

ESQM Risk Point Based SEFS Inspection Type and Frequency*

	Non-caged Facilities (cage free, pasture raised, aviary)		
Risk Levels	Scores/Scenarios	Frequency	Type
Risk Level 1	• 0 < Score ≤ 5	3 years	MDA*
Risk Level 2	• 5 < Score ≤ 15	2 years	In Person/MDA
Risk Level 3	• 15 < Score ≤ 20	1 year	In Person/MDA
Risk Level 4	• Score > 20, or enclosure density over tolerance > 10%	6 months	In Person
	<ul style="list-style-type: none"> ❖ Initial inspection is always In Person. ❖ In Person inspection if MDA was done during the previous inspection. ❖ MDA can be conducted only if: <ol style="list-style-type: none"> 1. No rodent/fly/biosecurity violations were identified in the most recent inspection; 2. No new facility/house/barn was added; 3. Enclosure density was within 3% over tolerance in the most recent inspection. ❖ Farm added new flocks? <ul style="list-style-type: none"> - MDA for farms with enclosure density within 3% over tolerance in the most recent inspection, - In Person inspection for farms with enclosure density 4% or above over tolerance in the most recent inspection. 		

*Note: The above inspection frequency estimates are currently in test mode and are subject to change, update and/or supervisor's adjustment based on specific circumstances. This determination table should not be shared with producers at this point in time.

Company Name		Inspector Name		Date of Inspection			
Company Address		Type of Inspection In Person <input type="checkbox"/> MDA <input type="checkbox"/> In Person MDA <input type="checkbox"/>					
Site Name	Farm Name Here	CA#:	Notes:		Scoring System		
Site Address					A. High Risk Factors		0
Site Rep's Name					B. Moderate Risk Factors		0
Main Phone:	Mobile:				C. Low Risk Factors		0
Email:					Total Points		0
Site Function	Producer <input type="checkbox"/> Processor <input type="checkbox"/>	EnclosureOverTolerance%:		Final Score	0.0		
Type of Enclosure	Cage Free <input type="checkbox"/> Aviary Cage Free <input type="checkbox"/> Pasture <input type="checkbox"/>	Risk Level 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 4 - the highest risk level					
		Next Routine Inspection 3 years <input type="checkbox"/> 2 years <input type="checkbox"/> 1 year <input type="checkbox"/> 6 months <input type="checkbox"/>					
		Next Routine Inspection Type In Person <input type="checkbox"/> MDA <input type="checkbox"/>					
SECTION A - High Risk Factors		Points Assigned	Points Received	NNC/N OV	Description of Deficiencies	Corrective Actions Completed During Inspection/Audit	
1	Onsite storage and transportation vehicle temp > 45°F after 36 hr of collection?						
2	SE positive environmental testing?						
3	SE positive egg testing?						
4	No cleaning/disinfection after SE positive testing?						
5	Environmental sampling						
	5a. Missing pre-depop sampling?						
	5b. Missing 14-16 weeks sampling?						
	5c. Missing 40-45 weeks sampling?						
	5d. Missing 4-6 weeks post molt sampling?						
6	Inadequate rodent control						
	6a. Live rodents (>=1)?						
	6b. Rodent feces?						
	6c. Excessive dead rodents (>3)?						
	6d. Gnaw holes and burrow holes (>3)?						
	6e. Baited traps without bait?						
	6f. Nests in traps?						
	6g. Documentation of on-site monitoring activity						
	i. Rodent Index >1 or Chew Card Eaten Area >=5%*?						
	ii. Missing date and time of activity?						
	iii. Missing actual value?						
	iv. Missing signature or initial?						
	v. Missing critical control point statement?						
7	Missing vaccination?						

Subtotal Scores for Section I	234	0
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Name of Farm Farm Name Here

SECTION B - Moderate Risk Factors		Points Assigned	Points Received	NNC/N OV	Description of Deficiencies	Corrective Actions Completed During Inspection/Audit
1	Pullets not NPIP"SE clean"?					
2	Missing chick paper testing?					
3	Inadequate number of swabs for house size					
4	Environmental Swab Pooling					
5	Inadequate biosecurity					
5a.	Limit visitors?					
5b.	Stray poultry and wild animals, cats, and other animals?					
5c.	Harborage?					
5d.	Attractants (spilled feed and water)					
5e.	Cross contamination via employees?					
5f.	Cross contamination via equipment?					
5g.	Employees allowed to own birds at home?					
6	Inadequate fly control					
6a.	Excessive flies observed during site visit?					
	Spot Card 7 day count > 50?					
	Fixed Sticky Tape 7 day count >50?					
	Moving Tape count >75?					
	Inappropriate monitoring/control methods?					
6b.	Excessive manure build-up?					
6c.	Documentation of on-site monitoring activity					
i.	Missing date and time of activity?					
ii.	Missing actual value?					
iii.	Missing signature or initial?					
iv.	Missing critical control point statement?					
7	Flock size >30,000?					
8	Farm routinely practices induced molting via feed and water withdrawal?					
Subtotal Scores for Section II			0			

Name of Farm Farm Name Here

SECTION C - Low Risk Factors		Points Assigned	Points Received	NNC/N OV	Description of Deficiencies	Corrective Actions Completed During Inspection/Audit
1						
1a.	Early/late pre-depop sampling?					
1b.	Early/late chick paper sampling?					
1c.	Early/late 14-16 weeks sampling?					
1d.	Early/late 40-45 weeks sampling?					
1e.	Early/late 4-6 post molt sampling?					
2	Missing SE Prevention Plan					
3	Inadequate Critical Control Points					
4	Non-compliant Labeling					
5	Incomplete or not following SE prevention plan (if both, give .					
5a.	Pullets from NPIP approved "SE Clean" flock					
5b.	Pullets environmentally tested at 14-16 weeks of age					
5c.	Cleaning and disinfection of SE positive pullet environment					
5d.	Limit visitors					
5e.	Cross contamination via employees					
5f.	Cross contamination via equipment					
5g.	Prevention of stray poultry, wild bird, cats and other animals					
5h.	Employees not allowed to own birds					
5i.	Rodent monitoring plan					
5j.	Fly/insect monitoring plan					
5k.	Harborage outside house(s)					
5l.	Cleaning and disinfection of SE positive layer environment					
5m.	Refrigeration					
5n.	Environmental testing at 40-45 weeks					
5o.	Environmental testing at 4-6 weeks post molt					
5p.	Designated SE Plan Administrator					
5q.	Name, location, date, signature on SE Plan					
5r.	Eggs testing as per FDA protocol if env. sample shown positive.					
6	Missing/incomplete general record information					
6a.	Name and location on all records					
6b.	Date and Time of Activity other than fly and rodent monitoring.					
6c.	Records retained for 1 year					
Subtotal Scores for Section III			0			

* Chew card monitoring only applies to farms's outdoor access areas that are not part of the poultry house, such as attached runs or pastures, if applicable. FDA recommends placing chew cards overnight at 33-foot intervals across the outdoor access area to observe the level of feeding damage.

Calculation of Final Score Based on Three Most Recent Inspections					
Inspection 1 (most recent)		Inspection 2		Inspection 3	
Date	Points	Date	Points	Date	Points
Final Score**	inspection 1*70%+inspection 2 *20%+inspection 3*10%				
	0.0				

**If the farm is new to SEFS inspection and does not have any historic SEFS inspection data, the most recent inspection points is used as its final score. If the farm has only two inspections, use the new formula of "inspection 1 *80%+Inspection 2*20%" to calculate its final score.

CCR's	Warnings Only	Base Actions (#)	Base Action Penalty Amounts (\$)	Penalty Panel Assessments (#)	Penalty Panel Amounts (\$)
1350c1	22	4	\$1,375.00	27	\$16,479.00
1350c2	17	13	\$5,300.00	17	\$13,775.00
1350c3	6			1	\$700.00
1350d1				2	\$802.00
1353.2	18	11	\$550.00	32	\$7,825.00
1353.4	5	18	\$2,425.00	16	\$3,400.00
1354	26	6	\$300.00	2	\$750.00
1358.4		7	\$350.00	1	\$700.00
<u>FAC</u>					
27633	6	2	\$225.00	2	\$1,400.00
27638	1				
27640	3			1	\$50.00
27643				5	\$2,075.00
27644	13	28	\$6,300.00	4	\$1,025.00
Totals	117	89	\$16,825.00	110	\$48,981.00

Data from approx 7/1/21 through 7/1/22

Data of assessed penalties in above time frame, not collected penalties.

4/1/22

Recommended base actions and civil penalties for common violations:

- **FAC 27633** - Unregistered egg handler:
 - Immediately registered and is compliant with no past occurrences – Warning letter
 - Did not register - \$225 (V minor w/ 1-1-2)
- **FAC 27644** – Sell by, Julian date, missing plant #
 - Sell by date (or Julian date) is misprinted or partial obscured – Warning Letter
 - Sell by is listed as “best by” or anything other than “sell by” - \$50 (v minor 1-1-1)
 - Sell by date or Julian date are missing completely – 1st offense \$225 (v to minor 2-1-2)
 - Sell by date exceeds 30 days not including pack date:
 - Exceeds by 1 day – 1st offense Warning Letter, second offense \$50 (v to minor 1-1-1), 3rd offense refer to penalty panel
 - Sell by date is 32-45 days – (if date of violation is not after 30 days from pack date) \$225 after 30 days(v minor – 1-1-2) - \$700 (This shows clear benefit from wrong sell by date, expired product)(moderate 1-1-3+)
 - Missing plant of origin # - 1st offense Warning letter, Second Offense \$50 (v minor 1-1-1), 3rd Offense refer to penalty panel
- **3 CCR 1358.4 (e)(3)(I)** Missing SEFS Statement or Not for California Consumption Statement
 - Load was correctly identified and correctly routed, cooperative – Warning letter 1st Offense
 - 2nd offense annually - \$50 (V to minor 1-1-1)
 - If load was deceitful in nature – present to Penalty Panel for assessment
- **3 CCR 1353.2** Exceeds grade or quality tolerance – **see chart below and associated note**
 - Checks over .5% or less – no NOV/ rescind NOV
 - Checks .6% to 5% over tolerance – 1st Offense warning letter
 - Checks 5.1% over - \$50 or second offense
 - 3 or more violations same plant per year - \$225
- **3 CCR 1353.4** - Exceeds underweights tolerance
 - 4.1 to 5% - Warning letter
 - 5.1% -9% - or 2nd offense at 4.1-5% - \$50
 - 9.1%-20% or more - \$225 **(send to Panel if retail and small amounts, ie <100 egg sample)**
 - 20.1% or higher or 3rd offense per year, refer to penalty panel
- **3 CCR 1354 (a) or (f)**– incorrect/missing labels/markings/ less than ¼”/**missing statement**
 - 1st offense – warning letter
 - 2nd offense - \$50 (v to minor 1-1-1)
 - 3rd or more \$225 (v to minor 1-2-1)
- **3 CCR 1350 (c)(2)** – environmental samples done late/early (Does not include missing samples)
 - 1 to 6 days early/late = \$225 (V to minor 2-1-1)
 - 7 + days early/late = \$700 (v to moderate 2-1-1)
 - **All other SEFS violations go to Penalty Panel**

All other violations not noted above refer to Penalty Panel.

For all past violations that this baseline would have decreased the level of enforcement, and appealed, we will rescind/correct.

4/1/22

1353.2	grade and quality issues	tolerance	NNC only	NOV + Warning Letter	NOPA w/\$50	NOPA w/ \$225	to Penalty Panel
Origin							
Grade AA & Grade A	Lower Grade (1)	15%					all
	Grade C	1%					all
	Checks (through XL)	5%	up to 5.5%	5.6% - 10%	10.1% and up or 2nd time	3 or more	over 25%
	Checks (Jumbo)	7%	up to 7.5%	7.6% - 12%	12.1% and up or 2nd time	3 or more	over 27%
	Leakers, Dirties, Loss	0.50%					all
Grade B	Lower Grade (1)	15%					all
	Checks	10%	up to 10.5%	10.6% - 15%	15.1 and up or second time	3 or more	over 30%
	Leakers, Dirties, Loss	0.50%					all
Destination							
Grade AA & Grade A	Lower Grade (1)	20%					all
	Grade C	1%					all
	Checks (through XL)	7%	up to 7.5%	7.6% - 12%	12.1% and up or 2nd time	3 or more	over 27%
	Checks (Jumbo)	7% (AA) 9%(A)	up to 9.5%	9.6% - 14%	14.1% and up or 2nd ime	3 or more	over 29%
	Leakers, Dirties, Loss	1%					all
Grade B	Lower Grade (1)	20%					all
	Checks	10%	up to 10.5%	10.6% - 15%	15.1 and up or second time	3 or more	over 30%
	Leakers, Dirties, Loss	1%					all
			0.5	0.6-5	5.1 +		20+

NOTE: Issue Warning letter for all checks and leakers sampled at retail, unless specifically noted as sampled in the cooler.