



Food Safety Audit

Packinghouse w/ out HACCP v03.02 (Self-Audit)

Auditor: _____ Educational Audit (Y/N): _____

Audit Start (Time Data): _____ Audit End (Time Data) _____

Audit Scope: _____

Commodities: _____

Facility Name: _____

Facility Address: _____

G.P.S. Coordinates: _____

Facility Tel: _____ Facility Fax: _____

Facility Contact Name: _____ Facility Contact Position (Title): _____

Facility Contact E-mail: _____

Customer Name: _____

Customer Address _____

Customer Tel: _____ Customer Fax: _____

Customer Contact Name: _____ Customer Contact Position (Title): _____

Customer Contact E-mail: _____

Buyer (s): _____

Buyer Audit Number if relevant e.g. Costco Audit Number: _____

Billing Address (Circle): Facility Customer Buyer

Other Comments: _____

Good Manufacturing Practices

		Yes/No	Verified
1.1.1	Is there a designated person responsible for the food safety program?	C	
1.1.2	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored and labeled correctly?	C	
1.1.3	Are signs supporting GMP's posted appropriately?	C	
1.2.1	Are products or ingredients free of insects/rodents/birds or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	A	
1.2.2	Are packaging supplies free of insects/rodents/birds or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	A	
1.2.3	Are plant and storage areas free of insects/rodents/birds or any evidence of them?	C	
1.2.4	Is the area immediately outside the facility free of evidence of pest activity?	C	
1.2.5	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products?	C	

comments:

1.2.6	Are pest control devices maintained in a clean and intact condition and marked as monitored on a regular basis?	C		
1.2.7	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	C		
1.2.8	Are all pest control devices identified by a number or other code (e.g. barcode)?	C		
1.2.9	Are all pest control devices properly installed and secured?	C		
1.3.1	Are ingredients, products, and packaging stored to prevent cross contamination?	C		
1.3.2	Is the storage area completely enclosed?	C		
1.3.3	Is the facility's use restricted to the storage of food products?	C		
1.3.4	Are storage racks properly designed for proper drainage of water and to permit air circulation?	C		
1.3.5	Are products and ingredients, including ice, within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	A		
1.3.6	Are rejected or on hold products separated; and if so, are they clearly identified?	C		
1.3.7	Are all storage areas clean (including product and packaging)?	C		
1.3.8	Are ingredients and packaging properly marked with receipt dates and tracking information?	C		

comments:

1.3.9	Are ingredients, products, and packaging rotated using FIFO policy?	c		
1.4.1	Is the equipment designed to prevent the generation of condensation, dust or spillage?	c		
1.4.2	Are all exposed product areas protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, glass sprinkler elements, etc.)?	c		
1.4.3	Is there adequate space to perform operations and prevent cross contamination?	c		
1.4.4	Are packing and/or processing areas completely enclosed?	c		
1.4.5	Is all re-work/re-packaging handled correctly?	c		
1.4.6	Are raw ingredients examined before use?	c		
1.4.7	Are products coded (carton and unit packaging) for the day of production?	c		
1.4.8	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place and tested to ensure proper operations?	c		
1.4.9	Does the facility have test strips, test kits or an automated system for checking the concentration of the sanitizers (dip stations, wash water, etc.)?	c		
1.4.10	Are hand washing stations adequate in number and location?	c		
1.4.11	Are bathrooms adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	c		

comments:

1.4.12	Is warm water available at hand washing stations?	c		
1.4.13	Are hand dip and/or hand gel and/or alcohol spray stations adequate in number and location? Are the stations maintained properly?	c		
1.4.14	Are single services containers used for their intended purpose only?	c		
1.4.15	Are all reusable containers clearly designated for the specific purpose (trash, production, re-work, etc.)?	c		
1.4.16	Are measuring devices working properly?	c		
1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	c		
1.5.2	Are employees with boils, sores or infected wounds excluded from operations involving direct food contact?	c		
1.5.3	Are employees wearing hairnets, beard nets or any other hair restraints?	c		
1.5.4	Is jewelry confined to a plain wedding band?	c		
1.5.5	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	c		
1.5.6	Do employees remove smocks, aprons, sleeves and gloves when on a break?	c		
1.5.7	Is there a designated area for employees to leave aprons, sleeves and gloves when on break and before using the restroom?	c		

comments:

1.5.8	Is smoking, eating, chewing and drinking confined to designated areas?	c		
1.5.9	Are all items removed from shirt or blouse top pockets?	c		
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust or other materials (e.g. tape, etc.)?	c		
1.6.2	Are non-food contact surfaces free of flaking paint, corrosion, rust and other materials (e.g. tape, etc.)?	c		
1.6.3	Is equipment suitable for current use and does the design and condition (i.e. smooth seams, non-toxic materials) facilitate effective cleaning and maintenance?	c		
1.6.4	Are food grade and non-foodgrade chemicals handled and stored in a controlled manner, that helps prevent cross contamination?	c		
1.6.5	Are thermometers present in all coolers and freezers?	c		
1.6.6	Are all thermometers non-glass and non-mercury?	c		
1.6.7	Is string, cardboard, tape, wire and other unsuitable materials avoided for use as a temporary repair?	c		
1.6.8	If temporary repairs are necessary, are they dated or logged in some way?	c		
1.7.1	Are food contact surfaces clean?	c		
1.7.2	Are non-food contact surfaces clean?	c		
comments:				

1.7.3	Are items that are used to hold or store product clean?	c		
1.7.4	During cleaning are foods and packaging protected?	c		
1.7.5	Are cooling units including coils in coolers and freezers clean?	c		
1.7.6	Are all fan guards dust free?	c		
1.7.7	Is stored clean equipment that is not used on a daily basis stored with food-contact surfaces protected?	c		
1.7.8	Are all tools, utensils, and other items not being used stored clean and in a manner to prevent contamination?	c		
1.7.9	Does the facility have safety equipment for the sanitation crew?	c		
1.7.10	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	c		
1.7.11	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	c		
1.7.12	Are excess lubricants and grease removed from the equipment?	c		
1.8.1	Are spills cleaned up immediately?	c		
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	c		

comments:

1.8.3	Are areas under storage racks being cleaned?	c		
1.8.4	Do floor drains appear clean?	c		
1.8.5	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	c		
1.8.6	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	c		
1.8.7	Is there sufficient cleaning equipment available and is it kept in a separate area?	c		
1.8.8	Are bathrooms and hand-wash stations clean?	c		
1.8.9	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	c		
1.8.10	Is the maintenance shop organized - i.e. equipment and spares stored in a neat and tidy fashion?	c		
1.8.11	Are internal transport vehicles clean and sanitary?	c		
1.8.12	Are shipping trucks clean and in good condition?	c		
1.9.1	Are all lights above product or packaging materials clean & protected?	c		
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	c		
comments:				

1.9.3	Has the facility eliminated the use of wooden items or surfaces?	c		
1.9.4	Is there adequate lighting in the packing and storage areas?	c		
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	c		
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	c		
1.9.7	Are doors to the outside pest proof?	c		
1.9.8	Are exterior walls free of holes to exclude birds, rodents, and insects?	c		
1.9.9	Are interior walls and ceilings free of cracks and crevices to prevent insect's harborage?	c		
1.9.10	Are there separate areas for employee personal items?	c		
1.9.11	Is an 18" perimeter being maintained in the facility and a 14" space between every other row?	c		
1.9.12	Is the area immediately outside the facility free of litter, weeds and standing water?	c		
1.9.13	Are control measures being implemented for the storage of pallets, equipment, tires, etc. (e.g. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	c		
1.9.14	Are pallets inspected to separate and replace dirty or broken pallets?	c		

comments:

1.9.15	Is the area around the dumpster/cull truck clean?	c		
1.9.16	Are outside garbage receptacles/dumpsters kept covered or closed?	c		
1.9.17	Are all waste lines protected against back siphonage?	c		
1.9.18	Are the floor drains where they are needed for drainage and cleanup?	c		

Food Safety File Requirements

		Yes/No	Verified	
2.1.1	Is there a traceback system that ensures finished product can be traced back through the production process to raw materials codes (and vice versa for tracing forward)?	c		
2.1.2	Does the facility have a documented recall program?	c		
2.1.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	c		
2.1.4	Are there written procedures for handling regulatory inspections?	c		
2.1.5	Is there a written glass policy?	c		
2.2.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	c		
2.2.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	c		

comments:

2.2.3	Is there a chemical inventory/ usage log?	c		
2.3.1	Is there a written pest control program, including a copy of the contract with the extermination company, vendor license and insurance documents?	c		
2.3.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	c		
2.3.3	Are service reports with signs of activity and corrective actions detailed and maintained on file (in-house and/or contract)?	c		
2.4.1	Are records of customer complaints, company responses and remedial actions, if any, on file?	c		
2.4.2	Are there records of regulatory inspections and/or contracted inspections, company responses and remedial actions, if any?	c		
2.4.3	Are there recording logs for the necessary process monitoring activities (e.g. pH, water temp., chlorine, metal detector, etc.)?	c		
2.4.4	Is there a Hand/Foot Dip Station Log?	c		
2.4.5	Is there a Daily Pre-Operation Inspection Log?	c		
2.4.6	Are there equipment calibration records for scales, pH meters, ORP meters, thermometers, etc.?	c		
2.4.7	Is there a program for periodic facility/GMP inspections and are records maintained detailing corrective action?	c		
2.4.8	Does the facility have incoming goods (packing material and products) inspection data?	c		

comments:

2.4.9	Does the facility have incoming good (packing material and products) specification data?	c		
2.4.10	Does the facility have supplier letters of guarantee and/or relevant supplier certifications?	c		
2.4.11	Are there inspection logs on incoming carriers for rodents and insects, cleanliness, holes and temperature control?	c		
2.4.12	Is there a daily incidents or deviation report?	c		
2.4.13	Are there records of final product temperature checks?	c		
2.5.1	Does the facility have a preventative maintenance program and schedule?	c		
2.5.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	c		
2.5.3	Is there a procedure to ensure equipment is clean and sanitized after maintenance work is completed?	c		
2.5.4	Is there a written cleaning schedule (Master Sanitation Schedule)?	c		
2.5.5	Are there written cleaning procedures for the facility and all equipment?	c		
2.5.6	Are sanitation logs on file?	c		
2.5.7	Is there a log indicating that floor drains are cleaned on a regular basis (min. daily in wet and fresh-cut production areas)?	c		

comments:

2.5.8	Are there records showing cooling units are serviced and cleaned at least annually?	c		
2.6.1	Is there a list of food safety committee members?	c		
2.6.2	Are there logs of food safety meetings, with topics covered, and attendees?	c		
2.6.3	Are there logs of employee orientation training, with topics covered and attendees?	c		
2.6.4	Are there logs of ongoing employee education sessions with topics covered and attendees?	c		
2.6.5	Is there an Employee Non-Compliance/ Disciplinary Action Procedure? (Verbal confirmation allowed).	c		
2.7.1	Are there records of equipment microbiological testing?	c		
2.7.2	Are there records of facility microbiological testing?	c		
2.7.3	Are there records of product microbiological testing?	c		
2.7.4	Is there an annual microbiological test on water used in the facility (sampled from the site)?	c		
2.7.5	Is there a microbiological test/letter of guarantee from suppliers for ice?	c		
2.8.1	Are there temperature logs for the packing/processing room (if refrigerated)?	c		
comments:				

2.8.2	Are there temperature logs for storage rooms?	c		
2.8.3	Are there temperature logs for refrigerated shipping trucks?	c		
2.8.4	Are there sanitary condition logs for shipping trucks?	c		
2.8.5	Are there shipping logs (i.e. bill of lading/ manifest)?	c		
2.8.6	Is there written procedure for handling on hold or rejected products?	c		

Food Security

		Yes/No	Verified	
3.1.1	Is the facility surrounded by security fencing?	c		
3.1.2	Is access to the facility controlled by, cards, locks, alarms or other devices?	c		
3.1.3	Are cameras utilized to increase security at various plant locations?	c		
3.1.4	Are security guards employed, either in a stationary location, or on roving patrols?	c		
3.1.5	Are inbound food product storage areas (fruits, vegetables, etc.) secured?	c		
3.1.6	Are processing materials such as chlorines, citric acid, waxes, fungicides and sanitation chemicals stored in secured areas with controlled access?	c		

comments:

3.1.7	Is packaging material (cartons, wrap film, fruit cups, etc.) stored in secured areas?	c		
3.2.1	Are background checks conducted on all personnel with special attention to staff who have access to sensitive area and/or control of sensitive processes?	c		
3.2.2	Are all personnel required to store "carry-in" materials e.g. lunch boxes in designated areas?	c		
3.2.3	Does the company provide secured storage for staff's carry-in materials?	c		
3.2.4	Are all personnel required to undergo training on food security issues and are training records kept?	c		
3.2.5	Does the company have documented food security policies?	c		
3.2.6	Are employees issued non-reproducible identification badges?	c		
3.2.7	Are visitors (including contractors) also required to wear identification badges?	c		
3.2.8	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	c		
3.3.1	Is there a chemical inventory/usage log?	c		
3.4.1	Are water sources tested periodically for contamination?	c		
3.4.2	Is packaging designed to be tamper-evident?	c		
comments:				

3.5.1	Does the company make use of sealed trailers on inbound loads (excluding open flatbed trucks)?	c		
3.5.2	Does the company make use of sealed trailers on outbound loads?	c		
3.5.3	Are inbound trucks locked on receipt (excluding open flatbed trucks)?	c		
3.5.4	Are outbound trucks locked on dispatch?	c		
3.5.5	Are off-premises transport trucks equipped with cell phones, two-way radio, GPS or other positioning systems?	c		

Miscellaneous Survey Questions

		Yes/No		Verified
4.1.1	Staff employed, are all older than the National and/or State Legal Minimum Age i.e. the operation has not employed staff below the legal minimum age (minors)?	c		
4.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	c		
4.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	c		
4.2.1	Is the company labeling retail packaging with the correct country of origin? N/A for food service.	c		
4.2.2	Is the company labeling the finished goods carton with the correct country origin? N/A for food service.	c		
4.2.3	Are there records that support the country of origin labeling e.g., delivery notes, production records etc.?	c		

comments:

4.2.4	Are steps taken in the storage and production process to ensure that there is no commingling of materials from different countries (unless product will be labeled as such)?	C		
4.3.1	Is there any allergen risk on site? If Yes, then complete the rest of section 5.3. If NO, then mark the rest of section 5.3 N/A.	C		
4.3.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials?	C		
4.3.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	C		
4.3.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	C		
4.3.5	Does re-work handling take into account the issue associated with allergen containing products?	C		
4.3.6	Are staffs trained with respect to allergen risks and the facility allergen cross contamination controls (inc. hand washing between production runs)?	C		
4.3.7	Are all products manufactured on site, labeled correctly with respect to allergens?	C		

comments:

comments: