



## Warehouse Facility Food Safety Audit

**Company:** AIP Logistics **Date:** January 10, 2017

**Facility Physical Address:** 300 Industrial Drive, Wapakoneta, OH 45895

**Company Contact/Title:** Jim Seelig/ COO

**Contact Phone Number:** 419.738.9211 ext. 2891 **Fax Number:** 419.738.9213

**Email Address:** [jseelig@aiplogistics.com](mailto:jseelig@aiplogistics.com)

**Additional Contacts:** Dan Dunham/ Director of Administration

**Establishment Number:** 630273 **Evaluator:** Jerry Friason

**Facility Size (sq. ft.):** 126K Sq Ft **Facility Age:** 21 years

**Number of Employees:** 37 **Number of Shifts:** 1

**Hours of Operation:** 7:30AM - 4:00 PM

**Audit Number:** 5170010

### Audit Information

Total Audit Points	<u>508</u>
Total Audit Percentage	<u>98%</u>
Audit Outcome (pass/fail):	<u>Pass</u>
Re-audit Required?	<u>No</u>

## Warehouse Facility Food Safety Audit

### Score Summary

Category	Points		
	Possible	Actual	Percent
Food Safety Management	35	34	97%
Pest Control	85	83	98%
Storage Areas and Packaging Material	45	45	100%
Operational and Employee Practices	65	65	100%
In-bound / Out-bound Procedures	40	38	95%
Equipment and Cleaning	65	65	100%
Grounds and Facility Conditions	85	83	98%
Security	35	34	97%
Self Inspection Program	15	13	87%
Maintenance and Sanitation	10	10	100%
Temperature Controlled Storage and Distribution	5	5	100%
Accreditation	15	15	100%
Product Recovery and Tracking	20	18	90%
<b>Total</b>	520	508	98%

**Minimum Total Score Needed to Pass: 85%**

**Minimum Other Sections Score Needed to Pass: 80%**

**Sections not meeting minimum required score will be highlighted in yellow.**

## Warehouse Facility Food Safety Audit

Points

A. Food Safety Management		Possible	Actual	Comments
1	The facility has a designated person responsible for the food safety program.	5	5	The COO was responsible for Food Safety.
2	Signage supporting GMP's are posted appropriately and throughout the facility.	5	5	GMP's were posted in the restroom.
3	A written process description for hazardous materials is in place.	5	5	There were no hazardous materials on site and SDS were available for cleaning materials.
4	A Food Safety / Procedure Manual is documented and implemented.	5	5	The Food Safety Manual was available and was last updated in January 2017.
5	Facility personnel know of the Food Safety policy and a written copy is available to them.	5	5	Personnel have been instructed in the Food Safety Policy. A written copy was available to employees.
6	Written documentation of annual Food Safety/GMP training is maintained for employees & new hires.	5	4	GMP training was performed for current employees by the Warehouse Senior Lead on 10-16-16. Food Safety training was last performed in December 2015. There were no new employees hired in the past year so Food Safety/GMP training of that group was not warranted.  The following non conformance was observed.  Food Safety Training had not been performed on an annual basis.
7	Personnel responsible for operations are authorized to stop shipment for quality or food safety concerns.	5	5	Employees were trained to stop shipment for quality issues.

Total 35 34

B. Pest Control		Possible	Actual	Comments
1	A documented pest control program has been established. List the frequency of service.	5	5	Buckeye Exterminating, Inc. was the Pest Control Company that serviced the facility. They service the internal traps, external bait stations and Insect Light Traps monthly.
2	Pest Control Operator is licensed, insured and certified in accordance with state requirements.	5	5	The PCO had a valid license until 9-30-17. Insurance was up to date.

3	Pesticides are approved by the local regulatory agency. Labels, MSDS and handling procedures are on file.	5	5	Pesticides were approved and MSDS sheets were available on line for the chemicals.
4	PCO service reports, including usage logs are current and available for review. Facility verification activities are documented.	5	4	Reviewed last four service reports. Some external activity noted but nothing excessive.  The following non compliance was observed.  Facility verification activities had not been performed on the reports.
5	There is a pest activity trend report with corrective action identified.	5	5	The Trend Report was reviewed and there was activity noted at trap eight adjacent to dock door two. Trend reports were available on line and were done quarterly. The Pest Control Company responded to trends if needed. No negative trends were observed in the records review.
6	All pest control devices are located so as to not contaminate product or packaging.	5	5	Interior traps were properly positioned so they would not contaminate the product located in the warehouse.
7	The number and placement of exterior bait stations is documented and effective. Bait stations are secured and tamper resistant.	5	5	There were 36 external bait stations documented and all were secure.
8	The number and placement of interior rodent traps is documented and effective.	5	5	There were 100 interior rodent traps on the map that were properly functioning.
9	The facility has a map that is current and dated showing the placement of all pest control devices.	5	5	There were no changes to the placement or the number of traps. Map was last updated on 10-2-13. The program was reviewed in the third quarter of 2016 which also included a review of the map.
10	Doors and openings are pest resistant. Cracks and crevices have been sealed.	5	5	Doors and openings were pest resistant.
11	A minimum 18-inch inspection perimeter is maintained through the storage facilities.	5	5	There was an 18 inch perimeter around the inside walls of the warehouse.
12	Insect control devices are properly positioned and maintained with clean catch pans and lights working.	5	5	The Insect Light Traps were properly positioned and the lights were working, however the documentation indicated the lights were last changed in 2014.
13	All pesticides are labeled and are properly stored.	0	N/A	There were no pesticides stored on site.
14	Exterior harborage sites have been eliminated, where possible.	5	5	There were no visible exterior harborage areas around the site.

15	There is no evidence of internal pest activity.	5	5	There was no evidence of rodent activity or any other pests during the tour of the warehouse.
16	There is no evidence of external pest activity.	5	5	There was no evidence of pest activity observed during the tour of the exterior of the warehouse.
17	All outside windows and doors are sealed properly to prevent pest entry.	5	4	Windows were properly sealed.  The following non conformance was observed.  There was a gap at the bottom of dock door #2 and dock door #11.
18	The trailer loading area is sealed from the outside atmosphere - between the van and warehouse door.	5	5	Bumpers were in good shape around the dock doors which sealed the truck.
<b>Total</b>		<b>85</b>	<b>83</b>	

<b>C. Storage Areas and Packaging Material</b>		<b>Possible</b>	<b>Actual</b>	<b>Comments</b>
1	Allergen ingredients, products, and packaging are stored to prevent cross-contamination.	5	5	Allergens were stored in a specific area in the warehouse.
2	Storage areas are maintained at the appropriate temperatures for the specific products being stored.	5	5	Temperatures were appropriate for the warehouse.
3	The facility is restricted to the storage of food products only.	5	5	Food products were stored on site. There were no non-food products stored on site.
4	The facility has separate storage areas for glassware.	5	5	There was no glassware stored on site.
5	The facility has a separate storage area(s) for damaged goods. Products held for more than 30 days are inspected.	5	5	There was a separate area designated for damaged product, but there was none in the warehouse during this visit.
6	There are separate or designated areas for allergens.	5	5	There was a separate area for allergens. This was the only product stored on site during this visit.
7	The finished products and packaging items are stored correctly and covered for protection if needed.	5	5	The totes of milk powder were properly stored with no evidence of damage or potential contamination.

8	The facility has separate storage areas for raw and bagged / boxed products.	5	5	There were separate areas identified for raw product.
9	Welfare facilities have toilets that are properly located away from food grade areas and contains a sink with hot water, soap, method of drying, and trash receptacle.	5	5	The welfare facility contained hot water, soap and hands free single use towels. It was located away from storage areas. Trash receptacles were present.
Total		45	45	

D. Operational and Employee Practices		Possible	Actual	Comments
1	The facility has implemented a FIFO inventory rotation program. The FIFO program must be verified and records maintained of the verification.	5	5	There was a FIFO program maintained by the SNAPS Warehouse Management System. Reviewed the records on file with no issues observed.
2	Product areas are protected from overhead contamination. A written glass policy is available and implemented (e.g. ladders, motors, condensation, lubricants, walkways, glass, sprinklers, elements, etc.).	5	5	The Glass and Hard Plastics Policy identifies where glass was used and what to do in the event of breakage.
3	Employees are wearing hairnets, beard nets, or other restraints if there is potential product contamination present.	5	5	There were no employees in the warehouse during this audit. The program stated that hair that was shoulder length or longer must be tied back or contained in a hairnet if the employee was in a manufacturing area.
4	Uniforms, shirts, or outer garments are button free and contain no external pockets.	5	5	The GMP policy stated that employees were to wear outer garments suitable to the operations to protect against the contamination of food. There were no buttons on the outside of the garments.
5	Employees' jewelry is restricted to only medical bracelets and wedding bands with no stones.	5	5	Jewelry was prohibited in the warehouse except for a smooth plain wedding band.
6	Break rooms (eating areas) are provided for the employees and are located away from the production area. Smoking is confined to designated areas only.	5	5	There was no specific break room in use in the warehouse. Smoking was confined to outside.
7	Employees with open sores or infected wounds are excluded from operations where product may become contaminated.	5	5	Open sores or infected areas were required to be covered by protective clothing or a waterproof covering.

8	A written personal hygiene plan is available and accessible to all employees.	5	5	The Personal Hygiene Plan was included as a part of the Good Manufacturing Practices.
9	Tobacco products are not allowed inside the production areas.	5	5	Tobacco products were not allowed within the warehouse.
10	A hand washing policy is documented and posted in necessary locations.	5	5	The hand washing policy was documented and posted in the restroom.
11	Hand washing stations are adequate to facilitate thorough hand washing. Hand washing stations are equipped with running hot water, soap, drying method, trash receptacle, and are hands-free to operate.	5	5	The hand washing station was located in the restroom. There was adequate hot water, soap and hands free single use paper towels with a trash receptacle present.
12	The restrooms are appropriately cleaned and maintained.	5	5	The restrooms were clean and well stocked.
13	The facility has a full time or part time sanitarian on staff.	5	5	There was a part time sanitarian that cleaned three days per week.

Total      65            65

E. In-bound and Out-bound Procedures		Possible	Actual	Comments
1	Shipping trucks are clean and in good condition. Inspect a trailer that is being loaded at the time of the audit.	5	5	Shipping docks were clean and in very good condition. There were no trucks being loaded or unloaded during the audit.
2	A documented trailer inspection program is available and implemented for each shipment (trailer). Records are maintained and available for review.	5	3	There was a trailer inspection program for shipping.  The following non conformance was observed.  Trailers were inspected but there was no documentation of these inspections.

3	The facility has a formal documented procedure for seal verification on in-coming and out-going trailers.	5	5	Seals were verified and documented on the BOL. The company and the driver were required to sign off before the truck shipped.
4	Dock load levelers and shelters are maintained in good condition and debris free.	5	5	The dock levelers and shelters were clean and in good condition.
5	Railcar access points are sealed if not being loaded or cleaned.	0	N/A	There were no railcars or spurs at this warehouse.
6	An Overage, Shortage & Damage report is completed for all receipts.	5	5	The facility maintained a report of OSD for all receipts.
7	The facility has a documented procedure for segregating returned items. Records are maintained and available for review.	5	5	There was a procedure for receiving returned items and where they needed to be stored in the warehouse. There were no returned products in the past 12 months so there were no records to review.
8	A lot numbering system for tracking inbound and outbound product is implemented.	5	5	Lot numbers were assigned by the supplier and were kept on the shipping records. License Plates were placed on each pallet of product to track.
9	A procedure for receiving and inspecting product when it is received is available and implemented. Records are maintained and available for review.	5	5	Products were inspected when received. Records were reviewed with no issues observed.
10	Packaging materials are stored in a manner to prevent contamination (i.e., kept covered) and allow access for cleaning activities (i.e., away from walls and elevated from the floor).	0	N/A	There were no packaging materials stored in the warehouse during this audit.
<b>Total</b>		<b>40</b>	<b>38</b>	

<b>F. Equipment and Cleaning</b>		<b>Possible</b>	<b>Actual</b>	<b>Comments</b>
1	The facility is maintained to prevent: flaking paint, corrosion, rust, etc., in the storage areas.	5	5	There was no evidence of flaking paint or corrosion observed in the warehouse.



2	Food products and packaging are stored and maintained in a manner to prevent contamination during cleaning and maintenance activities.	5	5	Food Products were covered and maintained in a sanitary condition for cleaning or maintenance.
3	A program is in place for cleaning the fan guards, including exhaust fans, and maintaining them in a dust free state.	0	N/A	There was no product stored in areas that had fans.
4	The facility has sufficient cleaning equipment available to adequately perform the sanitation activities.	5	5	Cleaning equipment was sufficient for the racks and welfare areas. A Floor Scrubber was used for the floors.
5	Tools, utensils, and other items that are not being used are stored in a clean and sanitary manner to prevent contamination.	5	5	Cleaning equipment was stored in a clean manner.
6	Temporary repairs (i.e., tape, wire, plastic, etc.) do not pose a risk to contaminate the product or packaging material. Temporary repairs are scheduled to be permanently repaired.	5	5	There were no temporary repairs present in the facility.
7	Items used for sanitation activities are appropriate for that purpose.	5	5	Cleaning items were appropriate for the facility.
8	Refuse containers are identifiable and distinguishable from product containers.	5	5	Trash receptacles and condensate barrels in the coolers were identified.
9	Evidence of waste and garbage accumulation in the storage areas was not evident.	5	5	There was no evidence of waste or garbage in the facility.
10	Areas under storage racks are being cleaned on a routine frequency.	5	5	Areas were cleaned as needed due to the limited use of the racks. Areas observed during this audit were clean.
11	A program for cleaning floor drains is available with records maintained. Observe the floor drains for visual cleanliness.	5	5	Only drain present was located at the mop sink and it was clean.

12	Overhead areas (i.e., pipes, ducts, fans, etc.) appear clean and clutter free.	5	5	Overheads were observed to be clean with no observed clutter.
13	Spills are cleaned up immediately.	5	5	There were no spills in the warehouse.
14	Chemicals (i.e., pesticides, sanitizers, detergents, lubricants, etc.) are stored in a secured area and labeled correctly.	5	5	Chemicals were stored in a locked cabinet or in a storage area in the bathroom.

Total 65 65

G. Grounds and Facility Conditions		Possible	Actual	Comments
1	Grounds surrounding the facility are maintained to prevent water pooling, litter, weeds, and harborage of birds, rodents and insects.	5	5	The exterior of the building was in good condition with no litter or weeds. There was minimal water pooling due to the weather during the day of the audit.
2	The grounds area around the fence line(s) and within approximately 75 feet of the facility are neatly mowed and/or clear of vegetation.	5	5	There was no fence line, but areas around the facility were neatly mowed.
3	Roads and parking areas are paved to prevent dusty conditions.	5	5	The roads and parking areas were all concrete and in good condition.
4	The ceiling and roof are suitable in construction and design to facilitate sanitary operations. There are no roof leaks.	5	5	The roof and ceiling was in good condition. There were no observed roof leaks or evidence of them in the warehouse.
5	There is adequate lighting in the facility and the lighting is shielded or protected against breakage and visually clean.	5	5	The lighting in the warehouse was changed from mercury vapor to instant on fluorescent lights with covers. Lights were visibly clean during a tour of the facility.

6	Doors, windows, walls, and screens are adequately protected to prevent pest access.	5	5	Exterior openings were properly protected to prevent pest access other than the opening identified in Section B #17.
7	Procedures for periodic facility inspections have been established. Records are maintained documenting corrective actions.	5	3	The following non conformance was observed.  There have been no standard facility inspections, but the facility is inspected and items are included on the master sanitation cleaning forms.
8	Loading dock areas are clear of debris. All bumpers, levelers and shelters are clean and in good repair.	5	5	The docks, bumpers and shelters were in good condition and free of debris and clutter.
9	Waste materials and litter are removed promptly and are properly disposed.	5	5	The facility and grounds were very clean and there was no litter observed.
10	The area around the dumpster / cull truck is clean and the outside garbage bins / dumpsters are kept covered or closed.	5	5	Areas around the dumpster were clean.
11	Forklifts and forklift batteries are well maintained and properly stored. No leaks or evidence of leaks from the batteries are present.	5	5	There were 7 forklifts in the facility and they were properly maintained. There was no visible evidence of leaks from any of the batteries.
12	The facility has eliminated or minimized the use of wooden items and surfaces when possible.	5	5	There were no working areas with wood.
13	The flooring is maintained in a manner so as not to allow pooling of water and no open floor seams or missing large portions of flooring material.	5	5	Floors in the warehouse were in great shape. Older cracks were filled with epoxy and there were no new cracks visible. There was no evidence of water on the floor in the warehouse.
14	The facility maintains an adequate perimeter from the walls to allow for ease of sanitation activities (approximately 18").	5	5	There was an 18 inch space in the inside perimeter of the facility.

15	Back siphonage devices are present in the facility to protect water lines / sewer lines. Devices are checked at least annually by an outside 3rd party. Records are maintained and available for review.	5	5	There was one backflow preventer inspected by Wells Brothers on 11-22-16.
16	Idle equipment and spare parts are properly cleaned and stored.	5	5	There was no idle equipment stored on site.
17	The storage of pallets, equipment, tires, etc. are properly maintained / stacked to prevent pest harborage and away from the building.	5	5	Pallets were stored inside the warehouse.

Total 85 83

H. Security		Possible	Actual	Comments
1	The facility utilizes fences, self-locking doors, cameras, alarm system, security guarded entrances, etc. to maintain the security of the facility and its premises.	5	5	The warehouse has self locking doors and cameras on the interior and exterior of the warehouse.
2	A process in place to verify the identification of non-employees (i.e., Drivers, Visitors, Contractors, etc).	5	5	Visitors and drivers were required to sign the visitor log.
3	Background checks are performed on employees.	5	5	Background checks were performed on employees and the Temp Agency used by the facility performed checks on temporary employees. There was one temporary employee on site.
4	Points of entry are limited, secured and locked at all times.	5	4	Doors were locked and required card access.  The following non conformance was observed  The man door at the northwest side of the building was locked, but not secured.
5	Entrances are limited in numbers to gain access to the facility. List the number of entrances available.	5	5	There were seven man doors and 12 dock doors at this warehouse.
6	Personnel access to the facility is limited to authorized employees only and/or approved visitors/contractors.	5	5	Access was limited to employees, visitors and contractors.

7	Employee access to the facility is monitored - during normal hours of operation and off hours.	5	5	Access was restricted via access cards which only allowed limited access to specific doors within the facility. Cameras were monitored in the main office to review access during off hours if needed.
Total		35	34	

I. Self Inspection Program		Possible	Actual	Comments
1	The facility has incoming goods inspection data and records available to review.	5	5	Trucks and inspection of goods were performed. Records were available on the computer and were reviewed.
2	Inspection logs for in-coming carriers contain inspection information on rodents and insects, cleanliness, holes and temperature control.	5	3	Trailer Inspection forms were available for information to be documented on.  The following non conformance was observed  There were no completed inspection forms available for review.
3	A documented training program(s) is available for GMPs, SOPs, trailer inspection process, etc.	5	5	There was a documented training program for GMP's, SOP's, Hand Washing, Building Security, Glass and Plastic Cleanup Policy, Inbound Security Checklist, Sanitation Procedures, Pest Control and Handling A Food Recall.
Total		15	13	

J. Maintenance and Sanitation		Possible	Actual	Comments
1	A written cleaning schedule (Master Sanitation Schedule) is documented and records maintained.	5	5	The Master Sanitation had documentation of daily, weekly, bi-monthly and monthly cleaning.
2	Records for the floor drain cleanings are available for review.	0	N/A	There were no floor drains in the facility.
3	Records showing cooling units are serviced/cleaned at least annually are available for review.	0	N/A	Coolers were not being used so there was no service record of the refrigeration units.
4	Written cleaning procedures exist for the facility and all equipment utilized.	0	N/A	There was no equipment in the warehouse. Cleaning instructions were documented for the facility.
5	The personnel facilities are well maintained, cleaned, and sanitary.	5	5	Personnel facilities were clean and sanitary.
Total		10	10	

K. Temperature Controlled Storage and Distribution		Possible	Actual	Comments
1	Temperature logs for the storage area(s) are maintained and available for review.	0	N/A	Temperature logs were not kept since the warehouse was maintained at ambient temperatures.
2	The facility utilizes temperature logs for refrigerated shipping trucks.	0	N/A	There were no refrigerated trucks used at the facility.
3	The facility uses a shipping log or bill of lading for each shipment.	5	5	There was a Bill of Lading for all product that was shipped.
Total		5	5	

L. Accreditation		Possible	Actual	Comments
1	The facility is inspected by a third party independent organization on an annual basis. List the last audit date and score in the comments section.	5	5	The facility was audited by Food Safety Net Services. The last audit was conducted on 1-19-16 with a score of 98%.
2	Previous 3rd Party Audit deficiencies have been corrected or plans put in place to address the issues.	5	5	Deficiencies identified have been corrected since the last audit.
3	The facility has a local inspection program and consists of a minimum of monthly inspections.	5	5	Monthly inspections did not occur, but there was information included in the Master Sanitation Section as documented in Section G question # 7.
Total		15	15	

M. Product Recovery and Tracking		Possible	Actual	Comments
1	Procedures for lot identification and tracking of all raw materials and packaging product have been established. Records are maintained.	5	5	The Recall Program was in place that covered identification of products. Records for tracking materials were located on the computer.
2	Finished products are properly identified to ensure traceability.	5	5	Pallets of dry milk were properly labelled and identified in the warehouse. Each pallet was tagged with a License Plate for traceability.
3	A documented packaging material recovery program has been established including contact lists for responsible employees and customers. Responsibility for managing a recall is assigned.	5	5	The Recall Policy identified actions to take. There were two types of recall identified which were Recall and Withdrawal. Roles and responsibilities of the Recall Committee were identified including documentation, scope and communication to customers, consumers and relevant regulatory agencies.
4	The facility conducts a practice packaging material recovery annually. Document the date of the last practice recovery.	5	3	There was a mock recall performed on 1-18-16 where finished product was recalled.  The following non conformance was observed.  There was only one mock recall performed last year while the program stated that two mock recalls will be performed per year.
Total		20	18	



Department of  
Agriculture

STATE OF OHIO  
**DEPARTMENT OF AGRICULTURE**  
DIVISION OF FOOD SAFETY  
REYNOLDSBURG, OH 43068

License No: COL0376  
ID No: 0630273  
Audit Number: 575

# COLD STORAGE WAREHOUSE LICENSE

This license is has been issued in accordance with the requirements of Chapter 915 of the Ohio Revised Code and is subject to revocation or suspension for cause and is not transferable

Issued: Mar 28, 2017

Expires: Mar 31, 2018

**Mailing Address:**

AIP LOGISTICS INC  
AMERICAN INDUSTRIAL PARTNERS  
711 GIBBS AVE  
WAPAKONETA OH 45895

**Location Address:**

AIP LOGISTICS INC  
300 INDUSTRIAL DR  
WAPAKONETA OH 45895

# COPY

David T. Daniels  
Director of Agriculture





Department of  
Agriculture

STATE OF OHIO  
DEPARTMENT OF AGRICULTURE  
DIVISION OF FOOD SAFETY  
REYNOLDSBURG, OH 43068

Registration No: REG1183  
ID No: 0630273  
Audit Number: 22451

## CERTIFICATE OF REGISTRATION

AIP LOGISTICS INC  
AMERICAN INDUSTRIAL PARTNERS  
300 INDUSTRIAL DR  
WAPAKONETA OH 45895

This Registration Certificate has been issued in accordance with the requirements of Chapter 3715.041 of the Ohio Revised Code and is subject to revocation or suspension for cause and is not transferable.

**Mailing Address:**

AIP LOGISTICS INC  
711 GIBBS AVE  
WAPAKONETA OH 45895

Firm Size: 100,000 - 499,999  
Issued: Mar 28, 2017  
Expires: Jan 31, 2018

**David T. Daniels**  
Director of Agriculture

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