

# AIB Consolidated Standards for **FOOD DISTRIBUTION CENTERS**



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by American Institute of Baking

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# **The AIB Standards**

The *AIB Consolidated Standards for Food Distribution Centers* were published as a tool to permit operators of distribution centers to evaluate the food safety risks within their operations and to determine levels of compliance to the criteria in the Standards. These Standards contain the criteria and rating method used to assign a numerical score (rating) to the facility. These criteria are derived from the following good management principles: U.S. Federal Food Drug and Cosmetic Act (1938); Good Manufacturing Practices, CFR Title 21, Part 110 (1986); U.S. Military Sanitary Standards; the U.S. Federal Insecticide, Fungicide, and Rodenticide Act; EC Directive 93/43/EEC; UK Food Safety (General Food Hygiene) Regulations 1995 (1995/1763); The UK Food Safety (Temperature Control) Regulations 1995; and Codex Alimentarius Commission Food Hygiene - Basic Texts (1999).

This document and scoring procedure should be used by the warehouse management team to perform a self-assessment of the facility's compliance to the AIB Standards. The rating protocol should be used to assign a numerical score to the warehouse inspection and evaluate the overall effectiveness of the food safety programs.

## **Section I**

### **Adequacy of the Food Safety Program**

This section outlines management's responsibility for formally documented programs necessary to establish and maintain an effective food safety program. These programs are specifically detailed in Sections II through V of this document. Successfully implementing these programs will reduce the potential for food contamination in the facility. The effectiveness of the food safety program is evaluated by the self-inspection and corrective action process which documents the maintenance and continuous improvement of the required programs for food safety.

## **Section II**

### **Pest Control**

This section describes those elements of a formalized, written food adulteration prevention program that are required to conform with this consolidated standard. It notes and defines several types of programs, lists required records, and gives specific procedures to be followed to prevent food adulteration by pests, pest evidence, or pesticides.

## **Section III**

### **Operational Methods and Personnel Practices**

This section lists programs and techniques to protect food from adulteration during storage. It addresses receiving and storing ingredients and finished goods; operational appearance; and operational, delivery, and personnel practices.

## **Section IV**

### **Maintenance for Food Safety**

This section requires the facility to have an established and implemented preventive maintenance program; documented maintenance work order system; and sanitary/hygienic design criteria for the building and equipment to prevent stored product adulteration from these sources.

## **Section V**

### **Cleaning Practices**

This section contains requirements for scheduled cleaning of the building and grounds, the use of chemicals for cleaning, defines cosmetic and deep cleaning, and outlines specific cleaning criteria for distribution center personnel.

## Confidentiality

All information obtained by AIB International during the warehouse inspection will be treated as confidential between AIB International and the client. The inspection report will be provided to the client under an AIBI assigned code number. Except as required by law, AIB International will not release any information or report of the inspection to a third party without written authorization from the client.

## Using the Standards for Self-Inspection: The Inspection Team

The facility management should inspect the facility a minimum of once a month. A formal documented report shall be made of the inspection observations. A food safety team should be organized to perform these inspections. The purpose of the team concept is to have team members with different levels of education, experience, and accountability working together to focus on food safety concerns during the audit. This will have several benefits:

1. The team is a highly visible representation of management's commitment to food safety issues. It stresses that this activity is important and an integral function of the facility's responsibility to provide excellent product storage programs.
2. The team helps cross train members to look for and react to food safety issues, and helps the team focus on how the management system, distribution center policy, and employee training can and does affect the food safety system.

## Types of Self-Inspection

There are two types of self-inspection. The first type is the **daily** inspection conducted by each supervisor in his or her area of responsibility. A short list of defects noted should

be recorded for immediate follow-up, as required. The second type should be the **periodic** formal warehouse inspection by the multidisciplinary management team, supervisors, and employees in their areas of responsibility.

The inspection time should be short and focused for maximum benefit. It is better to have an inspection that is two hours long that is highly focused on one area rather than a lengthy inspection that interferes with team members' other duties or causes team members to lose focus or interest. As previously noted, the team should include supervisors in their areas of responsibility. The inspection should also be used to train employees in good procedures and practices for food safety. It must be documented and list noted discrepancies. For each discrepancy, provide the course of corrective action required, person(s) responsible, estimated date of correction, and actual completion date. Upper level management is responsible for reviewing and providing resources to correct inspection findings that pose a program failure or food safety risk in the marketplace.

## **Conducting the Self-Inspection**

The distribution center inspection team should conduct the self-inspection on a minimum frequency of once a month. If the distribution center is small, the entire facility should be completed during the inspection. If the distribution center is large, it may be necessary to divide the facility into two, three, or four inspection zones. One zone should be inspected each week, meaning the entire distribution center will be inspected by the end of a single two-, three-, or four-week cycle. If the distribution center is divided into sections, the warehouse areas should be defined and inspected together in a logical way. Examples are: receiving area; dry storage; cooler storage; freezer storage; outside grounds and roof, or other divisions as dictated by area of management responsibility. This will help to associate food safety hazards found during the inspection with the inspected area and responsible personnel.

## Inspection Preparation

Members of the self-inspection team should prepare in advance for the inspection by thoroughly reviewing the requirements in these standards and by examining previous inspection reports. This activity should not be interrupted. Team members should focus exclusively on the inspection throughout its duration. If the facility is large, then the inspection should focus on selected areas, and these areas should be thoroughly inspected. It is important that the team be thorough in the inspection, using the criteria in the AIB Standards.

Team members should be attired in company approved garments with all the proper inspection equipment including flashlight, spatula, tools to disassemble equipment, if necessary, tape recorder or paper to take notes, and safety equipment. They should follow all applicable facility policies.

## Inspection Notes

One person should be assigned to take the inspection notes for the team. This person is designated throughout the rest of this document as the **scribe**. The inspection should be systematic, beginning in one area such as receiving, then moving through the warehouse area by area. The notes should be written so they relate directly to the area being inspected. This will allow the management team to use them to focus on facility areas or practices that pose the greatest stored product safety risks.

It is important that the inspection team scribe write down all observations made by the team. The team should discuss the observations so all team members understand the hazard observed, correction needed, and what changes can be made to the management system to prevent recurrence of the problem or hazard. Each written observation should be coded with the appropriate AIB category as follows:



1. (AP) Adequacy of the Food Safety Program
2. (PC) Pest Control
3. (OP) Operational Methods and Personnel Practices
4. (MS) Maintenance for Food Safety
5. (CP) Cleaning Practices
6. (COM) Comment - Not a deficiency, but generally a statement of fact, not requiring any action

The scribe should also code each observation with the word designation “Serious” or “Unsatisfactory” or “Improvement Needed” if the inspection observation fits the definition in the AIB Standards.

### **Definitions**

- Unsatisfactory:** Imminent food safety hazard, program failure, or departure from the Good Manufacturing Practices
- Serious:** Important potential food safety risk or risk of program failure
- Improvement Needed:** A potential hazard, partial program omission or food safety finding that is inconsistent with the Good Manufacturing Practices (GMPs). If this hazard, omission or finding is not corrected, it could lead to a program failure.
- Shall:** A requirement according to the AIB Standards
- Should:** A recommendation according to the AIB Standards

## The AIB Food Distribution Center Rating System: Using the Scoring Procedures

Upon completion of the inspection, the scribe should number all inspection observations and transcribe them (report item numbers) to the AIB Rating Analysis Recap Form (see Appendix). Item numbers should be entered on the Recap Form in the proper category. Any items with a designation of “Serious” or “Unsatisfactory” should be noted in the classification box under the corresponding designation.

The scribe and team should reread the inspection observations in the report to assure that the correct category and classification have been assigned. These steps will enable the scribe and the inspection team to analyze the inspection notes according to the criteria in the AIB Standards and to translate them into numerical scores.

The scribe should then assign each category a point value within the range given for the category rating classes noted in the section below. This point value should relate to the **worst** food safety item in each category. For example, the inspection notes may indicate that a hazard should be classed as an “Unsatisfactory” item, a “Serious” item, an “Improvement Needed/Potential Hazard,” or a “Minor Improvement” item.

The total number of items and the level of severity of the **worst** item(s) will determine whether the category score is at the upper or lower end of the scoring range in each category. Category scores should be in five point increments. If a category item is coded as “Serious” or “Unsatisfactory,” the points assigned to that category must fall within that range.

**Scores for the category “Adequacy of the Food Safety Program” must be consistent in assessment criteria, results, and point value with the observations and analyses recorded for the other four categories.** This is important, since it will enable an objective analysis of the programs or practices that allowed or caused the deficiencies observed

during the inspection. The total warehouse inspection score is the sum of all the category scores.

### **Category Rating Classification**

The following range descriptors will be used to assign category scores:

- Minor improvements needed,  
no potential for contamination ..... 180 - 200
- Some improvement needed,  
potential hazards ..... 160 - 175
- Serious deficiencies (see definition) ..... 140 - 155
- Unsatisfactory deficiencies (see definition) ... < 140

If an unsatisfactory item has been identified, if a management program is unsatisfactory by definition, or if one of the categories has a score below 140 points, the total score classification will be “Unsatisfactory” regardless of the point total.

### **Distribution Center Rating Classification**

The distribution center shall receive a total score classification based on the numerical ranges below:

- Superior ..... 900 - 1000
- Excellent ..... 800 - 895
- Satisfactory ..... 700 - 795
- Unsatisfactory ..... < 700

### **Inspection Report and Remediation Plan**

After the score has been assigned and the report discussed, a plan for abatement of the food safety risks should be implemented. This plan should focus not only on correction of the deficient item(s), but also on improving the management system that will prevent recurrence of the deficiency or deficiencies.

## **Public Recognition**

A Certificate of Achievement will be awarded following each inspection that results in a “Superior” or “Excellent” rating according to the criteria and rating system described in the AIB Consolidated Standards for Food Distribution Centers.

A Certificate of Participation will be issued to distribution centers achieving a “Satisfactory” rating according to the AIB criteria and rating system.

## I. Adequacy of Food Safety Program

- A. Responsibility and authority for assuring compliance with federal, state, governmental and/or any other appropriate regulatory law or guideline **shall** be clearly assigned to a competent supervisory-level person or persons, and a functional organizational chart **shall** be maintained. The competent supervisory-level person **shall** ensure that all employees are aware of their responsibilities and mechanisms are in place to monitor the effectiveness of their operation.
- B. The department or departments responsible for implementing the distribution center's food safety programs **shall** establish written procedures and maintain outlines or job descriptions delineating specific responsibilities of each department member in an operations or procedure manual. Included in the manual **shall** be a statement defining the company's intention to meet its obligations to keep the products safe.
- C. Each distribution center **shall** establish a formal distribution center food safety committee. This committee should be multidisciplinary in membership and operate on a predetermined frequency, conducting complete inspections of the entire facility no less than once per month. Records of each inspection are an integral part of this requirement, and documentation of specific assignments and actual accomplishments **shall** be maintained. Follow-up inspections should be done to ensure that items are corrected.
- D. All departments of the distribution center directly involved in implementing food safety **shall** establish an appropriate budget and support to maintain the proper and timely acquisition of appropriate tools, materials, equipment, monitoring devices, chemicals, pesticides and training.

- E. A Master Cleaning Schedule (see Appendix) for periodic cleaning assignments and a daily housekeeping schedule **shall** be undertaken as a formalized written plan. It must specify frequency, responsibility, and post-cleaning evaluation and **shall** be up-to-date. This schedule should include the outside grounds, building, drains, and equipment, including refrigeration equipment. Daily cleaning schedules should be established to ensure prompt cleaning of any product spillage and daily debris. The cleaning tasks should be divided into three general areas and included on the appropriate schedule:

Type of Task	Appropriate Schedule
Periodic “deep cleaning” tasks, performed other than daily	Master Cleaning Schedule
Maintenance cleaning	Master Cleaning Schedule
Daily “housekeeping” tasks	Housekeeping Schedule

- F. Detailed cleaning procedures **shall** be developed for personnel training and maintaining the hygiene/sanitation level of the distribution center. These written cleaning procedures **shall** be developed and utilized for cleaning of all equipment used for food storage, for all building areas and for the outside grounds.
- G. Inspection and documentation of incoming materials:
1. The appropriate department **shall** maintain documented procedures for inspection of all incoming products.
  2. In order to assure product integrity, trained personnel utilizing the appropriate equipment **shall** inspect all incoming materials and vehicles. These incoming goods inspections **shall** include checks for the presence of pest infestation and other objectionable materials.
  3. Receiving records indicating date of receipt, carrier, seal numbers, amount, product condition and any

evidence of pests or other objectionable materials **shall** be maintained. Where seals are present on trailers or shipping containers, the seal number should be checked against the seal number on the bill of lading to ensure that the two numbers match. Lot codes, expiration dates, manufacturing dates or other method of identifying products **shall** be recorded to facilitate recall, if necessary.

4. For frozen and refrigerated shipments, trailer temperatures **shall** be recorded. Product temperatures should be taken to verify product condition or as required by the customer.

- H. All distribution centers should conduct an analysis of the hazards inherent to the items being stored or shipped from the center. Steps 1-7 below should be followed for any product being stored.

Each distribution center that handles seafood, fish or other regulated products in the United States OR exports seafood, fish or other regulated products to the US **shall** establish a Hazard Analysis Critical Control Point (HACCP) program. The HACCP program **shall** have senior management commitment. A multi-disciplinary team **shall** be established and the team leader **shall** be specifically trained in seafood, fish or other regulated products HACCP. HACCP team members **shall** have adequate training and experience.

Prior to HACCP plan development, each distribution center **shall** have implemented and documented the prerequisite programs and verified their effectiveness through the self inspection program. These programs include, but are not restricted to, cleaning and sanitation/hygiene, GMPs and personnel practices, pest control, preventive maintenance, chemical control, food safety customer complaints, recall and traceability, supplier specifications and control, and receiving, storage and shipping.

A flowchart for the warehouse process **shall** be maintained and verified as accurate.

The HACCP system **shall** be specific to the application, practical to implement and effective in controlling the identified hazards of the operation. Through this system, the company **shall** be able to demonstrate effective control of all operations undertaken. The seven principles of HACCP **shall** be followed and consist of the following points:

1. Describe the intended use for each product stored and identify food safety (biological, chemical and/or physical) hazards inherent to the items being stored or shipped. An assessment of risk **shall** be included and **shall** identify which hazards are likely to occur. The assessment **shall** include identification of process steps of such a nature necessary to prevent, eliminate, or reduce known hazards to an acceptable level. The following should be considered, wherever possible, when conducting the hazard analysis:
  - a. The likely occurrence of hazards and severity of their adverse health effects.
  - b. A qualitative and/or quantitative evaluation for the presence of biological, chemical, and/or physical hazards.
  - c. Survival and multiplication of micro-organisms of concern.
  - d. Any conditions leading to the above.

For seafood, fish or other regulated products, a hazard analysis summary sheet **shall** be available for review for all such products, both old and new, to identify and assess all potential food safety hazards and associated risks. The responsibility for conducting the hazard analysis **shall** be clearly identified in the organization.



2. Determine the critical control points (CCPs) and identify the procedure for controlling the hazard.
3. Identify the critical limits associated with each CCP necessary to control each hazard identified. CCPs, identified in relation to the operation, **shall** be controlled and monitored within predetermined science-based critical limits.
4. Specify monitoring frequencies, predetermined corrective actions needed and designate person(s) responsible for conducting the CCP checks and verifying the CCP record as accurate **shall** be maintained and documented.
5. Establish and document deviation procedures, identify the record of product disposition, and who is responsible for these activities.
6. Establish and document verification and validation procedures. Verification and validation activities include but are not limited to auditing HACCP procedures and HACCP recordkeeping such as corrective actions, CCP monitoring records, deviation reports, scientific review by independent auditors, customer complaint review, and maintaining regulatory compliance for the HACCP plan.
7. Maintain documentation of procedures, records of conformance and effective corrective actions resulting from non-conformance.

All seafood, fish or other regulated products **shall** be covered by the HACCP system and each HACCP plan **shall** be appropriately reviewed. This review **shall** occur at least yearly.

- I. A responsible, competent person **shall** create specific, written procedures for providing food safety training to all personnel, including new employees, and maintain a record of training completion. This training will include the written employee policies that have been established

for the company. Refresher training should be done on an annual basis. Prior to beginning work, temporary personnel and contractors **shall** be trained as appropriate, and **shall** be adequately supervised throughout the working period.

- J. A formalized written program for evaluating customer complaints should be established. Complaint information should, where appropriate, be used to avoid recurrence and implement ongoing improvements to product safety.
- K. A formal recall program **shall** be on file. A written procedure **shall** be on file and **shall** be regularly reviewed, and if necessary, revised to ensure it is current. Distribution records **shall** be maintained to identify the initial point of distribution to facilitate segregation and recall of specific lots. The recall program should be tested every six months and the tests should be documented.
- L. Clear procedures for the control of damaged or returned product **shall** be in place and understood by all personnel working with these products. All damaged or returned product **shall** be handled or disposed of according to the nature of the problem and/or the specific requirements of the customer. Adequate documentation **shall** be kept of the action taken and proper adjustments **shall** be made to the product inventory records to accurately account for the damaged or destroyed materials.
- M. Each distribution center **shall** establish a procedure for handling governmental or regulatory inspectors and third party auditors. This procedure should include:
  - 1. Person or persons delegated to accompany all inspectors
  - 2. Company policy regarding photographs
  - 3. Company policy regarding records and samples
- N. A glass policy **shall** be written and implemented. The policy **shall** state that no glass is to be used in the operation

of the distribution center, except where absolutely necessary or where removal is not immediately feasible. The policy **shall** also state that the only glass to be brought into the facility is glassware for sale and none **shall** be brought in with employees' personal effects. Included in the policy **shall** be a procedure for handling any breakage of glass, including any stored glassware, which occurs in the facility. Where essential glass remains, such as in highly placed light fixtures, a register of the glass present **shall** be maintained and an audit of that essential glass **shall** be conducted on a regular basis to check for accidental breakage or damage to the fixture(s).

- O. A preventive maintenance program and work order system **shall** be in use to prioritize the elements of identified structural or equipment maintenance problems that could cause food adulteration. The company **shall** ensure that the stored product is properly protected during maintenance operations.

## II. Pest Control

- A. A formalized preventive pest control program **shall** be maintained in the facility. The pest control program may be undertaken by trained in-house personnel or be provided by an outside pest control contractor. The facility **shall** maintain written procedures outlining the requirements of the program to reduce the potential for product contamination from pest activity or the use of materials and/or procedures designed to control pest activity. Pest control activities **shall** at all times be conducted in total compliance with the regulatory requirements of the agency controlling such procedures. In addition, specific programs and procedures will include as a minimum:
1. Pesticide applications made within a facility or on the grounds of a facility will be undertaken by a licensed pest control contractor or properly licensed or trained in-house employee, where such licensing provisions are required by government codes. In the absence of such regulatory requirements, technicians must demonstrate they have received proper training in the proper and safe use of pest control materials by attendance at a recognized seminar or have documented training and be under the supervision of a licensed technician, where required by government codes. Pesticides designated for “Restricted Use” **shall** only be used by trained, licensed pest control technicians, where a license is required by government codes.
  2. The facility serviced by in-house personnel (licensed or trained pesticide technician or technicians) **shall**:
    - a. Maintain a file of sample labels and chemical safety data information for each pesticide used and **shall** maintain pesticide usage records as well

- as records on maintenance of the safety and protective equipment used.
- b. Maintain and enforce written procedures for the application of all pesticides.
  - c. Maintain accurate records of application of pesticides as outlined in section 3. d. below.
3. Facilities serviced by a contracted licensed pest control company **shall** maintain the following:
- a. A contract describing the specific services to be rendered, including materials to be used, methods, precautions, and chemical safety data information required by government regulations.
  - b. Sample labels for all pesticides used. Sample labels **shall** be kept on file for the time specified by regulatory codes.
  - c. Accurate and complete service records describing current levels of pest activity and recommendations for additional efforts needed to correct conditions allowing a potential for pest activity.
  - d. Accurate documentation of all pesticide applications, including rodenticides, made in or around the facility. Documentation **shall** be maintained in accordance with government regulations and must document, at a minimum:
    - i. Materials applied
    - ii. Target organism
    - iii. Amount applied
    - iv. Specific area where pesticide was applied
    - v. Method of application
    - vi. Rate of application or dosage
    - vii. Date and time treated
    - viii. Technician's signature

- e. A copy of the current liability insurance and evidence of a current technician's license, where a license is required.
- B. All facilities **shall** establish effective preventive programs for the elimination of pest activity. The effectiveness of the programs will be measured by the lack of observation of pest activity and evidence. Specific procedures include but are not limited to:
- 1. Outside bait stations for the control of rats and mice. These bait stations should meet tamper resistance standards and **shall** be properly positioned, anchored in place, locked, and properly labeled in compliance with regulatory requirements. The bait stations **shall** be installed around the exterior perimeter of the facility at 50-100 foot (15-30 meter) intervals. Where allowed by local ordinance, the stations should also be installed along the fence line in accordance with industry best practice. Properly maintained mechanical rodent control devices may also be used, where allowed by government regulations.

Lids to the bait stations **shall** be locked with devices supplied by or recommended by the manufacturer. The use of reusable plastic ties or other easily cut or tampered with materials **shall not** be used.

Baits used **shall** be approved registered rodenticide or monitoring (non-toxic) feeding blocks.

Service conducted on the monitoring devices **shall** be in line with levels of rodent activity in the stations. However, all stations **shall** be inspected and serviced no less than once per month. Each service and the results of the service will be documented for each station or device and maintained on file.
  - 2. Internal measures **shall** comply with government regulations. Unless prohibited by regulatory

requirements, internal control programs **shall** consist of the use of mechanical traps, extended trigger traps, or glue boards, but should not include feeding stations of any kind.

In countries where mechanical traps and/or glueboards are prohibited by law, internal feeding stations containing non-toxic bait may be used for monitoring purposes. These feeding stations **shall** be used in a manner consistent with the label directions for the bait and in a manner that minimizes the potential for contamination of the food products or materials in storage. These stations **shall** contain only non-toxic bait, unless evidence of rodents has been documented in the recent past. If activity has been found, toxic bait can be used until the activity is eliminated. Non-toxic bait should then be reinstalled in the stations for routine monitoring purposes.

The feeding stations should be constructed of a durable material such as hard plastic and should be kept locked and secured to keep them in place. Measures taken should be in response to the level of activity present.

It is recommended that the internal devices used for routine monitoring purposes be positioned at 20-40 foot (6.5-13 meter) intervals along exterior perimeter walls. Where possible, rodent control devices should be installed at each side of exterior overhead and pedestrian doors or where there is a potential for rodent entry into the facility. In any area where there is a potential for rodent activity, such as raw material storage areas within a facility, rodent control devices should be installed along interior walls. The contractor or facility personnel **shall** inspect and clean the devices at least once a week.

3. Maps or schematics showing the locations of the rodent control devices **shall** be maintained and kept current. A record of the service and cleaning of each rodent control device **shall** be maintained in each device. The service documentation should include the findings from the device inspections.
4. Rodent burrows, rodent runs, and any conditions attracting rodents or other pests both inside and outside the facility **shall** be eliminated.
5. Electric flying insect monitors should be used as needed to identify flying insect entry into the facility. Units should be installed so that insects are not attracted from outside the building. Units should not be placed within 10 feet (3 meters) of exposed product. All units should be listed on the Master Cleaning Schedule for cleanout on a weekly schedule during peak insect season. They can be cleaned monthly during off-peak season. Installation and use must follow all local regulations. The light tubes should be changed on an annual basis and records of this maintained.
6. Birds **shall** be controlled by exclusion: netting, screening, mechanical traps or avicides, if legal and practical. The use of avicides is not permitted inside the facility.
7. All pesticide containers and application equipment **shall** be properly labeled to identify the contents. Insecticides or herbicides each require separate equipment for application. All equipment used for pesticide application **shall** be properly maintained in serviceable condition.
8. Pesticides stored in a facility **shall** be stored in a locked enclosure, preferably in an outside building away from food storage areas. Easily understandable labeling warning of the contents and limiting access **shall** be



posted on the exterior entrances to this enclosure. The storage enclosure **shall** be adequate in size and construction and well ventilated. The enclosure **shall** contain the necessary materials to control spills or leakage and to avoid injury to personnel.

9. Disposal of pesticides, pesticide containers and pesticide residues **shall** be done in a manner that meets all regulatory guidelines and must be consistent with the instructions included on the label for the material.
- C. Pest monitoring devices and appropriate integrated pest management strategies should be properly used to provide ongoing monitoring for pest activity and to design an effective control program to eliminate pests and the potential for pest activity.

### III. Operational Methods and Personnel Practices

- A. The procedures for receipt, storage, and handling of raw materials **shall** be established and comply with the Good Manufacturing Practices. The procedures **shall** include the following criteria:
1. Receipt and Storage of Materials:
    - a. Damaged and/or badly soiled or infested containers should not be accepted. If they must be received under consignment, they should be immediately placed in a salvage area pending disposition.
    - b. Materials shipped in damaged, dirty, or infested vehicles **shall** be rejected. Proper documentation **shall** be maintained specifying defects and reasons for rejection.
    - c. All receiving dates **shall** be placed on the bottom unit of the pallet or individual container and be readily visible. The placing of receiving dates on stretch-wrap should be discouraged. Bar coding systems that use computer maintained picking lists that specify product to be shipped will also fulfill this requirement.
    - d. Storage practices **shall** be appropriate to the item being stored. Ingredients, finished goods, packaging and other items **shall** be stored off the floor and at least 18 inches (50 cm) away from walls and ceilings. Storage off the floor can be on pallets, slipsheets or stands. Adequate space for cleaning **shall** be maintained between rows of stored products. The recommended space is 14 inches (40 cm) between every two pallet rows. Storage slots and traffic lanes should also be provided for items stored at floor level. If an 18-inch (50 cm) clearance is impossible due to

aisleway widths and the turning radius of forklifts, the rack system can be installed against the wall. In this instance, a bottom rail must be installed 18 inches (50 cm) off the floor so that no pallets are stored on the floor. This will allow for cleaning, inspection and monitoring for pests.

- e. Perishable materials **shall** be stored at or below 40°F (4°C). Frozen products **shall** be kept at or below 0°F (-18°C) during storage. Freezers and coolers should be equipped with vinyl strip doors or self-closing devices to maintain temperatures.
- f. Proper rotation of all ingredients, packaging supplies, and other materials **shall** be undertaken on a “first-in, first-out” (FIFO) basis or other verifiable method to ensure stock rotation.
- g. Inventories should be maintained at reasonable and appropriate volumes to avoid excessive age and insect infestation. Materials in storage for more than four weeks **shall** be inspected and then cleaned and repalletized as necessary, and the inspection date **shall** be affixed near the original receiving date.
- h. Pallets and skids **shall** be kept clean and in good repair. When pallets or other wooden surfaces are washed, they should be properly dried before use. Slip-sheets should be used between pallets and bags of ingredients and between double-stacked pallets to protect ingredients from damage by the pallet.
- i. All toxic chemicals, including cleaning and maintenance compounds, and all nonproduct related materials, such as parts and equipment, **shall** be completely segregated from all food ingredients and packaging supplies.

- j. Where iced-down product must be stored over like or dissimilar products, protective measures **shall** be provided to keep the melting ice run-off from contaminating the product below. Adequate catchpans or other devices may be used under the iced-down product to collect the run-off.

B. Transfer and Handling of Materials:

1. Personnel should quickly eliminate spillage, leakage, waste and forklift damaged stock at all times.
2. All stock selected and staged for shipment should be examined prior to loading.
3. Rubbish, trash, or inedible waste **shall** be stored in properly covered labeled containers and emptied at least daily. When rubbish or inedible waste is transported, it must not come in contact with stock in storage. Waste disposal **shall** meet regulatory requirements.
4. Hand trucks, hand jacks, and forklifts, as well as other transporting equipment, should be maintained in a clean condition.
5. Frozen food should not be on the dock for more than 30 minutes, if the dock is refrigerated to hold an air temperature not exceeding 40°F (4°C). If the dock is not refrigerated, product should not be on the dock for more than 15 minutes.
6. A designated morgue and/or salvage area for all damaged and recoup materials **shall** be provided and fully segregated from usable stock to prevent possible contamination. Repacking of salvage **shall** be undertaken weekly or as necessary to keep quantities at minimal levels. Repacked materials **shall** be identified so as to maintain traceability. Damaged, adulterated materials should be disposed of in a manner to prevent their entry into the market.

### C. Operational Practices:

1. All washrooms, showers, and locker rooms **shall** be maintained in a sanitary manner and kept free of insects, rodents, and mold. Monthly inspections should be undertaken of all company owned employees' lockers for sanitary controls. Open food or drink in lockers **shall** be strictly prohibited. "Wash Hands" signs **shall** be properly displayed in all rest rooms, lunchrooms and smoking areas. Where applicable, the signs **shall** also appear over sinks or entryways to storage areas. Hot and cold running water, soap, and hand dryers or hand drying towels (either paper or cloth roller towels) **shall** be provided in hand washing areas.
2. Single-service containers **shall not** be reused and must be properly disposed of after being emptied and rendered unserviceable.

### D. Delivery Practices:

1. Distribution records **shall** be maintained to identify the initial point of distribution as per governmental regulations.
2. All products **shall** be handled and transported in such a way that prevents actual or potential adulteration. It is recommended that detergents and other non-food chemicals be segregated during transport from food products.
3. All shipping vehicles **shall** be inspected prior to loading for cleanliness and structural defects that could jeopardize product integrity. These inspections **shall** be documented when issues are found. Company-owned vehicles used to transport foods **shall** be visually examined, cleaned, and maintained to prevent product adulteration. All local delivery trucks **shall** be internally inspected and cleaned, at least weekly, to identify possible sources of

contamination from pests and/or foreign materials. Common carriers and customers should be encouraged to maintain their respective delivery vehicles in a hygienic condition and in reasonable repair.

4. All perishable and/or frozen products **shall** be loaded into a pre-cooled vehicle designated and maintained to sustain required temperatures during delivery. Temperatures of the pre-cooled vehicles **shall** be checked prior to loading. The temperatures should be recorded as an additional safeguard for the product. Temperatures of perishable and/or frozen products **shall** be taken and recorded as necessary or as required by the customer upon loading of trucks. Procedures **shall**, where appropriate, be in place in the case of transportation breakdown. These procedures **shall** ensure product safety, legality and quality. Transport refrigeration units should have recording devices and should be turned on and the doors closed when loading and unloading is not being carried out, if applicable.
5. Adequate free air circulation all around the load is essential during refrigerated/frozen transportation. Slip sheets should be supported on a pallet or other means to allow adequate air circulation under the load. If the transport has a channeled floor, pallets are not necessary to maintain air circulation.
6. For frozen food, the thermostat on the vehicle's refrigeration unit should be set to maintain an air temperature of 0°F (-18°C) or lower.

E. Personnel Practices:

1. Employees **shall** be encouraged to practice good personal hygiene habits at all times.
2. Eating food, drinking beverages, chewing gum, and using tobacco products **shall** be restricted to

designated areas only, away from stored food products.

3. Employee lunches and/or personal effects **shall not** be stored or placed in stock storage areas. Examples would include sweaters, jackets, shoes, smoking materials, etc. All personal property should be stored in an area defined by company management. Suitable and sufficient break areas should be provided for all staff.
4. All employee health cards **shall** be kept current and properly posted, if required by local or national law.
5. Noncompany personnel **shall** be required to conform to company food safety/hygiene policies and the Good Manufacturing Practices as they apply to warehouses. These would include, but not be limited to: visitors, regulatory authorities, outside contractors, tour groups, and employees' family and friends.

## IV. Maintenance for Food Safety

- A. The site **shall** be located and maintained so as to prevent contamination and enable the storage of safe and legal products. Consideration should be given to local activities that may have potentially adverse impact, and measures taken to prevent product contamination. The site boundaries should be clearly defined. Measures necessary to protect the site from any potential contaminants should be in place and periodically reviewed to ensure they continue to be effective.
- B. Building Structure:
1. The grounds around any food distribution center **shall** be maintained in a manner that will prevent the possibility of food adulteration. The methods for adequate grounds maintenance include, but are not limited to:
    - a. Proper storage of equipment away from walls and off the ground to prevent harborage and allow inspection. Storage out of doors should be kept to a minimum. Where pallets must be stored outside, the storage should be off the ground a minimum of 18 inches (50 cm) and away from the building to prevent the creation of a pest harborage.
    - b. Removal of litter and waste, removal of weeds or tall grass from within the immediate vicinity of the building.
    - c. Maintenance of roads, yards, and parking areas to keep them free of dust, standing water or other potential contaminants.
    - d. Provision of adequate drainage from grounds, roof or other areas.
    - e. Installation and maintenance of outside wet and/or dry waste or scrap compactors, modules, and



dumpsters to minimize leakage or to contain such leakage, permitting the container to be easily removed and the area cleaned. External waste collection containers and compactors should be closed and/or covered and kept in good repair and should be located on a concrete pad or similar installation to prevent pest attraction or harborage.

- f. Measures should be in place to maintain site security.
2. The food distribution center construction and design **shall** be suitable in size, layout, and/or partition to facilitate maintenance and sanitary operations for food storage.
3. Sufficient space should be provided for proper placement of equipment and storage of materials. Adequate aisles or a work space **shall** be maintained between equipment and/or structures to allow adequate cleaning.
4. Floors, walls, and ceilings **shall** be of such construction as to be adequately cleanable and kept in good repair. The following are further guidelines to assist in this:
  - a. Walls should be designed, constructed, finished and maintained to prevent the accumulation of dirt, reduce condensation and mold growth, and facilitate cleaning.
  - b. Wall/floor junctions and corners should be coved to facilitate cleaning. Cavities in the surface of walls and floors should be filled or sealed to prevent debris from lodging and to avoid pest harborage.
  - c. Floors should be designed to meet the demands of the process and withstand cleaning materials and methods. They should be impervious and

maintained in good repair. Floors in produce coolers should have adequate sloping to direct the flow of any water or effluent towards suitable drainage.

- d. Adequate floor drains with grates **shall** be installed, maintained and operational in all wet storage areas. All floor drain grates **shall** be easily removable for cleaning and inspection. The drains should be easily accessible for cleaning and drains in meat, dairy and produce areas should be routinely sanitized.
  - e. Where hollow or suspended ceilings are used, adequate access to the void **shall** be provided to facilitate cleaning, maintenance of services and inspection for pest activity. Ceilings and overheads should be designed, constructed, finished and maintained to prevent the accumulation of dirt, reduce condensation and mold growth, and facilitate cleaning.
  - f. Roof leaks **shall** be promptly identified and repaired.
5. Fixtures, ducts, and pipes, including plumbing, **shall** be in good condition and installed in such a manner that drips or condensate do not contaminate stock in storage.
  6. Adequate lighting should be provided in all areas to allow for adequate observation of storage and handling areas. It is strongly recommended that light bulbs, fixtures, windows, mirrors, skylights, or other glass suspended over storage areas should be of the safety type or otherwise protected to prevent breakage. Light bulbs, fixtures, windows, mirrors, skylights, or other glass suspended over any area where there is exposed product, such as produce storage areas, recoup areas, or similar areas, **shall** be

of the safety type or otherwise protected to prevent breakage. Emergency lighting and the headlights and other lights and gauges on forklifts should also be protected. Where full protection cannot be provided, the glass policy **shall** take this into account through a glass register and regular glass audits.

7. Adequate ventilation should be provided in stock storage areas to minimize odors, fumes, and vapors. Air makeup units **shall** be fitted with clean filters and maintained free of mold and algae.
  - a. Air return ducts for heating and air conditioning systems or air makeup units **shall** be provided with cleaning and inspection hatches. Fans, blowers, filters, cabinets, and plenums **shall** be placed on a preventive maintenance schedule to prevent possible development of mold or insects, or the collection of foreign material.
  - b. Windows and skylights should be non-opening. Where windows and doors must be kept open for ventilation, they **shall** be screened to prevent access by pests.
8. An 18-inch (50 cm) inspection line should be painted on floor-wall junctions around the perimeter and along interior partition walls of the food distribution center storage areas to aid in the detection of pest activity.
9. The physical building **shall** be maintained to provide necessary barriers for effective protection against birds, animals, vermin, and insects, and the maintenance department **shall** be responsible for the elimination of cracks and crevices as well as other insect or rodent harborages. Where external doors to stock storage areas are kept open, suitable precautions **shall** be taken to prevent pest ingress. Doors in these areas **shall** be close-fitting or adequately pest-

proofed. Appropriate material should be installed on the wall under the dock leveler pits or around the dock leveler plates to prevent rodents from climbing up the wall onto the dock.

C. Equipment:

1. All distribution center equipment **shall** be designed and of such material and workmanship as to be adequately cleanable and **shall** be properly maintained.
2. Any company-owned transport with holes or in bad repair **shall** be repaired or placed “on hold” until repairs are completed. Common carriers not meeting the minimum standards **shall** be rejected. Door seals on transports **shall** be intact, and dome lights **shall** be protected against breakage.
3. A continuous recording thermometer or an indicating thermometer **shall** be used in all rooms or areas where perishable or frozen foods are stored or handled. Mechanical monitoring systems utilizing continuous temperature recording systems are recommended. Freezers and coolers equipped with mechanical monitoring systems **shall** be equipped with a temperature alarm system that triggers an alarm when temperatures exceed limits. Where indicating thermometers are used, they **shall** be monitored on a frequency often enough to ensure safe storage. Proper documentation **shall** be maintained and readily available.

Recording controls, thermometers, or other temperature measuring devices **shall** be routinely calibrated on any equipment used to maintain temperatures in refrigerated and frozen storage areas. This calibration should be traceable to a national standard.

4. Hand jacks, forklifts, and other transporting equipment should be in good repair and maintained in such a manner that prevents the adulteration of products being transported.
5. Only clean repair parts and equipment should be stored in the parts storage areas.

D. Services:

1. All establishments **shall** have a potable water supply from an approved source. For underground well water supplies, sampling of the water **shall** be undertaken on a frequency consistent with local health department codes and governmental law. Proper documentation **shall** be readily available.
2. All water installations and equipment **shall** be constructed and maintained to prevent back siphonage and/or backflow.
3. The sewage disposal system **shall** be adequate and appropriate for the process and **shall** be maintained to prevent either direct or indirect contamination of food.
4. All washrooms, hand sinks, and locker rooms **shall** have both hot and cold running water readily available. Mix valves to adjust water temperatures **shall** also be provided. Toilet rooms **shall not** open directly into areas where exposed product may be stored. Toilet rooms should be maintained in good repair.

## V. Cleaning Practices

- A. Cleaning operations **shall** be performed in a manner to prevent contamination of materials and products. Cleaning or replacing light fittings and glass **shall** be done in a manner to minimize the potential for product contamination.
- B. General-purpose cleaning compounds **shall** be used in a manner that prevents food product contamination.
- C. When not in use, all cleaning compounds and sanitizers **shall** be properly labeled and stored in a locked compartment, away from food storage areas.
- D. Cleaning equipment and tools **shall** be supplied and be readily available for use. All cleaning equipment **shall** be maintained, kept clean and stored in such a way as not to contaminate stored products. Janitorial cleaning equipment and supplies **shall** be segregated from warehouse cleaning equipment and supplies and **shall** be stored separately.
- E. Cleaning Definitions:
  - 1. “Deep Cleaning”
    - a. “Deep cleaning” **shall** be assigned to the appropriate department(s) and **shall** be accomplished by and consistent with a Master Cleaning Schedule or its equivalent.
    - b. Examples of “Deep Cleaning” would include:
      - i. Overhead areas **shall** be cleaned frequently enough to prevent insects or filth from contaminating food products in storage.
      - ii. Dock levelers **shall** be cleaned on a schedule frequent enough to prevent excessive soil/litter accumulations.
      - iii. Racks and storage shelves **shall** be cleaned frequently enough to remove spillage and

dirt buildup and to assure against pest development.

- iv. Painted perimeter lines **shall** be cleaned and mopped each month or more frequently, if needed.
  - v. Recoup or salvage areas **shall** be cleaned on a schedule frequent enough to prevent development of insects or mold and to ensure against their becoming a pest attractant. Recoup modules or totes should be washed out every week or more frequently, if needed.
2. Daily “Housekeeping or Cosmetic Cleaning” **shall** be assigned to the appropriate departments and **shall** be undertaken to ensure work and support areas are maintained during normal working hours. All such operations **shall** be undertaken in a manner to prevent contamination. Examples of housekeeping tasks would include:
- a. Floor, walls and ceilings **shall** be cleaned on a regular basis and as often as necessary to eliminate food residues and maintain a good cosmetic appearance.
  - b. Toilet rooms, locker rooms, and employee break areas **shall** be cleaned, as necessary, to maintain proper levels of sanitation/hygiene and discourage pest development.
3. Maintenance Cleaning:
- a. Nonsealed electrical panels and boxes should be cleaned and/or inspected periodically.
  - b. Maintenance mess and debris created during repairs or alterations **shall** be promptly removed.

- c. Grease smears and excess lubricant should be promptly removed from forklift equipment and floors.
  - d. Forklifts, hand jacks, and similar equipment should be scheduled for preventative maintenance and cleaning.
  - e. Maintenance storage areas should be kept clean and organized with no parts or materials stored on the floor.
4. Outside Grounds Cleaning:
- a. The outside grounds **shall** be maintained free of trash and debris.
  - b. Dumpsters and waste containers **shall** be cleaned, as necessary, to prevent fly development. Waste containers should be designed to allow proper cleaning. They should be covered and located on a concrete pad or similar installation to assure against pest attraction or harborage.
  - c. Truck bays and garage areas **shall** be kept clean to prevent attracting and/or supporting pest activity.



## **Conditions for Unsatisfactory Rating**

Per AIB Standards, an Unsatisfactory rating will be assigned when an item or items during the audit represents a violation of the following types:

- I. If an imminent food safety hazard exists.
- II. If food safety programs are nonexistent or deficient in such a way that they do not comply with the Good Manufacturing Practices.
- III. If food is adulterated such that:
  - a. It bears or contains an added poisonous or deleterious substance;
  - b. It consists in whole or in part of any filth, putrid, or decomposed substances, or if it is otherwise unfit for use as food;
  - c. It has been prepared, packed, or held under insanitary conditions, whereby, it may have been contaminated with filth, or whereby, it may have been rendered injurious to health.
- IV. If a violation of the Good Manufacturing Practices is noted that is an imminent food safety risk.
- V. If a violation of local or national pesticide regulations is noted that would represent a significant departure from the regulations or would cause an imminent food safety risk.

Examples of a few conditions most commonly found which will require an unsatisfactory rating assignment have been listed below. The following only represent examples of conditions for unsatisfactory rating assignments and are by no means inclusive. Similar items not specifically stated will be dealt with by the auditor in view of existing conditions and are always subject to review by AIB International headquarters personnel.

1. An effective sanitation program or pest control program not in place
2. Evidence of resident birds or bird excreta on stock inside the distribution center
3. Any significant insect infestation, either internally or on the surface of the stored product
4. Presence of live rodents, rodent gnawed bags or rodent evidence on pallets of stored stock
5. Cockroach infestation in the food distribution center that could cause regulatory action or adulterate product
6. Stored product contaminated with poisonous or hazardous chemicals, such as pesticides, motor oil, etc.
7. Perimeter floor-wall junctions and storage areas completely restricted, preventing cleaning, inspection, and pest control procedures
8. No internal rodent control program. As an example, mechanical traps, snap traps, or glue boards not present, evidence of decomposed rodents in traps, or an insufficient number of traps present
9. Rodent bait stations containing toxic rodenticide used for routine monitoring inside the stock storage area of the food distribution center
10. Dock and pedestrian doors not rodent proofed and rodent evidence noted inside the food distribution center
11. Roof leaks that may have contaminated product in storage
12. Insect or rodent infested transport vehicles
13. Freezers and coolers without thermometers or temperatures above required minimums, except during periods of heavy traffic or during defrost cycle
14. Poor personnel practices, such as eating and smoking in undesignated areas
15. Pesticides not used in accordance with the labeling

16. Transporting food ingredients and product in the same trailer or railcar with toxic chemicals, except when they are physically separated on the load. Separation can be by partition or location, provided that leakage or spillage could not contaminate stock in the transport trailer.
17. Leaking iced-down produce stored over any other products.
18. Lack of evidence of compliance with regulated HACCP requirements, such as required for seafood and fish products.

## RATING ANALYSIS RECAP

Report #: \_\_\_\_\_

Review Person: \_\_\_\_\_

Location: \_\_\_\_\_

Date: \_\_\_\_\_

- A.
- B.
- C.
- D.
- E.

Category	Report Deficiencies by Item #	(160-175)**	(140-155) Serious Items	(<140) Unsatisfactory	Reviewer's Score
AP					
PC					
OP					
MS					
CP					
<b>**Potential Hazard/Improvement Needed Items</b>					
AP - Adequacy of Food Safety Program					<b>TOTAL SCORE</b>
PC - Pest Control					
OP - Operational Methods and Personnel Practices					
MS - Maintenance for Food Safety					
CP - Cleaning Practices					









## Pesticide Usage Log

Year

List all restricted use pesticides purchased according to trade name and EPA registration number on the back							
Name of certified applicator(s)			Address				
			Certification ID No				
Name of Pesticide Used/EPA Registration No.	Target Organism	Application Data				Date(s) and Time(s) Treated	Applicator's Signature
		Quantity Used	Where Pesticide was Applied	Method	Rate of Application or Dosage		

*List separately below all pesticides used*





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