



**Readiness Audit for Food Safety Modernization Act
Preventive Controls for Animal Food Rule.**

Facility: _____ Auditor: _____ Date of Audit: _____

Preliminary Questions

Number of employees: _____ Annual tonnage: _____ Annual Sales: _____

Hours and days of activity: _____ Is the facility a designated importer subject to FSVP? Yes No

Which of the following are the compliance dates for this facility (CGMP and Food Safety Plan)?

9/19/16 and 9/18/17 9/18/17 and 9/17/18 9/17/18 and 9/17/19

Owner, Operator, or Agent-in-Charge: _____ Management: _____

What are the raw materials/ingredients used? _____

Finished animal foods that are manufactured, processed, packed, or held at facility: _____

Largest suppliers: _____

Largest customers: _____

Summary of recent customer complaints: _____

Are individuals engaged in manufacturing, processing, packing, or holding animal food trained for:

Their assigned duties in a way that results in safe animal food? Yes No

The principles of animal food hygiene and animal food safety? Yes No

Are there records to demonstrate the animal food hygiene training? Yes No

507.14 Personnel		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	(1) Does management of the establishment must take reasonable measures and precautions to ensure that all persons working in direct contact with animal food, animal food-contact surfaces, and animal food-packaging materials conform to hygienic practices to the extent necessary to protect against the contamination of animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	(2) Is adequate personal cleanliness maintained?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	(3) Are hands washed thoroughly in an adequate hand-washing facility as necessary and appropriate to protect against contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	(4) Are jewelry or other objects that might fall into animal food, equipment, or containers removed and/or secured?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	(5) Are clothing and other personal belongings stored in areas other than where animal food is exposed or where equipment or utensils are cleaned?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	(6) Are any other necessary precautions taken to protect against the contamination of animal food, animal food-contact surfaces, or animal food-packaging materials.	

507.17 Plant and Grounds		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	7) Are the grounds around an animal food plant under the control of the management of an establishment kept in a condition that will protect against the contamination of animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	8) Is equipment stored, litter and waste removed, weeds and grass within immediate vicinity of facility cut so they do not constitute an attractant, breeding place or harborage for pests?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	9) Are driveways, yards, and parking areas maintained so they do not constitute a source of contamination in areas where animal food is exposed?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	10) Are areas that may contribute to the contamination of animal food adequately drained?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	11) Is waste treated and disposed of so that it does constitute a source of contamination in areas where animal food is exposed?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	12) Is the plant suitable in size, construction, and design to facilitate cleaning, maintenance, and pest control to reduce the potential for contamination of animal food, animal food-contact surfaces, and animal food-packaging materials?	

<input type="checkbox"/> Yes <input type="checkbox"/> No	13) Does the plant provide adequate space between equipment, walls, and stored materials to permit employees to perform their duties and to allow cleaning and maintenance of equipment?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	14) Is the plant constructed in a manner such that drip or condensate from fixtures, ducts, and pipes does not serve as a source of contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	15) Does the plant provide adequate ventilation (mechanical or natural) where necessary and appropriate to minimize vapors (e.g. steam) and fumes in areas where they may contaminate animal food and in a manner that minimizes the potential for contaminating animal food.	
<input type="checkbox"/> Yes <input type="checkbox"/> No	16) Does the plant provide adequate lighting in hand-washing areas, toilet rooms, areas where animal food is received, manufactured, processed, packed, or held, and areas where equipment or utensils are cleaned?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	17) Does the plant provide shatter-resistant light bulbs, fixtures, and skylights, or other glass items suspended over exposed animal food in any step of preparation to protect against the contamination of animal food in case of glass breakage?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	18) Does the plant protect against animal food stored outdoors in bulk from contamination by any effective means, including using protective coverings where necessary and appropriate, controlling areas over and around the bulk animal food to eliminate harborages for pests, and checking on a regular basis for pests, pest infestation, and product condition related to safety of the animal food?	

507.19 Sanitation		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	19) Are buildings, structures, fixtures, and other physical facilities of the plant kept clean and in good repair to prevent animal food from becoming adulterated?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	20) Are animal food-contact and non-contact surfaces of utensils and equipment cleaned and maintained and utensils and equipment stored as necessary to protect against the contamination of animal food, animal food-contact surfaces, or animal food-packaging materials.?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	21) When necessary, is equipment disassembled for thorough cleaning?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	22) When animal food-contact surfaces used for manufacturing, processing, packing, or holding animal food are wet-cleaned, are the surfaces, when necessary, be thoroughly dried before subsequent use?	

<input type="checkbox"/> Yes <input type="checkbox"/> No	23) In wet processing of animal food, when cleaning and sanitizing is necessary to protect against the introduction of undesirable microorganisms into animal food, are all animal food-contact surfaces cleaned and sanitized before use and after any interruption during which the animal food-contact surfaces may have become contaminated?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	24) Are cleaning compounds and sanitizing agents safe and adequate under the conditions of use?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	25) Are only the following toxic materials used or stored in the plant area where animal food is manufactured, processed, or exposed: <ul style="list-style-type: none"> • Those required to maintain clean and sanitary conditions; • Those necessary for use in laboratory testing procedures; • Those necessary for plant and equipment maintenance and operation; and • Those necessary for use in the plant's operations? 	
<input type="checkbox"/> Yes <input type="checkbox"/> No	26) Are the toxic materials described above identified, used, and stored in a manner that protects against the contamination of animal food, animal food-contact surfaces, or animal food-packaging materials?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	27) Are other toxic materials (such as fertilizers and pesticides not above not stored in an area of the plant where animal food is not manufactured, processed, or exposed?	

507.20 Water Supply and Plumbing		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	28) Is water safe for its intended use and drawn from an adequate source?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	29) Is running water at a suitable temperature and pressure?	

<input type="checkbox"/> Yes <input type="checkbox"/> No	30) If is water reused, is it safe for its intended use and not add contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	31) Does plumbing carry sufficient amounts of water for intended use?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	32) Does plumbing sufficiently carry sewage and liquid waste from the facility so it is not a source of contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	33) Does plumbing provide sufficient floor drainage?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	34) Does plumbing ensure no backflow from piping system empty wastewater or sewage near areas of manufacturing or animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	35) Does the facility provide employees with accessible toilet systems that are kept cleaned and well-maintained?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	36) Does the plant provide hand washing facilities to prevent employees' hands from becoming a potential source of contamination?	

507.22 Equipment and Utensils		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	37) Are all equipment and utensils designed and constructed of such material and workmanship to be adequately cleaned and properly maintained?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	38) Are all equipment and utensils designed, constructed, and used appropriately to avoid the adulteration of animal food with non-food grade lubricants, fuel, metal fragments, contaminated water, or any other contaminates?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	39) Is equipment installed to facilitate the cleaning and maintenance of the equipment and adjacent spaces?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	40) Are all animal food contact surfaces made of nontoxic materials that withstand the environment of their use, the action of animal food, and the action of cleaning compounds, cleaning procedures, and sanitizing agents?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	41) Are all holding, conveying, manufacturing, and processing systems designed, constructed, and maintained in a way to protect against the contamination of animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	42) If freezers and cold storage compartments are used to hold animal food, are they fitted with accurate temperature-measuring devices?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	43) If there are instruments and controls used in measuring, regulating, or recording temperature or other conditions to control or prevent the growth of undesirable microorganisms, are they accurate, precise, adequately maintained, and adequate in number for their designated uses?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	44) Is compressed air or other gas mechanically introduced into animal food or used to clean animal food-contact surfaces or equipment used in such a way to protect against the contamination of animal food?	

507.25 Plant operations		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	45) Is all animal food accurately identified?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	46) Are all animal food-packaging materials safe and suitable?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	47) Is the overall cleanliness of the plant under the supervision of one or more competent individuals assigned responsibility for this function?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	48) Are adequate precautions taken so that plant operations do not contribute to contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	49) Are chemical, microbial, or other testing procedures used where necessary to identify sanitation failures or possible animal food contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	50) Is all animal food that becomes adulterated rejected, treated, or processed to eliminate adulteration, or disposed of in a manner that protects against the contamination of other animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	51) Is all animal food manufacturing, processing, packing, and holding conducted under conditions and controls necessary to minimize the potential for growth of undesirable microorganisms to protect against the contamination of animal food?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	52) Are shipping containers and bulk vehicles holding ingredients examined upon receipt?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	53) Are all raw materials cleaned as necessary to minimize contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	54) Are all raw materials and other ingredients stored in a way that protects against contamination and deterioration?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	55) Are ingredients susceptible to mycotoxins used in a proper manner?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	56) Are all raw materials or other ingredients that must be frozen, kept frozen and thawed properly?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	57) Is all animal food maintained, manufactured, and packaged under conditions which minimize the potential for the growth of microorganisms?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	58) Is work-in-process and rework handled to protect against undesirable microorganisms?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	59) If water activity or pH are used to prevent the growth of microorganisms, are they used properly?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	60) If ice is used, is the water it was made from safe for use?	

507.27 Holding and distribution		Comments
<input type="checkbox"/> Yes <input type="checkbox"/> No	61) Is animal food held in appropriate places that protect from the contamination of pests, chemicals, and other products?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	62) Are unpackaged or bulk animal foods held to protect cross-contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	63) Are shipping containers (bulk trucks, tote bags, paper or plastic bags, etc.) designed, constructed of appropriated material, and maintained to protect against contamination?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	64) Are containers properly clean?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	65) Are containers inspected to protect cross-contamination before loading?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	66) Do the animal food labels follow AAFCO suggestion which contains the instructions of safely using and intended animal species?	
<input type="checkbox"/> Yes <input type="checkbox"/> No	67) Do you accept returned products to your facility? If yes, do you have procedure to control them (Who will decide whether to accept or reject? Where are they placed? Who will justify the corrective action for them?)	

CGMP Compliance Summary	
Number of Compliance (Yes Boxes Checked)	
% Compliance (of 67)	

Food Safety Plan

Has the Owner, Operator, or Agent-in-Charge signed and dated the food safety plan? Yes No

Does the Food Safety Plan identify the plant or facility? Yes No

What are the known or reasonably foreseeable hazards? _____

Are the other *known or reasonably foreseeable hazards* adequately controlled through prerequisite programs and/or CGMP? Yes No

If yes, are there adequate records to support the sufficient control of the hazard? Yes No N/A

Explain: _____

Are there *hazards requiring a preventive control*? Yes No

If yes, describe: _____

Are there monitoring procedures and records? Yes No N/A

Method: _____

Frequency: _____

Are there corrective action procedures and records? Yes No N/A

Identify and correct the problem: _____

Reduce likelihood that the problem will recur: _____

Evaluate affected animal food for safety: _____

Prevent affected animal food from entering commerce, if necessary: _____

Reanalyze the food safety plan, if necessary: _____

Is there validation to support the preventive control? Yes No n/a

Explanation: _____

Is there verification to support the preventive control?

Yes No n/a

Calibration: _____

Product Testing: _____

Environmental Monitoring: _____

Review of monitoring/corrective action records within 7 working days: _____

Review of verification records within a reasonable time: _____

Does the facility have a recall plan?

Assigns responsibility for all procedures

Includes procedures to directly notify consignees

Includes procedures for notifying the public, if necessary

Includes procedures for how to conduct effectiveness checks

Includes procedures for how to appropriately dispose of animal food