



Best Practices in Auditing, Reporting, Third Party Integration and Trending Analysis

Florida Association for Food Protection AEC

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Agenda

- Process Based Auditing
- Reporting Actionable Items
- Trend Analysis
- Third party data integration

History of Winn-Dixie

- Winn-Dixie is one of the largest food retailers in the nation and ranks 340 on the FORTUNE 500® list. The company operates retail stores across the southeastern United States
- For over 80 years, the Winn-Dixie name has stood for real quality and value. Our reputation is not only in delivering a quality product, but on constantly striving to find new ways to improve that quality
- Our corporate values include the commitment of selling fresh food in a safe environment

Fresh Check

Better practices for a better Winn-Dixie.

Fresh Check Success

- Internal Winn Dixie auditing team
- Process based audit used in retail stores
- Detailed written standards for each question on the audit
- Retail Operations supports and takes ownership in the audit and food safety conditions
- Reports are actionable and customized to the needs of the targeted business unit

Process vs. Outcome

- Process based auditing tells us how we got to an outcome
 - Directs resources and training for improvement
- Outcome based auditing gives us a “snap shot” of conditions
 - Outlines what’s wrong
 - Does not describe why or where the breakdown occurred

Process vs. Outcome (2)

- Outcome based auditing, focuses on the visual end results of associate actions or on the physical condition of a specific item or area
 - Ex. Has the chicken been cooked to 165°F or above?
 - Answer is typically yes or no
 - Only tells us about the immediate compliance of the item being audited

Process vs. Outcome (3)

Process based auditing examines the execution of a process and works backward to determine **where**, **when** and **why** a breakdown in the system occurred.

- Ex. Has the chicken been cooked to appropriate temperature?
- Ex. Has the initial cook log been accurately maintained and verified?
- Ex. Can associates demonstrate knowledge of the initial cook process?

Audit Tool Development

- 4 Major Risk Buckets
 - Food Safety
 - Physical Safety
 - Quality and Customer Perception
 - Sanitation
- Critical Processes Identified w/in Each Risk Bucket
- Individual Questions for each Process
 - Documentation
 - Associate Knowledge
 - Execution
 - Outcome

Food Safety Systems

- Chilling
- Cold Holding
- Cross Contamination
- Hot Holding
- Initial Cooking
- Personal Hygiene
- Reheating
- Sewage & Plumbing
- Thawing
- Thermometer Calibration

Question Format

- Execution – are they following the process appropriately?
- Associate knowledge – do they understand the process?
- Documentation – are they completing required monitoring and logs?
- Points may be taken for the same issue in more than one question as there may be multiple contributing factors to the non-conformity

Root Cause Analysis

- Most non-conformities can be linked to:
 - Ineffective process or procedure
 - Policy/process improvement
 - Facility/equipment improvement
 - Inadequate training of associates
 - Focus training resources on most critical areas
 - Create additional training modules or tools
 - Lead by example
 - Failure to execute
 - Associate apathy
 - Inadequate allotment of hours

Partnership is the Key to Success

- Operations
- Senior Management
- Construction/Maintenance
- Central Procurement
- Merchandising
- Regional and District Areas

The Retailer's Perspective - "What is in it for me?"

- Provides the tools to manage effectively
 - Associate behavior vs. Associate knowledge
- Provides drill-down details on areas to address
 - Ex. Deli / Food Safety / Cross Contamination/ Chemical to Food / Chemical stored on food product

Reduce Associate turnover

- Every person in every job is important to the process
- Shrink reduction
- Selling fresh food in a safe environment supports sales growth
 - Customer loyalty
 - Trust in the brand
 - Increase basket size

Challenges

- Re-programming the Auditor's thinking
- Store/Operations
 - Differences between a compliance audit and a process based audit
 - Understanding how the process based audit will help
 - Understanding why something was marked "no" on more than one question
- Senior Management
 - Reacts to the outcome

Advantages

- Root Cause
 - Provides detailed specifics of the cause
 - Defines weaknesses and strengths within the company
 - Results are actionable
 - Results for budget approvals/increases
- Associate Knowledge
 - Increased emphasis placed on teaching, coaching and training
 - Training materials evaluated and improved
 - Continuous, consistent information flow
 - Associate pride

Reporting

- Know your audience !
 - High level macro monitoring
 - Region reporting
 - District reporting
 - Individual store results

Reporting

- The level of data has to be targeted to the audience
 - Actionable items vs. Company compliance
- Keep it simple
 - In most cases the targeted audience is not a food safety or pest control expert
- Keep the focus on high risk areas
- Bring solutions to the table
- Always - Always protect the integrity of the data

Reporting

- Repeat violations
- Recognize trends
- Calibrate Auditors
- Customize reports for the targeted audience
- Actionable items
 - Category (Risk) and Sub-categories (system)

Category and Sub-Category Report

	PTD					QTD					YTD				
	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality
Company	95%	95%	94%	98%	93%	95%	95%	92%	98%	93%	94%	94%	94%	98%	93%
Region 1	96%	96%	93%	98%	95%	95%	95%	93%	98%	95%	95%	94%	93%	98%	96%
Region 2	96%	96%	92%	99%	96%	96%	96%	92%	98%	95%	95%	96%	91%	98%	94%
Region 3	94%	94%	89%	98%	91%	94%	95%	89%	98%	91%	93%	94%	96%	97%	91%
Region 4	93%	95%	82%	97%	90%	93%	94%	85%	98%	90%	93%	94%	97%	98%	92%
	PTD					QTD					YTD				
<u>Total Company</u>	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality
Center Store	94%	96%	98%	98%	90%	94%	95%	88%	98%	94%	93%	95%	98%	97%	94%
Produce	96%	96%	92%	99%	97%	96%	96%	91%	99%	96%	95%	95%	91%	99%	95%
Market	94%	96%	89%	98%	92%	95%	97%	90%	98%	92%	95%	96%	90%	98%	92%
Seafood	97%	97%	96%	99%	95%	97%	97%	96%	99%	95%	97%	97%	95%	99%	96%
Deli	92%	93%	87%	97%	90%	92%	92%	88%	97%	87%	92%	92%	88%	97%	88%
Bakery	97%	97%	94%	100%	97%	96%	97%	93%	99%	95%	95%	95%	92%	99%	95%
Management	93%	90%	100%	96%	90%	93%	90%	100%	95%	91%	94%	90%	100%	96%	92%
	PTD					QTD					YTD				
	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality	Total Score	Food Safety	Sanitation	Physical Safety	Product Quality
District 1	94%	95%	90%	97%	91%	95%	95%	92%	97%	94%	95%	94%	93%	97%	95%
District 2	97%	98%	94%	99%	94%	95%	95%	93%	99%	94%	96%	95%	95%	98%	95%

NOTE: All numbers and percentages were created for this sample report and do not represent actual store locations.

Repeat Violations Report

Region	District Name	Location	Department	Question Text	Q3	Q4
8	District 1	1203	Deli	Are products being code dated appropriately?	√	√
8	District 1	4453	Produce	Are all cold held foods at the appropriate temperature?	√	√
2	District 4	71418	Deli	Are all hot foods held at the appropriate temperature and for the appropriate length of time?	√	√
6	District 4	2431	Management	Are all Class I recalled products removed from sale?	√	√
6	District 4	2431	Center Store	Are expired items removed from sale?	√	√
6	District 4	2431	Deli	Is environmental cross contamination prevented?	√	√

NOTE: All numbers and percentages were created for this sample report and do not represent actual store locations.

Critical Violations Report

		Week 46			Period 11			QTD		
		# of Critical Violations	# of Audits	Avg Per Audit	# of Critical Violations	# of Audits	Avg Per Audit	# of Critical Violations	# of Audits	Avg Per Audit
Region 7		49	10	4.9	82	17	4.8	82	17	4.8
	DM 1	2	5	0.4	3	3	1.0	3	3	1.0
	DM 2	27	3	9.0	44	7	6.3	44	7	6.3
	DM 3	2	1	2.0	16	3	5.3	16	3	5.3
	DM 4	10	3	3.3	10	3	3.3	10	3	3.3
	DM 5	8	3	2.7	8	3	2.7	6	3	2.0
	DM 6	4	2	2.0	4	1	4.0	4	1	4.0
Total Company		102	27	3.7	368	93	4.0	165	93	2.7

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Top Items Report

Question	% Non-Compliance	
Are the prep/backroom area non-food contact surfaces clean and in good repair?	17%	
Are Ground Beef Logs available and on file?	9%	
Are cooked temperature logs available for review during audit, completed and verified by manager signature?	9%	
Are cold holding temperature logs available for review, completed and verified by manager signature	7%	

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Actionable Items

- **Are the prep/backroom area non-food contact surfaces clean and in good repair?**

	Choice Compliant	Number Answered	Percent Answered
•	Yes Yes	1397	76%
•	No No	127	14%
•	N/A Informational	37	-

	Comments	Number of Observations
•	Walls/ceilings/floor/attached equipment dirty or in dis-repair	912
•	Equipment non-food contact surfaces are dirty	718
•	Drains not maintained on a regular basis	199

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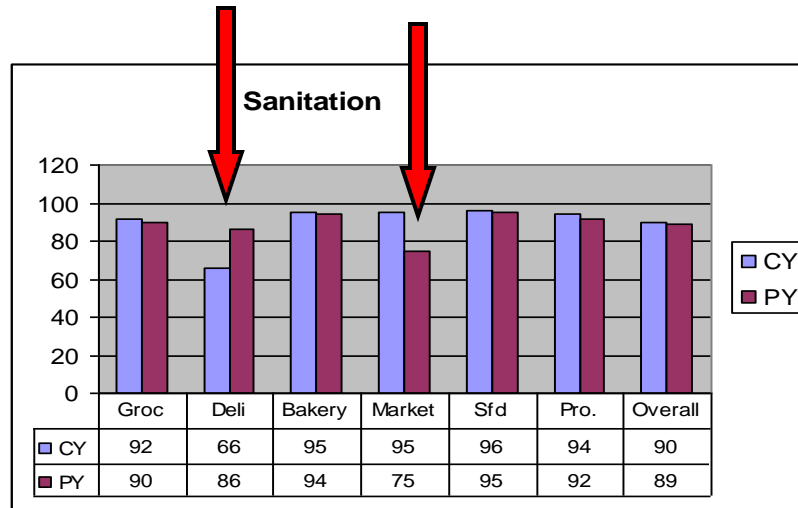
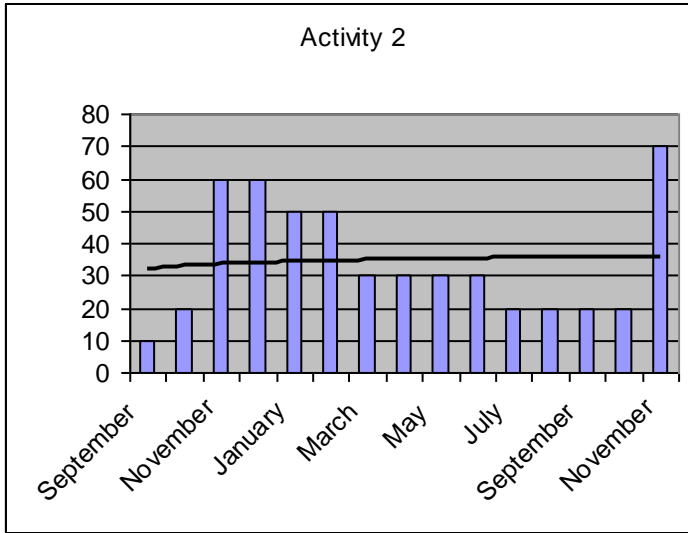
Trend Reporting

- Use time frames that will provide the true picture

(Physical year Vs. Fiscal year)

- Weather changes
- Seasonal Items
- Holidays
- Pest
- Production
- Time Constraints

Trends



Trends

- Recognize affects of
 - New equipment
 - New procedures
 - New products
 - New initiatives

Third Party Data Integration

- Chemical vendor assessments
- Pest control results
- Department of Agriculture
- Sampling results
- Customer comments

Data Integration Challenges

- Inconsistent standards
- Different types of scoring methods
- Type of media used for data collection
- Labor intensive

Data Integration Advantages

- External perspectives
- Validation of collected data
- Validation of company focus
- Additional details on specific area of expertise

Questions ?

Lori Hodge
Sr. Manger Environmental Health & Safety
Winn-Dixie Stores, Inc
(904) 266-8029
lorihodge@winn-dixie.com

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