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Operation: Cooling/Cold Storage	CB Registration No. PLc–PGFS–2528–1	PrimusGFS
Final Report (Certified)	PrimusGFS ID #50257 – Cert:3	Version 1.6
Audit Report Summary	Audited by PrimusLabs	

Organization: Duran Sales Inc

    Contact(s):   Jose Duran, Maria Vidauri

    Address: 135 Allison Rd 95076

    Location: Watsonville, California, United States

    Phone: 831–212–5460

Cooling/Cold Storage: Duran Sales Inc

    Contact: Maria Vidauri

    Location: 135 Allison Rd 95076 Watsonville, California, United States

Shipper: Duran Sales Inc

Operation Type: **Cooling/Cold Storage**

Audit Scope: Review of the implementation of the food safety program at this dry cooling/cold storage operation where strawberries, raspberries and blackberries are received from three different local growers. Products are received, inspected, cold storage and shipping. The day of this audit only strawberries were stored.

Date Audit Started: 07/31/2014 09:00

Date Audit Finished: 07/31/2014 15:50

Product(s): Strawberries, Raspberries, Blackberries

Auditor: Isaac Santos (PrimusLabs)

Audit Percentage Score: 98.12%

Score after acceptance of corrective actions: **99.27%**   Click here to see Corrective Action Activity

GPS Coordinates:

Latitude:	**Longitude:**
36° 54' 0"	−121° 44' 0"

Certificate Link: View Certificate

Audit Scoring Summary	Pre–Corrective Action Review		Post–Corrective Action Review	
Food Safety Management System Requirements	**Score:**	192	**Score:**	192
	Possible Points:	192	**Possible Points:**	192
	Percent Score:	100.00%	**Percent Score:**	100.00%
Good Manufacturing Practices Requirements	**Score:**	732	**Score:**	743
	Possible Points:	750	**Possible Points:**	750
	Percent Score:	97.60%	**Percent Score:**	99.07%
HACCP System Requirements	**Score:**	15	**Score:**	15
	Possible Points:	15	**Possible Points:**	15
	Percent Score:	100.00%	**Percent Score:**	100.00%
Total:	**Score:**	939	**Score:**	950
	Possible Points:	957	**Possible Points:**	957
	Percent Score:	98.12%	**Percent Score:**	99.27%

Non–Conformance Summary By Count	Pre–Corrective Action Non–Conformances	Post–Corrective Action Non–Conformances (NC's without completed CA's)
Food Safety Management System Requirements	0	0
Good Manufacturing Practices Requirements	5	1
HACCP System Requirements	0	0
Total:	5	1

Sections:

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, the company has a documented food safety policy with a clear statement and commitment including a continuous letter of guarantee to meet the food safety needs of its products, signed off by the company's president Mr. Ed Duran on July 28, 2014.	
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, the company has developed a food safety manual covering the scope of business of this audit, including procedures or work instructions for all 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	Yes, there is a detailed organizational structure chart of the food safety employees, including job functions, responsibilities, reporting structure and alternates.	
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, the food safety committee integrated by three members has documented quarterly meetings showing topics covered and signed off by attendees. The most recent is dated on May 14, 2014.	
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	Yes, the entire food safety management system is verified quarterly by all three members of the food safety committee. The most recent verification is dated on July 4, 2014.	
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?**	**Total Compliance**	5	5	Yes, the resources required to maintain and improve the food safety management system were reviewed and approved by the company's president Mr. Ed Duran on 7/4/2014.	

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, non–corrective fluid policy is documented and implemented, there were not correction fluid, pencil and/or erasable ink text used on documents.	
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, the record retention policy states to keep all food safety records for a minimum period of two 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.	

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, field operations are not included in the scope of this audit.	
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	Yes, there are documented SOPs for the food safety related activities in the facility.	
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, there is corrective action SOP describing the requirements for follow up and prevention of future occurrences created on 4/25/2014 by M.S. Maria Vidauri, including a corrective action report form.	

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 relate documentation and records generated.**	**N/A**	0	0	N/A, field operations are not included in the scope of this audit.	
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 relate documentation and records generated.**	**Total Compliance**	10	10	Yes, a self–inspection of the facility was conducted by M.S. Maria Vidauri on 7/28/2014, detailing corrective actions.	
1.04.03	**Are there written procedures for handling regulatory inspections?**	**Total Compliance**	3	3	Yes, procedures for handling regulatory inspections are detailed on the document 1.04.03, created on March 12, 2012, by M.S. Maria Vidauri.	
1.04.04	**Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?**	**Total Compliance**	5	5	Yes, there are records of contracted inspection PrimusGFS audit # 31077, dated on 7/9/2013, detailing company responses and corrective actions.	
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?**	**N/A**	0	0	N/A, field operations are not included in the scope of this audit.	
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, procedures for the calibration of thermometers are detailed on doc. PTK–FA010, detailing weekly calibrations, the most recent is dated on 7/26/2014.	

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	Yes, there is a procedure for handling on hold or rejected products (Hold Disposal and Release Policy), detailed on document #11.	
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, there is an on hold &rejected material disposition log.	
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, the system for dealing with customer complaints and buyer food safety complaints is outlined on document #12, created on 3/12/12, including a complaint recording form for this purpose.	

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, there are current written specifications for services provided to the company as laboratory services, refrigeration unit services, chemical suppliers, water and waste utilities and maintenance services, etc.	
1.06.02	**Is there a list of approved suppliers?**	**Total Compliance**	5	5	Yes.	
1.06.03	**Is there a written procedure detailing the selection, evaluation,**	**Total**	5	5	Yes, there is a supplier approval	

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
	approval and monitoring process of approved suppliers?	Compliance			&monitoring SOP, identified as document SA−1, created on 5/31/2012, detailing the selection, evaluation, approval and monitoring process of all approved suppliers.	
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?	N/A	0	0	N/A, the organization does not have suppliers of raw material, processing aids and/or ingredients.	
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, the organization has a current letter of guarantee from his supplier of packaging material Robert Mann Packing, copies of laboratory accreditations and letters of guarantee from suppliers of services.	
1.06.06	Are appropiate 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, there operation has results of pesticide multi−residue analysis from suppliers of products (e.g. authorization # 14.04881, 14.04882) for Methyl Carbamates, Organohalides and Organophosphates, reporting MRL compliance with US and Canadian.	

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, the organization has a documented product tracking system, thereby enabling trace back and trace forward to occur in the event of a potential recall issue. Doc. PTK FA002.	
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, procedures, recall team roles, contact details, external contact listings, explanation of different classes of recalls are detailed on the recall program.	
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 testing of recall was completed on 7/28/2014, involving 6 pallets with 108 boxes of strawberries each, with a possibly microbiological contamination, totally (100%) accounted in twenty six minutes, from 3:30 PM to 3:56 PM. Documents supporting the exercise and lessons learned were on file.	
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.	

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, based on their risk assessment, microbiological testing is conducted on products if the customer requires it.	
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, microbiological testing reports are available for review for EC, EC O157:H7 and Salmonella, reporting negative on all determinations (USM 14.053112, 14.053115, 14.053113).	
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, the laboratory used for microbiological testing of the facility water and fruit has current accreditations.	

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, the food safety program at this operation is responsibility of Mr. Ed. Duran, Jose Miguel Duran and Maria Vidauri.	
2.16.02	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15	Yes, chemicals used in the facility (cleaners) were stored in a small plastic cabinet with locks, kept in their original containers and properly labeled.	
2.16.03	Are "food grade" and "non−food grade" chemicals handled and stored in a controlled manner?	N/A	0	0	N/A, there are only chemicals used for daily maintenance (cleaners, degreasers, bleach, etc).	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes, signs supporting GMP's were posted at the facility entrance and within 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 are free from pest.	
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.	**N/A**	0	0	N/A, there are not packaging supplies stored in the facility.	
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, plant and storage areas were free of animal activity.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	**Total Compliance**	10	10	Yes, the outside area was observed clean, free of evidence 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 operation has an in house pest control program with bi–weekly rodent monitoring.	
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 are located away from exposed food products, poisonous rodent bait traps are only used by the outside facility and building perimeters.	
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	Yes, pest control devices were clean, marked bi–weekly when monitored.	
2.17.08	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	**Total Compliance**	5	5	Yes.	
2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	**Total Compliance**	5	5	Yes, pest control devices are identified by a number.	
2.17.10	Are all pest control devices properly installed and secured?	**Minor Deficiency**	3	5	External bait trap #22 located by the fence line was not secured.	

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 are properly stored to prevent cross contamination.	
2.18.02	Is the storage area completely enclosed?	**Total Compliance**	10	10	Yes, there are not products or materials stored outdoors, all storage area is completely enclosed.	
2.18.03	Is the facility's use restricted to the storage of food products?	**Total Compliance**	5	5	Yes.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	**N/A**	0	0	N/A, there were not rejected or on hold materials observed during the time of this audit.	
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, products were within 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, all storage areas were very clean.	
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, commodities are properly marked with rotation codes.	
2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	**Total Compliance**	5	5	Yes, materials are rotated using FIFO policy.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	**Total Compliance**	10	10	Yes, the storage areas were at 33 – 34 F degrees.	

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, only finished products are stored in the facility.	
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.	
2.19.03	Are packing and/or processing areas completely enclosed?	**N/A**	0	0	N/A, the facility does not pack or process any product.	
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?	**N/A**	0	0	N/A, the facility does not have production areas.	
2.19.05	Is all re–work/re–packaging handled correctly?	**N/A**	0	0	N/A, re–pack is not conducted at this facility, products are received already packed, cold storage and shipping, not manipulated in	

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments
					place.
2.19.06	**Are raw ingredients examined before use?**	**N/A**	0	0	N/A, this facility only receives finished products already packed, for cold storage and shipping.
2.19.07	**Are finished products coded (carton and unit packaging) for the day of production?**	**Major Deficiency**	3	10	Strawberries packed in clamshells are not coded with the day of production, but cartons are coded.
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?**	**N/A**	0	0	N/A, only finished products are received in closed cartons and not manipulated in place.
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?**	**N/A**	0	0	N/A, this is a very dry operation, no anti–microbial chemicals are used.
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 are adequate in number and location, working properly, with warm water and adequately stocked with disposable towels, non perfumed soap, trash cans, etc.
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, toilets are adequate in number and location and properly stocked with toilet paper, disposable towels, soap, etc.
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, alcohol based hand gel stations are used as secondary hand sanitation.
2.19.13	**Are foot dip stations adequate in number and location? Are the stations maintained properly?**	**N/A**	0	0	N/A, foot dip stations are not required for this type of operation.
2.19.14	**Are single services containers used for their intended purpose only so that potential cross contamination is prevented?**	**N/A**	0	0	N/A, there is not single use packaging material stored in place, finished products are received already packed.
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–usable containers are designated for trash.
2.19.16	**Are food safety measuring devices working properly?**	**Total Compliance**	3	3	Yes, thermometers are calibrated on a regular basis, to assure proper functioning.

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.	
2.20.02	**Are employees fingernails clean, short and if gloves are not used, free of nail polish?**	**Total Compliance**	5	5	Yes, employees fingernails are clean and short, however products are not manipulated in place.	
2.20.03	**Where gloves are used, are they latex–free (e.g. vinyl, nitrile) or powder–free latex?**	**N/A**	0	0	N/A, hand gloves are not used.	
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, waterproof detectable blue bandages with a metal strip are available to be used. There were not employees observed with cuts and wounds during the time of this inspection.	
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, employees with these conditions are excluded from operations involving direct and indirect food contact, however there were not employees observed showing these conditions during the time of this inspection.	
2.20.06	**Are employees wearing hair nets (or similar hair restraints) and beard–nets?**	**N/A**	0	0	N/A, products are received already packed and not manipulated in place.	
2.20.07	**Is jewelry confined to a plain wedding band?**	**Total Compliance**	3	3	Yes, there were not employees observed with exposed jewelry in the facility.	
2.20.08	**Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons , sleeves etc.)?**	**N/A**	0	0	N/A, outer garments are not used by employees.	
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?**	**N/A**	0	0	N/A, please refer to question 2.20.08.	
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?**	**N/A**	0	0	N/A, please refer to question 2.20.08.	
2.20.11	**Employees personal items are not being stored in the production and material storage areas?**	**Total Compliance**	5	5	Yes, personal items of the five employees working at this facility are stored in lockers by the lunchroom.	
2.20.12	**Is smoking, eating, chewing and drinking confined to designated areas?**	**Minor Deficiency**	7	10	Presence of cigarette butts were observed on the floor outside the facility building by the trucks parking area.	
2.20.13	**Are all items removed from shirt or blouse top pockets?**	**Total Compliance**	3	3	Yes.	

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.)?	N/A	0	0	N/A, there is not equipment with product contact surfaces used in place.	
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, no flaking paint, corrosion, rust and other unhygienic materials observed in the facility.	
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?	N/A	0	0	N/A, please refer to question 2.21.01.	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes. thermometers are present in all cold storage rooms.	
2.21.05	Are all thermometers non–glass and non–mercury?	Total Compliance	10	10	Yes, all thermometers used in the facility are free from glass and mercury.	

GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact surfaces clean?	N/A	0	0	N/A, this is a cooling/cold storage operation with no food contact surfaces, the product is received already packed and not manipulated in place.	
2.22.02	Are non–food contact surfaces clean?	Total Compliance	10	10	Yes, non–food contact surfaces were observed clean.	
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	N/A	0	0	N/A, the operation does not use barrels or bins to hold or store product.	
2.22.04	During cleaning are foods and packaging protected?	N/A	0	0	N/A, cleaning activities were not observed during the time of this audit.	
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 and coils were clean and free of ice.	
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, all fan guards were clean including the ceiling in front of the fans.	
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, the operation does not use equipment with food contact surfaces.	
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, all utensils are kept out of the floor.	
2.22.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	N/A	0	0	N/A, all maintenance and repairs are contracted to outside contractors.	
2.22.10	Are excess lubricants and grease removed from the equipment?	N/A	0	0	N/A, no equipment used.	

GMP – General Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.01	Are spills cleaned up immediately?	N/A	0	0	N/A, spills did not occur during the time of this audit.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes, all storage areas were clean.	
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 are clean and free from odors.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes, high level areas look 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, all plastic strip curtains are in a good condition, clean and not touching the floor.	
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 was adequate, in good condition and properly stored.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes, the cleaning equipment was stored properly.	
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 equipment is identified by a code of colors.	
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, cleaning equipment is appropriate for its designated purpose.	
2.23.10	Are toilet facilities and hand–wash stations clean?	Total Compliance	15	15	Yes, toilets and hand–wash stations were 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, the lunchroom was clean.	
2.23.12	Is the maintenance shop organized – i.e. equipment and spares	N/A	0	0	N/A, there is not a maintenance shop in	

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.13	stored in a neat and tidy fashion? 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	place, all maintenance is outsourced. Yes, internal transport vehicles are free from toxic fumes, used in a sanitary manner.	
2.23.14	Are shipping trucks clean and in good condition?	N/A	0	0	N/A, shipping trucks were not present during the this of this audit.	

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 of the facility are intact and protected.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	Yes.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes, there were not wooden items or surfaces observed in the facility.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes, lighting is adequate in the storage areas.	
2.24.05	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3	Yes, ventilation is adequate.	
2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Minor Deficiency	7	10	There was a crack observed on the floor of cold room #2.	
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, doors to the outside are pest proof.	
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes, buffers of dock doors are in good condition.	
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	Total Compliance	3	3	Yes, dock load levelers and shelters were maintained in a good condition, free from debris and pest proof.	
2.24.11	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?	Total Compliance	5	5	Yes, exterior walls are free of holes.	
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.	
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	N/A	0	0	N/A, the facility building does not have false ceiling areas.	
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, internal wall perimeter was adequate for inspection and cleaning.	
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5	Yes, the exterior area immediately outside the facility was observed 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, only pallets were stored outside the facility, kept on a concrete floor, dry and clean.	
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes.	
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes.	
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	Yes.	
2.24.21	Is the on–site laboratory (where appropiate) completely enclosed and separated from production and storage areas?	N/A	0	0	N/A, there was not an on–site laboratory at this facility.	

GMP – Chemical 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	Yes, there were copies of MSDSs for chemicals used in the operation.	
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, there are copies of specimen labels for chemicals used.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes, a chemical inventory of products used was available, updated monthly, the most recent is dated on 7/12/14.	
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 very dry operation, no ice or water systems used.	

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	Yes, the operation has an in house pest control program.	
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 plant schematic drawing was available showing 20 numbered internal traps (tin cats) and 26 numbered bait stations by the exterior area.	
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	Yes, there are monitoring logs conducted bi–weekly in house, detailing inspection and application records and corrective actions.	

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, there are logs of incoming goods inspection.	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	**N/A**	0	0	N/A, products arrive to the facility on open flat bed trucks from local fields.	
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, such processes are not performed at this operation.	
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, anti–microbials are not used, this is a very dry operation, no wash water or ice solutions used.	
2.27.05	Is there a hand/foot/tool dip station log?	**N/A**	0	0	N/A, hand, foot and tool dip stations are not used at this very dry operation.	
2.27.06	Is there a tool accountability program for knives and similar hand tools used in the production area?	**N/A**	0	0	N/A, hand tools are not used in the facility.	
2.27.07	Is there a daily pre–operation inspection log?	**Total Compliance**	5	5	Yes, a daily pre–operation inspection log was available.	
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?	**N/A**	0	0	N/A, the site is not new.	
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?	**N/A**	0	0	N/A, there are not waste water treatments in place.	
2.27.10	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	**Non–Compliance**	0	3	No, there is not a certificate of inspection for the backflow prevention systems on water lines.	

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, there is a scheduled preventative maintenance program for the facility and equipment.	
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, maintenance and repairs are contracted to external contractors, signed off when work is completed.	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	**Total Compliance**	5	5	Yes, post maintenance sanitation is documented.	
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 for daily, weekly, bi–weekly and monthly cleaning activities is available..	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	**Total Compliance**	10	10	Yes, SSOPs for the facility and equipment were available.	
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 showing what, when and who carried out each cleaning were on file.	
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.)?	**N/A**	0	0	N/A, this is a very dry operation, not cleaning re–circulating water systems used in place.	
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	**N/A**	0	0	N/A, there is not equipment with food contact surfaces in place, finished products are received in closed cartons which are not manipulated in place.	
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)?	**Total Compliance**	5	5	Yes, logs indicating that floor drains are cleaned on a daily basis are available.	
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, there are records showing that cooling units are serviced and cleaned 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 and procedures are available on document 2.28.11.

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, new employees training on food safety (GMP) issues with topics covered and signed off by each employee stating they will comply with the operations personal hygiene and health policies.	
2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	**Total Compliance**	10	10	Yes, ongoing employee food safety education training with topics covered and attendees is available, dated on 4/8/14, 6/2/14 and 7/28/14, for all five employees.	
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, the sanitation employees are trained every season, the most recent training is dated on July 28, 2014.	
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, there are documented procedures in place for employees with such requirements.	
2.29.05	Are there written sickness reporting and return to work procedures?	**Total Compliance**	3	3	Yes, doctor's release or supervisor approval is required.	
2.29.06	Is there an employee non–compliance/disciplinary action procedure (verbal confirmation accepted)?	**Total Compliance**	3	3	Yes, an employee non–compliance/disciplinary action procedure is available.	
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, all visitors and contractors are required to sign this commitment.	

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, very dry operation with no equipment used in place.	
2.30.02	Are there records of routine environmental microbiological testing?	**N/A**	0	0	N/A, very dry operation with no wet storage.	
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, there is an annual microbiological city water test sampled within the facility, reporting for E.C. and T.C. < 1 MPN/100 ml, on both determinations.	
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?	**N/A**	0	0	N/A, ice is not used at this operation.	

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?	**Total Compliance**	10	10	Yes, records of final product temperature checks are available.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	**N/A**	0	0	N/A, the operation does not perform any packing activities.	
2.31.03	Are there temperature logs for storage rooms?	**Total Compliance**	5	5	Yes, there are temperature logs for storage rooms.	
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, shipping truck temperature checks are documented.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	**Total Compliance**	10	10	Yes, sanitary condition of shipping trucks is documented.	

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	**No**	0	0	No. Products arrive to the facility already packed, cold stored and shipped, not manipulated or transformed in place.	
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	**Yes**	15	15	Yes, there is a documented hazard analysis covering all steps of each process showing that all hazards can be controlled through the implementation of prerequisite programs.	

of the HACCP Module is not applicable.

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?	N/A	0	0		
3.02.02	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	N/A	0	0		
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?	N/A	0	0		
3.02.04	Is the plant conducting self audits of the HACCP program?	N/A	0	0		
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?	N/A	0	0		
3.02.06	Is there a person or group responsible for all the records generated thru the monitoring activities of the HACCP plan?	N/A	0	0		
3.02.07	Are the records maintained in an organized and retrievable manner?	N/A	0	0		
3.02.08	Are there security measures to insure against HACCP monitoring activity record loss?	N/A	0	0		

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?	N/A	0	0		
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?	N/A	0	0		
3.03.03	Has a documented hazard analysis for the process been conducted, showing the various types of hazard and their associated severity?	N/A	0	0		
3.03.04	Have CCPs been developed to control the hazards identified in the hazard analysis step?	N/A	0	0		
3.03.05	Have monitoring requirements and frequencies been determined for the CCPs?	N/A	0	0		
3.03.06	Are identified CCP critical control limits supported by validation document?	N/A	0	0		
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?	N/A	0	0		
3.03.08	Have recording templates (recording forms) been developed for monitoring the CCPs?	N/A	0	0		
3.03.09	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	N/A	0	0		
3.03.10	Have verification plans and schedules been developed for each CCP?	N/A	0	0		

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?	N/A	0	0		
3.04.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	N/A	0	0		
3.04.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs ? (Interview operators to verify).	N/A	0	0		
3.04.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	N/A	0	0		
3.04.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	N/A	0	0		
3.04.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	N/A	0	0		

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?	N/A	0	0		
3.05.02	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least annually)?	N/A	0	0		

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files