



Revision 0



PrimusGFS Cooling/Cold Storage Audit Final Audit Report Audit Report Summary	PLC-PGFS-199 Audit #1-1221 Audited by PrimusLabs.com	PrimusGFS Version 1.6 – Feb 10
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Organization:	Jakov P. Dulcich & Sons, Inc. Contact: Ida Parr Address: 31956 Peterson Road 93250 Location: McFarland California United States Phone Number: 661-792-6360
Cooling/Cold Storage:	Jakov P. Dulcich & Sons, Inc. Contact: Ida Parr Location: 31956 Peterson Road 93250 McFarland California United States
Shipper:	Sunlight International Sales
Audit Type:	Cooling/Cold Storage A Cooling and Cold Storage facility receiving grapes from its own farms in final packing units. Grapes are pre-cooled, stored and shipped. Refrigeration is ammonia based. The farm equipment and packaging areas on the north side of the facility were not included in the scope of this audit. Scope includes a survey of facility operations, surrounding grounds and review of required food safety files.
Audit Scope:	
Date Audit Started:	09/28/2010 08:00
Date Audit Finished:	09/28/2010 14:00
Product(s):	Grapes
Auditor:	<u>Andy Alonzo</u> (PrimusLabs.com)
Audit Score Average:	95.49% Score after acceptance of corrective actions: 98.18%

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HACCP System Requirements

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FSMS – Management System

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.01.01	Is there a documented food safety policy detailing the company's commitment to food safety?	Total Compliance	5	5	Yes. A food safety document detailing the Company's commitment to food safety was available for review. Company posts a mission statement in the reception area.	
1.01.02	Is there a food safety manual or other documented food safety management system covering the scope of business included in this audit and procedures/instructions for all food safety processes?	Total Compliance	5	5	Yes. Four binders are used to store the documented food safety management system covering the scope of this audit. Binders covered procedures and instructions for all activities pertaining to the food safety processes.	

1.01.03	Is there a detailed organizational structure chart of all employees whose activities affect food safety?	Total Compliance	3	3	The organizational structure did not include all support personnel whose activities affect food safety. By example, internal transport vehicle operators.
1.01.04	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Total Compliance	5	5	Yes. A food safety committee consisting of four employees from different disciplines within the organization was formed. Nabor Torrez, Ida Parr, Mary Ann Bisogno and Delia Hilliard. Ida Parr is the Team Leader. Last food safety meeting held on 14 September 2010 to review audit results and assign tasks. There was no signed attendance sheet to verify attendance.
1.01.05	Is there documented management verification of the entire food safety management system on at least an annual basis?	Total Compliance	5	5	This is a seasonal operation June through December. Company performs monthly internal audits and one third party audit to verify the entire food safety management system. Corrective actions were not available for review for internal audits.
1.01.06	Is there a documented analysis detailing resources required to implement and improve the food safety management system processes with documented commitment from senior management to provide these resources?	Non-Compliance	0	5	No. A document detailing resources needed to improve the food safety management system had not been developed. A document from senior management to provide required resources was not available.

FSMS – Records Requirements

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.02.01	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?	Total Compliance	3	3	Yes. There was no evidence of any kind that records had been altered.	
1.02.02	Are all monitoring and process control records stored for a minimum period of a year or for at least the shelf life of product if greater than a year?	Total Compliance	3	3	Yes. Records are maintained in binders in chronological order for over three years.	
1.02.03	Are the written procedures available to relevant users and is a master copy maintained in a central file?	Total Compliance	5	5	Yes. A master SOP manual is maintained in the central office and copies are available for relevant users in the shipping office.	

FSMS – Procedures and Corrective Actions

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.03.01	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities performed in the field operations?	N/A	0	0	N/A This is a facility audit only.	
1.03.02	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities in the facility operations?	Total Compliance	5	5	An indexed SOP binder with instructions for activities related to food safety was available. Missing SOP for internal floor scrubber sweeper.	
1.03.03	Is there a corrective action procedure that describes the requirements for follow up and prevention of future occurrences?	Total Compliance	5	5	Yes. A corrective action plan was on file with procedures, including follow up and prevention of future occurrences.	

FSMS – Internal and external inspections

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.04.01	Is there a program for periodic self-inspections of the field operations covering any process impacting food safety and are records maintained detailing corrective actions? For Field (GAP option) this includes the growing and harvesting practices and all the related documentation and records generated.	Total Compliance	10	10	N/A This is a facility audit only.	
1.04.02	Is there a program for periodic self-inspections of the facility operations covering any process impacting food safety and are records maintained detailing corrective actions? For Facility (GMP option) includes the observation of the facility practices and all the related documentation and records generated.	Minor Deficiency	3	10	This facility used the PrimusGFS and the standard Primus Cooling and Cold storage self inspection templates to perform self inspections. Corrective actions were not dated when completed.	
1.04.03	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3	Regulatory inspections policy and procedures did not include instructions for double sampling. By example, photographs and microbiological swabs.	
1.04.04			5	5		

	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance			Yes. Primus Labs Cooling and Cold Storage yearly audits were on file and available for review.
1.04.05	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the field operations such as fertilizer and crop protection application equipment, and other equipment related to the safety of the product?	Total Compliance	10	10	N/A This is a facility audit only.
1.04.06	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the facility operations such as chemical application equipment, thermometers, metal detectors, ORP meters, pH meters and other equipment related to the safety of the product?	Total Compliance	10	10	Yes. Calibration instructions for the thermometers were on file. (pulp)

FSMS – Rejection and release of product

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.05.01	Is there a written procedure for handling on hold or rejected products?	Total Compliance	10	10	Written hold/rejected policy did not have specific instructions for hold tag, Name, Reason and Date.	
1.05.02	Are product release procedures implemented (e.g. lot signed out, when a product lot sample is undergoing an analysis, etc.) and are records available for review?	Total Compliance	5	5	Yes. A product release log was on file.	
1.05.03	Is there a documented system for dealing with customer complaints and buyer food safety complaints and are those on file, along with company responses, including corrective actions?	Total Compliance	10	10	Yes. A documented policy and recording form were on file. Form contained all required elements for documenting complaints, including follow up.	

FSMS – Supplier Monitoring

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.06.01	Are there current written specifications for all ingredients, materials, products and services purchased &/or provided that relate to product safety, are they easily accessed and there is a review process in place for the specifications?	Total Compliance	5	5	Yes. Written specifications were on file for all products and services purchased.	
1.06.02	Is there a list of approved suppliers?	Total Compliance	5	5	Yes. Approved supplier list on file. NOTE: Majority of product comes from own farming operations.	
1.06.03	Is there a written procedure detailing the selection, evaluation, approval and monitoring process of approved suppliers?	Non-Compliance	0	5	No. A written procedure detailing the selection, evaluation, approval and monitoring of suppliers was not developed.	
1.06.04	Does the organization have documented evidence to ensure that raw material, processing aids and ingredients suppliers comply with specifications, regulatory requirements and best practice guidelines?	Total Compliance	15	15		
1.06.05	Does the organization have documented evidence to ensure that packaging, materials and services suppliers comply with specifications, regulatory requirements and best practice guidelines?	Total Compliance	15	15	Yes. Letters of Guarantee with continual renewable endorsements were on file for all packaging and services.	
1.06.06	Are appropriate supplier controls in place (e.g. results of pesticide multi-residue analysis) to ensure product pesticide residues of raw material/ingredients do not exceed published MRLs?	Total Compliance	5	5	Yes. Pesticide Multiple Residue Limit testing is done at the farm level. MRL results were on file.	

FSMS – Traceability and Recall

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.07.01	Is there 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?	Total Compliance	10	10	Yes. A written document and flow chart detailed how the product is traced back to the farm and forward to the buyer.	
1.07.02	Does the organization have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	Total Compliance	15	15	Yes. Recall program complete with all required elements.	
1.07.03	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	Total Compliance	10	10	Yes. A class III mock recall was performed on 13 August 2010 for 1,715 cartons of Flame seedless grapes. Scenario was a tarry residue found on grapes. 100% of affected product was accounted for in forty minutes. Supporting documentation was on file and final report included disposition of product, and lessons learned.	
1.07.04	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Total Compliance	5	5	Yes. A NUOCA log was on file for documenting unusual occurrences.	

FSMS – Product testing

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.08.01	Based on risk assessment, is there scheduled testing program for raw materials, work in progress, packaging and finished goods?	Total Compliance	5	5	Yes. Random sampling is performed for raw materials and packaging the in the facility.	
1.08.02	If test are necessary from the risk assessment, is there evidence of the test results for raw materials, work in progress, packaging and finished goods, at the scheduled frequencies and with follow-up for identified deviations?	Total Compliance	5	5	Yes. Testing has detected no microbiological risks. This is a low risk facility. All product arrives in final packing unit. Cooling and Cold storage only.	
1.08.03	Are testing and analysis performed by licensed/accredited laboratories (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	Total Compliance	5	5	Yes. Primus Labs performs testing and is ISO 17025 certified. Zalco Laboratories performs testing and is California State Board Certified.	

GMP – General GMP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.16.01	Is there a designated person responsible for the food safety program?	Total Compliance	10	10	Yes. Ida Parr is the designated person responsible for the food safety program.	
2.16.02	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15	Yes. Chemicals are stored securely in locked cabinets and are labeled correctly.	
2.16.03	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	Total Compliance	10	10	Yes. There was no commingling of food grade and non-food grade chemicals observed during the facility tour.	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes. Adequate GMP signs were posted in English and Spanish throughout the facility.	

GMP – Pest Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.17.01	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.	Total Compliance	15	15	Yes. Products were free pests or any evidence of them.	
2.17.02	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.	Total Compliance	15	15	Yes. Packing supplies were free of pests or any evidence of them.	
2.17.03	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	10	10	Yes. The plant and storage areas were free of pests or any evidence of them.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes. The area outside of the facility was free of pest activity.	
2.17.05	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. The facility has an interior and exterior pest control program.	
2.17.06	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?	Total Compliance	10	10	Yes. Pest control devices were not located next to any exposed food products.	
2.17.07	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Total Compliance	5	5	Many exterior pest control stations had internal debris. Debris and insects were found behind and underneath all bait stations.	
2.17.08	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Missing devices within six feet on either side of three entry/exit doors. Missing devices in dock area.	
2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Not all pest control devices were identified with a number.	
2.17.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Many exterior pest control devices were not attached to cement blocks.	

GMP – Storage Areas &Packaging Materials

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.18.01	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)?	Total Compliance	15	15	Yes. Products were stored on clean pallets and off of the ground surface. Racks are used. There are no iced products or allergens stored at this facility.	
2.18.02	Is the storage area completely enclosed?	Total Compliance	10	10	Yes. The storage areas are completely enclosed. NOTE: Packaging stored outside belongs to the farming entity which is not included in the scope of this audit.	
2.18.03	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5	Yes. The facility's use is restricted to food products only.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	N/A	0	0	N/A There were no on hold or rejected products during the facility tour.	
2.18.05	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.	Total Compliance	15	15	Yes. Stored products were within the accepted tolerances for spoilage or adulteration.	
2.18.06	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Total Compliance	10	10	Yes. Storage areas were very clean, including hard to reach areas.	
2.18.07	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	Total Compliance	5	5	Yes. All products and packaging had receipt dates.	
2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Total Compliance	5	5	Yes. A FIFO policy is in effect, at this facility.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes. Temperature range is 31 to 33 degrees fahrenheit. Temperature verified at 31 degrees with posted cold room thermometer.	

GMP – Operational Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.19.01	Does the process flow, facility layout, employee control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	N/A	0	0	N/A This is a cooling and cold storage facility only.	
2.19.02	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Total Compliance	15	15	Yes. There were no potential risks from overhead contamination to stored products.	
2.19.03	Are packing and/or processing areas completely enclosed?	N/A	0	0	N/A Cooling and Cold storage facility only.	
2.19.04	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	Total Compliance	15	15	Yes. Production areas were very clean and well maintained.	
2.19.05	Is all re-work/re-packaging handled correctly?	N/A	0	0	N/A There is no re-work or re-packing done at this facility.	
2.19.06	Are raw ingredients examined before use?	Total Compliance	5	5	N/A All product arrives in final packing unit.	
2.19.07	Are finished products coded (carton and unit packaging) for the day of production?	N/A	0	0	N/A This is a cooling and cold storage facility only.	
2.19.08	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?	Total Compliance	10	10	N/A This is a cooling and cold storage facility only.	
2.19.09	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 operational condition?	Total Compliance	10	10	N/A This is a dry facility. There are no anti-microbial solutions to check.	
2.19.10	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.)?	Total Compliance	15	15	Yes. Hand washing stations were available with warm water and were adequately stocked.	
2.19.11	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	Total Compliance	15	15	Yes.	
2.19.12	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	Total Compliance	3	3	Yes. Secondary hand foam sanitizer stations were available and were well maintained.	
2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	Total Compliance	3	3	N/A There are no microbial dip stations of any kind at this facility.	
2.19.14	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Total Compliance	5	5	Yes. There was no misuse of single use containers observed.	
2.19.15	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?	Total Compliance	5	5	Yes. Re-useable containers were identified for specific use.	
2.19.16	Are food safety measuring devices working properly?	Total Compliance	3	3	Yes. All thermometers were working correctly. Verified with portable calibrated thermometer.	

GMP – Employee Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.20.01	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15	Yes. This discipline was observed during morning break.	
2.20.02	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	Total Compliance	5	5	Yes. Three employees were observed with clean and properly trimmed finger nails.	
2.20.03	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	Total Compliance	3	3	Yes. Gloves are latex free.	
2.20.04	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	Total Compliance	5	5	Yes. There were no employees observed with cuts or exposed wounds. Water proof/metal detectable blue band aids are available at this facility.	
2.20.05	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	Total Compliance	10	10	Yes.	
2.20.06	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	Total Compliance	5	5	Yes. Employees were wearing hats.	
2.20.07	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes. Employees were not observed wearing any exposed jewelry.	
2.20.08	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	Total Compliance	5	5	Yes. Employees are issued thermal coveralls.	
2.20.09	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?	Total Compliance	5	5	Yes. Hooks and racks are available for thermal coveralls.	
2.20.10	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?	Total Compliance	5	5	Yes. A designated area is available for employees to leave personal items and clothing.	
2.20.11	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5	Yes. There were no personal items observed stored in the production and storage areas.	
2.20.12	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes. Posted designated smoking and eating areas were available.	
2.20.13	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3	Yes. Items were not observed in shirts or blouse top pockets.	

GMP – Equipment

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.21.01	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15	Yes.	
2.21.02	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	10	10	Yes	
2.21.03	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	Total Compliance	15	15	Yes	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes. Thermometers independent of thermostat probes were present in all cold rooms.	
2.21.05	Are all thermometers non-glass and non-mercury?	Total Compliance	10	10	Yes	

GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact surfaces clean?	Total Compliance	15	15	Yes	
2.22.02	Are non-food contact surfaces clean?	Total Compliance	10	10	Yes	
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	N/A	0	0	N/A Product is stored in final packing unit.	
2.22.04	During cleaning are foods and packaging protected?	Total Compliance	15	15	Yes. Cold rooms are cleaned after the product is removed. Verbal confirmation from Ida Parr.	
2.22.05	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes. Cooling units in cold rooms were clean and free of aged ice and condensation.	
2.22.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5	Yes. Fan guards were clean and areas around fans was free of black deposits.	
2.22.07	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 There is no stored equipment. All equipment is used and included in daily sanitation schedule.	
2.22.08	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Total Compliance	10	10	Yes. Utensils, hoses and other items were stored on racks.	

2.22.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Total Compliance	3	3	Yes. Maintenance tools were inspected inside a maintenance storage container and were clean and corrosion free.
2.22.10	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes. All equipment and transport vehicles were free of excess lubricants and grease. NOTE: There was no evidence of grease or lubricants on floor surfaces.

GMP – General Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.01	Are spills cleaned up immediately?	Total Compliance	10	10	Yes. There was no evidence that spills are not cleaned in a timely manner.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes. All garbage receptacles were empty.	
2.23.03	Do floor drains flow in a manner that prevents contamination (e.g. from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and well maintained?	Total Compliance	5	5	Yes. Floor drains drain directly into the drain system. Drains were clean and odor free.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes. All high level areas appeared to be clean.	
2.23.05	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Total Compliance	5	5	Yes. Plastic strip curtains were clean and properly trimmed and not touching the floor surface.	
2.23.06	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	Total Compliance	3	3	Yes. Safety equipment for the sanitation crew included rubber boots, rubber gloves, face shield and apron. Equipment was in good condition and readily available.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes. Cleaning equipment is stored in closets and janitorial push buckets.	
2.23.08	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Total Compliance	5	5	Yes. Cleaning code adequately identified all areas in the facility.	
2.23.09	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5	Yes	
2.23.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes. Toilet and hand wash facilities were very clean.	
2.23.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes. Employee locker room was clean with no food stuffs left out and unattended. Lockers are provided.	
2.23.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	Total Compliance	5	5	Yes. Maintenance shop was clean and organized.	
2.23.13	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?	Total Compliance	5	5	Yes. All internal transport vehicles were clean and used in a sanitary manner.	
2.23.14	Are shipping trucks clean and in good condition?	N/A	0	0	N/A There were no shipping trucks present to inspect during the facility tour.	

GMP – Buildings and Grounds

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.24.01	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	Total Compliance	15	15	Yes. All lights in the production areas were protected.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	The glass windows and incidental glass items found in the shipping and control rooms were not listed on a glass registry. NOTE: Registry is generic and not specific where glass and brittle items are located.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes. Wooden items and surfaces have been eliminated.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes	
2.24.05	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3	Yes	
2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Total Compliance	10	10	Yes. Floor surfaces were smooth and clean with no debris capturing cracks that would impede cleaning performance.	
2.24.07	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes	
2.24.08	Are doors to the outside pest proof?	Total Compliance	5	5	Yes. All dock doors and passage doors were properly fitted in casing and rubber floor thresholds made secure contact with the floor.	
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes	
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest	Total Compliance	3	3	Yes	

2.24.11	proof and debris free? 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?	Compliance Total Compliance	5	5	Yes
2.24.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Total Compliance	5	5	Yes. Interior walls and ceiling were free of cracks and crevices to prevent pest intrusion and allow for proper cleaning.
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	N/A	0	0	N/A There are no false ceilings.
2.24.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Total Compliance	5	5	Yes. An 18 inch wall perimeter spacing is maintained within the cold rooms and storage areas.
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5	Yes. Exterior area immediately outside of the facility was free of litter, weeds and standing water.
2.24.16	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)?	Total Compliance	5	5	Yes. Pallets and old equipment are not stored against the building. Designated areas have been assigned for regular pallets and CHEP pallets.
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes. Forklift drivers are trained to inspect pallets prior to use.
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes. Dumpster area was clean. Daily pickup
2.24.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5	Yes
2.24.20	Are all water lines protected against back siphonage?	Total Compliance	5	5	
2.24.21	Is the on-site laboratory (where appropriate) completely enclosed and separated from production and storage areas?	Total Compliance	5	5	

GMP – Chemicals Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.25.01	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Total Compliance	5	5	MSDS manual missing MSDS sheet for commercial propane.	
2.25.02	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	Total Compliance	5	5	Yes. Specimen labels were included in the MSDS manual.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes. A chemical inventory and usage log reflected current inventory, usage and restocking.	
2.25.04	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 This is a dry facility. There are no wash steps.	

GMP – Pest Control Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.26.01	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?	Total Compliance	15	15	A pest control binder provided by Terminex Pest Control was missing the Operator's current Structural Operator License Certificate. The binder included liability policy, contract and applicator/technician licenses.	
2.26.02	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	Total Compliance	10	10	Yes. A current schematic drawing showing the locations of interior and exterior pest control devices was available for review.	
2.26.03	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Total Compliance	10	10	Service reports did not detail specific activity and recommendations.	

GMP – Operation Monitoring Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.27.01	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	Total Compliance	5	5	Yes. Incoming goods inspection log was reviewed during the facility tour.	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Total Compliance	10	10	Yes. Inspection logs for incoming trailers for pests and sanitary condition were reviewed at receiving office and were in good order.	
2.27.03	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?	N/A	0	0	N/A There are no process monitoring activities at this facility.	
2.27.04	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	N/A	0	0	N/A There are no anti-microbial solutions at this facility.	
2.27.05	Is there a hand/foot/tool dip station log?	N/A	0	0	N/A There are no dip stations of any kind at this facility.	
2.27.06	Is there a tool accountability program for knives and similar hand tools used in the production area?	Total Compliance	3	3	Yes. Maintenance mechanics and technicians are responsible for their tools, whenever they are inside the facility. Verbal confirmation from Ida Parr.	
2.27.07	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes.	
2.27.08	If the site is new, has the site been risk assessed for adjacent land use, flooding, environmental pollutants and other food safety issues?	Total Compliance	5	5	N/A This is not a new facility.	
2.27.09	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?	Total Compliance	10	10	N/A There are no waste water treatments performed at this facility.	
2.27.10	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. An annual certificate of inspection for the backflow devices was available for review.	

GMP – Maintenance & Sanitation Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.28.01	Does the facility have a preventative maintenance program and schedule?	Total Compliance	10	10	Yes. All preventative maintenance work is done in combination by outside contractors and in house mechanics. This is a seasonal operation, and all equipment is serviced at the start of the season.	
2.28.02	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10	Yes. Work order log shows what was done and initialed by the technician performing the task?	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Total Compliance	5	5	No. Work orders are not signed off showing equipment is cleaned and sanitized after maintenance work has been completed.	
2.28.04	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Total Compliance	10	10	Yes. A master sanitation schedule showing what, where and how often cleaning is done was developed. NOTE: This is a short seasonal facility.	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10	An SSOP for the mechanized floor scrubber/sweeper had not been developed.	
2.28.06	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Total Compliance	5	5	Yes. Sanitation logs were reviewed during the facility tour and were in good order.	
2.28.07	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.)?	Total Compliance	5	5	N/A There are no CIP activities at this facility.	
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	Non-Compliance	0	5	No. ATP bioluminescence testing is not done at this facility.	
2.28.09	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	Non-Compliance	0	5	No. A floor drain log has not been developed.	
2.28.10	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	Total Compliance	10	10	Yes. Invoices from Industrial Refrigeration were on file showing that cooling units are serviced at least on an annual basis.	
2.28.11	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	Total Compliance	5	5	Yes. Glass management policy with cleanup procedures and glass registry had been developed.	

GMP – Employee Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.29.01	Do employee records have logs of new employee food safety (GMP) orientation training (with topics covered and attendees), and a document signed by each employee stating they will comply with the operations personal hygiene and health policies?	Total Compliance	5	5	Yes. Employee orientation and training records with topics covered and attendance sheets were available for review. A sample document required by employees to sign they will comply with all company policies was included in the training binder.	
2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes. Last ongoing employee food safety training session was performed on 20 September 2010 covering personal hygiene. Signed and dated attendance sheet was available for review.	
2.29.03	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	Total Compliance	5	5	Yes. A documented training program for the sanitation crew covering best practices and use of chemicals was included in the GMP manual. Training session held on 14 September 2010.	
2.29.04	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	
2.29.05	Are there written sickness reporting and return to work procedures?	Total Compliance	3	3	Yes	
2.29.06	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes. Verbal confirmation from Ida Parr that corrective actions are taken immediately if an employee does not comply with company policy.	
2.29.07	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene and health policies?	Total Compliance	3	3	Yes.	

GMP – Testing/Analyses Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.30.01	Are there records of routine equipment microbiological testing?	N/A	0	0	N/A This is a dry facility.	
2.30.02	Are there records of routine environmental microbiological testing?	N/A	0	0	N/A This is a dry facility.	
2.30.03	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes. An annual microbiological test is taken from water used inside the facility. Last test results taken on 8 August 2010 by Zalco Laboratories were absent for Generic E-Coli and Total Coliform .	
2.30.04	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	Total Compliance	5	5	N/A There is no ice used or manufactured at this facility.	

GMP – Temperature Controlled Storage & Distribution Logs

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.31.01	Are there records of final product temperature checks for temperature sensitive product?	N/A	0	0	N/A This is a cooling and cold storage facility only.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	N/A	0	0	N/A This is a cooling and cold storage facility only	
2.31.03	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes. Cold room temperature logs were on file.	
2.31.04	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5	Yes. Temperature checks are done on all shipping trucks. Forklift drivers check temperatures and record on a checklist.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes. Sanitary condition logs were reviewed at the shipping office and included checking for odors and cleanliness.	

HACCP – Applicability of HACCP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.01.01	Is there need of a HACCP system to be developed and implemented in the operation? Only YES or NO answer is allowed. IF YES, go to 3.02.01	Yes	0	0		
3.01.02	If the company has determined that a HACCP system is not needed for the operation, is there a documented hazard analysis of all steps of each process showing that all hazards can be controlled through the implementation of prerequisite programs negating the need to develop and implement a complete HACCP system? If YES, the rest of the HACCP Module is not applicable.	Yes	15	15		

HACCP – Management Support of HACCP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.02.01	Is there a team responsible for HACCP development, implementation and on-going maintenance which is chaired by the site HACCP coordinator?	Total Compliance	15	15		
3.02.02	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	Total Compliance	10	10		
3.02.03	Are changes in the process, equipment, ingredients, etc., causing timely reviews of HACCP systems including hazard analysis, CCP decisions, CCP records and staff training?	Total Compliance	10	10		
3.02.04	Is the plant conducting self audits of the HACCP program?	Total Compliance	10	10		
3.02.05	Have standard operating procedures (SOPs) been created for the monitoring process of the HACCP System, which would include how to carry out the monitoring activities?	Total Compliance	10	10		
3.02.06	Is there a person or group responsible for all the records generated through the monitoring activities of the HACCP plan?	Total Compliance	5	5		
3.02.07	Are the records maintained in an organized and retrievable manner?	Total Compliance	5	5		
3.02.08	Are there security measures to insure against HACCP monitoring activity record loss?	Total Compliance	5	5		

HACCP – Review of the Written HACCP plan

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.03.01	Does a product description exist for each product produced? Do they contain the products intended use, materials and raw ingredients, and who the intended consumer is?	Total Compliance	10	10		
3.03.02	Has the process been flow charted? Is the flow chart in sufficient detail to completely describe the process or product manufacturing steps?	Total Compliance	15	15		
3.03.03	Has a documented hazard analysis for the process been conducted, showing the various types of hazard and their associated severity?	Total Compliance	15	15		
3.03.04	Have CCPs been developed to control the hazards identified in the hazard analysis step?	Total Compliance	15	15		
3.03.05	Have monitoring requirements and frequencies been determined for the CCPs?	Total Compliance	15	15		
3.03.06	Are identified CCP critical control limits supported by validation document?	Total Compliance	15	15		
3.03.07	Is there a clear detailed action plan for operators to follow if the limits are exceeded? Does it describe plans to adjust the process back into control and withhold out of compliance products if necessary?	Total Compliance	10	10		
3.03.08	Have recording templates (recording forms) been developed for monitoring the CCPs?	Total Compliance	10	10		
3.03.09	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	Total Compliance	10	10		
3.03.10	Have verification plans and schedules been developed for each CCP?	Total Compliance	15	15		

HACCP – Execution of the HACCP plan on the Plant Floor

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.04.01	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	Total Compliance	15	15		
3.04.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	Total Compliance	15	15		
3.04.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs ? (Interview operators to verify).	Total Compliance	5	5		
3.04.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	Total Compliance	15	15		
3.04.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	Total Compliance	10	10		
3.04.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	Total Compliance	10	10		

HACCP – Verification of the HACCP plan

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.05.01	Are monitoring and verification information reviewed and discussed at management level meetings?	Total Compliance	10	10		
3.05.02	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least annually)?	Total Compliance	5	5		

Audit Scoring Summary	
Good Manufacturing Practices Requirements	Score: 947 Possible Points: 957 Percent Score: 98.96%
Food Safety Management System Requirements	Score: 210 Possible Points: 227 Percent Score: 92.51%
HACCP System Requirements	Score: 300 Possible Points: 300 Percent Score: 100.00%
Total:	Score: 1457 Possible Points: 1484 Percent Score: 98.18%

Score System for Entire Audit Percentage/Category
95–100 Superior
90–94 Excellent
85–89 Good
<85 Not Certified