

PrimusLabs.com Audit (87726) Packinghouse v05.06

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| Facility(s) | <p>Progressive Produce Contact: Gary Askenaizer Address: 5790 Peachtree Street Commerce California 90040 United States Phone Number: (213) 890-8100 Fax Number: (213) 890-8113 Email(s): primus@primuslabs.com</p> |
| Customer(s) | <p>Progressive Marketing Group Contact: Gary Askenaizer Address: 5790 Peachtree St. Commerce California 90040 United States Phone Number: 0 Email(s): gary@progressiveproduce.com</p> |
| Audit Type: | Packinghouse |
| Foreman or Contact Person (and email): | Manny Castro |
| Location/City: | Commerce |
| State: | California |
| Country: | United States |
| Date Audit Started: | 08/27/2008 07:30 |
| Date Audit Finished: | 08/27/2008 13:00 |
| Commodity(ies): | Onions, Potatoes, Fresh Vegetables |
| Auditor: | <u>Gustavo Adolfo Tamayo Reyes</u> (Tamayo, Gustavo – Subcontractor) |
| Audit Percentage Score: | 96% |
| Scoring Category: | 95-100 Superior |
| Announced Audit? | Yes |
| Audit Scope: | Packing operation, receiving raw and/or previously packed products. Washing (potatoes only), sorting, packing, cold storage and shipping. Some products are re-packed. This operation is completely in-doors. Two cold storage rooms are under re-modeling at the time of the audit; construction work is completely isolated, not posing hazard for cross contamination |
| Audit Entered By: | Gustavo Tamayo |

Other Auditing Personnel And Role: None

Additional Report Links

[See Severity Answers & Recommendations](#)

[See The Result Comparison](#)

[See The Audited Entity History](#)

Corrective Actions Response

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

Sections:

[Good Manufacturing Practices](#)

[Food Safety File Requirements](#)

[Food Security](#)

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[New Questions – Not part of overall percentage](#)

Good Manufacturing Practices

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/Picture |
|--------------|--|-------------------------|-------------|----------------|--|--|---------------|
| 1.1.1 | Is there a designated person responsible for the food safety program? | Total Compliance | 10 | 10 | | Yes, Mr. Gary Askenaizer is the food safety program coordinator. | |
| 1.1.2 | Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly? | Total Compliance | 15 | 15 | | Yes, all chemicals are safely stored inside locked cabinets. Process chemicals are kept in tamper evident containers. All containers are correctly labeled. | |
| 1.1.3 | Are "food grade" and "non food grade" chemicals handled and stored in a controlled manner? | Minor Deficiency | 3 | 5 | Only food grade lubricants should be used anywhere near product and packaging materials "food grade" and "non-food grade" materials should be stored in separate designated areas. Grease guns and containers should be labeled adequately. Access to non food grade materials should be limited to those entrusted with correct use of chemicals. | Food grade chemicals are kept in separated locked cabinet, although grease guns were not clearly designated. | |
| 1.1.4 | Are signs supporting GMP's posted appropriately? | Total Compliance | 10 | 10 | | Yes, there are plenty of signs supporting GMP policies, adequately posted where needed. | |

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| 1.2.1 | Are products or ingredients free of insects/rodents/birds or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | | Yes, there was no presence or evidence of any pest activity. |
| 1.2.2 | Are packaging supplies free of insects/rodents/birds or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | | Yes, no evidence seen. |
| 1.2.3 | Are plant and storage areas free of insects/rodents/birds or any evidence of them? | Minor Deficiency | 7 | 10 | Plant and storage areas need to be free of insects, rodents and/or birds to prevent possible physical or microbiological contamination. | Light cob web seen on the structural frame by the potatoes receiving belt. No other issues noted. |
| 1.2.4 | Is the area immediately outside the facility free of evidence of pest activity? | Total Compliance | 5 | 5 | | Yes. |
| 1.2.5 | 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, all devices are correctly located, away from food products. No poisonous bait traps are used inside the facility. |
| 1.2.6 | Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis? | Minor Deficiency | 3 | 5 | All pest control devices should be maintained clean and replaced when damaged so they will accomplish their intended use. Date of inspections should be posted on the devices as well as kept on file (unless barcode scanned). | Only two traps were unclean. Tin cats # 6 and 27. |
| 1.2.7 | Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location? | Total Compliance | 5 | 5 | | Yes. |
| 1.2.8 | Are all pest control devices identified by a number or other code (e.g. barcode) ? | Total Compliance | 5 | 5 | | Yes, they are identified by numbers. |
| 1.2.9 | Are all pest control devices properly installed and secured? | Total Compliance | 5 | 5 | | Yes. |
| 1.3.1 | Are ingredients, products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as | Total Compliance | 15 | 15 | | Yes, food products and packaging supplies are correctly stored off the ground, over clean pallets and kept in dedicated |

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| | well any allergen cross contamination issues)? | | | | | areas, to prevent cross contamination. |
| 1.3.2 | Is the storage area completely enclosed? | Total Compliance | 10 | 10 | | Yes, this operation is completely in-doors. |
| 1.3.3 | Is the facilities use restricted to the storage of food products? | Total Compliance | 5 | 5 | | Yes, only food products and related materials observed. |
| 1.3.4 | Are rejected or on hold materials clearly identified and separated from other materials? | Total Compliance | 10 | 10 | | Yes, there is a designated area. |
| 1.3.5 | Are products and ingredients, including ice, 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, no decay, spoilage or adulteration issues seen. |
| 1.3.6 | Are all storage areas clean, especially the racking structures, ceilings, floor areas by the walls and other hard to reach areas? | Total Compliance | 10 | 10 | | Yes. |
| 1.3.7 | 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. |
| 1.3.8 | Are materials (commodities, packaging, ingredients, processing aids, work in progress etc.) rotated using FIFO policy? | Total Compliance | 5 | 5 | | Yes, rotation is ruled by FIFO principles. |
| 1.4.1 | Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)? | Minor Deficiency | 10 | 15 | Overhead contamination of exposed product areas can result in microbiological, chemical and/or physical contamination. Exposed materials should be protected e.g. catwalks covered, use of kick plates, condensate catching pans etc. | One electric motor seen without drip pan. No other issues noted. |
| 1.4.2 | Are packing and/or processing areas completely enclosed? | Total Compliance | 15 | 15 | | Yes. |
| 1.4.3 | Is all re-work / re-packaging handled correctly? | Total Compliance | 10 | 10 | | Yes, re-packing is a routine activity. All applicable GMP's are followed. Tracking information is correctly transferred. |
| 1.4.4 | Are raw ingredients examined before use? | Total Compliance | 5 | 5 | | Yes. |

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| 1.4.5 | Are finished products coded (carton and unit packaging) for the day of production? | Total Compliance | 10 | 10 | Yes, cartons are coded with full tracking information. Individual packaging is marked with "best by" dates. |
| 1.4.6 | Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Where relevant are these systems tested to ensure proper operations? | Total Compliance | 10 | 10 | Yes, continuous visual inspection in place. |
| 1.4.7 | Does the facility have test strips, test kits or meters for verifying the concentration of the sanitizers (dip stations, product washing water, terminal sanitizers etc.)? | Total Compliance | 10 | 10 | Yes, ORP meters and test strips are used. Free chlorine is monitored. |
| 1.4.8 | Are hand washing stations adequate in number and location? | Total Compliance | 10 | 10 | Yes. |
| 1.4.9 | 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, enough toilet units, adequately located and well stocked. |
| 1.4.10 | Is warm water available at hand washing stations? | Total Compliance | 5 | 5 | Yes. |
| 1.4.11 | Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly? | Total Compliance | 3 | 3 | Yes, plenty of hand gel stations throughout the facility. All stations are correctly maintained. |
| 1.4.12 | Are single services containers used for their intended purpose only so that potential cross contamination is prevented? | Total Compliance | 5 | 5 | Yes. |
| 1.4.13 | Are re–usable containers clearly designated for the specific purpose (trash, raw product, finished product, re–work, ice etc.) such that cross contamination is prevented? | Total Compliance | 5 | 5 | Yes. |
| 1.4.14 | Are measuring devices working properly? | Total Compliance | 3 | 3 | Yes. |
| 1.5.1 | Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands | Total Compliance | 15 | 15 | Yes, employees seen washing hands after using the bathroom and before starting morning work. |

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| | may be contaminated? | | | | |
| 1.5.2 | Are employees with boils, sores, open wounds or exhibiting signs of food borne illness excluded from operations involving direct and indirect food contact? | Total Compliance | 10 | 10 | Yes, no issues seen. |
| 1.5.3 | Are employees wearing hair nets (or similar hair restraints) and beard-nets? | Total Compliance | 5 | 5 | Yes, all employees and visitors wear hair nets. |
| 1.5.4 | Is jewelry confined to a plain wedding band? | Total Compliance | 3 | 3 | Yes, no jewelry issues seen. |
| 1.5.5 | Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)? | Total Compliance | 5 | 5 | Yes, aprons, sleeve covers and gloves are used. |
| 1.5.6 | Do employees remove 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. |
| 1.5.7 | Is there a designated area for employees to leave aprons, sleeves and gloves when on break and before using the toilets? | Total Compliance | 5 | 5 | Yes. |
| 1.5.8 | Is smoking, eating, chewing and drinking confined to designated areas? | Total Compliance | 10 | 10 | Yes, there are signs supporting this policy. No evidence found in restricted areas. |
| 1.5.9 | Are all items removed from shirt or blouse top pockets? | Total Compliance | 3 | 3 | Yes. |
| 1.6.1 | Are food contact surfaces free of flaking paint, corrosion, rust and unhygienic materials (e.g. tape, string cardboard etc.)? | Total Compliance | 15 | 15 | Yes, no flaking paint, rust or corrosion issues seen on food contact surfaces. |
| 1.6.2 | Are non-food contact surfaces free of flaking paint, corrosion, rust and unhygienic materials (e.g. tape, string cardboard etc.)? | Total Compliance | 10 | 10 | Yes, no issues seen. |
| 1.6.3 | Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials) facilitate effective cleaning and maintenance? | Minor Deficiency | 10 | 15 | Equipment should be made of appropriate materials that can be easily cleaned and maintained, that are not porous or toxic. Equipment should be designed to allow access and easy cleaning, with no hard to get to (debris catching) areas. Welds should be smooth and not "bobbly". Isolated instance of damaged racks (first shelving level). Otherwise equipment is in good condition. |

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| 1.6.4 | Are thermometers (independent of thermostat probes) present in all coolers and freezers? | Total Compliance | 5 | 5 | | Yes. |
| 1.6.5 | Are all thermometers non-glass and non-mercury? | Total Compliance | 10 | 10 | | Yes. |
| 1.7.1 | Are food contact surfaces clean? | Total Compliance | 15 | 15 | | Yes, food contact surfaces are clean and in good condition. |
| 1.7.2 | Are non-food contact surfaces clean? | Minor Deficiency | 7 | 10 | Unsanitary non-food contact surfaces can indirectly lead to contamination of the product. Food debris, bio films, excessive dust etc. should be cleaned off equipment and facility surface in order to reduce the overall facility bio-burden. | Old debris seen underneath conveyor belt at the potatoes receiving area. No other issues noted. |
| 1.7.3 | Are items (barrels, bins etc.) that are used to hold or store product clean? | Total Compliance | 10 | 10 | | Yes. |
| 1.7.4 | During cleaning are foods and packaging protected? | Total Compliance | 15 | 15 | | Yes. |
| 1.7.5 | Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice? | Total Compliance | 5 | 5 | | Yes, cooling units are clean. No aged ice build up seen. |
| 1.7.6 | 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 are clean. No black deposits seen on walls or ceilings in front of the blowers. |
| 1.7.7 | Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use? | N/A | 0 | 0 | | N/A, all equipment is used on a daily basis. SCORE IS NOT AFFECTED. |
| 1.7.8 | Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination? | Total Compliance | 10 | 10 | | Yes. |
| 1.7.9 | Are excess lubricants and grease removed from the equipment? | Total Compliance | 5 | 5 | | Yes, no excess seen on any equipment. |
| 1.8.1 | Are spills cleaned up immediately? | Total Compliance | 10 | 10 | | Yes, there were no spills in sight. |
| 1.8.2 | Are waste and garbage frequently removed from packing and storage areas? | Total Compliance | 5 | 5 | | Yes, facility was litter free. All trash containers were clean and empty. |

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| 1.8.3 | Do floor drains appear clean, free from odors and well maintained? | N/A | 0 | 0 | N/A, there are no floor drains. SCORE IS NOT AFFECTED. |
| 1.8.4 | Do high level areas including overhead pipes, ducts, fans, etc. appear clean? | Total Compliance | 5 | 5 | Yes. |
| 1.8.5 | Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor? | Total Compliance | 5 | 5 | Yes, plastic strip curtains are correctly mounted, clean and in good condition. |
| 1.8.6 | Does the facility have safety equipment for the sanitation crew? | Total Compliance | 3 | 3 | Yes, goggles, rain suits, rubber boots, safety hats and gloves are available. |
| 1.8.7 | Is cleaning equipment available and stored properly? | Total Compliance | 5 | 5 | Yes. |
| 1.8.8 | Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment? | Total Compliance | 5 | 5 | Yes, color code has been implemented. Code chart is posted. |
| 1.8.9 | Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.) | Total Compliance | 5 | 5 | Yes. |
| 1.8.10 | Are toilet facilities and hand-wash stations clean? | Total Compliance | 15 | 15 | Yes, all toilets and hand wash stations are clean and well stocked. |
| 1.8.11 | Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs? | Total Compliance | 5 | 5 | Yes, clean and orderly. No rotting meals or out of date food stuff seen. |
| 1.8.12 | Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion? | Total Compliance | 5 | 5 | Yes, maintenance shop is clean and orderly. Equipment, tools and spares are kept in a neat and tidy manner. |
| 1.8.13 | Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners etc.), clean and being used in a sanitary manner? | Total Compliance | 5 | 5 | Yes, lift trucks and floor scrubbing machine are clean and sanitary. |
| 1.8.14 | Are shipping trucks clean and in good condition? | Total Compliance | 5 | 5 | Yes. |
| 1.9.1 | Are all lights in the production, product storage areas, packaging storage areas and maintenance shops are | Total Compliance | 15 | 15 | Yes, all lights are clean and protected. Only shatter proof light tubes are used. |

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| | clean and protected? | | | | |
| 1.9.2 | Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues? | Total Compliance | 15 | 15 | Yes, no metal, glass or plastic issues noted. |
| 1.9.3 | Has the facility eliminated the use of wooden items or surfaces? | Total Compliance | 5 | 5 | Yes. |
| 1.9.4 | Is there adequate lighting in the packing and storage areas? | Total Compliance | 5 | 5 | Yes, lighting is good enough to perform daily operations and cleaning duties. |
| 1.9.5 | Is ventilation adequate to remove dust, steam, and odors? | Total Compliance | 3 | 3 | Yes, no dust, steam or foul odors noted. |
| 1.9.6 | 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. |
| 1.9.7 | Are the floor drains where they are needed for drainage and cleanup? | N/A | 0 | 0 | N/A, there are no floor drains. SCORE IS NOT AFFECTED. |
| 1.9.8 | Are doors to the outside pest proof? | Total Compliance | 5 | 5 | Yes. |
| 1.9.9 | Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)? | Non-Compliance | 0 | 3 | Buffers around dock doors should seal against trucks to maintain temperature management. Door seals will also help maintain a pest free environment. No, dock doors are not fitted with sealing buffers. |
| 1.9.10 | Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)? | Total Compliance | 3 | 3 | Yes, loading levelers are in good condition. There are no shelters. |
| 1.9.11 | Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh? | Total Compliance | 5 | 5 | Yes. |
| 1.9.12 | Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and proper sanitation? | Total Compliance | 5 | 5 | Yes, interior walls and ceilings are in good condition. There are no holes, cracks or crevices. |
| 1.9.13 | Employees personal items are not being stored in the production and material storage areas? | Total Compliance | 5 | 5 | Yes, no personal belongings seen in the production or storage areas. |
| 1.9.14 | Is an 18" internal wall | Total | 5 | 5 | Yes, internal wall |

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| | perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ? | Compliance | | | | perimeter and spacing are well maintained. |
| 1.9.15 | Is the exterior area immediately outside the facility free of litter, weeds and standing water? | Total Compliance | 5 | 5 | | Yes, no weeds, standing water or litter noted. |
| 1.9.16 | Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)? | Total Compliance | 5 | 5 | | Yes, pallets are correctly stacked, clean and dry. |
| 1.9.17 | Are pallets inspected to separate and replace dirty or broken pallets? | Total Compliance | 5 | 5 | | Yes. |
| 1.9.18 | Is the area around the dumpster/cull truck clean? | Total Compliance | 3 | 3 | | Yes, no litter, standing water or foul odors noted. |
| 1.9.19 | Are outside garbage receptacles and dumpsters kept covered or closed? | Total Compliance | 5 | 5 | | Yes. |
| 1.9.20 | Are all water lines protected against back siphonage? | Total Compliance | 5 | 5 | | Yes. |

Food Safety File Requirements

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|--|-------------------------|-------------|----------------|----------------|--|----------------|
| 2.1.1 | 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, as part of the food safety program, there is a clear explanation of the tracking system. | |
| 2.1.2 | Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls? | Total Compliance | 15 | 15 | | Yes, fully documented recall and traceback program has been developed, including basic duties and responsibilities, recall team members, contact listings and explanation of different classes of recall procedures. | |
| 2.1.3 | 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, mock recall was conducted on August 14th, 2008, successfully completed in 1 hour and 15 minutes. Scenario is correctly described. 100% | |

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| 2.1.4 | Are there written procedures for handling regulatory inspections? | Total Compliance | 3 | 3 | of chosen products was located. Copies of documentation supporting the traceback, are on file. Yes. |
| 2.1.5 | Is there a written glass policy (including glass breakage procedure and where necessary a glass register)? | Total Compliance | 5 | 5 | Yes, written glass policy, including breakage procedures, is on file. |
| 2.1.6 | Is there a written procedure for handling on hold or rejected products? | Total Compliance | 10 | 10 | Yes. |
| 2.2.1 | 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 | 15 | 15 | Yes, MSDS are on file, correctly indexed and accessible at all times. |
| 2.2.2 | 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. |
| 2.2.3 | Is there a chemical inventory and/or usage log? | Total Compliance | 3 | 3 | Yes, chemicals usage is logged. |
| 2.3.1 | Is there a written pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator License (if baits are used) and insurance documents? | Total Compliance | 15 | 15 | Yes, written pest control program developed and managed by ORKIN pest controllers. Copies of license and current liability insurance, are on file. |
| 2.3.2 | 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, traps location map is o file. |
| 2.3.3 | Are service reports created for pest control checks detailing inspection records, application records, and corrective actions (if issues were noted) (in-house and/or contract)? | Total Compliance | 10 | 10 | Yes. |
| 2.4.1 | Are records of customer and buyer food safety complaints and rejections on file, along with company responses, including corrective actions? | Total Compliance | 5 | 5 | Yes, SOP indicating how the Customer Complaints will be handled, has been developed. Copies are on file. No food safety related complaints have been received. |
| 2.4.2 | Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any? | Total Compliance | 5 | 5 | Yes, copies of third party audits are on file. Company responses and corrective actions are documented. |

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| 2.4.3 | Are there recording logs for the necessary process monitoring activities (e.g. pH, water temperature, metal detector, labeling, heating processes etc.) showing the results and where necessary the corrective actions? | Minor Deficiency | 7 | 10 | Correctly filled logs detailing levels, time, responsible person, etc. are necessary to verify good management practices. | Free chlorine concentration is monitored, although few omissions were detected on the records reviewed. |
| 2.4.4 | Is there a hand / foot dip station log? | N/A | 0 | 0 | | N/A, there are no dip stations in place. SCORE IS NOT AFFECTED. |
| 2.4.5 | Is there a Daily Pre-operation Inspection Log? | Total Compliance | 5 | 5 | | Yes, detailed pre-operation inspection check list are used. Six different templates are used (by areas). |
| 2.4.6 | Are there equipment calibration records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product? | Major Deficiency | 3 | 10 | Records of calibration demonstrate the accuracy of equipment used. | ORP calibration records are on hand. Thermometers calibration is carried out, although activity is not logged. |
| 2.4.7 | Is there a program for periodic facility/GMP (self) inspections and are records maintained detailing corrective actions? | Total Compliance | 10 | 10 | | Yes, self GMP inspections are conducted on a quarterly basis. Findings and corrective actions are documented. |
| 2.4.8 | Does the facility have incoming goods (packing material and products) inspection data? | Total Compliance | 5 | 5 | | Yes. |
| 2.4.9 | Does the facility have supplier letters of guarantee and/or relevant supplier third party audit certifications? | Total Compliance | 15 | 15 | | Yes, letters of guarantee from all relevant suppliers are on file. Also third party audit certificates were on hand. |
| 2.4.10 | Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control? | Total Compliance | 10 | 10 | | Yes, Incoming Receiving Inspection template is used, (SOP 10.24). |
| 2.4.11 | Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ? | Total Compliance | 5 | 5 | | Yes. |
| 2.5.1 | Does the facility have a preventative maintenance program and schedule? | Total Compliance | 10 | 10 | | Yes, preventative maintenance check up lists and logs were available for review. (SOP 4.2). |
| 2.5.2 | Is there a log of maintenance work or repairs ordered and is it signed off on work completed? | Total Compliance | 10 | 10 | | Yes, work orders are issued and signed off when work is completed. |
| 2.5.3 | Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed? | Total Compliance | 5 | 5 | | Yes, post maintenance/repairs sanitation is logged in the same work orders. |

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| 2.5.4 | Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often? | Minor Deficiency | 7 | 10 | A master sanitation program must be in place that covers the entire area of the facility, equipment and all other areas of the facility. The master sanitation schedule should include a list of areas and equipment to be cleaned as well as the frequency. | Cleaning duties and frequencies have been set, except for floor scrubbing and sanitation. Master Sanitation Schedule was available for review. |
| 2.5.5 | Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment? | Total Compliance | 10 | 10 | | Yes, SSOP's have been developed. |
| 2.5.6 | Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning? | Total Compliance | 5 | 5 | | Yes. |
| 2.5.7 | Is there a log indicating that floor drains are cleaned on a regular basis (min. daily in wet and fresh-cut production areas)? | N/A | 0 | 0 | | N/A, there are no floor drains. SCORE IS NOT AFFECTED. |
| 2.5.8 | 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, cooling units service records are on file. |
| 2.6.1 | Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees? | Non-Compliance | 0 | 5 | Meetings that are either devoted or mention Food Safety Issues, should be recorded as proof of company's ongoing commitment to food safety (minimum quarterly frequency). | No, food safety committee meetings records were not available for review. |
| 2.6.2 | Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees? | Total Compliance | 5 | 5 | | Yes, food safety orientation training records are on file. Topics covered and attendees are logged. |
| 2.6.3 | Are there logs of ongoing employee food safety education training with topics covered and attendees? | Total Compliance | 10 | 10 | | Yes. |
| 2.6.4 | Is there an employee non-compliance/disciplinary action procedure? (verbal confirmation accepted). | Total Compliance | 3 | 3 | | Yes. |
| 2.7.1 | Are there records of equipment microbiological testing? | Total Compliance | 5 | 5 | | Yes, equipment microbiological tests are conducted on a monthly |

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| 2.7.2 | Are there records of environmental microbiological testing? | Total Compliance | 5 | 5 | | basis. No out of specifications detected. Yes, carried out on a monthly basis. |
| 2.7.3 | Is there at least an annual microbiological test on water used in the facility (sampled from the site)? | Total Compliance | 10 | 10 | | Yes, water test results are dated August 13, 2008. No high counts detected. |
| 2.7.4 | 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, no ice is used. SCORE IS NOT AFFECTED. |
| 2.8.1 | Are there temperature logs for the packing room (if refrigerated)? | N/A | 0 | 0 | | N/A, packing room is not refrigerated. SCORE IS NOT AFFECTED. |
| 2.8.2 | Are there temperature logs for storage rooms? | Total Compliance | 5 | 5 | | Yes. |
| 2.8.3 | Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading? | Total Compliance | 5 | 5 | | Yes. |
| 2.8.4 | Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor etc.)? | Total Compliance | 10 | 10 | | Yes. |

Food Security

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/Picture |
|--------------|---|-------------------------|-------------|----------------|----------------|--|---------------|
| 3.1.1 | Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing? | Total Compliance | 5 | 5 | | Yes, this is a completely in-doors operation. | |
| 3.1.2 | Is access to the facility controlled by guards, cards, locks, alarms or other devices? | Total Compliance | 10 | 10 | | Yes, locks, alarms and security cameras are used. | |
| 3.1.3 | Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound? | Total Compliance | 5 | 5 | | Yes. | |
| 3.1.4 | Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access? | Total Compliance | 5 | 5 | | Yes. | |
| 3.1.5 | Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound? | Total Compliance | 5 | 5 | | Yes. | |
| 3.2.1 | Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive | Total Compliance | 5 | 5 | | Yes, background checks are conducted. | |

| | | | | | | |
|-------|--|-------------------------|----|----|--|---|
| | processes (verbal confirmation accepted)? | | | | | |
| 3.2.2 | Employees personal items are not being stored in the production and material storage areas? | Total Compliance | 5 | 5 | | Yes, no issues seen. |
| 3.2.3 | Are employees issued non-reproducible identification badges? | Total Compliance | 5 | 5 | | Yes, all employees show photo ID cards. |
| 3.2.4 | Are visitors (including contractors) also required to be issued with identification badges? | Total Compliance | 5 | 5 | | Yes, visitors tags are provided. |
| 3.2.5 | Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book? | Total Compliance | 5 | 5 | | Yes. |
| 3.3.1 | Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)? | Total Compliance | 3 | 3 | | Yes. |
| 3.3.2 | Does the company make use of sealed and/or locked trailers on outbound loads? | Total Compliance | 3 | 3 | | Yes, only refrigerated/locked trucks are used on outbound loads. |
| 3.4.1 | Are potable and non-potable water supply clearly identified? | N/A | 0 | 0 | | N/A, only potable city water is used. SCORE IS NOT AFFECTED. |
| 3.4.2 | Are tamper evident water valves in place? | Total Compliance | 3 | 3 | | Yes. |
| 3.4.3 | Is there restricted access to sensitive water systems, e.g. sanitizer addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems? | Total Compliance | 3 | 3 | | Yes. |
| 3.5.1 | Does the company have documented food security policies based on the risks associated with the operation? | Total Compliance | 10 | 10 | | Yes. |
| 3.5.2 | Are all personnel required to undergo training on food security issues and are training records kept? | Total Compliance | 10 | 10 | | Yes, food security training records are on file. |
| 3.5.3 | Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage? | Total Compliance | 3 | 3 | | Yes, there is a key holders list. |
| 3.5.4 | Is there an implemented and documented system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)? | Total Compliance | 3 | 3 | | Yes, food safety and food security documentation is kept on locked cabinets, inside main office. |
| 3.5.5 | Is there a chemical inventory and/or usage log? | Total Compliance | 3 | 3 | | Yes, chemicals usage is logged. |

Miscellaneous Survey Questions

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|----------------|--------------|-------------|----------------|----------------|------------------|----------------|
|--------------|----------------|--------------|-------------|----------------|----------------|------------------|----------------|

| | | | | | |
|-------|---|-----|---|---|--|
| 4.1.1 | Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)? | Yes | 0 | 0 | Yes, all employees observed, were older than legal minimum age. |
| 4.1.2 | If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)? | N/A | 0 | 0 | N/A, no minors are employed. |
| 4.1.3 | If Minors are employed, are they prohibited from doing certain jobs which are restricted by law? | N/A | 0 | 0 | N/A, no minors are employed. |
| 4.2.1 | There are no allergen risks handled or stored on site? If N, then complete Allergens Section (next 6 questions). | Yes | 0 | 0 | Yes, there were no known allergens stored or handled in this facility. |
| 4.2.2 | Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ? | N/A | 0 | 0 | N/A, please see 4.2.1 |
| 4.2.3 | Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination? | N/A | 0 | 0 | N/A, please see 4.2.1 |
| 4.2.4 | Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination? | N/A | 0 | 0 | N/A, please see 4.2.1 |
| 4.2.5 | Does re-work handling take into account the issue associated with allergen containing products? | N/A | 0 | 0 | N/A, please see 4.2.1 |
| 4.2.6 | Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records? | N/A | 0 | 0 | N/A, please see 4.2.1 |
| 4.2.7 | Are all products manufactured on site, labeled correctly with respect to allergens? | N/A | 0 | 0 | N/A, please see 4.2.1 |

New Questions – Not part of overall percentage

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|---|-------------------------|-------------|----------------|----------------|--|----------------|
| 5.1.1 | Are employees fingernails clean, short and if gloves are not used, free of nail polish? | Total Compliance | 5 | 5 | | Yes, all employees show clean/short fingernails. Gloves are mandatory. | |
| 5.1.2 | Are production areas clean and well maintained? | Total Compliance | 15 | 15 | | Yes. | |
| 5.1.3 | 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, tools seen were rust and corrosion free. | |
| 5.1.4 | Are there written Standard Operating Procedures (SOPs) that define specific working | Total Compliance | 5 | 5 | | Yes, SOP's have been created. | |

instructions for activities required to ensure food safety and the maintenance of Good Manufacturing Practices?

| | | | | | | |
|-------|--|-------------------------|----|----|--|---|
| 5.1.5 | Are the SOP's available to relevant users and also a master copy maintained in a central file (SOP Manual)? | Total Compliance | 5 | 5 | | Yes. |
| 5.1.6 | Are there specific SOP's for the changing and testing of water and ice systems e.g. washing flumes, hydrovacs, ice making machines, ice injectors, etc.? | Total Compliance | 10 | 10 | | Yes. |
| 5.1.7 | Are there records that show anti-microbial strength testing (with corrective actions) of water and ice solutions prior to start up and throughout the production runs? | Minor Deficiency | 7 | 10 | Wash water and ice production systems using anti-microbial agents should have records showing that the strength of the solution are within stated parameters. Recycled water systems should be checked by measuring the "free anti-microbial" as opposed to bound microbial e.g. testing for free chlorine (or ORP) as opposed total chlorine. | Free chlorine monitoring records are on file, although some omissions were detected. |
| 5.1.8 | Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records etc? | Total Compliance | 5 | 5 | | Yes. |
| 5.1.9 | 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. |

| Audit Scoring Summary | | | |
|------------------------------|--------------------------------|------------------------|-------------|
| | Good Manufacturing Practices | Score | 669 |
| | | Possible Points | 692 |
| | | Percent Score | 97% |
| | Food Safety File Requirements | Score | 296 |
| | | Possible Points | 314 |
| | | Percent Score | 94% |
| | Miscellaneous Survey Questions | Score | 0 |
| | | Possible Points | 0 |
| | | Percent Score | 0% |
| | Total | Score | 965 |
| | | Possible Points | 1006 |
| | | | |

Percent Score 96%

| Food Security Scoring Summary | | | |
|--------------------------------------|---------------|------------------------|-------------|
| ✓ | Food Security | Score | 96 |
| | | Possible Points | 96 |
| | | Percent Score | 100% |
| ✓ | Total | Score | 96 |
| | | Possible Points | 96 |
| | | Percent Score | 100% |

| New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage) | | | |
|---|--|------------------------|------------|
| ✓ | New Questions – Not part of overall percentage | Score | 60 |
| | | Possible Points | 63 |
| | | Percent Score | 95% |
| ✓ | Total | Score | 60 |
| | | Possible Points | 63 |
| | | Percent Score | 95% |

| Score System For Entire Audit |
|--------------------------------------|
| Percentage/Category |
| 95–100 Superior |
| 90–94 Excellent |
| 85–89 Good |
| 80–84 Standard |
| <80 Unsatisfactory |

| Point System For Individual Questions | | | | |
|--|------------------|------------------|------------------|----------------|
| Question Points | Total Compliance | Minor Deficiency | Major Deficiency | Non Compliance |
| 15 Point Question | 15 points | 10 points | 5 points | 0 points |
| 10 Point Question | 10 points | 7 points | 3 points | 0 points |
| 5 Point Question | 5 points | 3 points | 1 point | 0 points |
| 3 Point Question | 3 points | 2 points | 1 point | 0 points |

| Compliance Categories | |
|------------------------------|--|
| Full Compliance: | To meet the question and/or compliance criteria in full. |
| Minor Deficiency: | To have minor deficiencies against the question and/or compliance criteria. To have single or isolated non-severe deficiencies (usually up to three) against the question and/or compliance criteria. To have covered most of the question compliance criteria, but not all. |
| Major Deficiency: | To have major deficiencies against the question and/or compliance criteria. To have numerous non-severe deficiencies (usually more than three) against the |

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|-----------------|---|
| | <p>question and/or compliance criteria. To have single or isolated severe deficiencies against the question and/or compliance criteria. To have covered some of the question compliance criteria, but not most of it.</p> |
| Non-Compliance: | <p>To have not met the question and/or compliance criteria requirements at all. Having systematic deficiencies against the question and/or compliance criteria (severe or non-severe issues).</p> |