

## PrimusLabs.com Audit (141926) Packinghouse v08.06

<b>Facility(s)</b>	<b>D &amp; M Produce</b> Contact: <a href="#">Jade Pruette</a> Address: 501 E.Main St. Immokalee Florida 34143-1129 United States Phone Number: 239-657-3781 Fax Number: 239-657-4240 Email(s): <a href="mailto:jadepruette@yahoo.com">jadepruette@yahoo.com</a>
<b>Customer(s)</b>	<b>D &amp; M Produce</b> Contact: <a href="#">Jade Pruette</a> Address: PO Drawer 1129 Immokalee Florida 34143-1129 United States Phone Number: 239-657-3781 Fax Number: 239-657-4240 Email(s): <a href="mailto:jadepruette@yahoo.com">jadepruette@yahoo.com</a>
<b>Audit Type:</b>	Packinghouse
<b>Foreman or Contact Person (and email):</b>	Jade Pruette ( <a href="mailto:jadepruette@yahoo.com">jadepruette@yahoo.com</a> )
<b>Location/City:</b>	Immokalee
<b>State:</b>	Florida
<b>Country:</b>	United States
<b>Date Audit Started:</b>	03/24/2011 11:40
<b>Date Audit Finished:</b>	03/24/2011 15:50
<b>Commodity(ies):</b>	Tomatoes
<b>Auditor:</b>	<a href="#">Dilip Vyas</a> (Sub-Contract Auditors,Vyas, Dilip-Subcontractor)
<b>Audit Percentage Score:</b>	94%
<b>Scoring Category:</b>	90-94 Excellent
<b>Announced Audit?</b>	Yes
<b>FDA Registration Number:</b>	XXXXXXXX2762
<b>Audit Scope:</b>	Audit a facility receiving, washing, waxing, inspecting, sorting, packaging, storing and shipping tomatoes. Facility uses degreening process and has a dump tank for washing. There are 5 coolers here. Facility buys product from own farms and sells the

finished product to own division. Facility operates on seasonal basis (october to May).

**Audit Entered By:** Dilip Vyas

**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. Jade Pruette is the designated food safety co-ordinator.</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. They are stored in a locked area.</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.</b>	
1.1.4	Are signs supporting GMP's posted appropriately?	<b>Total Compliance</b>	10	10		<b>Yes. GMP signs are adequately posted throughout the facility and restrooms.</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.</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.</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.</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. "Truly Nolan" is the designated outside PCO.</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.</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.</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.</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.</b>
1.2.10	Are all pest control devices properly installed and secured?	<b>Minor Deficiency</b>	3	5	All traps should be correctly orientated. Bait traps should be locked and tamper resistant in some way (e.g. locks, screws etc.). Bait traps should be secured to prevent removal. If mounted on slabs, then wall signs should be used to aid location.	<b>Two outside bait ststions (numbered 10 and 11) are not secured.</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.</b>
1.3.2	Is the storage area completely enclosed?	<b>Total Compliance</b>	10	10		<b>Yes. Please refer to 1.4.2 for open doors.</b>
1.3.3	Is the facility's use restricted to the storage of food products?	<b>Total Compliance</b>	5	5		<b>Yes.</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. Unsuitable product is culled and dumped outside the facility.</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	<b>Total Compliance</b>	15	15		<b>Yes.</b>

FAILURE OF THE AUDIT.

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.</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. FIFO is practised.</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.</b>
1.4.2	Are packing and/or processing areas completely enclosed?	<b>Major Deficiency</b>	5	15	Packing and/or processing areas should be completely enclosed (walls or pest proof mesh) to minimize pest entry into the facility and to avoid contamination of products.	<b>Numerous incidents of open doors that are being left open and they are not meshed or fitted with air curtain. (three dock side doors and East as well as West side product receiving doors were observed open throughout the production)</b>
1.4.3	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	<b>Total Compliance</b>	15	15		<b>Yes.</b>
1.4.4	Is all re-work / re-packaging handled correctly?	<b>Total Compliance</b>	10	10		<b>Yes.</b>
1.4.5	Are raw ingredients examined before use?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.4.6	Are finished products coded (carton and unit packaging) for the day of production?	<b>Total Compliance</b>	10	10		<b>Yes. Each finished product box has the information of pack date, variety and the farm where the product came from (printed on the box).</b>
1.4.7	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	<b>Total Compliance</b>	10	10		<b>Yes.</b>
1.4.8	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial	<b>Total Compliance</b>	10	10		<b>Yes. pH and chlorine test strips are used here.</b>

	chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?				
1.4.9	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.</b>
1.4.10	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.</b>
1.4.11	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	<b>Total Compliance</b>	5	5	<b>Yes. Wall-mounted sanitizer units are installed at various facility locations.</b>
1.4.12	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.</b>
1.4.13	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.</b>
1.4.14	Are food safety measuring devices working properly?	<b>Total Compliance</b>	3	3	<b>Yes.</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>N/A</b>	0	0	<b>N/A. All observed employees were at work.</b>
1.5.2	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.5.3	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.</b>
1.5.4	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.5.5	Is jewelry confined to a plain wedding band?	<b>Minor Deficiency</b>	2	3	Jewelry except plain wedding bands should not be worn in the production areas. Jewelry can fall into product. It can also get snagged in machinery. <b>An employee was observed wearing a watch in the packing area (removed after observation).</b>
1.5.6	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.5.7	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	<b>Total Compliance</b>	5	5	<b>Yes. An employee is posted at this location just to observe and make sure everyone removes outer garments before going</b>

						<b>into the rest rooms and also that they wash their hands after using the rest rooms.</b>
1.5.8	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.5.9	Is smoking, eating, chewing and drinking confined to designated areas?	<b>Total Compliance</b>	10	10		<b>Yes. An area outside the facility is designated as smoking area.</b>
1.5.10	Are all items removed from shirt or blouse top pockets?	<b>Minor Deficiency</b>	2	3	Items in pockets have the potential to fall into the product.	<b>Isolated (two) employees on the inspection line were observed wearing their ID badges above waste-line (One on the ear and the other one on the shirt with ID badge hanging out)</b>
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	<b>Total Compliance</b>	15	15		<b>Yes.</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.</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>Minor Deficiency</b>	10	15	Equipment should be made of appropriate materials that can be easily cleaned and maintained, that are not porous or toxic. Equipment should be designed to allow access and easy cleaning, with no hard to get to (debris catching) areas. Welds should be smooth and not "bobbly".	<b>Isolated platforms (near the inspection/sorting tables) and ladders are made of wood.</b>
1.6.4	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	<b>Total Compliance</b>	5	5		<b>Yes. Wall mounted thermometers as well as digital thermocouples are used in each cooler to monitor temperatures.</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?	<b>Total Compliance</b>	15	15		<b>Yes.</b>
1.7.2	Are non-food contact surfaces clean?		10	10		<b>Yes.</b>

		<b>Total Compliance</b>			
1.7.3	Are items (barrels, bins, etc.) that are used to hold or store product clean?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
1.7.4	During cleaning are foods and packaging protected?	<b>N/A</b>	0	0	<b>N/A. No cleaning was observed during the audit.</b>
1.7.5	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.7.6	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.7.7	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?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
1.7.8	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
1.7.9	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	<b>Total Compliance</b>	3	3	<b>Yes.</b>
1.7.10	Are excess lubricants and grease removed from the equipment?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.8.1	Are spills cleaned up immediately?	<b>N/A</b>	0	0	<b>N/A. No spills were observed.</b>
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
1.8.3	Do floor drains appear clean, free from odors and well maintained?	<b>Total Compliance</b>	5	5	<b>Yes. They appear to be clean and free of odor.</b>
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
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>N/A</b>	0	0	<b>N/A. There are no plastic curtains provided at the cooler doors.</b>
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	<b>Total Compliance</b>	3	3	<b>Yes.</b>
1.8.7	Is cleaning equipment available and stored properly?	<b>Total Compliance</b>	5	5	<b>Yes. They are stored adequately.</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. They are color coded for different areas.</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.</b>

1.8.10	Are toilet facilities and hand-wash stations clean?	<b>Total Compliance</b>	15	15		<b>Yes.</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. Observed locker and break areas are clean.</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.</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.</b>
1.8.14	Are shipping trucks clean and in good condition?	<b>Total Compliance</b>	5	5		<b>Yes. Observed shipping trucks were clean and precooled.</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.</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.</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. Observed lighting is adequate in these areas.</b>
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	<b>Total Compliance</b>	3	3		<b>Yes.</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.</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. Please refer to 1.4.2 for open doors.</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 here. It is an open loading area.</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)?	N/A	0	0		<b>N/A. There are no dock levelers here.</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>Total Compliance</b>	5	5		<b>Yes.</b>
1.9.13	Employees personal items are not being	<b>Minor</b>	3	5	Personal belongings	<b>One employee on the</b>

stored in the production and material storage areas?

**Deficiency**

should not be taken into production and storage areas. Separate areas should be provided for personal belongs. Lockers are ideal, if maintained properly, mounted off the floor and with sloping tops and located outside production and storage areas. Wire, see through lockers are ideal.

**sorting table was observed with a bunch of personal keys hanging from the waste down.**

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.</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.</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.</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. Area around the dumpster was clean and tidy.</b>
1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
1.9.20	Are all water lines protected against back siphonage?	<b>Total Compliance</b>	5	5		<b>Yes.</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. All necessary points are covered in the SOP.</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.</b>	
2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good	<b>Total Compliance</b>	5	5		<b>Yes.</b>	

Manufacturing Practices?					
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.</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>Non-Compliance</b>	0	10	The tracking system should be shown in writing or in the form of a flow diagram. The auditee should be able to track back through their systems to their suppliers. Vice versa, an auditee's system should also be able to trace forward and show where their product was sent.
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>Non-Compliance</b>	0	15	To facilitate an efficient recall there should be written recall procedures, recall team details (contact details, roles and responsibilities), referral to customer and supplier contact details, explanations of relevant laws e.g. class of recalls etc.
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>Non-Compliance</b>	0	10	Testing of recall procedures should be performed at least annually. Documentation should include time taken to carry out the mock recall, reconciliation of product, copies of relevant traceback paperwork and notes of any findings from the mock recall.
2.2.4	Is there a written procedure for handling on hold or rejected products?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
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	<b>Yes. Audited five chemicals had their MSDS on file.</b>
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?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.3.3			3	3	

		<b>Total Compliance</b>				
	Is there a chemical inventory and/or usage log?	<b>Total Compliance</b>				<b>Yes. Chemical usage and inventory records are maintained.</b>
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?	<b>Minor Deficiency</b>	7	10	Ice and water systems should have specific SOP's which describe process of changing the water, performing and recording antimicrobial strength testing (including parameters, frequency of testing, methodology and corrective action requirements).	<b>There is no SOP for changing the dump tank water. (records indicate changing of water is done after every day's production). There is a SOP for testing the dump tank water for pH, chlorine concentration and temperature and these records are maintained.</b>
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		<b>Yes.</b>
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		<b>Yes.</b>
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		<b>Yes.</b>
2.5.1	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		<b>Yes.</b>
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		<b>Yes. Inspections and the related corrective actions are on file.</b>
2.5.3	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	<b>Total Compliance</b>	10	10		<b>Yes. Water pH, temperature and chlorine of the dump tank is checked daily.</b>
2.5.4	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water	<b>N/A</b>	0	0		<b>N/A. No ice is used in packing operation.</b>

	and ice solutions prior to start up and throughout the production runs?				
2.5.5	Is there a hand/foot/tool dip station log?	<b>Total Compliance</b>	3	3	<b>Yes.</b>
2.5.6	Is there a daily pre-operation inspection log?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.5.7	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. These are done daily.</b>
2.5.8	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.</b>
2.5.9	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. They are inspected daily by immediate supervisor and monthly by the food safety coordinator.</b>
2.5.10	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.5.11	Does the facility have relevant supplier third party audit certifications, third party audit reports and/or letters of guarantee for product raw material, processing aids and other ingredients?	<b>Total Compliance</b>	15	15	<b>Yes.</b>
2.5.12	Does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for packaging items?	<b>Total Compliance</b>	15	15	<b>Yes.</b>
2.5.13	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	<b>Total Compliance</b>	10	10	<b>Yes.</b>
2.5.14	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.6.1	Does the facility have a preventative maintenance program and schedule?	<b>Minor Deficiency</b>	7	10	Preventative maintenance program can help prevent equipment failure that can result in physical or chemical contamination of products. <b>PM schedule is listed. Isolated tasks are not recorded when completed.</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.</b>

2.6.3	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
2.6.4	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.</b>
2.6.5	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	<b>Total Compliance</b>	10	10		<b>Yes. Adequate SSOPs are on file.</b>
2.6.6	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.</b>
2.6.7	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.</b>
2.6.8	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. Outside contractor is used for cooler works and records are maintained.</b>
2.7.1	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
2.7.2	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	<b>Total Compliance</b>	5	5		<b>Yes.</b>
2.7.3	Are there logs of ongoing employee food safety education training with topics covered and attendees?	<b>Total Compliance</b>	10	10		<b>Yes.</b>
2.7.4	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	<b>Minor Deficiency</b>	3	5	Sanitation training should ensure that the staff understand the importance of proper sanitation, how to use the cleaning chemicals and how to understand Sanitation Standard Operating Procedures.	<b>Isolated sanitation employees trainings are not on file.</b>
2.7.5	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>Total Compliance</b>	5	5		<b>Yes.</b>
2.8.2	Are there records of routine environmental microbiological testing?	<b>Minor Deficiency</b>	3	5	Environmental microbiological testing is used to determine	<b>Environmental testing not occurring at the right frequency. Only</b>

effectiveness of cleaning and sanitization programs. **one test and location is tested in last 12 months.**

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.</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 here.</b>
2.9.1	Are there temperature logs for the packing room (if refrigerated)?	<b>N/A</b>	0	0	<b>N/A. Packing room is not refrigerated.</b>
2.9.2	Are there temperature logs for storage rooms?	<b>Total Compliance</b>	5	5	<b>Yes.</b>
2.9.3	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>
2.9.4	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	<b>Total Compliance</b>	10	10	<b>Yes.</b>

## 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 fenced at all perimeters.</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. Cameras, locks and alarm systems are used.</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.</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.</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.</b>	
3.2.3	Are employees issued non-reproducible identification badges?	<b>Total Compliance</b>	5	5		<b>Yes. ID badges have the employee photo.</b>	
3.2.4			5	5		<b>Yes.</b>	

	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	<b>Total Compliance</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	Yes.
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. Product comes from own farms on a flat bed vehicle.</b>
3.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	<b>Total Compliance</b>	3	3	Yes.
NEW 3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio?	<b>Total Compliance</b>	3	3	Yes.
3.4.1	Are potable and non-potable water supply clearly identified?	<b>N/A</b>	0	0	<b>N/A. Only city water is used here.</b>
3.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	<b>Total Compliance</b>	3	3	Yes.
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?	<b>Total Compliance</b>	3	3	<b>Yes. The area is caged and locked for access control.</b>
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	<b>Yes. List is posted on the walls.</b>
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.
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.
3.5.5	Is there a 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.

### 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.	
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		<b>N/A. Minors are not employed here.</b>	
4.1.3	If Minors are employed, are they prohibited	N/A	0	0		<b>N/A. Minors are not</b>	

	from doing certain jobs which are restricted by law?				employed here.
4.2.1	There are no allergen risks handled or stored on site?	Yes	0	0	Yes.
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. There are no allergen containing products received, packed, stored or shipped from here.
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. There are no allergen containing products received, packed, stored or shipped from here.
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. There are no allergen containing products received, packed, stored or shipped from here.
4.2.5	Does re-work handling take into account the issue associated with allergen containing products?	N/A	0	0	N/A. There are no allergen containing products received, packed, stored or shipped from here.
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. There are no allergen containing products received, packed, stored or shipped from here.
4.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0	N/A. There are no allergen containing products received, packed, stored or shipped from here.
4.3.1	Is the company labeling retail packaging with the correct country of origin? N/A for food service.	Yes	0	0	Yes.
4.3.2	Is the company labeling the finished goods carton with the correct country of origin? N/A for food service.	Yes	0	0	Yes.
4.3.3	Are there records that support the country of origin labeling e.g. bill of lading, production records, etc.?	Yes	0	0	Yes.
4.3.4	Are steps taken in the storage and production process to ensure that there is no commingling of materials from different countries (unless product will be labeled as such)?	N/A	0	0	N/A. Only USA produced products are handled here.

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

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
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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. There are no CIP systems here.
5.1.2	Is there a tool accountability program for knives and similar hand tools used in the production area?	N/A	0	0		N/A. No tools are used in packing.
5.1.3	Is there a list of approved commodity/ingredient suppliers?	Major Deficiency	1	5	There should be a list of approved suppliers of commodities and ingredients. All products and ingredients are ideally purchased from approved suppliers; where exceptions are made (e.g. market conditions) approval from management should be documented.	Several items and their suppliers are not on the list.
5.1.4	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	Total Compliance	3	3		Yes.
5.1.5	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	Total Compliance	3	3		Yes.
5.1.6	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Total Compliance	5	5		Yes.
5.1.7	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?	Total Compliance	3	3		Yes.
5.1.8	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).	Total Compliance	3	3		Yes.
5.1.9	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	Total Compliance	5	5		Yes.
5.1.10	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?	N/A	0	0		N/A. There is no waste water system here.
5.1.11	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	Total Compliance	3	3		Yes.

records are changed after initial entry?

Audit Scoring Summary			
✔	Good Manufacturing Practices	Score	695
		Possible Points	716
		Percent Score	97%
✔	Food Safety File Requirements	Score	312
		Possible Points	357
		Percent Score	87%
✔	Miscellaneous Survey Questions	Score	0
		Possible Points	0
		Percent Score	0%
✔	<b>Total</b>	<b>Score</b>	<b>1007</b>
		<b>Possible Points</b>	<b>1073</b>
		<b>Percent Score</b>	<b>94%</b>

Food Security Scoring Summary			
✔	Food Security	Score	99
		Possible Points	99
		Percent Score	100%
✔	<b>Total</b>	<b>Score</b>	<b>99</b>
		<b>Possible Points</b>	<b>99</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	26
		Possible Points	30
		Percent Score	87%
✔	<b>Total</b>	<b>Score</b>	<b>26</b>
		<b>Possible Points</b>	<b>30</b>
		<b>Percent Score</b>	<b>87%</b>

Percentage/Category
95–100 Superior
90–94 Excellent
85–89 Good

Point System For Individual Questions				
Question Points	Total Compliance	Minor Deficiency	Major Deficiency	Non Compliance
15 Point Question	15 points	10 points	5 points	0 points
	10 points	7 points	3 points	0 points

<b>80–84 Standard</b>
<b>&lt;80 Unsatisfactory</b>

10 Point Question				
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).