

## PrimusLabs Audit (146531) Cooling and Cold Storage v08.06

<b>Facility(s)</b>	<b>Santa Rosa Cooler</b> Contact: <a href="mailto:Cindy.Pearson">Cindy Pearson</a> Address: 9254 North Realston Road Maricopa Arizona 85239 United States Phone Number: (520) 568 9456 Email(s): <a href="mailto:cindi@prodigy.net">cindi@prodigy.net</a>
<b>Customer(s)</b>	<b>Santa Rosa Produce</b> Contact: <a href="mailto:Cindi.Pearson">Cindi Pearson</a> Address: 9254 N. Ralston Rd. Maricopa Arizona 85239 United States Phone Number: 520-568-9456 Ext: None Email(s): <a href="mailto:cindi@prodigy.net">cindi@prodigy.net</a>
<b>Audit Type:</b>	Cooling/Cold Storage
<b>Foreman or Contact Person (and email):</b>	Cindi Pearson ( <a href="mailto:cindi@prodigy.net">cindi@prodigy.net</a> )
<b>Location/City:</b>	Maricopa
<b>State:</b>	Arizona
<b>Country:</b>	United States
<b>Date Audit Started:</b>	06/01/2011 09:30
<b>Date Audit Finished:</b>	06/01/2011 14:00
<b>Commodity(ies):</b>	Cantaloupe, Honeydew
<b>Auditor:</b>	<a href="#">Gustavo Adolfo Tamayo Reyes</a> (Tamayo, Gustavo – Subcontractor)
<b>Audit Percentage Score:</b>	99%
<b>Scoring Category:</b>	95-100 Superior
<b>Announced Audit?</b>	Yes
<b>Audit Scope:</b>	Typical Cooling and Cold Storage operation, receiving locally grown field packed products, pre-cooling (forced air), cold storage and shipping. This is a dry operation. No water or ice systems on site. No re-work or re-packing activities practiced. Audit scope includes visual



inspection of the facility and surrounding grounds, as well as review of the Food Safety records.

**Audit Entered By:** Gustavo Tamayo

**Other Auditing Personnel And Role:** None

**Additional Report Links**

[See Severity Answers & Recommendations](#)

[See The Result Comparison](#)

[See The Audited Entity History](#)

**Corrective Actions Response**

**Note: This link must be used in order to notify that you are taking action in the corrective measures for questions that were not in full compliance.**

**Sections:**

[Good Manufacturing Practices](#)

[Food Safety File Requirements](#)

[Food Security](#)

[Miscellaneous Survey Questions](#)

[New Questions \( Not part of overall Food Safety percentage\)](#)

**Good Manufacturing Practices**

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
1.1.1	Is there a designated person responsible for the food safety program?	<b>Total Compliance</b>	10	10		<b>Yes, Mrs. Cindy Pearson and Mrs. Stella Chavez are sharing the responsibility of the food safety program in this facility.</b>	
1.1.2	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	<b>Total Compliance</b>	15	15		<b>Yes, all chemicals are safely stored in two locked closets. All containers are correctly labeled.</b>	
1.1.3	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	<b>Total Compliance</b>	10	10		<b>Yes, food grade chemicals are stored in locked cabinet, Access is controlled and limited to maintenance lead person only. Grease gun is marked.</b>	
1.1.4	Are signs supporting GMP's posted appropriately?	<b>Total Compliance</b>	10	10		<b>Yes, signs supporting GMP policies are adequately posted throughout the facility.</b>	

1.2.1	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Compliance</b>	15	15	<b>Yes, no presence or evidence of any pest activity seen.</b>
1.2.2	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Compliance</b>	15	15	<b>Yes, no presence or evidence seen.</b>
1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
1.2.4	Is the area outside the facility free of evidence of pest activity?	<b>Total Compliance</b>	10	10	<b>Yes, no evidence seen.</b>
1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Compliance</b>	15	15	<b>Yes, there is a pest control program in place.</b>
1.2.6	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	<b>Total Compliance</b>	10	10	<b>Yes, pest control devices are correctly located, away from exposed food products. No poisonous bait traps are used inside the facility.</b>
1.2.7	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	<b>Total Compliance</b>	5	5	<b>Yes, all devices are clean and in good condition. They are marked as monitored (punch cards are used).</b>
1.2.8	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	<b>Total Compliance</b>	5	5	<b>Yes, devices are placed according with recommended intervals.</b>
1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	<b>Total Compliance</b>	5	5	<b>Yes, pest control devices are marked with numbers. Matching numbers are posted on the wall fo easy localization.</b>
1.2.10	Are all pest control devices properly installed and secured?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.3.1	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)?	<b>Total Compliance</b>	15	15	<b>Yes, food products are correctly stored off the ground, over clean pallets and kept in dedicated cold storage rooms, to prevent cross</b>

1.3.2	Is the storage area completely enclosed?	<b>Major Deficiency</b>	3	10	All raw material and finished goods should be stored inside. Food contact packaging should be stored inside. Non food contact packaging should be stored inside but if stored outside, should be shroud protected.	<b>contamination. Food contact packaging supplies are stored outside, protected with plastic shroud and covered with flat cardboards. Please note that pacakging supplies are used by the harvesting operation.</b>
1.3.3	Is the facility's use restricted to the storage of food products?	<b>Total Compliance</b>	5	5		<b>Yes, only food products and related marerials seen.</b>
1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	<b>Total Compliance</b>	10	10		<b>Yes, there is a designated area. Bold letter signs are used for identification.</b>
1.3.5	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Compliance</b>	15	15		<b>Yes, no decay, spoilage or adulteration issues noted. Harvested products are shipped within the next 48 hours.</b>
1.3.6	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	<b>Total Compliance</b>	10	10		<b>Yes, no issues seen.</b>
1.3.7	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.3.8	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	<b>Total Compliance</b>	5	5		<b>Yes, rotation is ruled by FIFO principles.</b>
1.3.9	Are storage areas at the appropriate temperatures for the specific products being stored?	<b>Total Compliance</b>	10	10		<b>Yes.</b>
1.4.1	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	<b>Total Compliance</b>	15	15		<b>Yes, no overhead contamination issues noted.</b>
1.4.2	If occurring, e.g. because of damaged product from the field, is all re-work/re-packaging handled correctly?	<b>N/A</b>	0	0		<b>N/A, no re-pack or re-work observed.</b>
1.4.3	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in	<b>N/A</b>	0	0		<b>N/A, no sanitizer solutions are used. Only ready-to-use products.</b>

	operational condition?				
1.4.4	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	<b>Total Compliance</b>	15	15	<b>Yes, hand wash stations are adequate in number and location. Warm water is available and stations are correctly stocked.</b>
1.4.5	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	<b>Total Compliance</b>	15	15	<b>Yes, enough toilet units, adequately located and well stocked.</b>
1.4.6	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	<b>Total Compliance</b>	5	5	<b>Yes, no misuse observed.</b>
1.4.7	Are re–usable containers clearly designated for the specific purpose (trash, raw product, finished product, re–work, ice etc.) such that cross contamination is prevented?	<b>Total Compliance</b>	5	5	<b>Yes, re–usable containers are used for trash purposes only. They are clearly identified.</b>
1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	<b>Total Compliance</b>	15	15	<b>Yes, employees seen washing their hands after using the restroom. Strongly enforced policy.</b>
1.5.2	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	<b>Total Compliance</b>	10	10	<b>Yes, no issues observed.</b>
1.5.3	Is jewelry confined to a plain wedding band?	<b>Total Compliance</b>	3	3	<b>Yes, no employees seen with jewelry.</b>
1.5.4	Is smoking, eating, chewing and drinking confined to designated areas?	<b>Total Compliance</b>	10	10	<b>Yes, there are signs supporting this policy. No evidence foun in restricted areas.</b>
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	N/A	0	0	<b>N/A, there are no food contact surfaces.</b>
1.6.2	Are non–food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	<b>Total Compliance</b>	10	10	<b>Yes, no flaking paint, corrosion or rust seen on non–food contact surfaces.</b>
1.6.3	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non–toxic materials, no wood) facilitate effective cleaning and maintenance?	<b>Total Compliance</b>	15	15	<b>Yes.</b>
1.6.4	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.6.5	Are all thermometers non–glass and non–mercury?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
1.7.1	Are food contact surfaces clean?	N/A	0	0	

						N/A, there are no food contact surfaces.
1.7.2	Are non–food contact surfaces clean?	<b>Total Compliance</b>	10	10		Yes, non–food contact surfaces are kept clean. No litter or filth build up seen.
1.7.3	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	<b>Total Compliance</b>	5	5		Yes, cooling units are clean. No aged ice build up noted.
1.7.4	Are all fan guards dust–free and the ceiling in front of the fans free of excessive black deposits?	<b>Minor Deficiency</b>	3	5	Fan guards should be dust free to prevent cross contamination. The ceiling in front of the fans (especially cooler units) should be free from excessive black deposits.	<b>Fan guards are clean, although black deposits are starting to show up on side walls by the forced air area, in the big cold room.</b>
1.7.5	Is stored equipment that is not used on a daily basis stored in a clean condition with food–contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	N/A	0	0		N/A, all equipment is used on a daily basis.
1.7.6	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	N/A	0	0		Yes, utensils not being used, are stored clean, off the ground and kept at their dedicated areas.
1.7.7	Are excess lubricants and grease removed from the equipment?	<b>Total Compliance</b>	5	5		Yes, no excess of greaqs or lubricants seen on any equipment.
1.8.1	Are spills cleaned up immediately?	<b>Total Compliance</b>	10	10		Yes, there were no spills in sight.
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	<b>Total Compliance</b>	5	5		Yes, facility was litter free. All trash containers are empty and clean.
1.8.3	Do floor drains appear clean, free from odors and well maintained?	<b>Total Compliance</b>	5	5		Yes, floor drains and covers are clean and well maintained. No foul odors noted.
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	<b>Total Compliance</b>	10	10		Yes.
1.8.5	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	<b>Total Compliance</b>	5	5		Yes, plastic strip curtains are correctly mounted, clean and in good condition.
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to	<b>Total Compliance</b>	3	3		Yes, rubber boots, rain suits, goggles,

	prevent cross contamination to ingredients, packaging or product?				<b>gloves and hard hats are available, in good condition and correctly stored.</b>
1.8.7	Is cleaning equipment available and stored properly?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	<b>Total Compliance</b>	5	5	<b>Yes, color code has been implemented. Code charts are posted.</b>
1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	<b>Total Compliance</b>	5	5	<b>Yes, no natural or metal bristle brushes seen. No steel wool pads are used.</b>
1.8.10	Are toilet facilities and hand-wash stations clean?	<b>Total Compliance</b>	15	15	<b>Yes, toilets and hand washing stations are clean and well stocked.</b>
1.8.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	<b>Total Compliance</b>	5	5	<b>Yes, lunchroom is clean and in good condition. No rotting meals or out of date food stuff seen.</b>
1.8.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	<b>Total Compliance</b>	5	5	<b>Yes, there is a small maintenance area, located in open space (clearly delimited). Tools, equipment and spares are kept in locked metal cabinets, organized and clean. Access to all tools and spares is controlled.</b>
1.8.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	<b>Total Compliance</b>	5	5	<b>Yes, lift trucks are clean and sanitary.</b>
1.8.14	Are shipping trucks clean and in good condition?	<b>Total Compliance</b>	5	5	<b>Yes, trucks being loaded were clean and in good condition. Inspection is logged.</b>
1.9.1	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	<b>Total Compliance</b>	15	15	<b>Yes, all lights are clean, intact and protected.</b>
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	<b>Total Compliance</b>	15	15	<b>Yes, no metal, glass or plastic contamination issues noted.</b>
1.9.3	Has the facility eliminated the use of wooden items or surfaces?	<b>Total Compliance</b>	5	5	<b>Yes.</b>

1.9.4	Is there adequate lighting in the packing and storage areas?	<b>Total Compliance</b>	5	5		<b>Yes, lighting is adequate to perform daily operations and cleaning duties.</b>
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	<b>Total Compliance</b>	3	3		<b>Yes, no dust, steam or foul odors noted.</b>
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	<b>Total Compliance</b>	10	10		<b>Yes, floors are smooth and in good condition. No water pooling areas seen.</b>
1.9.7	Are the floor drains where they are needed for drainage and cleanup?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.9.8	Are doors to the outside pest proof?	<b>Total Compliance</b>	5	5		<b>Yes, no gaps seen.</b>
1.9.9	Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)?	N/A	0	0		<b>N/A, there are no dock doors.</b>
1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)?	<b>Total Compliance</b>	3	3		<b>Yes, loading levelers are in good condition. Shelters are litter free.</b>
1.9.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	<b>Minor Deficiency</b>	3	5	It is important to keep the building in good repair to prevent the intrusion of pests and also creating difficult-to-clean surfaces.	<b>Loose insulation covering seen on two different spots in the Big cold storage room. Otherwise interior walls and ceilings are in good condition.</b>
1.9.13	Employees personal items are not being stored in the production and material storage areas?	<b>Total Compliance</b>	5	5		<b>Yes, no personal belongings seen in the storage areas.</b>
1.9.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	<b>Total Compliance</b>	5	5		<b>Yes, internal wall perimeter is maintained.</b>
1.9.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	<b>Total Compliance</b>	5	5		<b>Yes, no litter, weeds or standing water seen.</b>
1.9.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	<b>Total Compliance</b>	5	5		<b>Yes, pallets are correctly stacked, clean and dry. There is no obsolete equipment or junk stuff kept within the facility perimeter.</b>
1.9.17	Are pallets inspected to separate and replace dirty or broken pallets?	<b>Total Compliance</b>	5	5		<b>Yes.</b>

1.9.18	Is the area around the dumpster/cull truck/trash area clean?	<b>Total Compliance</b>	3	3	<b>Yes, no litter, standing water or foul odors noted.</b>
1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	<b>Total Compliance</b>	5	5	<b>Yes, large metal dumpster is covered with mesh net.</b>
1.9.20	Are all water lines protected against back siphonage?	<b>Total Compliance</b>	5	5	<b>Yes, check valves are fitted.</b>

### Food Safety File Requirements

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
2.1.1	Are there written procedures for handling regulatory inspections?	<b>Total Compliance</b>	3	3		<b>Yes, written procedures for handling regulatory inspections have been developed..</b>	
2.1.2	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	<b>Total Compliance</b>	5	5		<b>Yes, written glass policy, including breakage procedures and glass register, is on file.</b>	
2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	<b>Total Compliance</b>	5	5		<b>Yes, SOP's have been developed.</b>	
2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	<b>Total Compliance</b>	5	5		<b>Yes, SOP's are available to relevant users. Master copies are kept in the GMP manual.</b>	
2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	<b>Total Compliance</b>	10	10		<b>Yes, there is a clear text explanation (supported by a chart) of the company tracking system.</b>	
2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	<b>Total Compliance</b>	15	15		<b>Yes, fully documented Product Trace Back and Recall Program has been developed. Basic duties and responsibilities have been assigned within the recall team members. Contact listing details and explanation of different classes of procedures are included.</b>	
2.2.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	<b>Total Compliance</b>	10	10		<b>Yes, mock recall was conducted on May 23, 2011, completed in only 50 minutes. Scenario was correctly described. Copies</b>	

2.2.4	Is there a written procedure for handling on hold or rejected products?	<b>Total Compliance</b>	10	10	of documentation supporting the trace back, are available. Yes.
2.3.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	<b>Total Compliance</b>	5	5	Yes, MSDS are on file, correctly indexed and accessible at all times.
2.3.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	N/A	0	0	N/A, all chemicals are used in their original containers, in presence of their full label.
2.3.3	Is there a chemical inventory and/ or usage log?	<b>Total Compliance</b>	3	3	Yes, chemicals usage is logged.
2.3.4	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	N/A	0	0	N/A, there are no water or ice systems in place.
2.4.1	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	<b>Total Compliance</b>	15	15	Yes, pest control program developed and managed by external contractor. Copies of contract, license, and current liability insurance, are on file.
2.4.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	<b>Total Compliance</b>	10	10	Yes, traps location maps are on file.
2.4.3	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	<b>Total Compliance</b>	10	10	Yes, contractor's service reports are mentioning applications, pest activity found and corrective actions.
2.5.1	Where the auditee sells product to the customers is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective actions?	<b>Total Compliance</b>	5	5	Yes, there is a written Procedure for Handling Customer Complaints. Copies of complaints are kept on file. No food safety related complaints have been received.
2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	<b>Total Compliance</b>	5	5	Yes, copies of previous PLC audits are on file, along with company responses and corrective actions.
2.5.3	Are there records for the necessary process monitoring activities (e.g. pH,	N/A	0	0	N/A, there are no process activities to be monitored.

water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?

2.5.4	Is there a daily pre–operation inspection log?	<b>Total Compliance</b>	5	5	<b>Yes, detailed pre–operation inspection checklist is used.</b>
2.5.5	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?	<b>Total Compliance</b>	10	10	<b>Yes, self GMP inspections are conducted twice a year. Findings and corrective actions are documented.</b>
2.5.6	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product?	<b>Total Compliance</b>	10	10	<b>Yes, thermometers calibration records are on file. Hand held and wall mounted units are included.</b>
2.5.7	Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc?	<b>Total Compliance</b>	5	5	<b>Yes, food safety records reviewed by Cindy Pearson. Logs are initialed.</b>
2.5.8	Where the auditee buys product or packaging, does the facility have incoming goods (products, ingredients and packing materials) inspection data?	<b>Total Compliance</b>	5	5	<b>Yes, incoming materials inspection records are maintained.</b>
2.5.9	Where the auditee buys product or packaging, does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for products and packaging items?	<b>Total Compliance</b>	15	15	<b>Yes, only own products are packed. Third party audit certificates are on file. Letters of guarantee from all relevant suppliers, are on file.</b>
2.5.10	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	<b>N/A</b>	0	0	<b>N/A, open flat bed trucks are used.</b>
2.6.1	Does the facility have a preventative maintenance program and schedule?	<b>Total Compliance</b>	10	10	<b>Yes, there is a preventative maintenance inspection check list. It is used to log preventative activities when carried out.</b>
2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	<b>Total Compliance</b>	10	10	<b>Yes, work orders are issued and signed off when work is completed.</b>
2.6.3	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	<b>Total Compliance</b>	10	10	<b>Yes, sanitation duties and frequencies have been set in the Master Sanitation Schedule.</b>
2.6.4	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all	<b>Total Compliance</b>	10	10	<b>Yes, SSOP's have been developed.</b>

	equipment?				
2.6.5	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	<b>Total Compliance</b>	5	5	<b>Yes, sanitation records are on file.</b>
2.6.6	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	<b>Total Compliance</b>	5	5	<b>Yes, included in the weekly sanitation logs.</b>
2.6.7	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	<b>Total Compliance</b>	10	10	<b>Yes, cooling units service records are available for review.</b>
2.7.1	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	<b>Minor Deficiency</b>	3	5	New employees should be GMP trained on employment, with records of this training being maintained. Employees should be issued a list GMP rules in the relevant languages. <b>Yes, food safety orientation training records are on file. Topics covered and attendees are logged.</b>
2.7.2	Are there logs of ongoing employee food safety education training with topics covered and attendees?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
2.7.3	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.7.4	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	<b>Total Compliance</b>	3	3	<b>Yes.</b>
2.8.1	Are there records of routine equipment microbiological testing?	<b>N/A</b>	0	0	<b>N/A, this is a dry operation.</b>
2.8.2	Are there records of routine environmental microbiological testing?	<b>Total Compliance</b>	5	5	<b>Yes, environmental biological testing records are on file. No out of specifications detected.</b>
2.8.3	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	<b>Total Compliance</b>	10	10	<b>Yes, water testing records are available for review. No high counts detected.</b>
2.8.4	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	<b>N/A</b>	0	0	<b>N/A, no ice is used.</b>
2.9.1	Are there temperature logs for storage rooms?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.9.2	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	<b>Total Compliance</b>	5	5	<b>Yes.</b>

2.9.3	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	<b>Total Compliance</b>	10	10		<b>Yes.</b>
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### Food Security

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
3.1.1	Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?	<b>Total Compliance</b>	5	5		<b>Yes, facility is completely surrounded by security fencing.</b>	
3.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	<b>Total Compliance</b>	10	10		<b>Yes, locks and alarms are used. Security guard on duty 24/7.</b>	
3.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound?	<b>Total Compliance</b>	5	5		<b>Yes.</b>	
3.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	<b>Total Compliance</b>	5	5		<b>Yes.</b>	
3.1.5	Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound?	<b>Total Compliance</b>	5	5		<b>Yes, packaging supplies are stored within secure compound, away from perimeter fence.</b>	
3.2.1	Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)?	<b>Total Compliance</b>	5	5		<b>Yes, background checks are conducted.</b>	
3.2.2	Employees personal items are not being stored in the production and material storage areas?	<b>Total Compliance</b>	5	5		<b>Yes, no personal belongings seen in the storage areas.</b>	
3.2.3	Are employees issued non-reproducible identification badges?	<b>Total Compliance</b>	5	5		<b>Yes, photo ID cards have been issued.</b>	
3.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	<b>Total Compliance</b>	5	5		<b>Yes, visitor badges for people and vehicles.</b>	
3.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	<b>Total Compliance</b>	5	5		<b>Yes.</b>	
3.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	<b>N/A</b>	0	0		<b>N/A, open flat bed trucks are used.</b>	
3.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	<b>Total Compliance</b>	3	3		<b>Yes, only refrigerated/locked trucks are used.</b>	
NEW 3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones,	<b>Total Compliance</b>	3	3		<b>Yes, two way radios are used.</b>	

	two-way radio?					
3.4.1	Are potable and non-potable water supply clearly identified?	N/A	0	0		N/A, only potable well water is used.
3.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	<b>Total Compliance</b>	3	3		Yes, chained main valve is fitted.
3.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	N/A	0	0		N/A, there are no water or ice systems on site.
3.5.1	Does the company have documented food security policies based on the risks associated with the operation?	<b>Total Compliance</b>	10	10		Yes.
NEW 3.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	<b>Total Compliance</b>	3	3		Yes.
3.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	<b>Total Compliance</b>	10	10		Yes, food security training records are on file.
3.5.4	Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage?	<b>Total Compliance</b>	3	3		Yes, there are only three key sets.
3.5.5	Is there an implemented and documented system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)?	<b>Total Compliance</b>	3	3		Yes.
3.5.6	Is there a chemical inventory and/or usage log?	<b>Total Compliance</b>	3	3		Yes, chemicals usage is logged.

### Miscellaneous Survey Questions

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
4.1.1	Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)?	Yes	0	0		Yes, all employees seen on duty, are older than legal minimum age.	
4.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	N/A	0	0		N/A, no minors are employed.	
4.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	N/A	0	0		N/A, no minors are employed.	
4.2.1	There are no allergen risks handled or stored on site?	Yes	0	0		Yes, there are no known allergens being handled or stored in this facility.	
4.2.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	N/A	0	0		N/A, please see 4.2.1	

4.2.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	N/A	0	0	N/A, please see 4.2.1
4.2.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	N/A	0	0	N/A, please see 4.2.1
4.2.5	Does re-work handling take into account the issue associated with allergen containing products?	N/A	0	0	N/A, please see 4.2.1
4.2.6	Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records?	N/A	0	0	N/A, please see 4.2.1
4.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0	N/A, please see 4.2.1





### New Questions ( Not part of overall Food Safety percentage)



Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
5.1.1	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	N/A	0	0		N/A, no CIP activities are performed at this facility.	
5.1.2	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	<b>Total Compliance</b>	3	3		<b>Yes, proof of inspection for the backflow prevention system is dated May 12, 2011.</b>	
5.1.3	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	<b>Total Compliance</b>	3	3		<b>Yes, only nitrile gloves are available.</b>	
5.1.4	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	<b>Total Compliance</b>	5	5		<b>Yes.</b>	
5.1.5	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	<b>Total Compliance</b>	3	3		<b>Yes.</b>	
5.1.6	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records).	<b>Total Compliance</b>	3	3		<b>Yes.</b>	
5.1.7	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	<b>Total Compliance</b>	5	5		<b>Yes, first aid kits are supplied with blue water-proof bandages.</b>	
5.1.8	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land	N/A	0	0		<b>N/A, there are no waste water treatment systems on</b>	



applications, etc.) are controlled?

5.1.9	Are all records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry?	<b>Total Compliance</b>	3	3
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site.  
**Yes, no white outs, pencil text or amendments noted.**

Audit Scoring Summary			
	Good Manufacturing Practices	Score	574
		Possible Points	585
		Percent Score	98%
	Food Safety File Requirements	Score	282
		Possible Points	284
		Percent Score	99%
	Miscellaneous Survey Questions	Score	0
		Possible Points	0
		Percent Score	0%
	<b>Total</b>	<b>Score</b>	<b>856</b>
		<b>Possible Points</b>	<b>869</b>
		<b>Percent Score</b>	<b>99%</b>

Food Security Scoring Summary			
	Food Security	Score	96
		Possible Points	96
		Percent Score	100%
	<b>Total</b>	<b>Score</b>	<b>96</b>
		<b>Possible Points</b>	<b>96</b>
		<b>Percent Score</b>	<b>100%</b>

New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage)			
	New Questions ( Not part of overall Food Safety percentage)	Score	25
		Possible Points	25
		Percent Score	100%
	<b>Total</b>	<b>Score</b>	<b>25</b>
		<b>Possible Points</b>	<b>25</b>
		<b>Percent Score</b>	<b>100%</b>

<b>Score System For Entire Audit</b>	
Percentage/Category	
<b>95–100 Superior</b>	
<b>90–94 Excellent</b>	
<b>85–89 Good</b>	
<b>80–84 Standard</b>	
<b>&lt;80 Unsatisfactory</b>	

<b>Point System For Individual Questions</b>				
Question Points	Total Compliance	Minor Deficiency	Major Deficiency	Non Compliance
15 Point Question	15 points	10 points	5 points	0 points
10 Point Question	10 points	7 points	3 points	0 points
5 Point Question	5 points	3 points	1 point	0 points
3 Point Question	3 points	2 points	1 point	0 points

<b>Compliance Categories</b>	
Full Compliance:	To meet the question and/or compliance criteria in full.
Minor Deficiency:	To have minor deficiencies against the question and/or compliance criteria. To have single or isolated non-severe deficiencies (usually up to three) against the question and/or compliance criteria. To have covered most of the question compliance criteria, but not all.
Major Deficiency:	To have major deficiencies against the question and/or compliance criteria. To have numerous non-severe deficiencies (usually more than three) against the question and/or compliance criteria. To have single or isolated severe deficiencies against the question and/or compliance criteria. To have covered some of the question compliance criteria, but not most of it.
Non-Compliance:	To have not met the question and/or compliance criteria requirements at all. Having systematic deficiencies against the question and/or compliance criteria (severe or non-severe issues).