

The Produce Marketing Association thanks the National Food Processors Association for providing these materials to PMA members, who may be able to adapt them to their businesses. For more information on food security in the produce industry, log onto <http://www.pma.com/ii/members.cfm>.



NATIONAL FOOD PROCESSORS ASSOCIATION SECURITY CHECKLIST

OBJECTIVE: Provide companies with a document to facilitate self-assessment of food security measures by identifying a wide range of factors that should be considered (independent of specific processing steps).

Note: the focus here is distinct from GMPs and HACCP; it is on prevention of intentional product contamination.

NATIONAL
FOOD
PROCESSORS
ASSOCIATION

OUTSIDE PREMISES

Have the boundaries of the facility been clearly identified as to areas within which access should be limited or controlled?

Are measures in place (e.g., fencing or other barriers) to prevent unauthorized access within the boundaries of the facility?

Are all structures within this boundary (and their contents) identified as appropriate?

Are outside lighting levels adequate?

Is access to this restricted area controlled, e.g., guards, access cards, etc.?

Are after-hours (including weekends and holidays) security measures in place?

Are there areas within the restricted boundaries that are of greater concern than others, e.g., outside storage tanks for cleaning chemicals, coolant, ingredients, etc?

If so, is access to these areas limited or monitored? Is the frequency of monitoring sufficient to detect any abnormalities?

Has responsibility for monitoring and controlling these areas been clearly defined? Do the individuals performing this monitoring have authority to take immediate action if there are signs that may indicate a problem?

Are specific procedures outlined for investigating any food security situation that might be identified outside the facility?

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Are there procedures in place for handling deliveries to this area?

Are incoming transport vehicles inspected for evidence of possible product contamination?

Have the normal routes for personnel entry to/exit from the facility been assessed? Are all points monitored or controlled? Can the number of entry/exit points be reduced without violating the National Fire Codes or otherwise hindering building egress in case of emergencies?

Are there restrictions on the entrances to certain areas or zones for different employees?

Are there other entrances to the facility that are not normally used as points of entry/exit, i.e., escape doors, equipment room entrances, heating/ac ducts, windows, trash ducts, pipes, lines, etc?

Is access to these areas restricted to certain individuals or otherwise controlled?

Has the proximity of loading docks for receiving and shipping to restricted areas been assessed?
Is access to these areas restricted?

Are procedures in place for the trucks entering the facility boundaries?

If there is a waiting room for drivers, is access from there to other parts of the facility controlled?

Are there documented procedures for the inspection of deliveries prior to entering the facility?

INSIDE PREMISES

General

Are specific procedures outlined for investigating any food security situation that might be identified inside the plant?

Is there a program in place that identifies how restricted areas (zones) within the plant are segregated and how access is controlled?

Are plans available that identify all entrances/exits, as well as connections to other areas through openings for vents, air circulation lines, pipes, electrical lines, drains, etc.?

Are areas of concern identified and programs in place to prevent security breaches with respect to control panels, air circulation lines, electrical boxes, gas or pressure valves, etc?

Is consideration given to the potential for certain equipment to be clandestinely accessed for the purpose of introducing a contaminant?

Is there an emergency plan that identifies all areas in which products and ingredients are handled and stored (e.g., off-site warehouses, product chillers, controlled atmosphere storage facilities)?

Are lines that handle and transfer products, water, syrup, oil, etc. inspected and/or monitored?

Are computer hardware and software and paper records that document food production controls backed up and secure? Are passwords used? If so, is access to these passwords controlled and are they changed periodically?

Incoming products and supplies

Do you know your suppliers? Do you buy only from contracted suppliers or do you buy some products from the open market? Have food security controls been addressed with the suppliers, i.e., have suppliers been made aware of food security issues and implemented appropriate controls?

Are incoming ingredients, supplies and their shipping containers inspected? Are lots of ingredients and supplies uniquely identified?

Are tamper-evident packaging features used when available for certain ingredients and supplies? Are packages inspected prior to opening?

Are records of previous products transported in tankers, railcars, shipping containers, etc. maintained? Are the records reviewed?

With respect to farm practices, have your suppliers instituted food security programs to address potential risks on the farm? Are your suppliers vigilant for unusual traffic, flyovers or occurrences?

If off-site facilities (e.g., controlled atmosphere rooms) are used for holding products or ingredients prior to processing, are they configured and monitored to handle and hold products securely?

Does the plant have a program in place to identify all sources of water used in the facility (both potable and non-potable sources) and are security measures associated with each source of water? Does this program include a procedure for testing potable water with respect to federal/state/local water quality standards?

If a municipal water supply is used, are there predetermined procedures for prompt two-way communications with responsible municipal officials in the event of any abnormalities in this supply?

Transport Security Procedures

Have security procedures been developed and implemented for drivers when docking or stopping for meals, gas, breakdowns, etc.?

Are there predetermined protocols for drivers when faced with suspicious circumstances?

Is there a requirement that drivers keep trailers locked down at all times?

Is there a capability for verification of driver location and load at any time?

Product Batching and Work Areas

Are there areas where employees mix or batch products or ingredients by themselves without supervision or a coworker present?

What types of controls are in place during batching of product to prevent employee tampering?

Have points where clandestine access to product is possible been identified? Can these points be minimized or monitored?

Are there specific procedures that define how product is to be reworked? Are products to be reworked and related records/documentation properly identified and handled securely?

Are programs in place that identify procedures to follow in the event an intentional contamination occurs during the production process? Does this program include all product involved, i.e., finished product rework, any ingredients and product identified as seconds? Are specific areas, transportation and other handling concerns discussed as a part of this program?

Are procedures and physical barriers (e.g., locks, keyed access by authorized personnel only) in place to restrict access to hazardous compounds such as nitrite, cleaning and sanitizing chemicals, pesticides, etc? Are these materials properly labeled?

Are areas in which large amounts of product are exposed, (e.g., vats, kettles, tanks, chillers, cooler, etc.) restricted?

Are controls in place for contract workers, i.e., sanitation crews, pest control, etc., to prevent intentional contamination of product?

Is access by contractors and their employees to the facility limited to only those areas of the plant relevant to their work?

Are programs in place for instruction/training when contractors must work in sensitive areas?

Are protocols in place for segregating unprocessed products from processed products? Is there a plan that addresses the deliberate mixing of processed and unprocessed product (e.g., retort bypass)?

Are processing systems, including automatic control systems, secure? Are individuals with access to control systems identified?

Warehousing and labeling

Are labels held in a secure area to prevent label theft and misuse?

Is there a plan in place to identify and contain mislabeled products?

Are warehouse employees trained to recognize suspicious activity? Do employees report suspicious activity to management?

Are there documented procedures for handling damaged and/or returned products?

Is there a recall plan in place?

Are raw materials traceable into finished products? Is an inventory kept of product in the warehouse (including location)?

Other

If the firm has a laboratory that works with food pathogens, are there identified procedures for control of pathogenic cultures?

In the event of a food security situation involving potentially infectious or toxic substances, are specific procedures outlined to isolate the substances and protect safety of personnel?

PERSONNEL

Does the facility follow a prescribed procedure for obtaining applicants for potential employment?

If an outside hiring source is used, are its recruitment methods known?

Is facility access restricted for applicants?

Are there specified procedures for screening employees working at this facility? Are work references, addresses and phone numbers supplied by the employee on the application form verified by management? Are there other protocols in place such as drug testing, criminal background checks?

Are uniform screening procedures applied to all personnel, including seasonal, temporary or contract workers?

Are employees allowed to work prior to verification checks?

Is there a system for employee identification, such as photo IDs?

Does the new employee orientation program include emergency procedures for dealing with various situations? (Evacuation routes, bomb threats, chemical spill, etc?)

Does the orientation program include instructions for employees that may be threatened, or that suspect wrong doing or product tampering by other employees?

Are there specific clothing or protective gear requirements for personnel working in the facility? Have handling procedures for clothing and protective gear been considered, e.g., are smocks or other outer garments taken home by the employee?

Are utensils such as knives distributed and accounted for on a daily basis?

Does each department keep a roster of employees working on any given day?

Are there methods in place, such as color-coded uniforms or coded badges, to make it obvious when employees move to areas of the facility other than where they normally work?

Is there a specified procedure for entrance into the facility by employees reporting for work?

Are there restrictions in place for employees exiting the facility during normal hours of employment?

Are there restrictions or other specified procedures with respect to employees entering or exiting the facility outside normal hours of work?

Are there procedures or restrictions on employee visitors?

Are there rules prohibiting employees from bringing certain types of personal items into the facility or into certain areas within the plant? Are there procedures in place for enforcing these rules?

Are storage facilities provided for employees' personal items? If lockers are used for this purpose, are they secured with employee locks or are company-owned locks provided? Do company procedures permit access to these lockers?

Upon the termination of an employee, are procedures in place to immediately restrict access to the facility by this individual?

Is access to any company provided parking facility monitored? Is the area segregated from production areas, storage, utilities, fuel tanks, etc. by adequate security fencing or otherwise?

Are employees trained in the security policies and procedures of the company?

EMERGENCY PROCEDURES

Do company procedures for evacuation of the facility if necessary (bomb threat, fire, tornado, flood, chemical spill, etc.) include provisions to prevent product tampering during the evacuation process?

Have procedures been established with community emergency personnel to assure proper access to the facility during an emergency while still preventing public access?

Are there provisions in the programs to deal with onlookers or media representatives that may be present during an emergency situation?

CONFIDENTIALITY

Are there procedures to ensure that food security details are kept confidential?

Last Revised: November 9, 2001