Change Document to Accompany the 2013 AIB International Consolidated Standards for Inspection Distribution Centers

Regulatory developments, including the passage of US Food and Drug Administration Food Safety Modernization Act (FSMA) and other industry best practices impacting the food industry worldwide, have necessitated a thorough updating process to the AIB International *Consolidated Standards for Inspection*.

The Standards were last updated, with a completely new format, and introduced in 2009. The intent was to achieve improved functionality in the capture of specific data that would assist in pinpointing areas of opportunity within the facility and allow for trending of this data. With the introduction of our Automated Quality Management System in 2011, we again evaluated how the data within the Standards was structured.

For the 2013 updates we have implemented several sets of changes:

1. Changed the way the data is arranged to better capture findings in like areas so that comparisons and data capture can be centralized. To this end, some clause numbers have changed.
2. Items have been grouped differently to provide a more cohesive picture of what is happening in the facility and to make data capture and trending of findings easier.
3. In some cases, criteria were moved to a different category within the Standards to provide a better fit with the evaluation of programs and findings.
4. Made minor changes to headings, or changes to numbering, that are not changes to the criteria evaluated in the previous version of the Standards.

The purpose of the Change Document is to highlight the changes and identify additional criteria and changes to content and to outline expectations during an inspection. Minor changes, referred to in 4 above, will not be described in the document. As always, AIB International wishes to provide transparency behind the reasons for changes to the Food Distribution Centers Standards, and the necessary clarification to understand and implement them. By so doing, together we will continue to ensure the ongoing successful implementation of food safety programs worldwide.

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Operational Methods and Personnel Practices

1.1 Rejection of Shipments/Receipt of Dry Goods

1.1.1.3 Critical - The facility maintains **documentation of rejected shipments** that includes the ~~defect specifications and~~ reasons for rejection.

- *Explanation of the change*: The language was edited to clarify the need to document the reason for rejection of the material.
- *Guidance on evaluation of criteria*: No additional guidance required. Minor edit to criteria text only.

1.1.1.4 Critical - Shuttle vehicles are in **good condition, clean, and free of holes and infestation**.

- *Explanation of the change*: Added requirement to address internally used vehicles typically used to move product to off-site warehouses.
- *Guidance on evaluation of criteria:* The auditor would rate any issues with the shuttle trailer the same as they would any other carrier used to transport product where an issue was identified.

1.2 Rejection of Shipments/Receipt of Perishables

1.2.1.5 Critical - The facility maintains **documentation of rejected shipments** that includes the ~~defect specifications and~~ reasons for rejection.

- *Explanation of the change*: The language was edited to clarify the need to document the reason for rejection of the material. This is a repeat of 1.1.1.3 because the clauses for rejection of shipments/receipts have been split into two separate clauses- one for dry and one for perishable goods.
- *Guidance on evaluation of criteria:* No additional guidance required. Minor edit to criteria text only.

1.2.1.6 Critical - Shuttle vehicles are in **good condition, clean, and free of holes and infestation**.

- *Explanation of the change*: Added requirement to address internally used vehicles typically used to move product to off-site warehouses.
- *Guidance on evaluation of criteria:* The auditor would rate any issues with the shuttle trailer the same as they would any other carrier used to transport product where an issue was identified.

1.3 Storage Practices

1.3.1.2 Critical - ~~**Receiving**~~ **Dates to facilitate stock rotation are visible** on the ~~bottom unit of the~~ pallet or individual container.

- *Explanation of the change:* The language was edited to take into consideration other methodologies of stock rotation beyond the use of manually placed receiving dates.
- *Guidance on evaluation of criteria*: No additional guidance required. Minor edit to criteria text only.

1.3.2.1 Minor - ~~Receiving~~ Dates used for **stock rotation** are on a **permanent** part of the ~~raw material~~ packaging (e.g., not on the stretch wrap).

- *Explanation of the change:* The language was edited to not just limit this requirement to receiving dates or raw materials only.
- *Guidance on evaluation of criteria*: No additional guidance required. Minor edit to criteria text only.

1.3.2.4 Minor - ~~**Frozen Foods** are not staged for longer than 30 minutes on docks that are refrigerated to hold an air temperature not exceeding 40°F or 4°C.~~

- *Explanation of the change:* This requirement was replaced with 1.26.1.6.
- *Guidance on evaluation of criteria*: No additional guidance required.

1.3.2.5 Minor - ~~If the **dock is not refrigerated**, products are not kept there for longer than 15 minutes.~~

- *Explanation of the change:* This requirement was replaced with 1.26.1.6.
- *Guidance on evaluation of criteria*: No additional guidance required.

1.3.2.6 Minor - ~~An 18 in or 50 cm **painted inspection line** is provided on the floor wall junctions around the perimeter and interior partition walls to aid in the detection of pest activity.~~

- *Explanation of the change:* This requirement for inspection perimeters is addressed in 1.3.1.4.
- *Guidance on evaluation of criteria*: No additional guidance required.

1.4 Storage Conditions

1.4.1.1 Critical - Storage areas are **clean, well ventilated, and dry**. Raw materials, work-in-process, packaging materials, and finished products are protected from condensate, sewage, dust, dirt, chemicals, or other contaminants.

- *Explanation of the change:* The language was expanded to include work-in-process and finished products.
- *Guidance on evaluation of criteria*: The auditor would rate any issues with work-in-process and finished products based on the risk to product.

1.4.1.4 Critical - **Research and Development items** and infrequently used raw materials, ~~and~~ packaging supplies, and finished products are regularly inspected for signs of infestation.

- *Explanation of the change:* Expanded the scope of the requirement to include finished products.
- *Guidance on evaluation of criteria*: The auditor would expand rating of issues with stock rotation to finished products.

1. 5 Raw Material/Finished Product Inventory

1.5.1.1 Critical - Ingredients, packaging supplies, work-in-process, finished products, and other materials are rotated on a **First-In, First-Out (FIFO) basis** or other verifiable method (such as First Expired, First Out [FEFO]) to ensure stock rotation.

- *Explanation of the change:* Added work-in-process and finished product to the requirements for stock rotation.
- *Guidance on evaluation of criteria*: The auditor will rate findings as they relate to work-in-process and finished product with relation to the identified risk to the product.

1.5.2.1 Minor - A **system is defined and followed** for identifying and tracking of inspection of insect-susceptible materials (e.g., aged stock inventory, re-palletizing dates, etc.). ~~The **repalletizing date** or inspection date is located near the original receiving date.~~

- *Explanation of the change:* Revised the requirement to allow greater flexibility for defining and managing how a facility identifies and tracks inspection of insect-susceptible materials.
- *Guidance on evaluation of criteria*: The auditor will rate this issue based on whether or not the system defined for the facility is followed and ensures examination and tracking of these materials is effective.

1.6 Pallets

1.6.1.2 Critical - When pallets are stored outside, they are **inspected for evidence of contamination** before being brought into the facility for use.

- *Explanation of the change:* Added requirement to ensure that, if pallets are stored outside, they are inspected to prevent the entry of contaminants into the facility.
- *Guidance on evaluation of criteria*: The auditor will randomly review pallets to determine if pallet inspection programs are effective.

1.22 Temperature Sensitive Materials

1.22.1.3 Critical - The facility maintains a **record** of temperature monitoring activities.

- *Explanation of the change*: This requirement was moved from the Maintenance Category 2.17.1.5 to OP for a better fit.
- *Guidance on evaluation of criteria*: No additional guidance required.

1.23 Cross Contamination Prevention

1.23.1.2 Critical - Measures are taken to prevent cross contamination by **hazardous ingredients**, such as allergens ~~during~~ in ~~labeling~~ ~~packaging, and holding~~ storage areas.

- *Explanation of the change*: Minor edits were made to the language to better define the areas of control.
- *Guidance on evaluation of criteria*: No additional guidance is required.

1.26 Finished Product Transportation

1.26.1.6 Critical - ~~Temperatures of **perishable and frozen** products are taken and recorded upon loading.~~ **Staging and loading** of perishable materials does not pose a food safety risk.

- *Explanation of the change*: This requirement was amended to add greater flexibility in how a facility ensures that perishable materials are adequately protected during staging and loading activities. This replaces clause numbers 1.3.2.4 and 1.3.2.5 in the previous edition of the *Consolidated Standards for Inspection of Food Distribution Centers*.
- *Guidance on evaluation of criteria*: The auditor will challenge the facility by asking them to demonstrate how temperatures of materials are maintained during staging and loading.

1.26.2.3 Minor – Interior light bulbs in finished product transports are **shielded or coated** to prevent breakage.

- *Explanation of the change*: Added this requirement to ensure shielding of light in finished product transports for glass breakage protection.
- *Guidance on evaluation of criteria*: The auditors will randomly review transports for light shielding.

1.26.2.4 Minor - **No odors or other contaminants** are present in transports.

- *Explanation of the change*: Added criteria for evaluating odors and contaminants in transports prior to loading.
- *Guidance on evaluation of criteria*: Auditors will randomly review transports for evidence of off odors or contaminants.

1.26.2.5 Minor - Transport vehicles have **not hauled garbage/waste or nonfood** items that may cause product contamination. If nonfood items, such as chemicals, are shipped, then adequate barriers to prevent contamination of food products must be used.

- *Explanation of the change*: Added requirement to ensure that transport vehicles that have hauled nonfood items that could provide a potential for product contamination are addressed or that adequate protective barriers are provided in the case that there is commingling in a load.
- *Guidance on evaluation of criteria*: Auditors will randomly review transports for evidence of this and will evaluate if barriers are provided, where applicable.

1.26.2.6 Minor - Transport refrigeration devices have **recording devices**. In the absence of recording devices, manual temperature checks are documented at appropriate frequencies to ensure maintenance of refrigeration temperatures.

- *Explanation of the change*: This requirement was added to ensure that a record of the cold chain was monitored and maintained throughout shipment of the product.
- *Guidance on evaluation of criteria*: The auditor will look for evidence of recording devices or logs documenting that temperatures were maintained during transport.

1.26.2.11 Minor - ~~Dome lights provided in transports are shielded to prevent glass breakage.~~

- *Explanation of the change:* This requirement is addressed in 1.26.2.3.
- *Guidance on evaluation of criteria*: No additional guidance required.

1.27 Hand Washing Facilities

1.27.2.1 Minor - Dispensers for **disposable paper towels** are covered. ~~Hands-free design is desirable.~~

- *Explanation of the change*: The language was edited to provide clarity of what is required for paper towel dispensers.
- *Guidance on evaluation of criteria*: No additional guidance is required.

1.33 Health Conditions

1.33.1.5 Critical - A written policy specifies the procedures for handling/disposition of food or product contact surfaces that have come into contact with **blood or other bodily fluids**.

- *Explanation of the change*: The requirement was added to address handling and disposal of food stuffs or product contact surfaces that have come in contact with blood and other bodily fluids.
- *Guidance on evaluation of criteria*: The auditor will ask the facility to provide the program that demonstrates this and any records that show that the procedures were followed, as applicable.

Non-Facility Personnel

1.34.1.2 Critical - Where appropriate, visitors and contractors undergo **medical screening and appropriate training** before entering raw material, preparation, packaging, and storage areas.

- *Explanation of the change*: The requirement was added to address medical screening and training in facilities where produce repackaging or exposed products are handled and manipulated.
- *Guidance on evaluation of criteria*: The auditor will ask the facility to provide the program that demonstrates this and any records that show that the procedures were followed, as applicable.

Maintenance for Food Safety

2.2 Outside Grounds and Roof

2.2.1.8 Critical – The **roof and structures** are well maintained.

- *Explanation of the change*: Added requirement specifically addressing the roof and structures.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.4 Layout

2.4.1.2 Critical - There is adequate space **to place** equipment and raw materials.

- *Explanation of the change*: Changed severity from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.5 Floors

2.5.1.2 Critical - Wall/floor junctions and corners are **maintained** to facilitate cleaning.

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.2.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.5.1.3 Critical - **Holes, cracks, and crevices** in floor surfaces are repaired to prevent debris from lodging and to avoid pest or microbial harborage.

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.3.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.5.1.4 Critical - **Floors are designed** to meet the demands of facility operations and withstand cleaning materials and methods**.**

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.4.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.5.1.5 Critical - Floors are **impervious.**

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.5.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.5.1.6 Critical – **Floors are sloped** to direct the flow of water or effluent toward drains.

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.6.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.7 Walls

2.7.1.2 Critical - **Holes, cracks, and crevices** in wall surfaces are repaired to prevent debris from lodging and to avoid pest or microbial harborage.

- *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.3.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.7.1.3 Critical – Walls are **designed, constructed, finished, and maintained** to:

- Prevent dirt accumulation
- Reduce condensation and mold growth
- Facilitate cleaning
    - *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.1.
    - *Guidance on evaluation of criteria*: No additional guidance is required.

2.8 Ceilings and Overhead Structures

2.8.1.3 Critical – Ceiling and overheads are **designed, constructed, finished, and maintained** to:

- Prevent dirt accumulation
- Reduce condensation and mold growth
- Facilitate cleaning
    - *Explanation of the change*: The severity of the item was changed from minor to critical. Formerly 2.5.2.1.
    - *Guidance on evaluation of criteria*: No additional guidance is required.

2.8.1.6 Critical - Drips and condensation are **controlled to prevent** establishment of an environment suitable for microbial growth.

- *Explanation of the change:* This element was added to differentiate contamination leading to a microbiological issue, such as mold.
- *Guidance on evaluation of criteria:* No additional guidance is required.

2.9 Glass, Brittle Plastics, and Ceramics Control

2.9.1.2 Critical ~~Light bulbs, fixtures, windows, mirrors, skylights, and other glass suspended over product zones, product areas, ingredients or packaging supplies are of the **safety type**, or are otherwise protected to prevent breakage.~~

- *Explanation of the change:* This requirement is addressed in 2.9.1.6.
- *Guidance on evaluation of criteria*: No additional guidance required.

2.9.1.5 Critical ~~Only **essential glass** is present in the facility. If glass must be used, it is addressed by the Glass, Brittle Plastics, and Ceramics program.~~

- *Explanation of the change:* This requirement was replaced with 2.9.1.6 and also in 5.12.1.2.
- *Guidance on evaluation of criteria*: No additional guidance required.

2.10 Air Makeup Units

2.10.1.5 Critical - Filters are capable of removing particles of 50 microns (Minimum Efficiency Reporting Value [MERV] 4) or larger.

- *Explanation of the change*: Added the equivalent MERV rating to meet the 50 micron requirement for filtering of makeup air.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.11 Pest Prevention

2.11.1.3 Critical - Windows, doors, and skylights that must be kept open for ventilation are screened to prevent pest entry.

- *Explanation of the change:* This requirement was combined from 2.8.1.4 and 2.8.2.1 in the previous version.
- *Guidance on evaluation of criteria*: No additional guidance required.

2.12 Leaks and Lubrications

Leaks, ~~and~~ oil, and lubrication are managed so they do not contaminate food products.

- *Explanation of the change*: Added oil to expand the scope of lubricants evaluated as part of the food safety program.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.12.1.1 Critical - The facility **prevents, identifies, and eliminates** leaks (oil and lubricants) and excessive lubrication.

- *Explanation of the change*: Expanded the scope of the requirement to include oil.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.14 Cross Contamination Prevention

2.14.1.4 Critical - Toilet rooms are provided with functional exhaust fans that exhaust to the outdoors or do not open directly into production, packaging, or raw material storage areas.

- *Explanation of the change*: Added language to include exhausting to the outdoors to this requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.15 Equipment and Utensil Construction

Equipment and utensils designed for easy maintenance ensure compliance with Prerequisite and Food Safety Programs. Surfaces that deteriorate, or cannot be cleaned or maintained, may present product contamination hazards.

- *Explanation of the change*: This Standard was added to the Food Distribution Standards, and is combined with former Standard 2.16 Food Contact Surface Construction.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.15.1.1 Critical - All **equipment and utensils** are designed and made of materials that are **easily cleaned and maintained**.

- *Explanation of the change*: This requirement was added to ensure that any equipment used for exposed product, such as in a cutting or repack room, are suitable for food contact.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.17 Temperature Measuring Devices

2.17.1.5 Critical - **Thermometers are located** inside coolers, freezers, and other temperature-controlled storage areas.

- *Explanation of the change*: Changed severity from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.19 Transporting Equipment

2.19.1.2 Critical - ~~Forklifts, pallet jacks, and similar equipment are listed on the **Preventive Maintenance** and/or Master Cleaning Schedules for cleaning and follow up.~~

- *Explanation of the change*: This requirement was removed because it is already captured in 3.3.2.3 of the Cleaning Practices section of the Standards.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.21 Hand Washing Facilities Design

2.21.1.4 Critical – **Hands-free** hand washing equipment is provided in production areas where essential to product safety.

- *Explanation of the change*: This requirement was previously omitted from the 2009 Standards, but is now included.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.23 Ammonia Control

Ammonia leakage in processing areas may lead to product contamination.

- *Explanation of the change*: This Standard was added to address product contamination issues for those sites that use ammonia systems.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.23.1.1 Critical - Procedures are in place to **identify and prevent ammonia leaks** in the process.

- *Explanation of the change*: The requirement was added to ensure that procedures and processes were in place to identify ammonia leaks and to prevent them from occurring.
- *Guidance on evaluation of criteria*: No additional guidance is required.

2.23.1.2 Critical - Inspection **records with documented Corrective Actions** are current.

- *Explanation of the change*: The requirement was added to ensure that inspection records and corrective actions were completed and documented.
- *Guidance on evaluation of criteria*: No additional guidance is required.

Cleaning Practices

3.2 Food Contact Cleaning Compounds and Sanitizers

3.2.1.6 Critical - **Equipment is rinsed** as required by label directions to remove chemical residues.

- *Explanation of the change*: This was added to ensure that chemical residues are properly removed as directed by label requirements to prevent cross contamination of product contact surfaces.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.3 Equipment and Tools

3.3.1.9 Critical - ~~When used,~~ **Water** used for ~~daily or periodic~~ cleaning ~~tasks~~ is restricted and used in a way that does not contaminate ~~food or other materials in storage~~ raw materials, work-in-process, or production equipment with droplets, mist, or direct contact.

- *Explanation of the change*: The text was edited to expand the criteria to address water uses in all areas and not just wet production areas.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.5 ~~Periodic (Deep)~~ Product Zone Cleaning

3.5.1.1 Critical - ~~Periodic~~ Cleaning tasks **comply with applicable** ~~safety laws, regulations, and~~ **equipment cleaning procedures**.

- *Explanation of the change*: The requirement has been edited to broaden the scope to meet the applicable procedures for equipment cleaning.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.5.1.6 Critical - Food contact surfaces, product zones, and equipment that require sanitizing are **cleaned and sanitized.** ~~to destroy pathogenic microorganisms and remove contaminants.~~

- *Explanation of the change*: The requirement has been edited to broaden the scope to meet the applicable procedures for equipment that requires both cleaning and a sanitizing step in the process.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.5.1.7 Critical - Equipment and utensils that do not require sanitizing are cleaned ~~and sanitized~~ on a **predetermined schedule.** ~~to prevent microbiological contamination.~~

- *Explanation of the change*: The requirement has been edited to broaden the scope to meet the applicable procedures and schedules for cleaning of equipment that does not include a requirement for sanitizing of the product contact surface.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.5.1.11 Critical - Maintenance cleaning tasks are completed in a way that does not compromise product safety. This includes, but is not limited to, **removal of debris**, such as nuts, bolts, washers, wire pieces, tape, welding rods, and other small items that could contaminate product and accounting for these materials.

- *Explanation of the change*: Three similar requirements from the 2009 version of the Standard were combined into one cohesive requirement. Requirements 3.6.1.1, 3.6.1.3 and 3.6.1.4 were combined into one single requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.5.1.12 Critical - Equipment or other **ice contact** surfaces used for production, storage, and transport of ice used for cooling of product or as an ingredient are cleaned and sanitized on a scheduled frequency.

- *Explanation of the change*: New requirements were added to address ice making, storage, and transport equipment cleaning practices.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.6 Non-Product Zone and Support Area Cleaning

Cleaning of non-product zones and support areas eliminate product residues that may allow insect development, mold, or other contaminants that could affect the product or impact production.

- *Explanation of the change*: A new Standard was created to address cleaning of non-product contact zones and support areas that may impact the food safety of products produced at the site.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.6.1.3 Critical - **Support areas** that may impact equipment, production, or storage of raw materials or finished products (e.g., wash rooms, maintenance shops, tray or pan wash areas, etc.) are cleaned to prevent product contamination or insect development.

- *Explanation of the change*: This requirement was added to ensure that issues in non-production areas that could impact the production or storage of raw materials or finished products were captured in the scope of the inspection.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.6.1.4 Critical - Non-production areas **used for the storage** of equipment, raw materials, finished products, or product contact utensils are cleaned and maintained to prevent contamination of product, raw materials, or equipment.

- *Explanation of the change*: This requirement was added to address storage areas for items such as equipment and raw materials that may impact product safety.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.6.1.8 Critical - **Refrigeration equipment** (e.g., condensers, fans, etc.) are cleaned on a defined frequency to prevent microbial and dirt accumulation.

- *Explanation of the change*: This requirement was added to address cleaning of refrigeration equipment.
- *Guidance on evaluation of criteria*: No additional guidance is required.

3.6.1.9 Critical - **Drains** are **routinely cleaned and sanitized** to prevent microbial and pest development.

- *Explanation of the change*: This requirement was added to address cleaning of drains and replaces 3.5.2 4 in the *Consolidated Standards for Distribution Centers*.
- *Guidance on evaluation of criteria*: No additional guidance is required.

Integrated Pest Management

4.6 Pesticide Documentation

4.6.1.1 Critical - ~~**Material Safety Data Sheets (MSDS)**~~ **Chemical Safety Data Sheets** or equivalent are on file for all pesticides used in the facility by in-house personnel or contractors. Documentation is available for review on request as hard copy or electronic files.

- *Explanation of the change*: The text was edited to reflect the change in naming convention from Material Safety Data Sheet to Chemical Safety Data Sheets.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.8 Pesticide Control

4.8.1.2 Critical - **Pesticides are ~~applied~~**~~, and if required,~~ **stored** according to label directions.

- *Explanation of the change*: The text was edited to address pesticide storage.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.8.1.5 Critical - ~~Pesticides **are approved** by the designated facility representative before application, and are incorporated into the Chemical Control Program.~~

- *Explanation of the change*: This requirement was removed as it was a duplication of requirement 4.7.1.1.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.9 Trend Analysis

4.9.1.2 Critical - ~~When used,~~ The **pest-sighting log** provides information about the response taken by pest management personnel.

- *Explanation of the change*: The requirement was updated to clarify the language regarding the use of the pest-sighting log.
- *Guidance on evaluation of criteria*: The auditor will be evaluating the program to ensure that a pest-sighting log is in place.

4.9.1.4 Critical - The **pest-sighting log** has a designated location.

- *Explanation of the change*: The severity was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.9.1.5 Critical - The **pest-sighting log includes**:

• Date
• Time
• Type of pests observed
• Actions taken
• Names of reporting personnel

- *Explanation of the change*: The severity was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.9.1.6 Critical - Pest management personnel **review the log each quarter** to identify trends in pest activity. A report of findings is submitted to designated facility personnel.

- *Explanation of the change*: The severity was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.9.1.7 Critical - **Corrective Actions** are documented for identified issues.

- *Explanation of the change*: The severity was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.11 Exterior Rodent Monitoring Devices

4.11.2.1 Minor - Monitoring devices are placed at **intervals of 50-100 ft. or 15-30 m**. Areas of high rodent activity ~~may~~ should have a higher concentration of devices.

- *Explanation of the change*: Minor edits were made to the text to further clarify this requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.12 Interior Rodent Monitoring Devices

4.12.1.6 Critical - Facilities in countries that prohibit the use of mechanical traps may consider the use of **alternative devices** on a case-by-case basis. These devices may include:

• Gassing (e.g., CO2) traps
• Live ~~cage~~ catch traps
• See-saw tubes
• Electrocution traps
• Extended trigger traps that send alert e-mails or text messages

- *Explanation of the change*: Minor edits were made to better clarify the requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.13 Insect Light Traps

4.13.1.6 Critical – Insect light traps are used to **monitor flying insect activity** at locations that are likely to allow access to the facility.

- *Explanation of the change*: Changed severity from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.13.1.7 Critical - The facility **documents the types and quantities of insects** found in light traps, and uses the information to identify and eliminate the source of activity. This can include, but is not limited to, identifying insect types (e.g. night-flying insects, flies, stored product pests, etc) and quantities captured (specific or relative numbers [i.e. high, medium, low]) to evaluate the risks and determine the appropriate control measures to be taken.

- *Explanation of the change*: Changed severity from minor to critical and added edits to the text to ensure that data is evaluated to address any pest control issues based on insect findings in these devices.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.14 Pheromone Monitoring Devices

~~*When needed,*~~ *Pheromone monitoring devices assist in the identification of stored product insect pests in areas prone to this type of infestation (e.g., grains, cereals, spices, or herbs).*

- *Explanation of the change*: The text was edited to add types of facilities where use of pheromone monitoring is required.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.14.2.1 Minor - ~~Facilities that handle materials prone to stored product infestations (e.g., grains, cereals, spices, or herbs) implement a comprehensive~~ **~~pheromone monitoring program~~**~~.~~

- *Explanation of the change*: The italicized description of the Standard was edited to add those types of facilities where use of pheromone monitoring is required and thus removed as a minor requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

4.17 Pest Habitat

4.17.1.2 Critical – Implementation of an effective pest management program is **demonstrated through the lack of identified pest activity**. Specifically, pest activity whose identification and control is managed as part of the IPM Program.

- *Explanation of the change*: Added the requirement to easily capture identified pest activity for which the identification and control would be managed as part of the IPM program.
- *Guidance on evaluation of criteria*: No additional guidance is required.

Adequacy of Prerequisite and Food Safety Programs

5.1 Written Policy

5.1.2.1 Minor - Senior management **signs** the Policy Statement.

- *Explanation of the change*: The severity was reduced from critical to minor.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.1.2.2 Minor - The Policy Statement is **regularly communicated** throughout the facility.

- *Explanation of the change*: The severity was reduced from critical to minor.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.1.2.3 Minor - **Senior management regularly reviews** the Policy Statement.

- *Explanation of the change*: The severity was reduced from critical to minor.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.1.2.4 Minor - Supervisory staff and key personnel are trained to **understand and implement** the Policy Statement.

- *Explanation of the change*: The severity was reduced from critical to minor.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.2 Accountability

5.2.1.4 Critical - Facilities **define written procedures to meet legislative requirements** as defined by country or export requirements (e.g., allergen labeling and control, Reportable Food Registry, Food Safety Modernization Act, etc.). The facility is aware of the program and its role in implementing the requirements.

- *Explanation of the change*: This requirement was added to ensure that any new requirements regarding legislative or regulatory changes are identified and the role of the facility in their implementation or reporting is understood.
- *Guidance on evaluation of criteria*: The auditor will request procedures written and designed to meet legislative or regulatory requirement to verify that the site is aware of their location when they are needed and to ensure that plant personnel responsibilities are clearly defined.

5.2 Accountability

5.2.2.1 Minor - ~~The facility maintains all critical requirements at the facility or corporate level.~~

- *Explanation of the change*: The requirement was deleted as it is now addressed in 5.2.1.4 in the 2013 version.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.4 Written Procedures

5.4.1.1 Critical - ~~The facility has **written procedures** that define step-by-step processes to ensure the safety of facility products. The~~ **Procedures** ~~further~~ **define**:

• **Job Descriptions** that identify responsibilities related to Prerequisite and Food Safety Programs
• **Alternates/Deputies** that are designated to cover for the absence of key personnel.

- *Explanation of the change*: Edited the text to eliminate redundancy with review of programs included as part of the written procedure audits.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.4.1.2 Critical - ~~Management **regularly reviews** written procedures to ensure continued effectiveness and suitability.~~

- *Explanation of the change*: The text was eliminated as this would be reviewed as part of the written procedure audits.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.4.1.2 Critical - The written procedures are **readily available** to facility personnel.

- *Explanation of the change*: The severity was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.4.2.2 Minor - ~~The written procedures address **all requirements in the AIB International Consolidated Standards for Inspection**.~~

- *Explanation of the change*: The requirement was deleted as this would be reviewed as part of the written procedure audits.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.5 Training and Education

5.5.1.3 Critical - The training includes **~~exit criteria~~ established means for verification** of competency ~~requirements used to confirm~~ of the information presented (e.g., testing, supervisor verification, verbal responses, etc.).

- *Explanation of the change*: The text was edited to further clarify this requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.6 Self-Inspection

5.6.1.5 Critical - The Food Safety Committee and the responsible key personnel set ~~timelines~~ **deadlines** for Corrective Action implementation.

- *Explanation of the change*: Minor edits were made to the text to clarify the requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.7 Written Procedure Audits

5.7.1.1 Critical - The **scope and frequency** of the audit is based on risk assessment or importance of activity. Audits are conducted at least annually and assess execution of the program.

- *Explanation of the change*: Minor edits were added to the text to further clarify the intent of this requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.7.1.5 Critical - Responsible key personnel set ~~**time**~~ **deadlines** for Corrective Action implementation.

- *Explanation of the change*: Minor edits were provided to the text to further clarify the intent of this requirement.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.9 Chemical Control Program

5.9.1.2 Critical - **Procedures address, as applicable**:

• Chemical approval
• Purchase authority
• Controlled and segregated storage
• Handling
• Labels/Labeling
• Identification of where and how the chemicals are to be used
• Concentration verification
• Training and education
• Actual usage
• Inventory control
• Chemical disposal
• Container disposal
• Spill containment and control
• Chemical Safety Data Sheet archiving
• Contractor chemicals

- *Explanation of the change*: Minor edits were made to further clarify the requirement text.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.10 Microbial Control Program

Pathogens and spoilage organisms can contaminate foods if not managed for raw materials, packaging materials, work-in-process, finished product, or micro-sensitive processes.

- *Explanation of the change*: This requirement was added to ensure that appropriate procedures are in place to manage materials in the facility that may be received on micro hold.
- *Guidance on evaluation of criteria*: No further guidance needed.

5.10.1.3 Critical - If applicable, **records** are maintained of laboratory analyses and/or environmental samples that document compliance with the Microbial Control Program.

- *Explanation of the change*: This requirement was added to ensure that records are maintained to demonstrate that microbiological analysis carried out meets defined requirements.
- *Guidance on evaluation of criteria*: No further guidance needed.

5.10.1.5 Critical - If applicable, contract labs maintain appropriate **accreditation** to carry out the analyses performed.

- *Explanation of the change*: This requirement has been added to require proof of the competency of the lab providing the testing results.
- *Guidance on evaluation of criteria*: The auditor will ask to see the current accreditation documents for any contract labs providing testing results.

5.10.1.6 Critical - All products being **tested for pathogens** are placed on hold and not released until results indicating the food safety of the product have been obtained.

- *Explanation of the change*: This requirement was added to address the hold and release program for products undergoing pathogen testing to ensure that they are not prematurely released.
- *Guidance on evaluation of criteria*: The auditor will select a product(s) for which pathogen testing is being or has been completed. They will challenge the system by evaluating if the product was placed on hold and then will look at the date of the return of results and the release of the product for use based on this.

5.10.1.7 Critical - Products that test positive for pathogens are **appropriately destroyed or returned to the customer for disposition**. Documentation of the disposition of these materials is maintained.

- *Explanation of the change*: This requirement was added to address the disposition of materials that test positive for pathogens.
- *Guidance on evaluation of criteria*: The auditor will look at the disposition records for any materials that were tested and had positive pathogen results returned to ensure appropriate disposition of these materials.

5.12 Glass, Brittle Plastics, and Ceramics Program

5.12.1.2 Critical - The written Glass, Brittle Plastics, and Ceramics program includes the following policy statements:

- ~~No glass, brittle plastics, or ceramics are to be used in the facility, except where absolutely necessary or where removal is not immediately feasible.~~ All light bulbs, fixtures, windows, mirrors and skylights and other glass over exposed product zones are **protected against glass breakage** (e.g., rework, repackaging, etc.). All other glass that is not of the safety type or otherwise protected is managed as part of the Glass, Brittle Plastics and Ceramics Program.
- ~~No glass, brittle plastics, or ceramics will be brought in with personal belongings.~~ Glass in personal belongings is restricted to break areas or other designated controlled areas.
    - *Explanation of the change*: This requirement was edited to reflect the glass, brittle plastics and ceramics polices as applicable to the distribution center.
    - *Guidance on evaluation of criteria*: No additional guidance is required.

5.17 Food Defense Program

5.17.1.1 Critical - The facility maintains evidence of FDA **registration under the Bioterrorism Act** and re-registers at the frequency defined by the FDA. This requirement applies only if the facility manufactures, processes, packs, holds and distributes, or exports food for human or animal consumption in the USA.

- *Explanation of the change*: Additional text was added that indicates that re-reregistration per the FDA defined frequency is required.
- *Guidance on evaluation of criteria*: The auditor will ask the facility to demonstrate that the registration frequency was met.

5.17.1.3 Critical - The **written** Food Defense Program considers the Vulnerability Assessment and includes information related to:
• A trained Coordinator
• Food Defense Team members and contact information
• Key regulatory agency representatives and contact information
• First responders and contact information
• Annual documented Food Defense training and education
• Annual Food Defense Program review

- *Explanation of the change*: The severity of the requirement was changed from minor to critical and development of a formal Food Defense Program based on the findings in the Vulnerability Assessment was added.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.19 Recall/Withdraw Program
5.19.1.3 Critical - The facility **tests** the Program twice annually, and documents the results:
• Actual test results (including a test for ingredients or food contact packaging material)
• Success rate
• Test timings

- *Explanation of the change*: The severity of the requirement was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.19.1.4 Critical - Testing supports the recall to the **first level of distribution** outside of the control of the facility.

- *Explanation of the change*: The severity of the requirement was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.19.1.6 Critical - The written **Recall/Withdrawal Program includes** information related to:
• Recall/Crisis Management team contact information: corporate, emergency, and after hours
• Roles and responsibilities for team members
• Location of the Traceability Program
• Key regulatory agency representative emergency contact information
• Supplier (including food contact packaging) and customer emergency contact information
• Sample recall/withdrawal notification letters

- *Explanation of the change*: The severity of the requirement was changed from minor to critical.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.20 Non-Conforming Product Program
5.20.1.4 Critical ~~Handling of **damaged or returned product** is addressed in this program.~~

- *Explanation of the change*: This is already addressed in 1.4.1.6.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.25 HACCP Program

5.25.1.6 Critical - The facility follows the **Seven Principles** of HACCP:

1. The facility has **conducted and documented a Hazard Analysis** for each raw material and process step. In the case of facilities producing or exporting to other countries with regulations, regulatory requirements will be evaluated taking into consideration the country-defined requirements.
2. Based on the Hazard Analysis, the **Critical Control Points** (CCPs) are identified, and the procedures for controlling the hazards are described.
3. The **Critical Limits** for the CCPs are scientifically established and recorded.
4. The facility has established procedures for **Monitoring** the HACCP Program that include identification of frequency of activities and responsible person(s).
5. The facility has established procedures for **Deviation** from the HACCP Program that include identification of short-term and long-term Corrective Actions.
6. The facility has established procedures for **Verification** of the HACCP Program that include identification of frequency of activities and responsible person(s).
7. The facility has legible **documented records** of monitoring, deviation, and verification activities.

- *Explanation of the change*: Language was added to this requirement to ensure that the Hazard Analysis meets regulatory guidelines that are country dependent.
- *Guidance on evaluation of criteria*: No additional guidance is required.

5.25.1.9 Critical - The facility conducts a **review** of the HACCP Program annually or as changes (e.g., products or process) occur:

• Records are available

• Records are kept one year or two times the shelf life of the product, whichever is longer or as defined by regulatory requirement.

- *Explanation of the change*: Additional text was added to the requirement to ensure that if there are defined regulatory requirements for record keeping, they are added.
- *Guidance on evaluation of criteria*: The auditor will ask the facility to demonstrate that records are maintained for the amount of time required.

5.25.1.10 Critical - Facilities that must comply with **regulatory HACCP** meet the defined requirements.

- *Explanation of the change*: The additional requirement was added to capture compliance where HACCP is a regulatory requirement.
- *Guidance on evaluation of criteria*: The auditor will ask the facility to demonstrate how they understand and meet the appropriate regulatory requirement.

5.29 Water Quality

5.29.1.8 Critical - Back siphonage and backflow prevention units are identified in the Preventive Maintenance Program.

- *Explanation of the change*: The severity was upgraded from minor to critical. Formerly 2.21.2.1.
- *Guidance on evaluation of criteria*: No further guidance needed.