

Confidential Audit Report

for

Merchants
Jackson, MS



Food Safety Consultants

800-477-0778 ★ www.asifood.com

APPENDIX A

MOCK RECALLS/TRACEABILITY EXERCISE REQUIRED DURING ASI AUDITS

The ASI Auditor should verify that Mock Recalls / Traceabilities have been conducted on a six-month frequency to assess the effectiveness of the program. The latest Mock Recall / Traceability shall be on file, available for review, and account for 100%

A Mock Recall / Traceability exercise **shall** be performed at the time of the inspection.

The ASI Auditor must assure that this exercise includes these elements:

- finished product
- raw materials
- ingredients
- packaging
- processing aids

The ASI Auditor must ensure that a comprehensive written (clear, concise and current) Mock Recall/Traceability program is available for review during the exercise. This program should include:

Recall Team Name:	Inventory Control
Recall Team # Office:	Anthony Harper - 601-353-2461
Recall Team Phone # After Hours:	1-800-844-0061

Responsibilities:

Operations Manager initiates a Mock recall within the calendar year. 100% of items can be tracked to the 1st restaurant route within 2 hours. Mock recall to include all outside storage locations and backhaul operations. Documentation to be maintained for auditor review. Mock recall to be conducted outside of normal business hours. Procedures we utilize are described by YUM which is listed below. Results of the mock recall will be provided to the General Manager via E-mail and any variances will be identified and actions needed to correct will be reviewed and implemented. If 100% of items cannot be tracked within 2 hours, a retest will be conducted within 60 days of the mock recall and records maintained on the retest.

Recall Coordinator Responsibilities:

The Director of Purchasing will be the primary contact responsible for coordinating and communicating all information to the customers, branches, vendors, and any outside agencies. In the event the Director of Purchasing is not available, a secondary contact will be identified. The secondary contact will be responsible for coordinating and collecting all information pertaining to the recall. Once the Director is available, all information concerning the recall will be provided to him by the secondary contact.

Regulatory Contact Plant:	
Customer Contact Plant:	Johnathan Barnes - 601-624-8359
Regulatory Contact Office:	
Customer Contact Office:	Shanda Townsend 601-926-1069

Step-by-Step Procedure on how to conduct the Mock Recall:

All recalls are originated either form the vendor or customer, and are initiated for health or quality issues and are handled by the Food Safety/HACCP Coordinator. The Purchasing Department will initiate a Product Recall form for any branch with suspect product, depending on the complaint. The Director of Purchasing will maintain a copy of all Product Recall forms issued by the Purchasing Department. Procedures for Primary Contact are: Complete the Product Recall Information Form. Contact the President's office and the General Manager or designated contact person of the affected branch. Relay all information provided by the initiator of the product recall. Record teh time the branch was contacted, and the person contacted on the Producdt Recall Log. Fax a copy of Product Recall Form to the designated branch personnel. Confirm receipt of the fax via telephone. Contact the vendor to identify if any purchase orders have the affected product. Notify the branch of any inbound or IBTs which may have affected product. Determine branch replacement needs to prevent potential out of stock situations. Consolidate all information and relay to the customer contact if required. Document the time the customer was con received the information. Identify the product disposition - return to vendor, detroy, etc. Communicate the disposition to the affected branch. Coordinated the reimbursement of all expenses due to the product recall, and notify the customer or vendor of the incurred costs. Retail a file to include the following: Product Recall Form, Recall Log, Product Recall Costs, Proof of Final Disposition. Maintain a separate file for each product recall, and retain for 5 years.

Records of Mock Recalls:

12-22-09, 10 minutes, cereal,100%. Packer code 2712/11998; 9/12/2009 , Dipping Cup Buffalo Sauce, 11 minutes, 100%,12/30/2008 , Blimpie product, 15 minutes, 100%. ; 11/15/07, 30 minutes, 100%, Cinnamon Sugar .

Standard Form To Summarize Results, Including:

Material to be traced:	grapefruit
Production Date:	12/15/2009
Lot Numbers:	2777
Quantities produced in Lots per Production Day:	10
Quantities in House:	8
Location and quantities of remaining stock:	2 shipped
Percent of materials located (no recovery necessary):	100%
Length of time needed to complete Mock Recall:	10 minutes

Issues Noted During Mock Recall:

None



Corrective Action for any issues noted:

None

Distribution Center
Quality Systems and Product Safety Inspection Report

for

Merchants Foodservice
870 Boling
Jackson,MS

By



Food Safety Consultants

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Grade/Rating:	98.37%/Excellent	Audit Date:	December 24, 2009
Length of Audit:	8 hours	ASI Consultant:	John R. Williams
Previous Grade/Rating:	97.72%/ Excellent	ASI Director	Thomas Hugé
Date of Previous Audit:	December 30, 2009	Copies to:	Barnes

Key Personnel

Name	Title
J.H. (Hal) Hiatt	General Manager
Johnathan Barnes	Warehouse Director of Operations
Derrin Greer	Receiving

SUMMARY AND GENERAL CONDITIONS

This was a food safety distribution audit conducted during normal business hours. The auditor was given permission to inspect the facility by Mr. Johnathan Barnes. The auditor was accompanied during the audit by Mr. Barnes. The facility was considered to be in excellent condition at the time of the audit. The documentation records were reviewed for food safety along with the records for pest control, operational issues, maintenance, cleaning practices and security. Pest control was contracted with Terminix. The findings of the audit were discussed with management and a copy of the audit was left at the facility.

CRITICAL ITEMS IN FOOD DISTRIBUTION CENTER

Pest control:

- A dead and/or decayed rodent on the floor or in a trap is critical.
- A live rodent running across the floor is critical (live rodent or freshly-killed rodent in a trap is not critical.)
- Rodent evidence is critical in the main areas of the warehouse, such as dry grocery, produce, meat, deli, dairy, dock areas, and rail pit areas (rodent evidence is not critical in outlying areas such as boiler rooms, basements, buildings unattached to the main facility, maintenance areas, and office areas.)
- Stored-product insects, such as grain weevils or larvae, on a pallet of food (this also includes pet food) are critical (these insects on the floor are not critical, nor are powder post beetles or fruit flies.)
- Bird evidence or birds anywhere inside the facility is critical.
- Rodenticide in a warehouse is critical only if it is loose or spilled, not if it is in a bait station. (This practice is not recommended, but it's not critical.)

Improper storage:

- Chemicals stored over food items or food-contact items (plates, cutlery, deli paper, etc.) is critical.
- Improper temperatures in coolers or freezers (coolers above 50°F, freezers above 10°F) are critical.
- Raw refrigerated beef, pork, lamb, seafood, and poultry stored over ready-to-eat product is critical.
- Shell eggs stored over anything besides shell eggs is critical.

Facility maintenance:

- An unprotected light where exposed product is received, shipped, or stored is critical. One end cap missing would be critical. A hole in a shield would be critical (unshielded bulbs in a banana room are not critical.)
- A roof leak is critical only if it is dripping on food or food-contact items.
- Condensate in freezers or coolers dripping onto cases of food is critical.
- Mold in a produce room is critical (mold in a banana room is not critical.)
- Rust, dripping condensation, chipping paint, etc. on racks or other surfaces above exposed food in a produce room is critical.
- Sewage disposal problems (blocked drains, etc.) are critical.
- Lack of backflow preventers on hose bibbs is critical if a warehouse ices down its own products.

Facility Information

Size (sq ft):	Production:	Warehouse:	220,000
Construction of building (metal frame, brick, etc)			Metal frame and concrete slab
Number of operation days/shifts (i.e. days per week, shifts):			5 days/ 2 shifts
Number of employees at this location:			200

Grading System

Section	Points Available	Points Applicable	%	Points Applicable Last Audit	%
1. Evaluation of Quality Systems	1150	1140	99.13%	n/a	#VALUE!
2. Pest Control	625	616	98.56%	n/a	#VALUE!
3. Evaluation of Operational Methods and Personnel Practices	600	595	99.17%	n/a	#VALUE!
4. Maintenance and Repair	550	547	99.45%	n/a	#VALUE!
5. Evaluation of Cleaning Program	475	445	93.68%	n/a	#VALUE!
6. Security	100	100	100.00%	n/a	#VALUE!
Total Points Available:	3500	3443	98.37%	0	0.00%

Score	Rating
95%-100%	Excellent
90%-94.9%	Very Good
85%-89.9%	Good
80%-84.9%	Fair
70%-79.9%	Poor (Marginal)
Below 70%	Critical (Unsatisfactory)

Critical Findings:

No critical findings were observed during this audit.

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.1	Corporate quality policy/mission statement and organizational chart 1. Corporate policy 2. Organization chart 3. Independent quality unit / QA Manager / Sanitarian 4. Responsibilities / authorities 5. Document signed and up-to-date SOP/WI 6. Job descriptions	**	60	0	
1.2	Facility performs self-audits of Quality Programs. Program includes: 1. Specific activities and areas to be audited 2. Qualifications of personnel carrying out the audits 3. The basis for carrying out the audits (organizational changes, reported deficiencies, routine checks, and surveys) 4. Procedures for reporting audit findings, conclusions and recommendations 5. Self-audits should be performed at least once a year 6. Records on file (10 points) Deduct 2 points for every item above (1-4) missing and 10 points if records are not on file.		25	0	
1.3	Facility is performing daily pre-operational inspections for food repacking areas. Program should include. 1. Time of check and person responsible 2. Examination of equipment to verify cleanliness 3. Checking that the production line is ready to start 4. Checking that all personnel meet GMP requirements 5. Corrective action in case of non-compliance records on file (10 points).	**	50	0	
1.4	Does the Facility have a documented procedure for conducting monthly GMP self-inspections? Program should include: 1. Time of check and person responsible 2. Inspection criteria 3. Inspection includes inside and outside grounds 4. Records of inspection 5. Corrective actions 6. Records of inspection (12/year) 10 points	**	100	5	Monthly GMP audits were in place but suggest that inspections be expanded to include outside and mechanical areas.

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.5	<p>Facility has a supplier control program. Program should describe:</p> <ol style="list-style-type: none"> 1. Approval process 2. Criteria used to approve any supplier 3. Supplier list 4. Contact information 5. Complaint and corrective action 6. Records on file. 	**	50	0	
1.6	<p>Facility has a documented incoming trailer inspection program. Program should describe:</p> <ol style="list-style-type: none"> 1. Frequency 2. Inspection criteria/use of light 3. Inspection form 4. Rejection logbook 5. Records of trailer inspections should be on file <p>Deduct 20 points if there is no written program describing the inspection procedures. Deduct 5 points for each of the above items (1-4) missing. Deduct up to 10 points if there are incomplete records or records missing.</p>		20	0	
1.7	<p>Does the Facility have a documented incoming goods inspection program, with records on file? Program should describe:</p> <ol style="list-style-type: none"> 1. Frequency 2. Inspection criteria 3. Inspection form 4. Rejection logbook 5. Records of incoming good inspections (10 points) <p>Deduct 20 points if there is no program. Deduct 10 points if there is no written program describing the inspection procedures. Deduct 5 points for each of the above items (1-4) missing. Deduct up to 10 points if there are incomplete records or records missing.</p>		20	0	
1.8	<p>Facility has specifications for all products packed at the facility. These specifications include:</p> <ol style="list-style-type: none"> 1. Formulation 2. Processing instructions 3. Sensory characteristics/testing procedures 4. Applicable standards and regulations 5. Packaging, labeling, transportation, handling or storage 6. Labeling approval program and verification 	**	50	0	

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.9	<p>Facility has documented procedures for testing work in progress for all product packed at the facility.</p> <p>Program should clearly define:</p> <ol style="list-style-type: none"> 1. Testing procedures 2. Sampling schedule 3. Form used to keep records 4. Validation of results 5. Good laboratory practices and records of training for employees 6. Calibration of lab equipment 7. Records on file <p>Deduct 20 points if there is no program. Deduct 10 points if there is no written program describing testing procedures. Deduct 2 points for each of the above items (1-6) missing. Deduct up to 10 points if there are incomplete records or records missing.</p>		20	0	
1.10	<p>Facility has a program for calibration of equipment in production areas.</p> <p>Program should outline:</p> <ol style="list-style-type: none"> 1. List of equipment production/warehouse area 2. Frequencies/responsibility 3. Calibration instructions/standards used 4. Training of employees in calibration of equipment 5. What actions are taken if critical equipment is found out of calibration. Are previous lots examined? 6. Records 	**	50	0	
1.11	<p>Facility has a documented outgoing trailer inspection program with records on file.</p> <p>Program should describe:</p> <ol style="list-style-type: none"> 1. Frequency 2. Inspection criteria 3. Inspection form 4. Rejection logbook 5. Written backhaul program 6. Records of trailer inspections should be on file <p>Deduct 20 points if there is no written program describing the inspection procedures. Deduct 5 points for each of the above items (1-5) missing. Deduct up to 10 points if there are incomplete records or records missing.</p>		20	0	

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.12	Facility keeps shipping records. Records should include: 1. Date of shipping 2. Item number 3. Name of products 4. Amount shipped 5. Final destination 6. Lot numbers Deduct 10 points if facility does not keep shipping records. Deduct 2 points for each of the above items (1-6) missing.		10	0	
1.13	Facility has written cleaning procedures/MSDS. Program should include cleaning procedures for: 1. Production equipment (CIP & COP) 2. Storage areas, receiving, shipping areas 3. Maintenance areas 4. Offices, break room and rest rooms 5. Environmental cleaning in production areas (floor, drain, walls and ceiling) 6. MSDS for all cleaning chemicals Procedures should include name and concentration of chemical and protection wear.	**	25	0	
1.14	Facility has a cleaning schedule. Master cleaning schedule should include areas such as: 1. Production equipment 2 Storage areas/receiving/shipping areas 2. Maintenance areas 3. Offices 4. Break room and rest rooms 5. Environmental cleaning (floor, drain, walls and ceiling) 6. Outside grounds 7. Laboratory 8. Coolers and Freezers	**	50	5	Cleaning schedule needs to be refined to include mechanical areas for cobweb removal.

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.15	<p>Is a written preventive maintenance program in effect?</p> <p>Program should include:</p> <ol style="list-style-type: none"> 1. List of: <ul style="list-style-type: none"> All production equipment Refrigeration equipment Internal vehicles Receiving/shipping trucks Building/facilities Fire devices (extinguisher/sprinklers) Dock plates Safety and security devices 2. Master maintenance schedule, responsibility 3. Records of all maintenance activities 4. Sanitation inspection of production equipment 5. Reconciliation of parts and tools used for maintenance activities 6. Records of maintenance task <p>Deduct 20 points if program is not documented. Deduct 2 points for item missing in the program (1-5) Deduct 10 points if records are not on file. Deduct up to 10 points for records that are missing.</p>		20	0	
1.16	<p>Facility has a recall program.</p> <p>Comprehensive written recall (clear, concise and current). Program should include:</p> <ol style="list-style-type: none"> 1. Recall team (name, phone number: office/after-hours) 2. Recall coordinator/responsibilities 3. Regulatory and customer contacts (Facility and head office) 4. Spokesperson (responsible individual or agency for public relations) 5. Step-by-step procedure on how to conduct a recall 6. Recall classification 7. Standard form to summarize results, contact information and corrective action 8. Mock recall policy (quarterly basis) 9. Records of mock recall/actual recall (40 points) 10. A mock recall should be performed at the time of the inspection (8 points) <p>Deduct 24 points if program is not documented. Deduct 3 points for item missing in the program (1-8). Deduct 40 points if records are not on file. Deduct 36 points if facility cannot perform the mock recall in less than 4 hours.</p>		100	0	A mock recall was conducted within 10 minutes for grapefruit juice with a 100% efficiency rate.

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.17	<p>Facility has a HACCP program. Program should include:</p> <ol style="list-style-type: none"> 1. Program signed and dated every year by the management team 2. HACCP Team/Reassessment policy 3. Product description (for each product category) 4. Flowchart with CCP 5. Hazard Analysis/definition of CCP/pre-requisite programs 6. HACCP Plan 7. Corrective action form 8. Verification 9. HACCP verification from corporate/third party audit 10. HACCP Coordinator is HACCP certified 11. Records of CCP <p>CRITICAL if CCP records are missing.</p>	**	100	0	
1.18	<p>Facility has a program to handle retained and returned products. The program should include personnel responsible and procedures for hold/release and disposition of:</p> <ol style="list-style-type: none"> 1. Raw materials 2. Work in progress materials 3. Finished products 4. Returned products 5. Inventory policy 6. Records showing hold/release or disposition and inventory <p>Deduct 25 points if program is not documented. Deduct 3 points for item missing in the program (1-5). Deduct 10 points if release, disposition records or inventory records are not on file.</p>		25	0	
1.19	<p>Facility has a Food Security Plan. Program should include:</p> <ol style="list-style-type: none"> 1. Cross functional security team 2. Responsibilities are clearly defined 3. Security risk assessment 4. Procedures to handle incoming email 5. Computer systems are backed up 6. Facility is registered under the Bioterrorism Act 2002 7. Food safety inspections are performed and documented 8. Employees background is checked before hiring: criminal, immigration, drugs and alcohol use 9. Truck and trailers are inspected upon arrival and when leaving 10. Seal numbers are recorded on shipping and receiving documents 	**	50	0	

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.20	<p>Facility has a program and measures to control access to the building and restricted areas. Program should include:</p> <ol style="list-style-type: none"> 1. List of all employees 2. Key log 3. All entrances to the facility are secured and monitored with cameras 4. Access to sensitive areas/equipment is restricted 5. Truck drivers access is restricted to the dock area 6. Outside grounds are fenced 7. Locking mechanisms are maintained and changed frequently 8. Access to outside grounds is controlled 24 hours 9. Sign-in and sign-out logs are maintained 10. Employees should use only designated entrances <p>Deduct 50 points if program is not documented. Deduct 5 points for item missing in the program (1-10).</p>		50	0	
1.21	<p>Facility has a written glass control policy. Program should include:</p> <ol style="list-style-type: none"> 1. Glass control policy in production areas or over exposed products: lights/utensils 2. Glass inspections 3. Corrective actions 4. Procedures for changing ceiling lights 5. Procedure to handle any breakage and disposition of lights <p>Deduct 10 points if program is not documented. Deduct 2 points for item missing in the program (1-5).</p>		10	0	
1.22	<p>Facility has a written rework/reprocess policy. Program should include:</p> <ol style="list-style-type: none"> 1. Procedures for labeling 2. Procedures for allergen materials 3. Condition of rework 4. Traceability of rework/reprocess. <p>Deduct 5 points if program is not documented. Deduct 1 point for item missing in the program (1-5).</p>		10	0	
1.23	<p>Facility has a program to ensure the safety of the water supply when ice is used on product. Program should include:</p> <ol style="list-style-type: none"> 1. Definition of water sources) 2. Sampling program and analysis (chemical, micro) 3. Frequency (quarterly) 4. Backflow inspections (Annually) 5. Records (backflow inspections/water testing) <p>6 points</p>	**	50	0	

1.0 Evaluation of Quality Systems

Section	Audit Element	Delete All	Total Points	Points Deducted	Corrective Actions
1.24	Facility has a procedure for the handling of any visitors, contractors, and inspectors. All past inspections with corrective action plans are on file. Program should include: 1. GMP policy 2. Visitor sign in log 3. ID badge 4. Person responsible/sorting policy 5. Video/Pictures policy 6. Sample policy 7. Inspection procedures/policy 8. Past inspection 9. Corrective actions 10. Contractors policy	**	25	0	
1.25	Facility has a customer complaint program. Program should include: 1. Person responsible for handling complaint 2. Procedure on how complaints are investigated 3. Records (2) 4. Answer to customers (2) 5. Corrective actions.(2) Deduct 10 points if program is not documented. Deduct 2 points for item (1-2) missing program. Deduct up 6 points if records are not completed.	**	50	0	
1.26	Facility has a safety committee that meets on a regular basis. Program should include: 1. Safety committee 2. Frequency of meeting 3. Scope of the program 4. Records, personnel, subject		10	0	
1.27	Facility has a training program for employees Program should include: 1. Responsibilities 2. Experience/qualification of the trainer 3. Training policy (bilingual) 4. Frequency (twice a year) 5. Material used for training/records of training should cover GMP, sanitation, HACCP, allergen, recall, traceability, rework, receiving, shipping, storage, glass control, safety and security.	**	100	0	
Total Points:			1150	10	

** MUST DEDUCT ALL POINTS IF DEFICIENCIES ARE FOUND.
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2.0 Pest Control					
Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
2.1	<p>There are no insects, flies, rodents, or birds in the raw materials, packaging or finished products.</p> <p>The presence or evidence of insects, flies, rodents, or birds in or on the raw materials or finished products is extremely serious. This is adulteration of a product and could lead to a food borne illness and definitely will bring regulatory criticism. A bird flying through the facility could cause adulteration of the product.</p> <p>This is CRITICAL.</p>	**	100	0	
2.2	<p>There are no insects, flies, rodents, or birds in the plant/storage areas/outside. Is there evidence of insects, flies, rodents, or birds in the plant but not in the raw materials or finished products? This is CRITICAL.</p>	**	100	5	Cobwebs found in mechanical room on ceiling and walls.
2.3	<p>Facility has a written integrated pest management (IPM) program. (IMP) should clearly indicate/require:</p> <ol style="list-style-type: none"> 1. Name of the pest control company 2. Scope, frequency of the service, number of traps 3. Use of service reports 4. Map of the facility 5. Standards for location of pest control devices 6. Use of numbers on wall/floor, bait station secured to the ground 7. Records of trap/bait inspection/insect lights 8. Use of pest log 9. Use of pesticide usage log 10. Use of punch cards/stickers on pest control devices 11. License of technician 12. License of the company/branch 13. 18-inch perimeter 14. Trimming of trees around the facility 15. Insurance liability 	**	100	0	

2.0 Pest Control

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
2.4	<p>Pesticides are applied by licensed personnel, where required. The following documents should be on file:</p> <ol style="list-style-type: none"> 1. Certificate of insurance for the contracted pest control company 2. Business license for the contracted pest control company 3. Pesticide applicator's license. Check signature of the applicator for the last 12 months <p>These documents must be current. Look for the expiration dates.</p>	**	50	0	
2.5	<p>MSDS and sample labels are on file for all pesticides in use Check for:</p> <ol style="list-style-type: none"> 1. List of approved pesticides used 2. MSDS for all pesticides used in the past 12 months should be on file. <p>All points deducted if unnecessary pesticides are found at the facility All points deducted if any MSDS are missing or if EPA number on MSDS does not match pesticide usage log.</p>	**	50	0	
2.6	<p>Pest control map is on file and up-to-date. Check for:</p> <ol style="list-style-type: none"> 1. Map 2. Legible and in good condition 3. Location of trap, bait station, light and any other pest control devices 4. Numbered/legend 5. Map signed and dated annually 		10	2	Map needs to be signed and dated annually.
2.7	<p>All pesticides are stored away from raw materials, packaging materials, equipment, production utensils, cleaning utensils, finished products (when applicable).</p>	**	100	0	

2.0 Pest Control					
Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
2.8	<p>Is there an adequate pest control program? Check for:</p> <ol style="list-style-type: none"> 1. Location of traps/baits/Insect-O-Cutors with map 2. Numbers on wall or floor 3. Punch cards/stickers/date on glue board 4. Location of inside traps on each side of door inside 5. Bait station secured to the ground 6. Insect-O-Cutor lights protected/well maintained/installation date 7. Records of weekly inspection/monthly inspection 		50	2	Trap # 126 damaged and needed replacement.
2.9	<p>Service reports/corrective action Service reports for the last 12 months Corrective action based on service reports.</p>		50	0	
2.10	<p>Pesticide usage log is on file and up-to-date.</p> <ol style="list-style-type: none"> 1. Date 2. Name of the chemical/EPA number (EPA number should be the same as the MSDS) 3. Location/amount used 4. Amount and concentration 5. Target pest 6. Initials of the applicator 		15	0	
Total Points			625	9	
Note:	Insects, rodents or other vermin in the product is an automatic critical rating regardless of the overall numerical score				
	** MUST DEDUCT ALL POINTS IF DEFICIENCIES ARE FOUND.				

3.0 Operational Methods

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
3.1	All receiving procedures: Inspection of trailers and incoming ingredients are being implemented (as per written program).		10	0	
3.2	<p>Are pallets of product examined for contamination/damage/improper shipping, including organic foods (as per the written program)?</p> <p>On each truck of high-risk product, three pallets of product should be examined for any evidence of possible contamination and damage. These pallets should be taken from the back, middle and front of the truck. This examination should be conducted using a strong flashlight, and the cases of product should be palletized and examined for any damage that could lead to contaminated product. This damage could be due to rodent activity, human tampering, transportation damage, etc. Depending on the extent of the damage, all or part of the trailer load may be rejected back to the supplier. If the evidence suggests rodent activity, then the entire load should be rejected. For low-risk products, examine one pallet per truck.</p>	**	25	0	
	Organic foods: all exposed (non-packaged) organic items must be segregated from non-organic items: they may be stored above, but not below non-organic foods, and cannot be stored in any container that has been treated with a synthetic fungicide, preservatives, or fumigants.				
3.3	<p>Do receiving personnel have the authority to reject?</p> <p>For a warehouse to have an effective incoming goods inspection program, it is necessary that a person in the receiving team have the right to reject product.</p>	**	25	0	
3.4	<p>Is frozen and refrigerated product put away immediately?</p> <p>When product is received, it is essential that it be put away in its storage space as soon as possible. This is critical with frozen products which will begin to thaw out if let at ambient temperature for any length of time. Frozen product should always be put away first within 15 minutes of being taken off the refrigerated truck. Refrigerated products should be put away within 30 minutes to minimize temperature rise in product.</p>		10	0	
3.5	<p>Are all freezers 0°F (-18°C) or below?</p> <p>Most frozen foods should be stored at 0°F (-18°C) or below (ice cream -15°F [-26°C]). As the accuracy of thermometers is ±3°F, any freezer temperatures over 3°F (-16°C) (ice cream -12°F [-11°C]) are a problem.</p>	**	20	0	Freezers recording at -1 and -7 degrees Fahrenheit.

3.0 Operational Methods

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
3.6	<p>Are all coolers 41°F (5°C) or below? All refrigerated foods should be kept at 41°F (5°C) or below. As the accuracy of thermometers is ±3°F (±1.6°C), any refrigerator temperatures over 44°F (6.6°C) are a problem. Produce may be stored at a variety of temperatures, depending on the food item, but cut produce must be held at 41°F (5°C) or below.</p>	**	20	0	Coolers recording at 35 and 32 degrees Fahrenheit.
3.7	<p>Are all products stored under correct temperature conditions? Frozen food should be in freezers, refrigerated food in coolers and other foods at ambient temperatures. Produce may be stored at a variety of temperatures, depending on the food item, but cut produce must be held at 41°F (5°C) or below.</p>		10	0	
3.8	<p>Does frozen product show signs of thawing or freezer burn? Frozen product, if allowed to start warming up, will begin to thaw out on the surface. This product, when refrozen, tends to develop large ice crystals and the quality of the product suffers from an organoleptical and microbiological aspect. Frozen product, when not kept covered properly, suffers from dehydration (freezer burn) which has a great effect on the quality of the product.</p>		10	0	
3.9	<p>Are all products in sound condition, free of spoilage? No outdated items? All food products should be received in sound condition and then sold or disposed of before they become unsound. Look for outdated products where applicable (using the manufacturer's last day of sale as the last day a facility can sell the product,) product showing mold or signs of fermentation, and damaged cans or any ingredient that appears to be adulterated.</p>		10	0	
3.10	<p>Are there effective measures to prevent cross-contamination and adulteration? The warehouse should have in effect measures to prevent cross-contamination from one product to another. Look for cleaners and other toxic chemicals stored over food-contact items or soft-pack products; raw products (meat, fish, poultry, etc.) stored in coolers over ready-to-eat and/or cooked foods; shell eggs stored over ready-to-eat or cooked foods; and all possibilities that product may become contaminated with physical, chemical or microbiological contaminants. All water from cooling coils should be piped to a drain and cannot be allowed to drip onto cases of product. Note: Remember to pay attention to salvage or repack areas as the potential in these areas is high.</p>	**	100		

3.0 Operational Methods

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
3.11	<p>Are all products and packaging stored correctly and covered (including organic foods)?</p> <p>All products and packaging should be stored six inches off the floor and away from the walls and ceilings (preferably 18 inches from walls in dry storage, 18 inches from sprinkler heads, three inches from walls and 12 inches from ceilings in refrigerators and freezers). All product and packaging should be kept covered at all times to protect them from airborne contamination. Are all aisles kept clear so cleaning can be conducted properly?</p> <p>Organic foods: all exposed (non-packaged) organic items must be segregated from non-organic items: they may be stored above, but not below non-organic foods, and cannot be stored in any container that has been treated with a synthetic fungicide, preservatives, or fumigants.</p>		10	0	
3.12	<p>When ice is used on product, is it self-draining?</p> <p>Ice used to cool foods (e.g., vegetables, fish, seafood, etc.) or to pack certain produce should be made from potable (drinkable) water so the product does not become contaminated. As the ice melts, the water must drain away from being in contact with the food product. The food should not be floating in an ice/water mixture, as this allows the microbiological load to increase to unsanitary levels.</p>	**	25	0	
3.13	<p>Are products and packaging correctly labeled and dated?</p> <p>All product containers should be correctly identified as to contents. If in the original container, the name must be legible. If another container, this has to be clearly labeled with the common name of the ingredient. All non-labeled ingredients should be disposed of. All packaging should be clearly identified as to its intended use. To ensure proper rotation of packaging and foods, all packaging and foods should be dated as to their date of receipt. This practice applies to frozen, refrigerated and dry storage items, as all items should be shipped out according to their date received using the first-in, first-out (FIFO) principle.</p>		10	0	
3.14	<p>Are all products and packaging rotated using the first-in, first-out policy?</p> <p>Examine the product and packaging in stock for evidence of misrotation, thus showing variance from the FIFO principle.</p>		10	0	
3.15	<p>Are all rejected materials stored separately and so identified?</p>	**	25	0	

3.0 Operational Methods

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
3.16	<p>Are food products shipped with toxic chemicals or other contaminants? Are organic foods shipped correctly? When shipping food products, it is advisable not to ship them with toxic materials (e.g., pesticides, cleaning chemicals, sanitizers, retail cleaners), as there is a chance that these products may spill and contaminate the food products. As it is not practical to require this, then every effort should be made to keep food and toxic non-food items apart. Sensitive food items like fish and cheese, etc., should not be shipped next to highly aromatic products like spices or perfumed household products as they can absorb odors?</p> <p>Organic foods: all exposed (non-packaged) organic items must be segregated from non-organic items: they may be stored above, but not below non-organic foods, and cannot be stored in any container that has been treated with a synthetic fungicide, preservatives, or fumigants.</p>		10	0	
3.17	<p>Does frozen/refrigerated food go straight to cold trucks from storage? To keep food as cold as possible and limit the time it may be subjected to temperature abuse, the product needs to move as rapidly as possible from conditioned storage and the cool dock to the cooled-down trailers.</p>	**	25	0	
3.18	<p>Are trailers for shipping inspected (as per the written program)? Are they clean and in good condition? Transportation vehicles should be clean and free of residual product, dirt or debris. They should be routinely swept out and washed. They should be odor-free and in a good state of repair.</p>		10	0	
3.19	<p>Are employees with signs of illness working with exposed products? Nobody should be working in the produce department or with food repackaging who has an infectious disease (hepatitis, flu, etc.) or is a disease carrier (this is because of the high probability of contamination of the food with a food borne illness pathogen.) Nobody should be working in the produce department or with food repackaging who has an open cut or sore or an infected sore or boil (this is because of the high probability of contamination of the food with staphylococcus aureus, a food borne illness pathogen.) Nobody should be working in the facility who has diarrhea (this is because of the high probability of contamination with salmonella, shigella or other food borne illness pathogens.)</p>	**	100	0	

3.0 Operational Methods

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
3.20	<p>Are employees exhibiting good personal hygienic practices, including hand washing?</p> <p>Are employees exhibiting good personal hygienic practices? All employees working in food warehousing, especially in the produce department and repackaging, should wear clean clothes and be clean physically (absent of dirt and body odors). They should have clean hair, and if handling product directly they should have, preferably, short, clean fingernails with no fingernail polish or false fingernails. Outer clothing should be light in color, and this clothing should be preferably be worn only when in work.</p> <p>Are employees standing on bags or cases of products? Employees should not stand on cases or bags of product, as this places dirt from the floor and shoes directly onto the cases or bags. This can then lead to possible contamination of the product. If an employee for any reason has to stand on any product, then a slip sheet or cover should be placed over the product.</p>	**	25	5	One footprint noted on a bag of ingredients in aisle 126.
3.21	<p>Are employees wearing effective hair restraints in produce repack areas?</p> <p>Hair is one of the leading adulterants of food and is objectionable to the customer. It is essential that everybody working with exposed food wear an effective hair restraint. All hair has to be in the hair net for it to be effective. Ball caps and hair spray are not acceptable hair restraint methods. If a person has a beard, then a snood is needed to cover the beard. Hairy arms are also a potential problem which can be addressed with the use of long sleeves.</p>	**	25	0	
3.22	<p>Is jewelry confined to a plain wedding band in areas of exposed product?</p> <p>Stones from jewelry and watches can fall into the exposed food. Only plain wedding bands should be allowed for employees handling exposed food items.</p>	**	10	0	
3.23	<p>Are eating, drinking, and the use of tobacco products restricted to designated areas?</p> <p>It is illegal to smoke, eat, drink or chew gum around exposed food or in food warehousing areas where it may lead to adulteration of the food product, except in a designated area.</p> <p>This designated area has to be such that eating, smoking or drinking in this area will not lead to contamination of the food products or food-contact surfaces.</p>	**	50	0	
3.24	<p>Are all items removed from shirt/blouse top pockets in produce repack areas?</p> <p>Items in top pockets can fall into the exposed food items, leading to adulteration.</p>	**	25	0	
Total Points			600	5	

** MUST DEDUCT ALL POINTS IF DEFICIENCIES ARE FOUND.

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.1	<p>Are all lights protected in areas of exposed foods? Glass is a leading contaminant in food products. It is essential to do everything possible to protect food against possible glass contamination. All lights in produce department and food repackaging areas should be protected against accidental breakage. In dry storage areas, if the product is in hermetically-sealed containers or is sufficiently covered to keep out glass fragments, then protection is not required; but in this case, the facility should be able to demonstrate how they will remove glass fragments from bags, etc., satisfactorily to ensure that they do not get into the food product. All lights in coolers should be protected also, if the product is exposed (e.g., produce, sides of meat, etc.).</p>	**	50	0	
4.2	<p>Do fan louvers close when the fans are turned off? All fans that are in the exterior wall should have louvers that automatically close tightly when the fan is turned off. This will exclude insect or bird entry.</p>	**	25	0	
4.3	<p>Are there catch pans under all motors in product storage areas? All motors, overhead conveyors, chains, etc., over product storage areas should be protected against oil, grease, dirt, etc., dropping into the product below. Catch pans should be installed below overhead equipment to provide protection to the food or food packaging below.</p>	**	25	0	
4.4	<p>Are overhead pipes protected against leaks or condensate drips? When storing under exposed overhead sewer pipes, it is necessary that these pipes be protected against possible leakage that would result in adulteration of the food product. When storing under exposed waterlines, these pipes should not be leaking or have condensate dripping from them. With the exception of sprinkler system piping, it is advisable to protect all waterlines against accidental leakage.</p>	**	25	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.5	<p>Is there flaking paint/material in product storage areas? Flaking paint, loose caulking, tape, etc., which are over food products or food repackaging areas cannot be tolerated, as this may result in adulterated food.</p>	**	50	0	
4.6	<p>Are the floors, walls, and ceilings in good repair? To maintain a clean, sanitary environment free of rodents, insects and harmful bacteria, it is essential the facility be kept in good condition. All holes, broken tiles, missing ceiling panels, etc., should be repaired or replaced immediately so that the environment can be cleaned properly.</p>		25	3	Crack in floor noted at I beam on west side of door 38.
4.7	<p>Are there cracks/crevices that allow insect harborage? Floor/wall junctures should be sealed and floor expansion joints should be sealed. Otherwise, these cracks make it difficult for housekeeping, and provide harborage for insects.</p>		10		
4.8	<p>Are all doors to the outside pestproof? Mice can enter through holes as small as ¼ inch. It is therefore necessary to have gaps around all doors to the outside weather-stripped or sealed to prevent rodent entry.</p> <p>Flies and other flying insects will enter through open doors when receiving shipments, shipping out product or when employees are entering or leaving the facility. It is advisable to have air curtains on the outside of all personnel doors to the outside which will operate automatically every time the door is opened. These air curtains should be directed to blow out, provide an air curtain the full width of the door and give an air current velocity of at least 5 mph down to the floor.</p> <p>All dock door should be kept closed when not in use or screened.</p> <p>Employees must close all doors and windows except when in use, unless they are adequately screened to prevent entry of foreign entities.</p>	**	50	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.9	<p>Do all dock doors have buffers to seal against trucks? When trucks are being unloaded it is essential that buffers around the dock doors seal against the trucks to exclude pests, insects, dust, etc.</p>		10	0	
4.10	<p>Are the dock levelers rodent proof? Mice and rats can enter a warehouse by scaling the outside dock wall and climbing up the inside of the dock leveler, thereby entering the warehouse. As mice only need a ¼-inch hole to gain access, it is essential that the gaskets around the dock levelers are kept in good repair and that they tightly fit around the leveler, leaving no gaps. These gaskets also should seal tightly against the bottom of the dock door.</p>		25	0	
4.11	<p>Are the exterior walls hole-free to keep out pests? All exterior walls should be hole-free to deny insects, birds and rodents harborage and/or access into the building. All pipes that enter from the outside also should be sealed or screened to prevent rodent entry. All windows that can be opened should be screened to prevent entry of birds or insects. All sewer grids should be sealed or have a grating which is less than ¼ inch to prevent rodent entry.</p>	**	25	0	
4.12	<p>Are there separate areas for employees' personal items? Employees' personal belongings (e.g., outer clothing, handbags, etc.) should be stored in a locker room or designated areas where the possibility of contamination of food or food packaging is zero.</p>	**	10	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.13	<p>Is an 18-inch perimeter aisle maintained in the warehouse?</p> <p>To provide access for the pest control operator to be able to spray pesticides and service the rodent control devices, an 18-inch space around the perimeter of the storage areas is desirable. This space will also help in keeping the wall clean and will keep the product and packaging materials off the walls. This is extremely important in dry storage areas. In coolers and freezers, spaces under shelving is an alternative.</p>		10	0	
4.14	<p>Is the lawn maintained in a neat and trim fashion?</p> <p>Litter and trash on the ground outside the facility are attractants to rodents and insects. This provides them with food and water. Weeds provide coverage for rodents to approach the building.</p>	**	10	0	
4.15	<p>Is the outside area free of standing water?</p> <p>Outside grounds and parking areas should be graded so water does not accumulate and stand. This water is a breeding place for mosquitoes and a source of water for insects, flies and rodents. Once attracted to the outside of the facility, they may find their way into the facility.</p>	**	10	0	
4.16	<p>Outside, are pallets, equipment, and tires stored correctly?</p> <p>All surplus equipment, tires and/or pallets should be stored at least 18 inches away from the wall of the facility and off the ground. This will prevent this area from becoming a haven for rodents and insects that may then enter the facility.</p>	**	10	0	
4.17	<p>Is the compactor/dumpster kept closed?</p> <p>To not attract flies, birds and rodents, it is essential that the garbage compactor/dumpster be kept closed when not in use. The ram should be kept in when not in use.</p>	**	25	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.18	Are product contact surfaces corrosion-free? It is essential that exposed food items do not touch rusted surfaces, as this will cause adulteration of the product.	**	25	0	
4.19	Is all equipment in good repair and cleanable? All equipment has to be totally cleanable to remove old product residues. Old product residues attract rodents and insects, allow for growth of microorganisms and will contaminate the next product. Equipment which is in a bad state of repair is difficult to clean. If equipment is used to handle product, e.g., ice scoops, scales, knives, etc., it needs to be clean.		10	0	
4.20	Is wooden shelving used? Wood cannot be kept smooth, free of cracks, clean and sanitary. If used for food storage shelving, it should be sealed so that it can be kept clean and sanitary. Pallets are acceptable, provided they are kept clean and in good repair. Wood should not be used as shelving in a cooler or freezer.	**	25	0	
4.21	Are defrost cycles on freezers at off-peak times? To try to prevent freezer and cooler temperatures from rising too far above 5°F and 50°F, respectively, it is essential that defrost cycles on the cooling units be timed to occur at times of lower activity. This will prevent the cooling coils from being off at times when the doors are being opened frequently. Also, in large freezer and coolers containing more than one bank of cooling coils, each bank's defrosting time should be different from the other banks of cooling units. The frequency of defrost cycles should be sufficient and the length of the defrost cycle should be long enough that the coils are kept relatively ice-free, and therefore working efficiently.		10	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.22	<p>Are accurate thermometers present in all the freezers and coolers? Every freezer and refrigerated storage area, whether walk-in or reach-in, has to have an accurate and readily visible thermometer. This should be located in the warmest spot of the storage area.</p>	**	20	0	
4.23	<p>Are temperature logs kept on the freezers and coolers? To be able to determine if the coolers and freezers are working correctly and consistently, it is necessary to be taking temperature reading on all equipment daily. These temperature readings should be kept as a permanent log showing time of day, piece of equipment and temperature on the external and internal gauges. The time of day for taking the readings should be varied, and they should not be taken during a defrost cycle or 30 minutes after one. This log will help to identify any mechanical problems or poor employee practices (i.e., leaving the doors open).</p>		10		
4.24	<p>Are all water lines protected against backflow/back-siphonage? Does the facility have documented proof that the building is back-flow prevented? All waterlines should have backflow preventers installed in the lines or screwed onto the host bibbs. These will prevent contaminated water or sewage from being sucked into the potable water system if the water pressure should drop. This is CRITICAL if the warehouse makes its own ice for use on produce. All facilities should have documented proof that building is back-flow prevented. This proof should be updated annually.</p>	**	25	0	

4.0 Maintenance and Repair

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
4.25	<p>Are there hand-wash, and if needed, hand-sanitize stations? All employees working in and around exposed food products need to be washing their hands regularly. There needs to be available to all employees hand-wash sinks supplied with soap, tempered water, hand towels and a waste receptacle. These need to be accessible and convenient to the employees and the number should be reflective of the number of employees at the facility. In the produce and repackaging areas it may be advisable to have, in addition, hand-sanitizing stations where the employees can sanitize their hands, therefore further reducing the chances of a food borne illness.</p>		10	0	
4.26	<p>Are there hand-wash signs over hand-wash sinks? All hand-wash sinks need to be marked as such with a sign reminding employees to wash hands before returning to work.</p>		10	0	
4.27	<p>Are garbage and waste removed frequently? Garbage cans in the warehouse should be emptied frequently so they are not overflowing. These garbage cans also should be on a regular cleaning schedule so they do not develop odors, fruit flies, high bacterial growth, etc.</p>		10	0	
Total Points			550	3	

** MUST DEDUCT ALL POINTS IF DEFICIENCIES ARE FOUND.

5.0 Cleaning Programs

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
5.1	Are all dock areas clean including dock pits? All food spills and cobwebs need to be removed on a frequent basis to reduce the possibility of contamination and adulteration to the product.		20	0	
5.2	Are areas under shelves, pallets, and/or racks clean? Housekeeping is an essential part of maintaining a clean and sanitary environment. It is important that the floors under all storage shelves and racks be swept on a daily basis to remove all items that have fallen on the floor and general dust and dirt. The warehouse also should be clean under pallets on a regular basis.		20	0	
5.3	Are the storage areas clean? As part of a good housekeeping program, all dead insects and old spider webs should be removed on a regular basis. All loose pieces of pallets and shrink wrap needs to be removed.		20	0	
5.4	Are all spills cleaned up immediately? To prevent microbial growth and to stop providing food for insects and rodents, all food spills in storage, produce and food repackaging areas should be picked up and/or mopped as soon as they occur.		10	5	Spillage noted at location 146 and 168. One box was noted in floor at 161. Product damage noted at 176, 195, and 153.
5.5	Are the repacking operations done under sanitary conditions? The food repacking areas should be walled off from storage areas, and there should not be doors leading directly into the food repacking areas from outside. This will, if complied with, reduce the chances of airborne contamination of the food. Damaged food should be repackaged and put back into the distribution system quickly or disposed of. If this does not occur, product can become insect-infested or otherwise contaminated and unfit for human consumption.	**	25	0	
5.6	Are all coolers free of mold? All cooler areas should be kept clean to prevent mold growth, bacteria growth, and to keep from providing a potential food source for insects and rodents. The warehouse should be cleaning up all spills immediately and have a regularly scheduled program of cleaning and sanitizing to remove all dust and dirt. The surfaces need to be cleanable.	**	25	0	

5.0 Cleaning Programs

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
5.7	<p>Are all freezers free of excess ice build-up? All freezer floors, walls and ceilings need to be examined on a regular basis for vapor barrier leaks that will allow for ice formation. This ice is composed of dirty water, and can lead to contamination of the product.</p>	**	25	0	
5.8	<p>Are cooling units in the freezers and coolers clean? It is essential to keep cooling coils, drip pans and condensate piping clean as harmful bacteria (i.e., Listeria) has been found in these places. This bacteria can grow in refrigerated temperatures and if introduced into the food supply, can lead to death in persons who consume the food. Check if the warehouse has an environmental cleaning and sanitizing program to cover these units.</p>	**	25	0	
5.9	<p>Is the ice machine clean? Water used for ice for product cooling has to be potable, free of harmful bacteria and other substances. If the warehouse is using ice, then the ice machine has to be clean and in good repair.</p>	**	25	0	
5.10	<p>Are all internal transport vehicles clean and sanitary? All vehicles used for transporting food products around the warehouse should be kept clean. These vehicles can become infested with insects and/or mold which can then be transferred to the food product.</p>		10	0	
5.11	<p>Are rest rooms and break rooms clean and sanitary? Are they properly supplied?</p> <p>Toilet fixtures should be kept clean and in good repair. A supply of toilet tissue should be provided at each toilet at all times. Easily cleanable receptacles should be provided for waste materials. Women's rest rooms shall have a covered waste receptacle. Each hand-washing sink should have a supply of liquid hand soap, tempered water that runs for a minimum of 20 seconds when activated, and either disposable towels or an air dryer to dry hands.</p> <p>If a hand sanitizer is made available to employees, it has to be used in addition to hand-washing and not in place of hand-washing.</p>	**	25	0	

5.0 Cleaning Programs

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
5.12	Is there evidence that the garbage cans are cleaned on a regular basis? All garbage cans need to be kept clean so they do not become a source of odor or contamination.		10		
5.13	Are floor drains clean and unblocked? Drains and sewer lines are a prime location for the growth of microorganisms that can cause food borne illnesses. These must be kept in good working order.		20	0	
5.14	Are overhead fixtures clean? Cobwebs, residue, and dust can become an adulterant if the overhead fixtures are not cleaned on a regular basis.		10	0	
5.15	Is equipment available to perform general housekeeping? Each warehouse should have (where applicable) mops, buckets, brooms, wash cloths, cleaners and sanitizers, etc., available to clean the warehouse. The equipment should be dedicated to cleaning and not used for any other purpose. This equipment should be kept in a sanitary condition and a good state of repair.		10	0	
5.16	Is cleaning equipment stored in a separate area or cupboard? To not become a potential source of contamination or a breeding ground for cockroaches, all cleaning equipment should be stored away from produce and food repackaging areas (ideally in a separate room closet or cabinet). Mops should be hung up to dry; mop buckets should be emptied when not in use, etc.		10	0	
5.17	Are vacuum cleaners cleaned to prevent insect harborage? All vacuum cleaners must be cleaned after every use to prevent insect harborage and the hatching of eggs.	**	20	0	
5.18	Are all cleaning chemicals approved for use ? All chemicals need to be approved for use as per the written cleaning program. If food contact surfaces are cleaned, then food-grade chemicals must be in use on these surfaces.		10	0	

5.0 Cleaning Programs

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions															
5.19	Are all cleaners used at the proper concentration? All cleaners must be used as per the instructions included in the written program.		10	0																
5.20	<p>Are all sanitizers used within legal limits on product-contact surfaces?</p> <p>Sanitizers are approved to be used at strengths within various set minimums and maximums and at certain recommended minimum temperatures. These conditions have been established based on:</p> <p>a) Tests conducted with various microorganisms showing that an effective kill rate is achieved.</p> <p>b) Levels that do not leave a toxic or harmful chemical residue on the equipment.</p> <p>Temperature of sanitizer solution should not be less than 75°F. Care must be taken with iodine and chlorine not to go over 120°F due to dissipation of the active ingredient into the air as a gas.</p> <p>Strengths of sanitizers not requiring a following potable rinse:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Sanitizer</th> <th style="text-align: center;">Minimum (PPM)</th> <th style="text-align: center;">Maximum (PPM)</th> </tr> </thead> <tbody> <tr> <td>Chlorine</td> <td style="text-align: center;">50</td> <td style="text-align: center;">200</td> </tr> <tr> <td>Iodine</td> <td style="text-align: center;">12.5</td> <td style="text-align: center;">25</td> </tr> <tr> <td>Quat</td> <td style="text-align: center;">200</td> <td style="text-align: center;">200</td> </tr> <tr> <td>Acid</td> <td style="text-align: center;">Varies</td> <td style="text-align: center;">Varies</td> </tr> </tbody> </table>	Sanitizer	Minimum (PPM)	Maximum (PPM)	Chlorine	50	200	Iodine	12.5	25	Quat	200	200	Acid	Varies	Varies		10	0	
Sanitizer	Minimum (PPM)	Maximum (PPM)																		
Chlorine	50	200																		
Iodine	12.5	25																		
Quat	200	200																		
Acid	Varies	Varies																		
5.21	<p>Does the facility have sanitizer strength test strips/test kit, where applicable?</p> <p>The plant has to have the ability to test the strength of any sanitizer used on a product-contact surface. This can be done using either a chemical test kit or sanitizer test papers. It is essential that the plant have either one or the other as they need to know at all times whether their sanitizer is within the legal range or not. (Refer to item 104 for legal limits on various sanitizers.)</p>		10	0																
5.22	During cleaning, are all products and packaging protected? When cleaning the equipment or warehouse (walls, floors, etc.,) all cases of products, packaging, and food items should be removed from the immediate area or protected from splash.		10	0																

5.0 Cleaning Programs

Section	Audit Element	Deduct All	Total Points	Points Deducted	Corrective Actions
5.23	Are all cleaning chemicals properly stored? All chemicals and sanitizers must be segregated from the storage and repack areas to protect the products from adulteration. Ideally, all chemicals will be stored in locked rooms or cages.	**	25	0	
5.24	Are all cleaners and sanitizers properly labeled? All cleaner and sanitizers have to be clearly and correctly identified as to type. If the original label is missing or illegible, then a new label should be placed on the container. This will help to prevent misuse of a cleaner or sanitizer or a possible employee accident.	**	25	25	Two bottles of clorox found in floor in one of the coolers without a label as to its contents.
5.25	Are unsealed electrical boxes clean inside and out? Cockroaches and other insects can be found living in electrical boxes if they are not maintained in a clean condition.	**	10	0	
5.26	Are all sprinkler risers, guard rails, etc. clean? It is important that these items be kept clean so that dirt does not contaminate the associates or equipment.	**	10	0	
5.27	Are all fire extinguishers clean, available, and unblocked? All fire extinguishers must be available for use. There should be nothing stored in front of them.	**	10	0	
5.28	Is the outside area free of general litter and trash? Litter and trash on the ground outside the facility are an attractant to rodents and insects. This provides them with food and water.	**	10	0	
5.29	Is the area around the compactor/dumpster kept clean? The area around the compactor/dumpster should be swept and washed down daily to limit food and nutrients for birds, flies and insects. The compactor/dumpster should not have any holes that will let liquids leak out on the floor. The pad under the compactor/dumpster should be smooth, in good repair and sloped to drain to the sanitary sewer. The area around the compactor/dumpster should be kept clean and odor-free.	**	25	0	
Total Points			475	30	

** MUST DEDUCT ALL POINTS IF DEFICIENCIES ARE FOUND.

SECURITY QUESTIONS

	POINTS	YES Enter Correct Point Value	NO Enter Correct Point Value	Corrective Actions
<p>Explain in notes section if any items are marked as "NO." All points are deducted for a "NO".</p> <p>1. Has the facility registered with the FDA BIOSECURITY ACT where required?</p> <p><i>Facility should have documentation.</i></p>	20	20		
<p>2. Does the facility have a designated food security team or designated coordinator?</p> <p><i>Facility should have documentation.</i></p>	10	10		
<p>3. Does the facility have an emergency contact list that includes government contacts for use in case of an incident of intentional product tampering or food security threats?</p> <p><i>Facility should have documentation.</i></p>	5	5		
<p>4. Does the facility have a food security plan in place for emergencies?</p> <p><i>Facility should have documentation.</i></p>	5	5		
<p>5. Does the facility have controlled entry into it by requiring visitors to sign-in and provide identification?</p> <p><i>Facility should have sign-in documentation.</i></p>	5	5		
<p>6. Does the facility have controlled access into it?</p> <p><i>Example: Swipe cards, key code pads, etc.</i></p>	5	5		
<p>7. Does the facility have a procedure for handling visitors, contractors and inspectors, including escorting them in the facility?</p> <p><i>Facility should provide documented procedure.</i></p>	5	5		
<p>8. Does the facility perform periodic food security self-inspections?</p> <p><i>Records should be on file.</i></p>	5	5		
<p>9. Does the facility have security guards monitoring it?</p> <p><i>Visual observation.</i></p>	3	3		
<p>10. Does the facility have well maintained fenced perimeters?</p> <p><i>Visual observation.</i></p>	2	2		
<p>11. Does the facility monitor all incoming shipper trailers for seals or locks?</p> <p><i>Records should be on file.</i></p>	5	5		

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12. Does the facility seal all outgoing trailers and record seal numbers on bill of lading? <i>Records should be on file.</i>	5	5		
13. Does the facility control access to their main power source? <i>Where is main panel and how is it access controlled?</i>	5	5		
14. Does the facility control access to their phone line? <i>Where is main phone line and how is it access controlled?</i>	5	5		
15. Does the facility control access to their computer systems? <i>Computer systems should be password protected.</i>	5	5		
16. Does the facility control access to their refrigeration system? <i>Where is main refrigeration system and how is it access controlled?</i>	5	5		
17. Are the facility emergency exits locked and secured from the inside and aren't blocked? <i>Observation of emergency exits during visual inspection of the facility.</i>	5	5		
All points are awarded for YES answers. Total	100	100	0	