



Food Safety Audit

Packinghouse with HACCP v11.04

Auditor: _____ Facility FDA Registration #: _____

Date: _____ Audit Started(Date/Time): _____ Audit Ended (Date/Time) _____

Auditee commodities: _____

Commodities observed today: _____

Include the following details in your Audit Scope summary below:

Approx. size of facility (sq. ft or sq. m): _____ Season Duration: _____

Approx. number of personnel today: _____

Product washed or hydrovaced? Y N N/A Wet/High humidity storage? Y N N/A

Cooling equipment audited today (list): _____

Lines audited today (list): _____

Audit Scope (any exclusion): _____

Facility Name: _____

Facility Address and Country: _____

G.P.S. Coordinates: _____ Facility Tel: _____ Facility Fax: _____

Facility Contact Name: _____ Facility Contact E-mail: _____

Customer Name: _____

Customer Address and Country: _____

Customer Tel: _____ Customer Fax: _____

Customer Contact Name: _____ Customer Contact E-mail: _____



Food Safety Audit Packinghouse

when food safety counts

Good Manufacturing Practices

Max. point
value

Verified

		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 (pesticides, 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 used and stored in a controlled manner?	10		
General Food Safety 1.1.4	Are signs supporting GMPs posted appropriately?	10		
General Food Safety 1.1.5	Are blue metal detectable waterproof band aids used? Are first aid kits adequately stocked and readily available?	5		
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?	15		
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 insect light traps) 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 and exterior building 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 facilities 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 raw materials, work in progress, ingredients (including ice), finished goods 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 free of nail polish?	5		
Employee Practices 1.5.3	Is there no sign of any employees with boils, sores, open wounds or exhibiting signs of foodborne illness working in indirect or direct food contact?	10		
Employee Practices 1.5.4	Are employees wearing effective hair restraints?	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 non-latex 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	Employees personal items are not being stored in the production or material storage areas?	5		
Employee Practices 1.5.10	Is smoking, eating, chewing and drinking confined to designated areas?	10		
Employee Practices 1.5.11	Are all items removed from shirt or blouse top pockets?	3		
Equipment 1.6.1	Are food contact equipment 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 equipment 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		

comments:

Equipment 1.6.5	Are all thermometers non-glass and non-mercury?	10		
Equipment Cleaning 1.7.1	Are food contact equipment surfaces clean?	15		
Equipment Cleaning 1.7.2	Are non-food contact equipment 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 from contamination?	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		

comments:

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		
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 raw materials, work in progress, ingredients, finished goods or packaging?	3		
General Cleaning 1.8.7	Is cleaning equipment available and stored properly?	5		

comments:

General Cleaning 1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	10		
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 break 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 facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded to protect product from contamination in the event of breakage?	15		
Buildings and Grounds 1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	15		

comments:

Buildings and Grounds 1.9.3	Has the facility eliminated the use of wooden items or surfaces?	5		
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 control dust, condensation, odors and vapors?	10		
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?	3		
Buildings and Grounds 1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	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		

comments:

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		
Buildings and Grounds 1.9.13	Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	5		
Buildings and Grounds 1.9.14	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	5		
Buildings and Grounds 1.9.15	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from building perimeter)?	5		
Buildings and Grounds 1.9.16	Are pallets inspected to separate and replace dirty or broken pallets?	5		
Buildings and Grounds 1.9.17	Is the area around the dumpster/cull truck/trash area clean?	3		
Buildings and Grounds 1.9.18	Are outside garbage receptacles and dumpsters kept covered or closed?	5		
Buildings and Grounds 1.9.19	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		
General File Requirements 2.1.5	If records are changed after initial recording/entry are changes clearly legible (errors marked through and initialed); recorded in ink, not pencil?	5		
General File Requirements 2.1.6	Is there a current certificate of inspection for backflow prevention assemblies on water lines entering the facility?	3		
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 and external contact listings and an explanation of different recall classes (USA only)?	15		
Traceability 2.2.3	Is testing of recall procedures (including trace back) performed and documented at least once every six months? Can the company identify where affected product was sent?	10		

comments:

Traceability 2.2.4	Is there a written procedure for handling on hold or rejected materials?	10		
Traceability 2.2.5	Is there a list of approved suppliers of raw materials, ingredients and packaging items?	5		
Traceability 2.2.6	Does the facility have relevant third party audit reports, supplier third party audit certifications and/or letters of guarantee for product raw material, processing aids and other ingredients?	15		
Traceability 2.2.7	Does the facility have relevant third party audit reports, supplier third party audit certifications and/or supplier letters of guarantee for packaging items?	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		
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		

comments:

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	Where the auditee sells product to the customers, is there a documented system for dealing with food safety complaints/feedback from consumers and buyers along with records and 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		
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	Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations? Are there stock check and replenishment records for gel and spray stations?	3		
Self Inspection 2.5.6	Is there a tool accountability program for knives and similar cutting hand tools used in the production process?	3		
Self Inspection 2.5.7	Is there a daily pre-operation inspection log?	5		

comments:

Self Inspection 2.5.8	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions? □	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	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the food safety of the product?	10		
Self Inspection 2.5.11	Does the facility have incoming goods (raw materials, ingredients and packing materials) inspection data?	5		
Self Inspection 2.5.12	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	10		
Self Inspection 2.5.13	Is there an incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) used for recording infrequent and/or unusual events?	5		
Maintenance & Sanitation 2.6.1	Does the facility have a preventative maintenance program and with a documented 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		

comments:

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	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, hydrocoolers, ice makers, etc.)?	5		
Maintenance & Sanitation 2.6.8	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	5		
Maintenance & Sanitation 2.6.9	Are there records showing cooling units are serviced and cleaned at least every 12 months 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 records of new employee food safety (GMP) orientation training (with topics covered and attendees) and are new employees required to sign the company's food safety hygiene and health policy?	10		
Personnel 2.7.3	Are there logs of ongoing employee food safety education training with topics covered and attendees?	10		

comments:

Personnel 2.7.4	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? (Verbal confirmation accepted).	3		
Personnel 2.7.5	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	5		
Personnel 2.7.6	Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health policies?	3		
Personnel 2.7.7	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?	10		
Microbial Tests 2.8.2	Are there records of routine environmental microbiological testing?	10		
Microbial Tests 2.8.3	Are there routine microbiological test on water used in the facility (sampled from within the facility)?	10		
Microbial Tests 2.8.4	Are there routine microbiological tests on ice used in the facility (either produced in-house or purchased)?	5		
Temperature Controlled Storage & Distribution 2.9.1	Are there temperature logs for the packing room (if refrigerated)?	5		

comments:

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	
HACCP Team Development 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		
HACCP Team Development 3.1.2	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	10		
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 CCP decisions been made, have CCPs been identified and where CCPs are noted have they 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	Are identified CCP critical control limits supported by validation documentation?	5		
Review of the Written HACCP Plan 3.2.7	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 3.2.8	Have recording templates (recording forms) been developed for monitoring the CCPs?	10		
Review of the Written HACCP Plan 3.2.9	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	10		
Review of the Written HACCP Plan 3.2.10	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		

comments:

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		
Execution of the HACCP plan on the Plant Floor 3.3.4	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 3.3.5	Are corrective actions detailed in writing when the failure of a CCP occurs?	15		
Execution of the HACCP plan on the Plant Floor 3.3.6	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management as part of the verification plan?	10		
Execution of the HACCP plan on the Plant Floor 3.3.7	Is any other CCP verification performed (apart from daily record verification) according to the HACCP Plan?	10		
Management Support of HACCP 3.4.1	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		
Management Support of HACCP 3.4.2	Is the plant conducting self audits of the HACCP program?	10		
Management Support of HACCP 3.4.3	Have standard operating procedures (SOPs) been created for the CCP monitoring processes that include how to carry out the monitoring	10		

comments:

Management Support of HACCP 3.4.4	Is there a person or group responsible for the CCP records?	5		
Management Support of HACCP 3.4.5	Are the CCP records maintained in an organized and retrievable manner?	5		
Management Support of HACCP 3.4.6	Are there security measures to insure against CCP record loss?	5		
Management Support of HACCP 3.4.7	Are CCP records held for a minimum of one year (longer if legally required or for long shelf-life products)?	5		
Verification of the HACCP Plan 3.4.8	Are monitoring and verification information reviewed and discussed at management level meetings?	10		
Verification of the HACCP Plan 3.4.9	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least every 12 months)?	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 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/tamper resistant 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 a documented food security policy based on the risks associated with the operation?	10		
Food Security Systems 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?	5		
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

		Max. point value		Verified
Allergens 5.1.1	There are no allergen risks handled or stored within production and storage areas? If N, then complete Allergens Section (next 6 questions).	0		
Allergens 5.1.2	Has a documented allergen management plan been developed?	0		
Allergens 5.1.3	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	0		
Allergens 5.1.4	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	0		
Allergens 5.1.5	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	0		
Allergens 5.1.6	Does re-work handling take into account the issue associated with allergen containing products?	0		

comments:

Allergens 5.1.7	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 5.1.8	Are all products manufactured on site, labeled correctly with respect to allergens?	0		
Country of Origin Labeling 5.2.1	Is the company labeling retail packaging with the correct country of origin? N/A for food service.	0		
Country of Origin Labeling 5.2.2	Is the company labeling the finished goods carton with the correct country of origin? N/A for food service.	0		
Country of Origin Labeling 5.2.3	Are there records that support the country of origin labeling e.g. bill of lading, production records, etc.? <input type="checkbox"/>	0		
Country of Origin Labeling 5.2.4	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
New Question 6.1.1	Do laboratory test results indicate test procedures meet accepted standards?	5		
New Question 6.1.2	Is there an organizational chart showing who has food safety responsibilities and to whom they report?	3		

comments:

New Question 6.1.3	Is there a documented food safety plan?	5		
New Question 6.1.4	Is there a documented food safety policy?	3		
New Question 6.1.5	Are there written specifications for purchased goods (raw materials, ingredients and packing materials)?	3		
New Question 6.1.6	Are there written specifications for finished goods?	3		
New Question 6.1.7	Is there a written procedure for approval and continued monitoring of suppliers of raw materials, ingredients, finished goods and packaging materials?	5		
New Question 6.1.8	Is there a written document control procedure describing how documents will be maintained, updated and replaced?	3		
New Question 6.1.9	Does finished product coding clearly link to supplier(s) of incoming materials? (Auditor performs a live traceback test to verify the 2.2.1 documentation).	10		
New Question 6.1.10	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?	10		
New Question 6.1.11	Have operating limits and frequencies been determined for the CCPs?	10		

comments:

comments: