		

## Food Safety File Requirements

Max. point  
value

Verified

comments:

General File Requirements 2.1.1	Are there written procedures for handling regulatory inspections?	3		
General File Requirements 2.1.2	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	5		
General File Requirements 2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	5		
General File Requirements 2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	5		
Traceability 2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	10		
Traceability 2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	15		
Traceability 2.2.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	10		
Traceability 2.2.4	Is there a written procedure for handling on hold or rejected products?	10		
Chemicals 2.3.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	5		

comments:

Chemicals 2.3.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	5		
Chemicals 2.3.3	Is there a chemical inventory and/ or usage log?	3		
Chemicals 2.3.4	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	10		
Pest Control 2.4.1	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	15		
Pest Control 2.4.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	10		
Pest Control 2.4.3	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	10		
Self Inspection 2.5.1	Is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective actions?	5		
Self Inspection 2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	5		
Self Inspection 2.5.3	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	10		

comments:

Self Inspection 2.5.4	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	10		
Self Inspection 2.5.5	Is there a hand/foot/tool dip station log?	3		
Self Inspection 2.5.6	Is there a daily pre-operation inspection log?	5		
Self Inspection 2.5.7	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions? <input type="checkbox"/>	10		
Self Inspection 2.5.8	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product?	10		
Self Inspection 2.5.9	Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc?	5		
Self Inspection 2.5.10	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	5		
Self Inspection 2.5.11	Does the facility have relevant supplier third party audit certifications, third party audit reports and/or letters of guarantee for product raw material, processing aids and other ingredients?	15		
Self Inspection 2.5.12	Does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for packaging items?	15		

comments:

Self Inspection  2.5.13	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	10		
Self Inspection  2.5.14	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	5		
Maintenance & Sanitation  2.6.1	Does the facility have a preventative maintenance program and schedule?	10		
Maintenance & Sanitation  2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	10		
Maintenance & Sanitation  2.6.3	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	5		
Maintenance & Sanitation  2.6.4	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	10		
Maintenance & Sanitation  2.6.5	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	10		
Maintenance & Sanitation  2.6.6	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	5		
Maintenance & Sanitation  2.6.7	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	5		

comments:

Maintenance & Sanitation  2.6.8	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	10		
Personnel  2.7.1	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	5		
Personnel  2.7.2	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	5		
Personnel  2.7.3	Are there logs of ongoing employee food safety education training with topics covered and attendees?	10		
Personnel  2.7.4	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	5		
Personnel  2.7.5	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	3		
Microbial Tests  2.8.1	Are there records of routine equipment microbiological testing?	5		
Microbial Tests  2.8.2	Are there records of routine environmental microbiological testing?	5		
Microbial Tests  2.8.3	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	10		

comments:

Microbial Tests  2.8.4	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	5		
Temperature Controlled Storage & Distribution  2.9.1	Are there temperature logs for the packing room (if refrigerated)?	5		
Temperature Controlled Storage & Distribution  2.9.2	Are there temperature logs for storage rooms?	5		
Temperature Controlled Storage & Distribution  2.9.3	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	5		
Temperature Controlled Storage & Distribution  2.9.4	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	10		

## HACCP Program Audit

Max. point  
value

Verified

Management Support of HACCP  3.1.1	Is there a team responsible for HACCP development, implementation and on-going maintenance which is chaired by the site HACCP coordinator?	15		
Management Support of HACCP  3.1.2	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	10		
Management Support of HACCP  3.1.3	Are changes in the process, equipment, ingredients, etc., causing timely reviews of HACCP systems including hazard analysis, CCP decisions, CCP records and staff training?	10		

comments:

Management Support of HACCP 3.1.4	Is the plant conducting self audits of the HACCP program?	10		
Management Support of HACCP 3.1.5	Have standard operating procedures (SOPs) been created for the CCP monitoring processes which would include how to carry out the monitoring	10		
Management Support of HACCP 3.1.6	Is there a person or group responsible for the CCP records?	5		
Management Support of HACCP 3.1.7	Are the CCP records maintained in an organized and retrievable manner?	5		
Management Support of HACCP 3.1.8	Are there security measures to insure against CCP record loss?	5		
Management Support of HACCP 3.1.9	Are records held for a minimum of one year (longer if legally required or for long shelf-life products)?	5		
Review of the Written HACCP Plan 3.2.1	Does a product description exist for each product produced? Do they contain the products intended use, materials and raw ingredients, and who the intended consumer is?	10		
Review of the Written HACCP Plan 3.2.2	Has the process been flow charted? Is the flow chart in sufficient detail to completely describe the process or product manufacturing steps?	15		
Review of the Written HACCP Plan 3.2.3	Has a documented hazard analysis for the process been conducted, showing the various types of hazard and their associated severity?	15		

comments:

Review of the Written HACCP Plan 3.2.4	Have CCPs been developed to control the hazards identified in the hazard analysis step?	15		
Review of the Written HACCP Plan 3.2.5	Have monitoring requirements and frequencies been determined for the CCPs?	15		
Review of the Written HACCP Plan 3.2.6	Is there a clear detailed action plan for operators to follow if the limits are exceeded? Does it describe plans to adjust the process back into control and withhold out of compliance products if necessary?	15		
Review of the Written HACCP Plan 3.2.7	Have recording templates (recording forms) been developed for monitoring the CCPs?	10		
Review of the Written HACCP Plan 3.2.8	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	10		
Review of the Written HACCP Plan 3.2.9	Have verification plans and schedules been developed for each CCP?	10		
Execution of the HACCP plan on the Plant Floor 3.3.1	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	15		
Execution of the HACCP plan on the Plant Floor 3.3.2	Are the CCP monitoring activities and frequencies in compliance with the plan?	15		
Execution of the HACCP plan on the Plant Floor 3.3.3	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs ? (Interview operators to verify).	15		

comments:

Execution of the HACCP plan on the Plant Floor 3.3.4	Are CCP records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows CCP records amendments (data history) if the records are changed after initial entry?	5		
Execution of the HACCP plan on the Plant Floor 3.3.5	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	10		
Execution of the HACCP plan on the Plant Floor 3.3.6	Are corrective actions detailed in writing when the failure of a CCP occurs?	15		
Execution of the HACCP plan on the Plant Floor 3.3.7	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	10		
Verification of the HACCP Plan 3.4.1	Are monitoring and verification information reviewed and discussed at management level meetings?	10		
Verification of the HACCP Plan 3.4.2	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least annually)?	10		

## Food Security

		Max. point value		Verified
Facility Security 4.1.1	Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?	5		
Facility Security 4.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	10		

comments:

Facility Security 4.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound?	5		
Facility Security 4.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	5		
Facility Security 4.1.5	Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound?	5		
Employee Security 4.2.1	Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)?	5		
Employee Security 4.2.2	Employees personal items are not being stored in the production and material storage areas?	5		
Employee Security 4.2.3	Are employees issued non-reproducible identification badges?	5		
Employee Security 4.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	5		
Employee Security 4.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	5		
Transport Security 4.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	3		

comments:

Transport Security 4.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	3		
Transport Security NEW 4.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio?	3		
Water Supply Security 4.4.1	Are potable and non-potable water supply clearly identified?	3		
Water Supply Security 4.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	3		
Water Supply Security 4.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	3		
Food Security Systems 4.5.1	Does the company have documented food security policies based on the risks associated with the operation?	10		
Food Security Systems NEW 4.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	3		
Food Security Systems 4.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	10		
Food Security Systems 4.5.4	Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage?	3		

comments:

Food Security Systems 4.5.5	Is there a system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)?	3		
Food Security Systems 4.5.6	Is there a chemical inventory and/or usage log?	3		

## Miscellaneous Survey Questions

		Max. point value		Verified
Employing Minors 5.1.1	Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)?	0		
Employing Minors 5.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	0		
Employing Minors 5.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	0		
Allergens 5.2.1	There are no allergen risks handled or stored on site?	0		
Allergens 5.2.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	0		
Allergens 5.2.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	0		

comments:

Allergens 5.2.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	0		
Allergens 5.2.5	Does re-work handling take into account the issue associated with allergen containing products?	0		
Allergens 5.2.6	Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records?	0		
Allergens 5.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	0		
Country of Origin Labeling 5.3.1	Is the company labeling retail packaging with the correct country of origin? N/A for food service.	0		
Country of Origin Labeling 5.3.2	Is the company labeling the finished goods carton with the correct country of origin? N/A for food service.	0		
Country of Origin Labeling 5.3.3	Are there records that support the country of origin labeling e.g. bill of lading, production records, etc.?	0		
Country of Origin Labeling 5.3.4	Are steps taken in the storage and production process to ensure that there is no commingling of materials from different countries (unless product will be labeled as such)?	0		

### **New Questions ( Not part of overall Food Safety percentage)**

Max. point  
value

Verified

comments:

Maintenance & Sanitation 6.1.1	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	5		
Self Inspection 6.1.2	Is there a tool accountability program for knives and similar hand tools used in the production area?	3		
Traceability 6.1.3	Is there a list of approved commodity/ingredient suppliers?	5		
General File Requirements 6.1.4	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	3		
Operational Practices 6.1.5	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	3		
Personnel 6.1.6	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	5		
Self Inspection 6.1.7	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	3		
Self Inspection 6.1.8	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records).	3		
Employee Practices 6.1.9	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	5		

comments:

<p>General File Requirements</p> <p>6.1.10</p>	<p>Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?</p>	<p>10</p>		
<p>General File Requirements</p> <p>6.1.11</p>	<p>Are all records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry?</p>	<p>3</p>		
<p>HACCP</p> <p>6.1.12</p>	<p>Are identified CCP critical control limits supported by validation documentation?</p>	<p>5</p>		

comments: