Confidential Audit Report

for

ASI

Food Safety Consultants

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:(purchasing and storage),Production)

Recall Team # Office: HACCP team

Recall Team Phone # After Hours:

Responsibilities:

Receive the complaint issue
Launch a recall
Conduct a recall
Finish and summarize a recall
Feedbacks

Recall Coordinator Responsibilities:

Sales department
QA department
Production department
Purchasing and storage department

Regulatory Contact Plant: _____

Customer Contact Plant: _____

Regulatory Contact Office: _____

Customer Contact Office: _____

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

Inform to stop selling and using the concerned products
Recall team conduct the recall and find the contact information in the designed time limit.
Issue the action plan about recall
Summarized the recall.

Records of Mock Recalls:

Production sheet.
Production volume records.

Standard Form To Summarize Results, Including:

Material to be traced: Raw material and packaging received in 2010,April

Production Date: 4/16/2010

Lot Numbers: 20100416

Quantities produced in Lots per Production Day: 378 Boxes

Quantities in House: 378 Boxes

Location and quantities of remaining stock: 378 Boxes

Percent of materials located (no recovery necessary): 100%

Length of time needed to complete Mock Recall: 9:30-11:30

Issues Noted During Mock Recall:

Rework was not considered for the mock recall exercise, and it could not be traced.

Corrective Action for any issues noted:

Site should label all the rework products and take this into consideration for the mock recall exercise.

for
Non Food Processing
Quality Systems and Product
Inspection Report

By

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Grade/Rating:	Good	Audit Date:	2010-4-21,22
Length of Audit:	12h	ASI Consultant:	
Previous Grade/Rating:	NA	ASI Director	Thomas Hugé
Date of Previous Audit:		Copies to:	May, Hua
Products Manufactured at this facility	Plastic Cutlery		

Key Personnel

Name	Title
Z	Sales manager
Y	Vice president

Summary and General Conditions

The facility is located in an industrial park.

The facility was built in 2001.

The facility is approximately 28,000 square feet in size.

The process area occupies 13,000 square feet. The storage areas are 10,000 square feet.
And the storage areas were dry warehousing. The handling areas are all on the first floor and offices in second floor.

The facility has 140 full time employees. No seasonal or temporary employee was hired.

Operating hours are five days a week. There are three production shifts for molding process and one shift for packaging process.   Cleaning/sanitation will take place after production.

Facility Information

Size (sq ft)   Production: 13,000   Warehouse: 10,000
Construction of building (metal frame, brick, etc)   Metal frame
Number of operation days/shifts (i.e. days per week, shifts):   5days/3shifts
Number of employees at this location: 140

Grading System

Section	Points Available	Points Appicable	%	Points Applicable Last Audit	%
1. Evaluation of Quality Systems	745	621	83.36%		0.00%
2. Pest Control	300	282	94.00%		0.00%
3. Evaluation of Operational Methods and Personnel Practices	875	785	89.71%		0.00%
4. Maintenance and Repair	380	265	69.74%		0.00%
5. Evaluation of Cleaning Program	360	335	93.06%		0.00%
6. Security	100	95	95.00%		0.00%
Total Points Available:	**2760**	**2383**	**86.34%**	**0**	**0.00%**

Score Percentage	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:

One ingredient was not used and some processing steps were not followed accordingly, the HACCP plan was not updated;The CCP2 injection temperature and time are monitored each 2 hs, but the HACCP plan said it should be monitored each 20mins. Some injection time were not recorded.

Rework was not considered for the mock recall exercise, and it could not be traced.

NOTE: THE FACILITY CANNOT BE RATED AS EXCELLENT, IF ONE (1) OR MORE CRITICAL OBSERVATIONS ARE OBSERVED. QUESTIONS PERTAINING TO A CRITICAL OBSERVATION MUST HAVE ALL POINTS DEDUCTED.

1.0 Evaluation of Quality Systems				
Section	Audit Element	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 Each item has a value of 10 points for every item above (1-5) missing.	60	0	
1.2	**Plant 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.	20	0	
1.3	**Plant is performing daily pre-operational inspections for production 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). Deduct 10 points if facility does not have a program. Deduct 5 points if program is not documented. Deduct 2 points for every item above (1-4) missing. Deduct up to 10 points to reflect the lack of completeness of the pre-operational inspection program or if records are missing.	20	2	The pre-operational inspection was conducted each week instead of daily.
1.4	**Does the plant 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 Deduct 20 points if facility does not have a program. Deduct 5 points if program is not documented. Deduct 2 points for every item above (1-4) missing. Deduct 1 point for each inspection/corrective action missing.	20	10	There was no documented procedure, but records showed that GMP self-inspection was carried out each month.
1.5	**Plant has a supplier control program** **Program should describe:** 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. Deduct 40 points if facility does not have a program. Deduct 4 points for each item above (1-5) missing. Deduct up to 20 points for records missing.	40	0	

	1.0 Evaluation of Quality Systems			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
1.6	**Plant has a documented incoming trailer inspection program** **Program should describe:** 1. Frequency 2. Inspection criteria/use of light 3. Inspection form 4. Rejection logbook 5. Records of trailer inspections should be on file 6. Facility is checking for integrity of the seal Deduct 20 points if there is no written program describing the inspection procedures. Deduct 2 points for each of the above items (1-4) missing. Deduct up to 10 points if there are incomplete records or records missing.	20	10	There was no documented procedure, but records showed that the inspection was carried out.
1.7	**Plant has a documented incoming goods inspection program** **Program should describe:** 1. Frequency 2. Inspection criteria 3. Inspection form 4. Rejection logbook 5. Records of incoming good inspections (10 points) Deduct 20 points if there is no program. Deduct 10 points if there is no written program describing the inspection procedures. Deduct 2 points for each of the above items (1-4) missing. Deduct up to 10 points if there are incomplete records or records missing.	20	0	
1.8	**Plant tests raw materials and it has written supplier guarantees or certificates of analyses (COAs)** **Program should describe:** 1. Frequency (guarantees/COA/testing) 2. Testing procedures and specifications 3. Form used to keep the records 4. Rejection logbook 5. Records of testing results Deduct 20 points if there is no program. Deduct 10 points if there is no written program describing the inspection procedures. Deduct 2 points for each of the above items (1-4) missing. Deduct up to 10 points if there are incomplete records or records missing.	20	5	For the internal packaging, the report was done in the year of 2007. For the raw material, the guarantees was collected for each batch.
1.9	**Plant has specifications for all products manufactured at the facility** **These specifications include:** 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 Deduct 30 points if there is no program. Deduct 5 points for each of the above items (1-6) missing. Deduct up to 10 points to reflect the lack of completeness of the file of product specifications.	30	0	

1.0 Evaluation of Quality Systems				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
1.10	**Facility has documented procedures for testing work in progress or finished products** **Program should clearly define:** 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 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.	20	0	Comment: Each batch of the products has to be sent out to the government for the testing.
1.11	**Facility has a program for calibration of equipment in production areas** **Program should outline:** 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 Deduct 20 points if there is no program. Deduct 10 points if there is no written program describing calibration program. Deduct 2 points for each of the above items (1-7) missing. Deduct up to 10 points if there are incomplete records or records missing.	20	0	
1.12	**Plant has a documented outgoing trailer inspection program, with records on file** **Program should describe:** 1. Frequency 2. Inspection criteria 3. Inspection form 4. Rejection logbook 5. Written backhaul program 6. Records of trailer inspections should be on file 7. Facility is checking for integrity of the seal Deduct 20 points if there is no written program describing the inspection procedures. Deduct 2 points for each of the above items (1-5) missing. Deduct up to 10 points if there are incomplete records or records missing.	20	10	There was no documented procedure, but records showed that the inspection was carried out.
1.13	**Plant 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	

	1.0 Evaluation of Quality Systems			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
1.14	**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, protection wear. Deduct 20 points if procedures are not documented. Deduct 5 points for each procedure missing (1-5), deduct 1 point for each instance of chemical or concentration missing. Deduct 5 points if MSDS are not on file.	25	5	Walls and ceiling were not covered in the cleaning program.
1.15	**Plant has 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, wall and ceiling) 6. Outside grounds 7. Laboratory 8. CIP equipment Deduct 20 points if program is not documented. Deduct 5 points for each procedure missing (1-5). Deduct 10 points if records are not kept. Deducts up to 10 points for records that are missing.	20	0	
1.16	**Is a written preventive maintenance program in effect?** **Program should include:** 1. List of: 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 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.	20	0	

1.0 Evaluation of Quality Systems				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
1.17	**Facility has a recall program** **Comprehensive written recall (clear, concise and current).** **Program should include:** 1. Recall team (name, phone number: office/after-hours) 2. Recall coordinator/responsibilities 3. Regulatory and customer contacts (plant and head office) 4. Spokes person (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 (8 points) 10. A mock recall should be performed at the time of the inspection (8 points) Deduct 24 points if program is not documented. Deduct 3 points for item missing in the program (1-8). Deduct 8 points if records are not on file. Deduct 8 points if facility cannot perform the mock recall in less than 4 hours	40	16	Rework was not considered for the mock recall exercise, and it could not be traced.
1.18	**Facility has a HACCP program** **Program should include:** 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 Deduct 100 points if HACCP is not documented. Deduct 5 points for item missing (1-10). Deduct up to 50 points if CCP, corrective action form, verification records are missing or incomplete. CRITICAL if CCP records are missing.	100	40	One ingredient was not used and some processing steps were not used accordingly, the HACCP plan was not updated. The CCP2 injection temperature and time should be monitored each 2 hs, but the HACCP plan said it should be monitored each 20mins. Some injection time were not recorded.
1.19	**Plant has a program to handle retained and returned products** **The program should include personnel responsible and procedures for hold/release and disposition of:** 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 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.	25	0	

	1.0 Evaluation of Quality Systems			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
1.20	**Facility has a Food Security Plan** **Program should include:** 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 Deduct 50 points if program is not documented. Deduct 5 points for item missing in the program (1-10).	50	15	Responsibilities were not defined; Security risk assessment was not conducted and employees background was not inspected.
1.21	**Facility has a program and measures to control access to the building and restricted areas** **Program should include:** 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 Deduct 50 points if program is not documented. Deduct 5 points for item missing in the program (1-10).	50	0	
1.22	**Facility has written glass control policy** **Program should include:** 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 Deduct 10 points if program is not documented. Deduct 2 points for item missing in the program (1-5).	10	2	There was no glass inspection.
1.23	**Plant has a written rework/reprocess policy** **Program should include:** 1. Procedures for labeling 2. Procedures for allergen materials 3. Condition of rework 4. Traceability of rework/reprocess. Deduct 5 points if program is not documented. Deduct 1 point for item missing in the program (1-5).	10	5	There was no rework program.

1.0 Evaluation of Quality Systems					
Section	Audit Element	Total Points	Points Deducted	Corrective Actions	
1.24	**Plant has a program to ensure the safety of the water supply** **Program should include:** 1. Definition of water source(s) 2. Sampling program and analysis (chemical, micro) 3. Frequency (quarterly) 4. Backflow inspections (annually) 5. Records (backflow inspections/water testing) 6 points Deduct 4 points if program is not documented. Deduct 1 point for item missing in the program. Deduct 6 points if records are not completed.	10	4	There was no program to ensure the safety of the water supply.	
1.25	**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 Deduct 10 points if program is not documented. Deduct 1 point for item missing in the program. Deduct 10 points if program is not being followed.	10	0		
1.26	**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.	10	0		
1.27	**Plant 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	5	0		
1.28	**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 Training should cover GMP, sanitation, HACCP, allergen, recall, traceability, rework, receiving, shipping, storage, glass control, safety and security. Deduct 40 points if program is not documented. Deduct 1 point for item (1-4) missing program. Deduct 3 points for each training missing or overdue	40	0		
	Total Points:	745	124		

	2.0 Pest Control			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
2.1	**There are no insects/flies/rodents/birds in the raw materials, packaging or finished products** 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 foodborne illness and definitely will bring regulatory criticism. A bird flying through the facility could cause adulteration of the product. **This is CRITICAL.**	100	0	
2.2	**There are no insects/flies/rodents/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 serious, but provided they have not gotten into the product, it is less serious than the observation above.	20	0	
2.3	**Facility has a written integrated pest management (IPM) program** **(IMP) should clearly indicate/require:** 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	20	2	The pest control was done by the company, the bait station was not secured to the ground and punch cards/stickers were not used.
2.4	**Pesticides are applied by licensed personnel, where required** **The following documents should be on file:** 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 These documents must be current. Look for the expiration dates.	5	0	

		2.0 Pest Control			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions	
2.5	**MSDS and sample labels are on file for all pesticides in use** **Check for:** 1. List of approved pesticides used 2. MSDS for all pesticides used in the past 12 months should be on file. 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.	5	0	Comment: No pesticide was used.	
2.6	**Pest control map is on file and up-to-date** **Check for:** 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	5	0		
2.7	**All pesticides are stored away from raw materials, packaging materials, equipment, production utensils, cleaning utensils, finished products (when applicable)**	100	0		
2.8	**Is there an adequate pest control program?** **Check for:** 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	30	16	Numbers were not on wall or floor, bait station was not secured to the ground, punch cards/stickers were not used, all the mechnical mouse catchers were closed.	
2.9	Service reports/corrective action Service reports for the last 12 months Corrective action based on service reports	10	0		
2.10	**Pesticide usage log is on file and up-to-date** 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	5	0	Comment: No pesticide was used.	
	Total Points	300	18		

Note: Insects, rodents or other vermin in the product is an automatic critical rating regardless of the overall numerical score

	3.0 Operational Methods			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
3.1	**All receiving procedures: Inspection of trailers and incoming ingredients are being implemented (as per written program).**	15	0	
3.2	**Are all ingredients stored correctly?** 1. No expired products, all product is in sound condition, free of spoilage, off the floor and away from the wall 2. All ingredients are properly covered, closed or sealed 3. All products stored at the correct temperatures 4. Coolers <48°F, Freezers< 3°F, Warehouse areas <70°F 5. All rejected and damaged products properly quarantined 6. All ingredients marked with the date of receiving/FIFO 7. Slip sheets are used when double staking palletized ingredients Deduct 5 points/item if the conditions are not fully met.	35	0	
3.3	**All ingredients/packaging are stored to prevent cross-contamination and adulteration.** 1. Unprotected glass over exposed products 2.Chemical, cleaning products, pesticides materials should be stored away from ingredients or packaging materials Deduct 100 points if any of these conditions are found.	100	0	
3.4	**All packaging materials are stored correctly.** 1. All product in sound condition and free of spoilage 2. Stored off the floor and away from the wall 3. All materials are covered 4. All rejected/obsolete and damaged products are properly quarantined 5. All materials are marked with the date of receiving/FIFO Deduct 2 points/item if the conditions are not fully met for each item.	15	0	
3.5	**Holding and release written procedures are implemented.**	15	0	
3.6	**Procedures for traceability of ingredients during formulation production, rework, work- in- progress are implemented.** All raw ingredients should have the lot number recorded for traceability. The plant should be keeping a record of lot numbers of raw materials and into which product these ingredients went.	50	50	The rework was not labelled and it could not be traced.
3.7	**Document including manufacturing procedures and directions are available in production areas at the time of production.**	25	0	
3.8	**HACCP plan is being implemented.**	100	0	
3.9	**Is equipment generating steam, condensate, dust or spillage?** All equipment should be properly vented or exhausted out of the processing area so that contamination of any product or ingredient is avoided. All dust collectors should be functioning correctly and cleaned on a regular basis. Steam cannot be allowed to condense on cold equipment or pipes and fall back down onto a product or ingredient.	15	0	

	3.0 Operational Methods			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
3.10	**Are there effective measures to prevent cross-contamination?** The plant should have measures in effect to prevent cross-contamination from one product to another. Ensure that all raw foods are segregated from cooked or ready-to-eat items. In plants producing cooked products, there should be methods to prevent traffic from flowing from raw areas to cooked areas. Look for cleaning and sanitizing of equipment between products. Look for cleaning and sanitizing of utensils and hands between products to prevent cross-contamination. Examine all areas for where a product can drip or fall into another product.	100	0	
3.11	**Is the space adequate to perform operations and keep clean?** The size of the area in the plant has to be large enough to perform the task at hand and to be able to clean up. If the area is too small and there is a possibility that the product may become contaminated, then this is a problem.	15	0	
3.12	**Are production areas segregated from storage and the outside?** The food processing areas should be walled off from storage areas, and there should not be doors leading directly into the food processing area from outside. This will, if complied with, reduce the chances of airborne contamination of the food.	15	0	
3.13	**Is surplus/unused equipment stored in non-production areas?** All equipment that is not being used in the normal day-to-day operation of the plant should be in storage and not in the food processing areas. This equipment should be stored clean and preferably covered.	15	0	
3.14	**All packaging materials are manufactured legally and safely. Facility should check that all raw materials are approved to be used on food contact surfaces.** Certain products have to be processed according to strict conditions to ensure a wholesome product that will not make the consumer sick. Check the process to see if the product is being manufactured legally. Dairy products should be pasteurized at a minimum of 175ºF for 25 seconds. Low-acid canned products should be processed under conditions that have been shown to kill botulism; the process should be kept on file with the FDA.	100	0	
3.15	**Is there adequate protection against possible adulteration?** Product must be protected from adulteration of any type at all times. The product should be kept covered when not being processed and when being conveyed. It should not be exposed to any physical or chemical hazards: dripping lube, grease or condensate, to loose nuts or bolts, to human hair or to glass or any airborne contaminants. The plant should be using in-line safety devices, i.e., magnets or metal detectors to detect any metal and sieves or screens to remove foreign materials. **This is Critical.**	15	0	
3.16	**Is all rework/work-in-progress handled correctly (as per the written program, item 19?)** Any rework or work-in-progress must be clearly labeled as such and kept segregated from the raw materials and the finished product. The rework and work-in-progress must be stored in clean, covered containers and kept at the correct temperatures (i.e., refrigerated if required). All rework should be used as quickly as possible so that it does not lead to an unsatisfactory product.	20	20	Rework was not labelled.

	3.0 Operational Methods			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
3.17	**Is product coded as to day of production?** All product should be dated to indicate on which day it was produced. This can be by using the actual date or a code system that designates the date. It is advisable, but not mandatory, to also put the line, the shift, etc. This is essential for recall purposes and helps ensure that product is not used after its "sell by" or "use by" date.	15	0	Comment:The product would be dated if there is requirement from the client.
3.18	**Are all finished products stored correctly and in sound condition** All products should be stored off the floor and away from walls. They should be undamaged and free from dust and debris.	15	0	
3.19	**Finished products are used to for intended used** All containers, paper, cartons, etc. should only be used for the purpose for which it was created.	100	0	
3.20	**Are trailers for shipping inspected (as per the written program, item 9?) Are they clean and in good condition?** Transportation vehicles must be clean, free of odors, and at the proper temperature for the items to be shipped. Inspections must be conducted as per the written program.	15	0	
3.21	**Employees are following Company GMP policy.** 1. No employees with signs of illness working with exposed foods 2. Employees exhibiting good personal hygienic practices 3. Employees are wearing effective hair restraints 4. Employees are wearing only plain wedding bands 5. Drinking, eating, and use of tobacco products takes place only at designated areas 6. All items are removed from shirt/blouse pockets 7. All company GMPs are followed Deduct 10 points for each item (1-7) found out of compliance.	70	20	Hair was not covered, some staff wear earring, necklace and bracelet.
3.22	**Does the facility have an outer garment policy? Are clothing policies followed?** Facility should establish an outer garment program for persons working in direct contact with food, food-contact surfaces or food packing materials. Employees must wear a clean outer garment that remains within the work area. Facility is responsible for providing clean uniforms to employees. Color code uniforms should be used to move between areas where the possibility of cross contamination exist with a potentially hazardous material (e.g. from a raw to a cooked area) or from chicken deboning room to a beef deboning room. Facility should document a glove policy that includes uses, material, procedure for control (during breaks) and exceptions. Deduct up to 10 points to reflect the lack of completeness of the supplier control program.	10	0	
	Total Points	875	90	

4.0 Maintenance and Repair

Section	Audit Element	Total Points	Points Deducted	Corrective Actions
4.1	**Are all lights over exposed product protected?** Glass is a leading adulterant in food products. It is essential to do everything possible to protect food against possible glass contamination. All lights in food processing, food packaging and food ingredient storage areas should be protected against accidental breakage. In dry storage, 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 must 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 infrared lamps, heat lamps and/or inspection lights should have the bulb completely protected and only the top surface exposed to the food. All lights in coolers, freezers, reach-ins, display cases, etc., should be protected.	100	100	All the lights were not protected.
4.2	**Are all ladders and walkways over product lines protected?** All walkways and ladders over or close to exposed product or packaging should be protected so that dirt from shoes does not drop onto the product. Open-grate walkways or ladders are not acceptable. The base should be solid with a minimum of a one-inch lip at the sides. These walkways and ladders should be kept clean and sanitary.	10	0	
4.3	**Are there catch pans under all motors over product areas?** All motors, overhead conveyors, chains, etc., over product areas should be protected against oil, grease, dirt, etc., dropping into the product below. Catch pans should be installed below this overhead equipment to provide protection to the food or food packaging below.	10	0	
4.4	**Are overhead pipes protected against leaks or condensate drips?** When storing or processing 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 or food-contact surface. 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.	10	0	
4.5	**Are floors, walls and ceilings in good repair?** To maintain a clean, sanitary environment free of rodents, insects and harmful bacteria, it is essential that 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.	10	0	
4.6	**Are all doors to the outside pest-proof?** 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. 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 doors to the outside that will operate automatically every time the door is opened. These air curtains should be directed to blow out, to provide an air curtain the full width of the door and to give an air current velocity of at least 5 mph down to the floor.	10	10	The doors in the processing area and in the storage room were not pest-proof.

4.0 Maintenance and Repair				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
4.7	**Are exterior walls hole-free to keep out pests?** All exterior walls should be free of holes to deny insects, birds and rodents harborage and/or access into the building. All pipes that enter from the outside must be sealed or screened to prevent pest entry. All windows that can be opened should be screened to prevent entry of birds or insects. All fans that are in exterior walls should have louvers that automatically close tightly when the fan is turned off. This will exclude insect or bird entry. All sewer grids should be sealed or have a grating which is less than ¼ inch to prevent rodent entry.	10		
4.8	**Are there cracks/crevices that allow insect harborage?** All cracks and crevices should be caulked or otherwise sealed as they provide an excellent harborage for cockroaches. These cracks cannot be cleaned and they accumulate food particles.	10	0	
4.9	**Is there positive air pressure in the processing area?** There should be sufficient airflow throughout the facility to cause positive air pressure within the processing area. When doors to the processing area are opened, air should be blown out from the area.	10	0	
4.10	**Are there separate areas for raw materials and finished products?** To minimize cross-contamination from raw ingredients to finished products, it is advisable to have separate storage areas. As this is not always possible, the facility should at least have sufficient space to have the capability of segregating raw materials from finished products.	10	0	
4.11	**Are there separate areas for employees' personal items?** Employees' personal belongings (i.e., outer clothing, handbags, etc.) should be stored in a locked room or a designated area where the possibility of contamination of food, food packaging or food-contact surfaces is zero.	10	0	
4.12	**Is an 18-inch perimeter aisle being maintained in storage areas?** 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 walls clean and will keep the product and raw materials off the walls.	10	0	
4.13	**Is the lawn maintained in a neat and trim fashion?** Litter and trash on the ground outside the facility are attractants to rodents and insects. This provides them with food and water.	10	0	
4.14	**Is the outside area free of standing water?** Outside grounds and parking areas should be graded so that 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.	10	0	
4.15	**Outside, are pallets, equipment and tires stored correctly?** All surplus equipment, tires and/or pallets should be stored at least 18 inches 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 building.	10	0	
4.16	**Is the compactor/ dumpster kept closed?** These should always be closed when not in use to prevent pest attraction.	10	0	

4.0 Maintenance and Repair				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
4.17	**Are product-contact surfaces corrosion-free?** Rust is an adulterant that will contaminate the food and has to be removed. Corrosion of any food-contact equipment is unacceptable.	10		
4.18	**Is all equipment in good repair and cleanable?** All equipment has to be totally cleanable to remove old product residues. Broken welds, cracked shields, etc. must be repaired. Old product residues attract rodents and insects, allow for growth of microorganisms and will contaminate the next product.	10	0	
4.19	**Is there flaking paint or any flaking material in production?** Flaking paint, loose caulking, tape, loose safety labels, etc., which are over food processing or food packaging areas cannot be tolerated, as this may result in adulterated food.	10	5	Flaking paint was observed along the windows in the processing area.
4.20	**Is there any rust on outside of equipment or surrounding areas?** Rust on the outside of equipment or in areas of the facility that are not directly over a food product or food-contact surface, although not as serious as directly over a food product, should not be allowed as the rust can possibly be blown onto or carried into the food product.	10	0	
4.21	**Is there any wooden equipment or surfaces being used?** Wood cannot be kept smooth, free of cracks, clean and sanitary. Look for wooden paddles for stirring, knives with wooden handles, etc. If wood is used for food storage shelving, it should be sealed so that it can be kept clean and sanitary.	10	0	
4.22	**Is the equipment being over lubricated, causing dripping lube?** Equipment should only be lubricated sufficiently for it to work correctly and lube/oil should not be allowed to drip down into the product.	10	0	
4.23	**Is all compressed air filtered?** It is essential to filter all compressed air to remove oil droplets, water droplets and any harmful microorganisms, especially if the air is used to agitate the product, to open up a packet for filling, to clean up the equipment after use, etc. This air can be a source of contaminants that are then introduced into the food product. A 5 micron filter is suggested.	10	0	
4.24	**Are only food-grade lubricants in use?** All lubricants used in or on equipment that is used for food manufacturing should be food grade. Other lubricants may be used in the plant (for areas where there is no food contact, i.e., forklifts).	10	0	
4.25	**Is tape, cardboard, etc. used for temporary repairs?** Temporary repairs made of tape, cardboard, etc. are not cleanable and might become adulterants. Such temporary repairs have a habit of becoming permanent repairs. They create circumstances where equipment cannot be cleaned properly and/or adulterants may fall into the product.	10	0	
4.26	**Does the facility have documented proof that the building is back-flow prevented?** All water lines must have backflow prevention devices installed in the line or screwed onto the hose bibbs. These will prevent contaminated water or sewage from being sucked into the potable water system if the water pressure should drop. All facilities should have documented proof that the building is back-flow prevented. This proof should be updated annually.	10	0	

4.0 Maintenance and Repair				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
4.27	**Are there hand-wash/hand-sanitize stations?** Hands have been shown to be a major source of foodborne illness bacteria (pathogens) as most of these bacteria come from human fecal material that is left on the employee's hands after using the rest room. Washing does not always remove all these bacteria, so efforts should be taken to minimize hand contact with finished products, especially potentially hazardous foods. This can be achieved by wearing gloves, using utensils or etc. It is essential that employees wash their hands as often as possible, and therefore, there should be readily accessible hand-wash sinks. The number of sinks should be reflective of the size of the food processing and the number of employees. It is illegal for employees to wash their hands in a food-processing sink, an equipment-washing sink or a utility sink. The hand-wash sink has to be so designated and needs tempered water (85-110˘F), soap, preferably a nailbrush, towels and a waste can. In some areas where there is constant and unavoidable hand contact with the food, it may be advantageous to have a hand-sanitizing dip station but this is not mandatory. Sanitizing of hands is to be encouraged, but it is not to be done in place of hand washing.	10	0	
4.28	**Are there floor drains for processing and cleanup (where needed?)** Each plant should have sufficient drains to convey away all processing water, waste water, condensate water and cleanup water.	10	0	
4.29	**Are garbage and wastewater removed from production areas frequently?** Garbage cans in the plant should be emptied frequently so that they are not overflowing. These garbage cans also need to be on a regular cleaning schedule so that they do not develop odors, fruit flies, high bacterial growth, etc.	10	0	
	Total Points	380	115	

	5.0 Cleaning Programs			
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
5.1	**Are all dock pits and dock areas clean?** All dock and storage areas should be kept clean to prevent mold growth, bacteria growth and potential food for insects and rodents. There should be no cobwebs or heavy dust on the dock. The facility should be cleaning up all spills immediately and have a regularly scheduled program of sweeping and dusting to remove all airborne dust and dirt.	10	0	
5.2	**Are areas under storage shelves 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 in all storage bays be swept on a regular basis to remove all items that have fallen on the floor and general dust and dirt.	10	0	
5.3	**Are the processing areas clean?** This includes floors, walls, ceilings, vents, etc. Areas under and behind the equipment and storage shelves must be kept clean.	10	5	Dust was observed adhering to the walls in the processing area.
5.4	**Are all spills cleaned up immediately?** To prevent microbial growth and to stop providing food for insects, all food spills in storage and food preparation areas should be picked up and/or mopped up as soon as they occur.	10	0	
5.5	**Are ingredients, work-in-progress and finished products dust-free?** All raw materials, work-in-progress, and finished products should be kept free of dust by good rotation and good housekeeping.	10	0	
5.6	**Are all internal transport vehicles clean and sanitary?** All vehicles used for transporting ingredients, packaging and finished products around the plant should be kept clean. These vehicles can become infested with insects and/or mold which can then be transferred to the finished product.	10	0	
5.7	**Are rest rooms and break rooms clean and sanitary? Are they properly supplied?** All rest room doors should be equipped with a closure device so doors never remain in an open position. 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 should have a covered waste receptacle. Each hand-washing sink should have a supply of hand soap, tempered water that runs for a minimum of 15 seconds when activated, and either disposable towels or an air dryer to dry hands. A sign instructing the employees to wash hands should be located in the rest room. 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.	10	0	
5.8	**Is there evidence that the garbage cans are cleaned on a regular basis?** All trash receptacles should be kept clean and free of odors.	10	0	

Section	Audit Element	Total Points	Points Deducted	Corrective Actions
5.9	**Are floor drains clean and unblocked?** Floor drains become a receptacle for old food residues and therefore a breeding ground for cockroaches and fruit flies. Microorganisms, especially Listeria species, have been found growing in drains and then being blown back into the plant on air currents. It is essential that all floor drains in food processing, food packaging and storage areas be cleaned regularly using a cleaner and a sanitizer (preferably a quat). The quat also deodorizes.	10	0	
5.10	**Are overhead fixtures clean?** Dust, dirt and microorganisms accumulate on any horizontal surface. They can then be disturbed or blown down onto food product, food packaging or food-contact surfaces below, resulting in contamination of the food product. As part of a total cleaning program each facility has to be cleaning all overhead pipes, ledges, screens and ductwork, etc., on a regular basis.	10	0	
5.11	**Is equipment available to perform general housekeeping?** Each plant should have mops, buckets, brooms, wash cloths, cleaners and sanitizers, etc., available to clean the plant. The equipment should be dedicated to cleaning and not used for any other purpose. This equipment should be kept in a sanitary condition and in a good state of repair.	10	0	
5.12	**Is cleaning equipment stored in a separate area or cupboard?** In order not to become a potential source of contamination or a breeding ground for cockroaches, all cleaning equipment should be stored away from food processing and food packaging contact surfaces. Ideally, a janitorial room, closet or cabinet should be used.	10	0	
5.13	**Are vacuum cleaners cleaned to prevent insect harborage?** Vacuum cleaners, if not cleaned on a regular basis, become infested with insects.	10	0	
5.14	**Is the processing equipment clean?** Examine all processing equipment that is not in use for cleanliness and lack of rust: open up tanks, take apart valves and piping, dismantle pumps and look for old product residues. Old product residues are an adulterant to new product and could result in a possible foodborne illness. This should include all equipment used to hold, store or convey product.	10	0	
5.15	**Is all the equipment used to hold, store or convey product clean?** All totes, tubs, etc. used to hold, store or convey the product through the plant must be kept in a clean condition. Otherwise, adulteration can occur.	10	0	
5.16	**During cleaning, are all raw materials, product foods and packaging protected?** When cleaning the equipment or the plant (wall, floors, etc.), all food products, food packaging and raw materials should be removed from the room or protected from splash.	10	0	
5.17	**Are filters, screens and sieves clean?** The plant should have a regularly scheduled program for cleaning all filters, screens, sieves, metal detectors, etc. This should also include examining these pieces of equipment for their condition and ability to perform the task they are supposed to perform.	10	0	

Section	Audit Element	Total Points	Points Deducted	Corrective Actions
5.18	**Are non-product-contact surfaces clean?** The outside of equipment, underneath tables and conveyors, on top of shelves and storage shelving should be kept clean. These areas can, if not kept clean, become growth sites for mold and other harmful microorganisms.	10	0	
5.19	**Is equipment that is not in use kept clean?** All surplus equipment and equipment that is between uses should be cleaned before it is stored away.	10	0	
5.20	**Is clean equipment stored with food-contact surfaces protected?** All equipment that is not in use should be stored with the food-contact surfaces protected. If small, the equipment can be stored inverted. If large, then the equipment can be stored with a lid on it, covered with plastic or otherwise protected from airborne contamination.	10	0	
5.21	**Does facility have a documented chemical control program?** Facility should have a chemical control program. Program should outline procedures including a list of approved chemicals, purchasing of chemical and inventory records, storage and labeling.	10	0	
5.22	**Are all cleaning chemicals approved for use (as per the written program, item 1.2.10?)** All cleaners need to be approved for use in a food processing plant. The names of the cleaners need to match the names listed in the written cleaning procedures. Adulteration can occur if the wrong cleaners are used.	10	0	
5.23	**Are all cleaners used at the proper concentration (as per the written program, item 1.2.10?)** All cleaners must be used at the proper concentration. Otherwise, residue on the equipment and food-contact surfaces can cause adulteration.	10	0	
5.24	**Are sanitizers used within legal limits?** 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: a) Tests conducted with various microorganisms showing that an effective kill rate is achieved. b) Levels that do not leave a toxic or harmful chemical residue on the equipment. Temperature of sanitizer solution should not be less than 75ºF. Care must be taken with iodine and chlorine not to go over 120ºF due to dissipation of the active ingredient into the air as a gas. Strengths of sanitizers not requiring a following potable rinse: Sanitizer Minimum (PPM) Maximum (PPM) Chlorine 50 200 Iodine 12.5 25 Quat 200 200 Acid Varies Varies	10	0	
5.25	**Does the plant have sanitizer strength test strips/test kit?** To know what strength of the sanitizer use solution is, the plant has to have the ability to test the strength. 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 119 for legal limits on various sanitizers.)	10	0	

5.0 Cleaning Programs				
Section	Audit Element	Total Points	Points Deducted	Corrective Actions
5.26	**Are all cleaners and sanitizers properly labeled?** All cleaners and sanitizers have to be clearly and correctly identified as to type. If the original label is missing or illegible, then a new label must be placed on the container. This will help prevent misuse of a cleaner or sanitizer or a possible employee accident.	10	10	Sanitizer was stored in the beverage bottel and there was no label.
5.27	**Are all cleaning chemicals and sanitizers properly stored?** Cleaning chemicals and sanitizers need to be stored away from all raw materials, work-in-progress materials, or finished products. They do not have to be under lock and key. An ideal location is in a separate room or on a bottom shelf away from product storage or processing areas.	10	0	
5.28	**Is the microbiological load on finished product monitored?** It is essential to be monitoring the bacterial load on the finished product in a regular basis to determine if finished product is clean and sanitary rather than just clean. Although not required by law, it is reflective of a plant's total effort to ensure that it is manufacturing its products under the most ideal conditions.	20	0	
5.29	**Is sanitation equipment color-coded to prevent cross-contamination?** Brushes should be color-coded as to the surface on which they are used: one color for equipment handling raw foods, another color for cooked, etc. Sanitation brushes used on the floor must be a different color.	10	0	
5.30	**Are excess lubricants and greases removed from equipment?** Maintenance, when greasing and lubricating equipment, should not use excess material and should wipe off any excess that is used.	10	0	
5.31	**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	
5.32	**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	
5.33	**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	10	Some extinguishers were blocked.
5.34	**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	
5.35	**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.	10	0	
	Total Points	360	25	
	Overall Total Points	2660	372	

SECURITY QUESTIONS				
Explain in notes section if any items are marked as "no."	POINTS	YES Mak with Point Value	NO Mak with Point Value	Corrective Actions
1. Has the facility registered with the government where required? *Facility should have documentation.*	20	20	0	
2. Does the facility have a designated food security team or designated coordinator? *Facility should have documentation.*	10	10	0	
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? *Facility should have documentation.*	5	5	0	
4. Does the facility have a food security plan in place for emergencies? *Facility should have documentation.*	5	5	0	
5. Does the facility have controlled entry into it by requiring visitors to sign-in and provide identification? *Facility should have sign-in documentation.*	5	5	0	
6. Does the facility have controlled access into it? *Example: Swipe cards, key code pads, etc.*	5	5	0	
7. Does the facility have a procedure for handling visitors, contractors and inspectors, including escorting them in the facility? *Facility should provide documented procedure.*	5	5	0	
8. Does the facility perform periodic food security self-inspections? *Records should be on file.*	5	0	5	The security self-inspection was not performed.
9. Does the facility have security guards monitoring it? *Visual observation.*	3	3	0	
10. Does the facility have well maintained fenced perimeters? *Visual observation.*	2	2	0	

Explain in notes section if any items are marked as "no."	POINTS	YES Mak with Point Value	NO Mak with Point Value	Corrective Actions
11. Does the facility monitor all incoming shipper trailers for seals or locks? *Records should be on file.*	5	5	0	
12. Does the facility seal all outgoing trailers and record seal numbers on bill of lading? *Records should be on file.*	5	5	0	
13. Does the facility control access to their main power source? *Where is main panel and how is it access controlled?*	5	5	0	
14. Does the facility control access to their phone line? *Where is main phone line and how is it access controlled?*	5	5	0	
15. Does the facility control access to their computer systems?	5	5	0	
16. Does the facility control access to their refrigeration system? *Where is main refrigeration system and how is it access controlled?*	5	5	0	Comment-There was no refrigeration system.
17. Are the facility emergency exits locked and secured from the inside and aren't blocked? *Observation of emergency exits during visual inspection of the facility.*	5	5	0	
All points are awarded for YES answers. **Total**	100	95	5	