


FINAL AUDIT REPORT

CB Registration No.PA-PGFS-8608-1
PrimusGFS ID #145201 - Cert:3
Audited by Primus Auditing Operations

PrimusGFS Version 2.1-2c

Operation Type:Packinghouse
Audit Report Summary

Ver en Español

Organization:	JAB Produce Contact(s): Mike Smietana Address: 2404 S. Wolcott Ave. #23 60608 Location: Chicago, Illinois, United States Phone Number: 7732267805				
Operation:	J.A.B. Produce Contact(s): Mike Smietana Location: 2404 S Wolcott Ave Chicago, Illinois 60608, United States				
Shipper:	JAB Produce, Inc.				
Operation Type:	Packinghouse				
Audit Type:	Announced Audit				
Audit Scope:	The facility includes approximately 20000 square feet of cooler space located in the Chicago Produce Terminal Market. There are 3 cooler areas owned by the auditee, 2 rented coolers, and 4 packing tables located in another rented cooler. Iced product can be received and is stored in 2 coolers. No ice machines or topping of product conducted on site. Re-packing includes breaking down of cases into smaller units. Product sold mainly to retail, groceries, and food service. The facility operates 12 months with 30 employees. Most product is picked up by customers and the facility ships on 2 trucks. Observed peppers and grapes being re-packed on the day of the audit. Observed the following commodities in coolers: onions, herbs, berries, broccoli, cabbage, carrots, cucumbers, citrus, apples, peppers, spinach, tomatoes, potatoes and various other fruits and vegetables. Pest control as follows: Terminal market(exterior)-Anderson, Company owned space-Ecolab, rented coolers and packing area- As Good As Dead, and PrestoX. There are no critical control points associated with the HACCP Program.				
Date FSMS Started:	06 Jun 2018 06:30				
Date FSMS Finished:	06 Jun 2018 08:30				
Total Amount of Time in FSMS	2.00 Hours				
Date Operation Started:	06 Jun 2018 08:30				
Date Operation Finished:	06 Jun 2018 12:00				
Total Amount of Time in Operation	3.50 Hours				
Product(s) observed during audit:	Asparagus, Basil, Blueberries, Broccoli, Cabbage, Carrots, Cilantro, Cucumbers, Fruits, Green Onions/Salad Onions/Scallions, Lettuce, Onions, Peppers, Raspberries, Spinach, Strawberries, Table Grapes, Tomatoes, Vegetables				
Similar product(s)/process(es) not observed:	None				
Product(s) applied for but not observed:	None				
Auditor:	Ceri Barone (Primus Auditing Operations)				
Preliminary Audit Score:	98%				
Final Audit Score:	99%				
Certificate Valid From:	09 Jul 2018 To 08 Jul 2019				
GPS Coordinates:	<table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>41° 50' 47"</td> <td>87° 40' 15"</td> </tr> </tbody> </table>  Click here to see map	Latitude	Longitude	41° 50' 47"	87° 40' 15"
Latitude	Longitude				
41° 50' 47"	87° 40' 15"				

View Certificate

Corrective Action Activity

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	207	Score:	207
	Possible Points:	209	Possible Points:	209
	Percent Score:	99%	Percent Score:	99%
Good Manufacturing Practices Requirements	Score:	963	Score:	969
	Possible Points:	979	Possible Points:	979
	Percent Score:	98%	Percent Score:	98%
HACCP System Requirements	Score:	60	Score:	60
	Possible Points:	60	Possible Points:	60
	Percent Score:	100%	Percent Score:	100%
TOTAL	Score:	1230	Score:	1236
	Possible Points:	1248	Possible Points:	1248
	Percent Score:	98%	Percent Score:	99%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	1	1
Good Manufacturing Practices Requirements	5	3
HACCP System Requirements	0	0
TOTAL	6	4

SECTIONS:

Food Safety Management System Requirements	Good Manufacturing Practices Requirements	HACCP System Requirements
Management System	General GMP	Preliminary Steps
Control of Documents and Records	Pest Control	Development of the HACCP Plan
Procedures and Corrective Actions	Storage Areas & Packaging Materials	Execution of the HACCP plan on the Plant Floor
Internal and external inspections	Operational Practices	
Rejection and release of product	Worker Practices	
Supplier Control	Equipment	
Traceability and Recall	Equipment Cleaning	
Food Defense	General Cleaning	
	Buildings and Grounds	
	Chemical Files	

Pest Control Documentation
Operation Monitoring Records
Maintenance & Sanitation Files
Worker Documentation
Testing/Analyses Records
Temperature Controlled Storage & Distribution Logs
Allergen Control

FSMS		Management System										
1.01.01	<p>Question: 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?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. Detailed manuals have been developed and include policies and procedures of the operation. The scope includes "Storage and distribution and repacking of fruits and vegetables as per HACCP program, Document titled "HACCP Plan Overview". Title page of manual has been approved by Steve Serck dated 4/24/18.</p>											
1.01.02	<p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. Documented policy on file titled "Food Safety Policy" signed by Steve Serck on 10/2/15. The policy is posted at the main entrance to the facility, near production area, as well as employee break area. Policy includes objectives of providing high quality foods and a commitment to customers.</p>											
1.01.03	<p>Question: Is there an organizational chart of all workers who have food safety related activities?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. There is a detailed organizational chart on file titled Organizational Flow Chart dated 6/6/18 which includes key responsibilities and alternates for positions. There is a supplemental document, REC 2.1(4/21/18) which outlines specific responsibilities for key tasks such as food safety director, shipping/receiving, maintenance, and sanitation.</p>											
1.01.04	<p>Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p>	<p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p>										
	<p>Auditor Comments: Minor. Food Safety Committee includes Mike Smietana, Hector Espinoza, Miguel Espinoza, Blanca Coronel, Steve Serck, Steve Argires, elin Aros, and Jose Martinez. Meetings not conducted quarterly as per guideline. Two meetings on file for the past 12 month cycle dated 9/13/17 and 2/25/18. Topics included updating of documents, worker training, addition of hand sink in the re-pack area.</p>											
<table border="1"> <tr> <td colspan="3">Auditee Comments: Will be more diligent in scheduling meetings.</td> </tr> <tr> <td></td> <td style="text-align: center;">CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. Lack of quarterly records on file for full compliance.</td> <td style="text-align: center;">No</td> <td> Possible Points: 5 Points Scored: 3 </td> </tr> </table>				Auditee Comments: Will be more diligent in scheduling meetings.				CA Accepted?		CB/Auditor Review Comments: Rejected. Lack of quarterly records on file for full compliance.	No	Possible Points: 5 Points Scored: 3
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	CA Accepted?											
CB/Auditor Review Comments: Rejected. Lack of quarterly records on file for full compliance.	No	Possible Points: 5 Points Scored: 3										
1.01.05	<p>Question: Is there documented management verification of the entire food safety management system at least every 12 months?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. There is a document on file, titled Management Review Log, which includes a review of the following: internal inspections, review of third party audits, customer complaints, HACCP systems, procedures, and the sanitation program. The document is dated 3/21/18 and reviewed by Steve Serck, Steve Argires, Miquel Espinoza, and Mike Smietana. HACCP program reviewed 5/31/17. Also added a hand sink in the re-pack room area. No other major changes to program.</p>											

1.01.06	Question: Is there a documented analysis detailing resources required to implement and improve the food safety management system processes with documented commitment from management to provide these resources?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Document on file, REC 5.1, which includes an analysis of employee training, employee sourcing, job descriptions, and a commitment to adequate equipment. Document is dated 5/19/18. Management Commitment is included in document titled POL 15.1a, Resource Management Policy. Both signed by Mike Smietana dated 5/19/18	

FSMS	Control of Documents and Records
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1.02.01	Question: Is there a written document control procedure describing how documents will be maintained, updated and replaced?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. DOC 1.1 outlines the control of documents, including development of documents and revisions. Per procedure, the QA/Food Safety manager is responsible for document development, revisions, and control.	

1.02.02	Question: Are all records stored for a minimum period of 12 months or for at least the shelf life of product if greater than a year?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Per DOC 1.1 all records are stored for a minimum of 2 years, item 2.7. Records were reviewed for the past 12 month audit cycle.	

1.02.03	Question: Are food safety related documents and records stored and handled in a secured manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. All food safety manuals and records are stored within the food safety office(office is locked). Records are turned in to the Food Safety Coordinator when completed. The Produce Pro software system is used to record shipping/receiving information. Passwords are used and the system is backed up on a daily basis. All other records are recorded via paper log.	

1.02.04	Question: Are the records maintained in an organized and retrievable manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. All records are stored in binders. All food safety documentation is neatly organized by tab according to the document indexes.	

FSMS	Procedures and Corrective Actions
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1.03.01	Question: Are there documented instructions for the creation of Standard Operating Procedures?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 1.1 includes procedures for the creation of a Standard Operating Procedure. Scope, process, dating, records, and corrective actions, etc to be included in each procedure. The SOP's follow format on file.	

1.03.02	Question: Are the written procedures available to relevant users and is a master copy maintained in a central file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All employees are trained upon hiring to general practices, as well as their specific tasks. Specific training administered depending upon job duties(receiving, shipping, GMP's). Many SOP's are also posted at various locations throughout the facility. Master copy of all procedures is on file in main office. Example includes Receiving training dated 3/14/18 to Receiving SOP.	

1.03.03	Question: Is there a corrective action procedure that describes the requirements for handling deficiencies affecting food safety and prevention of future occurrences?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 2.1 outlines the general corrective action procedure used on site. Any issues would be recorded on daily logs or the NUOCA log. Procedure includes defining the issue, performing an investigation, making corrective actions and developing a preventive action process.	
1.03.04	Question: Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Document is titled "Notice of Unusual Occurrence & Corrective Actions Form". Observed completed logs with one dated 10/15/17 with damage to a forklift by a worker. Repairs made and issue closed out.	

FSMS	Internal and external inspections
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1.04.01	Question: Is there documented program for internal audits to be performed at the operations, covering all processes impacting food safety and the related documents and records?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. DOC 3.1 outlines the internal audit inspection program. Quarterly full inspection is to be conducted using the PrimusGFS audit checklist. Daily pre- inspections are conducted, glass register, and annual FSMS/HACCP review are completed. Randomly reviewed inspections dated 7/17, 2/16, and 6/4/18.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. DOC 4.1 outlines procedures for handling regulatory inspections. Document includes shadowing of inspector, photograph policy and sampling protocol.	
1.04.03	Question: Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Past PrimusGFS audit on file dated 5/10/17, along with corrective actions. No other inspections within the past 12 months per Mike Smietana.	
1.04.04	Question: Are there documented calibration procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 5.1 outlines calibration procedures for pulp thermometers and coolers used on site. Each are calibrated monthly. The facility places the pulp thermometer into an ice/water mix for calibrations. Results should read plus or minus 2 degrees F. Reviewed random records dated October, December, February, and May(REC 7.1). No issues noted. No other items require calibrations.	

FSMS	Rejection and release of product
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1.05.01	Question: Is there a written procedure for handling on hold or rejected products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 6.1 outlines the "On Hold and Rejected product" SOP. There is a log to be completed as well as a sticker to be placed on items. The software system also has the capabilities of locking out the scanning system for product pickers.	
1.05.02	Question: Are there records of the handling of on hold or rejected products kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Any rejections or returned product is recorded in the Produce Pro software system. There are various codes which outline the reason for the reject/return/hold.	

1.05.03	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 7.1 includes "Product Release" SOP and includes procedures for products that are returned or placed on hold.	
1.05.04	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The software system includes product release initials or signatures of employees that release product. The Bill of Ladings also include a stamp indicating release. The 'checkers' are responsible for review and release of products.	
1.05.05	Question: Is there a documented system for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 8.1 outlines customer complaints. The software system tracks approximately 22 product codes for complaints, issues, returns, etc. One issue is dated 5/14/18 and included a twig in a bag of lettuce(from supplier). Responses and feedback are included within the documentation.	
FSMS	Supplier Control	
1.06.01	Question: Are there current written food safety related specifications for all raw products, ingredients, materials and services purchased?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Specifications are included within DOC 9.1, dated 5/31/18. Specifications for packaging and commodities are also outlined in the Supplier Letter of Guarantee Form.	
1.06.02	Question: Is there a written procedure detailing how suppliers are evaluated, approved and monitored?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 9.1 outlines the supplier approval process and program. Program includes requirements to supply, monitoring and evaluation, as well as provisions for emergency temporary suppliers.	
1.06.03	Question: Is there a list of approved suppliers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. REC 12.1 is the Approved Supplier List and includes products, packaging, chemicals, and service providers. Document dated 4/23/18 as last revised.	
1.06.04	Question: Does the organization have documented evidence to ensure that all products, ingredients or materials and services suppliers comply with the approval requirements and that they are being monitored as defined in the procedure?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Randomly reviewed the following commodity providers: Bolthouse(7/31/18), Dutch Maid/Weirs(7/18), Stamar Packaging(6/18), all with current audit reports. Current insurance and licensing on file for pest control, and testing labs.	
1.06.05	Question: If the organization is outsourcing any processes that may affect food safety, are there control procedures over such processes?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Pest Control monitoring is included within DOC 23.1 The facility is located within a terminal market and there are multiple pest control suppliers based upon the area(exterior-terminal market, interior coolers, auditee, packing area cooler-owner of cooler, and rented coolers-owner of coolers). There is also an "Annual Review of Provider" completed by Mike Smietana and PC tech dated 1/12/18.	

1.06.06	Question: If tests and/or analysis within scope to food safety are performed by external laboratories, are they licensed/accredited (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Don Lewy Labs provides testing for water, equipment and environmental. Current certificate 3018.01 on file, issued through the American Association of Laboratory Accreditation valid through 8/31/18. Scope of services also on file including E.coli, coliforms, Listeria.	

FSMS	Traceability and Recall
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1.07.01	Question: Is there a document 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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 10.1 includes the traceability process used on site. The company uses the Produce Pro software system. Product is assigned a random lot number when received. This number follows product through the inspection and re-packing process, through to shipping. An "X" is placed in front of the assigned code to indicate where product is re-packed. Traceability performed for lot 55481, 714 units of corn received. Records show invoice, 348 in inventory, and 366 delivered.	

1.07.02	Question: Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings and explanation of different recall classes?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. DOC 11.1 outlines the facility's recall program. The document is dated 2/1/17 as developed and includes classes of recalls, procedures, current team and responsibilities. Contact listing also on file dated 2/1/17 and includes internal and external contacts. Mike Smietana is the traceback coordinator.	

1.07.03	Question: Is testing of recall procedures (including trace back) performed and documented at least every six months? Can the company identify where affected product was sent?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Two mock recalls on file, dated 3/3/18 and 9/1/17. Most recent included 210 cases of green cabbage, class I recall. Total of 210 units delivered with documentation on file showing where all product was sent. Total time to complete recall was 50 minutes. No true recalls have been linked to JAB Produce this audit cycle.	

FSMS	Food Defense
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1.08.01	Question: Does the company have a documented food defense policy based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 12.1 outlines the food defense procedures used on site and is based on risk of the facility. The program includes plant security, incoming material receiving, employee security, visitor security, and computer data security.	

1.08.02	Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. An emergency contact listing(REC 14.1) is on file within the recall program. The contact sheet is dated 2/1/17.	

1.08.03	Question: Are visitors to the company operations required to adhere to food defense policies?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. All visitors are required to sign a GMP guideline document which includes GMP and security procedures to adhere to while on site. All policies are posted at main entrance door to facility, as well as included in the log.	

GMP	General GMP
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2.16.01	Question: Is there a designated person responsible for the food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Mike Smietana is responsible for the food safety program on site including documentation and records.	
2.16.02	Question: Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There is a sanitation cage in the first storage area. This area is locked when not in use. Labels are attached to all chemicals. No items observed that were not labeled properly.	
2.16.03	Question: Are "food grade" and "non-food grade" chemicals used, handled and stored in a controlled manner?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. All food grade cleaning items are stored within the sanitation cage. No other items observed. All items neatly stored and labeled.	
2.16.04	Question: Are signs supporting GMP's posted appropriately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Signs are posted throughout area including entrances to cooler areas, employee break room doors and walls, restrooms, packing area. Signs include GMP's.	
2.16.05	Question: Are the necessary food defense controls implemented in the operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The facility is locked when not in use or staffed. Employees enter facility through a dedicated door. There is a guard shack located at the entrance to the Terminal Market. Cameras are in place both inside of the units, and in exterior areas. The terminal market also has 24 hour patrols for the exterior and common hallways of the facility.	
GMP	Pest Control	
2.17.01	Question: Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Products are free from evidence of animals or insects.	
2.17.02	Question: Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Packaging items are stored on pallets directly adjacent to the packing tables. No evidence of animal activity. Limited packaging stored on site, as re-packing operation does not occur each day.	
2.17.03	Question: Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Plant and cooler areas were free from pest activity. Wall/floor juncture areas were clear and free from droppings, webbing, etc. Upper wall/beam areas free from pest activity.	
2.17.04	Question: Is the area outside the facility free of evidence of pest activity?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Exterior terminal market area consists of concrete areas with no vegetation. Did not observe droppings, nesting, etc.	

2.17.05	Question: Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. External devices are controlled by Anderson through the terminal market. Interior devices for company owned coolers is contracted to Ecolab. Interior devices for rented space is controlled by As Good As Dead and Presto X	
2.17.06	Question: Are pest control devices located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Only baited stations are located on the ground level perimeters of the building. No bait located within operation.	
2.17.07	Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Devices are clean and intact with no evidence of build up of dirt or organic matter. Interior devices consist of tin cats. Devices include a sticker inside of each unit showing the date of inspection.	
2.17.08	Question: Are interior and exterior building perimeter pest control devices adequate in number and location?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Traps are properly located within approximately 6 feet of doors. Traps also located throughout area and are adequate in number.	
2.17.09	Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Devices include numbers on the device and the wall signs.	
2.17.10	Question: Are all pest control devices properly installed and secured?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Interior devices are placed parallel to wall areas. Exterior devices attached to the ground.	
GMP Storage Areas & Packaging Materials		
2.18.01	Question: 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)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. No issues noted with possible contamination areas. Iced product is stored on lower ground level areas with some on upper rankings. Like items are stored together. Bagged and boxed peanuts are stored from April-September on a dedicated, labeled shelf. No contamination issues noted with iced products.	
2.18.02	Question: Is the storage area completely enclosed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The dock terminal area is enclosed. Cooler areas include doors and strip curtains leading onto the enclosed docks. Strip curtains also separate enclosed dock area from facility area.	
2.18.03	Question: Is the facilities use restricted to the storage of food products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Only food related items were observed in the facility.	

2.18.04	Question: Are rejected or on hold materials clearly identified and separated from other materials?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no rejected items on site during the audit. Reviewed procedures with auditee.	
2.18.05	Question: Are raw products, work in progress, ingredients (including ice), finished goods and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There were no signs of spoilage or contamination in food items or ice.	
2.18.06	Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Storage areas were clean and tidy. Wall/floor juncture areas clean and free from dirt build up.	
2.18.07	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All items are tagged upon receiving and include a random lot number assigned through the Produce Pro system. Packaging items have receipt codes/manufacture tickets.	
2.18.08	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Most commodities are rotated within a few days using the FIFO system. Produce Pro tracks the system and employees pick product using a computer scanner.	
2.18.09	Question: Are storage areas at the appropriate temperatures for the specific products being stored?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Cooler temperatures in line with procedures, 34-39 degrees F(Cooler 2), 54-59(cooler 1) and 44-49(cooler 4). All coolers were in line with independent probes during inspection.	
GMP Operational Practices		
2.19.01	Question: Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Raw products are received through a dedicated receiving dock area, are stored, and shipped on the opposite end of the building. No issues noted with contamination of products or flow of operation.	
2.19.02	Question: Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There was no sign of potential overhead contamination observed. There are no walkways in the facility. Did not observe loose panels or insulation.	
2.19.03	Question: Are packing and/or processing areas completely enclosed?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Areas were fully enclosed and doors closed during audit. Note: Strip curtains are in place for moving product between coolers and enclosed shipping dock area.	

2.19.04	Question: Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Areas are clean. Lighting units are clean with no signs of build up of dirt or insects. Wall/floor junctures and areas behind racking units and pallets were clean.	
2.19.05	Question: Is all re-work/re-packaging handled correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: Yes. Observed grapes and peppers being re-packed into smaller containers. Products are labeled after re-packing. All repacked product is placed into new boxes. Gloves worn in this area with three employees working the packing operation.	
2.19.06	Question: Are raw ingredients examined before use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Products are visually inspected as they are re-packed on stainless tables.	
2.19.07	Question: Are finished products coded (carton and unit packaging) for the day of production and displaying information to enable proper storage and use of the product within the food supply chain?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Cases are labeled with a lot number which links back to receiving or product. Per customer request, some products can be labeled with the P.O. number. No issues noted with labeling during the observation of the packing process.	
2.19.08	Question: 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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Products visually inspected during the re-pack process. There are no metal detectors used.	
2.19.09	Question: Does the facility use 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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No test strips or kits used.	
2.19.10	Question: Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, unscented soap, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Hand wash station located in the re-pack area. There is also a hand sink located in the restrooms and entrance to cooler area. Areas were properly stocked with soap and hands free dryers or disposable towels. Three sinks for 30 employees.	
2.19.11	Question: Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Only men working the operation. There is a mens room with 4 units. All areas clean and properly stocked, 30 workers.	
2.19.12	Question: Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Wall mounted sanitizers are used in the facility. All units were properly stocked and functioning during the walk through.	

2.19.13	Question: Are foot dip stations adequate in number and location? Are the stations maintained properly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No foot dip stations used, no processing of product.	
2.19.14	Question: Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Boxes were used only for product. No issues noted.	
2.19.15	Question: 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Trash cans are labeled. No other storage containers used.	
2.19.16	Question: Are food safety measuring devices working properly?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Coolers were working correctly and temperatures were accurate during the audit. No other measuring devices used.	

GMP	Worker Practices
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2.20.01	Question: Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Employees were properly washing and sanitizing hands.	
2.20.02	Question: Are workers' fingernails clean, short and free of nail polish?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed with nail polish or dirty hands/nails.	
2.20.03	Question: Is there no sign of any workers with boils, sores, open wounds or exhibiting signs of foodborne illness working in direct and indirect food contact?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed with sores, wounds, or visible signs of illness.	
2.20.04	Question: Are workers wearing effective hair restraints?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Workers were observed to be using hair nets in production areas.	
2.20.05	Question: Is jewelry confined to a plain wedding band?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed wearing jewelry.	
2.20.06	Question: Are all workers wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves, non-latex gloves)	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Re-pack employees were properly wearing gloves and hair nets during the process. Gloves are latex free nitrile.	

2.20.07	Question: Do workers 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Gloves are disposable and are discarded upon leaving packing areas. There were no employees observed wearing gloves in break or restroom areas.	
2.20.08	Question: Is there a designated area for workers to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Gloves are disposable and are discarded when leaving the re-pack area.	
2.20.09	Question: Workers personal items are not being stored in the production and material storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Employee items are stored in lockers in the employee break room. There were no personal items observed in cooler areas.	
2.20.10	Question: Is smoking, eating, chewing and drinking confined to designated areas?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Smoking is not allowed within the building or within 15 feet from entrances. There is a dedicated break room for eating and drinking. No employees were observed eating or drinking in the production or storage areas.	
2.20.11	Question: Are all items removed from shirt or blouse top pockets?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. There were no items observed in upper pockets or jackets.	
2.20.12	Question: Is there a first aid kit(s) readily available in the facility and adequately stocked?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There are two large first aid kit located in the shipping and receiving dock areas. Included are many supplies, all with expiration dates, as well as blue bandages.	
GMP	Equipment	
2.21.01	Question: Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The stainless tables used for re-packing was free from corrosion, paint, extraneous materials.	

2.21.02	Question: Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Possible Points: 10 Points Scored: 7 Score: Minor Deficiency						
	Auditor Comments: Minor. There is a single unit, wheeled rack in cooler 2 used to store herbs. Each of the racks was covered with film and cardboard, not considered to be an easily cleanable surface. Also observed corrosion on legs of unit.							
<div style="border: 1px solid black; padding: 5px;"> <p>Auditee Comments: Wire rack has been removed from cooler #2. Attached is photo where rack used to be. View Files</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 10%; text-align: center;"><i>CA Accepted?</i></td> <td style="width: 30%;"></td> </tr> <tr> <td>CB/Auditor Review Comments:</td> <td style="text-align: center; font-size: 1.2em;">Yes</td> <td> Possible Points: 10 Points Scored: 10 New Score: Total Compliance </td> </tr> </table> </div>				<i>CA Accepted?</i>		CB/Auditor Review Comments:	Yes	Possible Points: 10 Points Scored: 10 New Score: Total Compliance
	<i>CA Accepted?</i>							
CB/Auditor Review Comments:	Yes	Possible Points: 10 Points Scored: 10 New Score: Total Compliance						

2.21.03	Question: Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Stainless tables are in good condition with no damage, deep crevices, non toxic materials.	

2.21.04	Question: Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Independent thermometers were placed in each cooler unit.	

2.21.05	Question: Are all thermometers non-glass and non-mercury?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Thermometers are round plastic, dial type.	

GMP	Equipment Cleaning
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2.22.01	Question: Are food contact equipment surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Stainless tables are clean and well maintained, including under portions and table legs.	

2.22.02	Question: Are non-food contact equipment surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Racking and forklifts/pallet jacks were clean.	

2.22.03	Question: Are items (barrels, bins, etc.) that are used to hold or store product clean?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Products not stored in containers.	

2.22.04	Question: During cleaning are foods and packaging protected from contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Did not observe the cleaning process.	

2.22.05	Question: Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Cooling units are clean. There was no sign of aged, dirty ice on units.	
2.22.06	Question: Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Fan guards were clean and free from visible dirt. Ceilings in front of units were clean.	
2.22.07	Question: 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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. All tables were in operation during the audit.	
2.22.08	Question: Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Hoses properly stored off the floor. Utensils used for sanitation are stored on dedicated shelf in the chemical cage.	
2.22.09	Question: Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no maintenance tools observed in production or storage areas.	
2.22.10	Question: Are excess lubricants and grease removed from the equipment?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No equipment used that includes lubricants.	
GMP	General Cleaning	
2.23.01	Question: Are spills cleaned up immediately?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no product spills observed during the audit.	
2.23.02	Question: Are waste and garbage frequently removed from packing and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Trash cans are placed in storage cooler areas. The units were clean and emptied as needed, with no accumulation of trash. Trash is picked up every other day by an external contractor.	
2.23.03	Question: 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Floor drains(round) located throughout cooler areas(total of 22), covered and free from debris or odors.	
2.23.04	Question: Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Overhead pipes and fans were clean. Ceiling areas clean and well maintained.	

2.23.05	Question: Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Strip curtains are clean and properly mounted with no ends touching floor areas. Power doors also present between coolers 2 and 4/5. All doors appeared to be clean.	
2.23.06	Question: Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Did not observe safety equipment. Floors are cleaned with a floor scrubber.	
2.23.07	Question: Is cleaning equipment available and stored properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Brooms, shovels, squeegees are stored on hangers in various locations throughout the facility.	
2.23.08	Question: Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Color coding system is used on site: black-outside areas, yellow-restrooms, white-food contact table, red-dry cooler, green-kitchen area, blue-wet coolers, brown-allergens. All items properly located during audit.	
2.23.09	Question: Are all items used for sanitation appropriate for their designated purpose (e.g. no steel wool, metal bristles, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All items composed of plastic, no steel wool or metal bristles observed.	
2.23.10	Question: Are toilet facilities and hand-wash stations clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The restroom areas were clean and properly stocked.	
2.23.11	Question: Are worker break facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The break areas are clean and properly maintained. No sign of rotting foods, no evidence of pest activity.	
2.23.12	Question: Is the maintenance shop organized - i.e. equipment and spares stored in a neat and tidy fashion?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No maintenance shop on site.	
2.23.13	Question: 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Fork lifts and jacks are clean, with no observation of toxic fumes.	
2.23.14	Question: Are shipping trucks clean and in good condition?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Did not observe shipping trucks on site during audit.	

2.24.01	<p>Question: Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded to protect product from contamination in the event of breakage?</p> <p>Auditor Comments: Yes. Lights, including dock lights, have protective coverings(ceiling lights) or are shatter resistant(dock lights).</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
2.24.02	<p>Question: Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?</p> <p>Auditor Comments: Yes. There were no potential metal, glass, or plastic issues observed.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
2.24.03	<p>Question: Has the facility eliminated the use of wooden items or surfaces?</p> <p>Auditor Comments: Yes. There were no wooden items or surfaces observed.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
2.24.04	<p>Question: Is there adequate lighting in the packing and storage areas?</p> <p>Auditor Comments: Yes. Lighting is adequate in all dock and storage areas.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
2.24.05	<p>Question: Is ventilation adequate to control dust, condensation, odors and vapors?</p> <p>Auditor Comments: Yes. Ventilation is adequate. There were no areas noted with condensation, odors, vapors.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
2.24.06	<p>Question: Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?</p> <p>Auditor Comments: Yes. Floor surfaces were in good condition. Auditor did not observe large cracks or crevices.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
2.24.07	<p>Question: Are the floor drains where they are needed for drainage and cleanup?</p> <p>Auditor Comments: Yes. Floor drains located throughout cooler areas to catch water in wet product coolers.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
2.24.08	<p>Question: Are doors to the outside pest proof?</p> <p>Auditor Comments: Yes. There were no gaps or holes observed in dock doors. There is an enclosed shipping dock area outside of the facility. Pedestrian doors had tight fitting seals.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
2.24.09	<p>Question: Are dock doors fitted with buffers to seal against trucks?</p> <p>Auditor Comments: Yes. Buffers are in place on receiving dock doors.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
2.24.10	<p>Question: Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?</p> <p>Auditor Comments: Yes. Shelters are in good condition with no damage observed. Dock levelers are in good condition and clean.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>

2.24.11	Question: 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no holes or damage observed in exterior walls of the operation.	
2.24.12	Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Did not observe damage to interior walls or ceilings.	
2.24.13	Question: Do false ceiling areas have adequate access to allow for inspection and cleaning?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No false ceilings observed.	
2.24.14	Question: Is an 18" (46cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Product is rotated within a few days, no long term storage of products. Packaging area has 18 inch perimeter.	
2.24.15	Question: Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Exterior areas include concrete surrounding the terminal market. No litter, weeds, or standing water observed.	
2.24.16	Question: Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from building perimeter)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Pallets are stored in a dedicated area inside of the building. There is no outside storage of equipment or pallets.	
2.24.17	Question: Are pallets inspected to separate and replace dirty or broken pallets?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Pallets are inspected and placed in dedicated areas(usable and non usable).	
2.24.18	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No dumpster observed.	
2.24.19	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No dumpster observed.	
2.24.20	Question: Are all water lines protected against back siphonage?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Water lines contained back siphonage devices. There is also a main back flow device on water lines into the terminal building.	

2.24.21	Question: Is the on-site laboratory (where appropriate) completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on site laboratory.	

GMP	Chemical Files
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2.25.01	Question: Are copies of all Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. MSDS booklet on file. Randomly reviewed the following: Restore cleaner, Balance pH, Geron IV, and Sani Quat sanitizer. All items in binders with clear indexes/tabs.	

2.25.02	Question: Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Specimen labels on file for pest control items and sanitation chemicals. Anderson provides chemicals for cleaning. SSOP binder and labels on file in the locked chemical cabinet.	

2.25.03	Question: Is there a chemical inventory and/or usage log?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Chemical inventory on file, maintained on a monthly basis by Anderson Chemical Rep. Reviewed random records including 11/17, 3/18, and 5/18.	

2.25.04	Question: 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.?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Products not washed on site, no ice produced or purchased.	

GMP	Pest Control Documentation
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2.26.01	Question: 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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Ecolab provides interior pest control for the company owned coolers. Insurance valid through 12/31/18, PCO(#063120) valid through 12/31/18, Business license valid through 12/31/18, scope of services and plan dated 1/1/17. Exterior devices are contracted to an outside company via the landlord(terminal market). Interior devices for rented coolers are contracted by owners of the coolers to As Good As Dead and Presto-X.	

2.26.02	Question: Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Complete map of interior stations on file dated 3/22/18. Total of 21 interior device. Map and placement appear to be accurate.	

2.26.03	Question: Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Service reports on file for the inspection of traps by Ecolab. Also reviewed service reports for As Good As Dead, Anderson, and Presto X(all contracted by landlord and cooler owners. Reports include application logs, sightings, and any issues noted.	

GMP	Operation Monitoring Records
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2.27.01	<p>Question: Does the facility have incoming goods (raw products, ingredients and packing materials) inspection data?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. SOP 13.1 outlines the Shipping/Receiving process. Any issues noted with receiving of trucks or goods is noted within the Produce Pro Software system. Randomly reviewed logs. Most items not meeting specifications are returned prior to entering facility. There is also a stamp used on the Bill of Lading, indicating temperature and condition.</p>	
2.27.02	<p>Question: Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. See comments in 2.27.01.</p>	
2.27.03	<p>Question: 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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There are no process monitoring activities.</p>	
2.27.04	<p>Question: 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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There are no wash water or ice solutions used.</p>	
2.27.05	<p>Question: Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations? Are there stock check and replenishment records for gel and spray stations?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Hand sanitizer dispensers are monitored and recorded on the Daily Re-Pack Pre Operation log, REC 20.1a.</p>	
2.27.06	<p>Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. Tools are not used in re-packing.</p>	
2.27.07	<p>Question: Is there a daily pre-operation inspection log?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There are 2 daily pre operation logs, Daily Re-Pack, and Daily Pre-Op for general facility. Inspections performed by Miguel Espinoza. Records indicate areas inspected and issues if noted.</p>	
2.27.08	<p>Question: Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. REC 21.1 includes a risk assessment of the facility and surrounding areas, no high risk issues noted. Surrounding land includes the terminal market and other produce/commercial entities. Document dated 2/7/17 with no changes for the 2018 season.</p>	
2.27.09	<p>Question: Is there a current certificate of inspection for backflow prevention assemblies on water lines into the facility?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Backlow certificates on file(4 devices) for the building system. Inspections performed by Michael Thomas(License #16921) valid through October, 2018.</p>	

2.27.10	Question: Is there documented evidence of the internal audits performed to the audited operations, detailing findings and corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Quarterly inspections performed by Mike Smietana using the PrimusGFS audit checklist. Randomly reviewed inspections dated 10/18/17 and 6/4/18, no issues noted.	

GMP	Maintenance & Sanitation Files
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2.28.01	Question: Does the facility have a preventative maintenance program and a documented schedule?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There is a documented preventative maintenance program on file, DOC 14.1. Most items are contracted out and include forklift and truck maintenance, coolers, and floor scrubbers. Example include condensing units(2/year) and forklifts(monthly).	

2.28.02	Question: Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Maintenance logs are on file and include any work performed internally as well as through contracted companies. REC 22.1a.	

2.28.03	Question: Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Documents include where items were cleaned and sanitized after work was performed. REC 22.1a.	

2.28.04	Question: Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Master Cleaning schedule is on file and includes daily, weekly, monthly, and quarterly tasks. Schedule is in the form of completion logs.	

2.28.05	Question: Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Possible Points: 10 Points Scored: 7 Score: Minor Deficiency
	Auditor Comments: Minor. There is no SSOP for the floor scrubber. DOC 19.1 is the overall sanitation procedure. There are approximately 14 SSOP's on file for specific areas and equipment. Included are chemicals to be used and procedures for each area.	

Auditee Comments: SSOP for floor scrubber has been installed in sanitation binder. Attached is copy of SSOP.		View Files
CB/Auditor Review Comments:	CA Accepted?	
	Yes	Possible Points: 10 Points Scored: 10 New Score: Total Compliance

2.28.06	<p>Question: Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?</p>	<p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p>									
	<p>Auditor Comments: Minor. Reviewed MSS Logs for daily, weekly, monthly, and quarterly cleaning. Quarterly logs for 2018 were not available.</p>										
<table border="1"> <tr> <td colspan="3"><i>Auditee Comments: Will be more diligent with quarterly meetings.</i></td> </tr> <tr> <td></td> <td style="text-align: center;">CA Accepted?</td> <td></td> </tr> <tr> <td><i>CB/Auditor Review Comments: Rejected. Missing logs for full compliance.</i></td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 5 Points Scored: 3</p> </td> </tr> </table>			<i>Auditee Comments: Will be more diligent with quarterly meetings.</i>				CA Accepted?		<i>CB/Auditor Review Comments: Rejected. Missing logs for full compliance.</i>	No	<p>Possible Points: 5 Points Scored: 3</p>
<i>Auditee Comments: Will be more diligent with quarterly meetings.</i>											
	CA Accepted?										
<i>CB/Auditor Review Comments: Rejected. Missing logs for full compliance.</i>	No	<p>Possible Points: 5 Points Scored: 3</p>									
2.28.07	<p>Question: 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, hydrocoolers, ice makers, etc.)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A. No clean in place activities used on site.</p>										
2.28.08	<p>Question: Is there a routine program and written procedure to validate sanitation effectiveness using rapid post sanitation checks, e.g., ATP measurements?</p>	<p>Possible Points: 5 Points Scored: 0 Score: Non-Compliance</p>									
	<p>Auditor Comments: No. There is no ATP testing program in place with food contact surfaces used.</p>										
<table border="1"> <tr> <td colspan="3"><i>Auditee Comments: No ATP tests are performed at JAB.</i></td> </tr> <tr> <td></td> <td style="text-align: center;">CA Accepted?</td> <td></td> </tr> <tr> <td><i>CB/Auditor Review Comments: Rejected. No evidence of corrective action submitted.</i></td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 5 Points Scored: 0</p> </td> </tr> </table>			<i>Auditee Comments: No ATP tests are performed at JAB.</i>				CA Accepted?		<i>CB/Auditor Review Comments: Rejected. No evidence of corrective action submitted.</i>	No	<p>Possible Points: 5 Points Scored: 0</p>
<i>Auditee Comments: No ATP tests are performed at JAB.</i>											
	CA Accepted?										
<i>CB/Auditor Review Comments: Rejected. No evidence of corrective action submitted.</i>	No	<p>Possible Points: 5 Points Scored: 0</p>									
2.28.09	<p>Question: Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Floor drain cleaning is conducted and recorded on the Daily Sanitation Log.</p>										
2.28.10	<p>Question: Are there records showing cooling units are serviced and cleaned at least every 12 months or more frequently as required?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Cooling units are cleaned by an outside company(H2O Power Wash) with invoices dated 11/14/17 and 6/20/18.</p>										
2.28.11	<p>Question: Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. POL 15.1 and 16.1 outline the glass procedure and breakage procedures. A monthly glass inspection is conducted, limited glass on site. Quarterly glass inspections are performed by Mike Smietana no issues noted other than changing of bulbs.</p>										
<p>GMP Worker Documentation</p>											
2.29.01	<p>Question: Are there records of new worker food safety (GMP) orientation training (with topics covered and attendees) and are all workers required to sign the company's food safety hygiene and health policy?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. POL 27.1 outlines the worker training program. Employees sign the GMP listing, REC 17.1. Program includes training for HACCP, Food Defense, GMP, sanitation, and hand washing.</p>										

2.29.02	<p>Question: Are there logs of ongoing worker food safety education training with topics covered and attendees?</p>	<p>Possible Points: 10 Points Scored: 7 Score: Minor Deficiency</p>									
	<p>Auditor Comments: Minor. Training not performed quarterly as per guidelines. Gap in training from 9/17-2/18. Training include 3/6/18(GMP), 3/27/18(Sanitation), 5/19/17(Handwashing), 9/17(cleaning/sanitation).</p>										
<table border="1"> <tr> <td colspan="3">Auditee Comments: Will be more diligent in future with worker training.</td> </tr> <tr> <td></td> <td style="text-align: center;"><i>CA Accepted?</i></td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. Lack of records on file for full compliance.</td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 10 Points Scored: 7</p> </td> </tr> </table>			Auditee Comments: Will be more diligent in future with worker training.				<i>CA Accepted?</i>		CB/Auditor Review Comments: Rejected. Lack of records on file for full compliance.	No	<p>Possible Points: 10 Points Scored: 7</p>
Auditee Comments: Will be more diligent in future with worker training.											
	<i>CA Accepted?</i>										
CB/Auditor Review Comments: Rejected. Lack of records on file for full compliance.	No	<p>Possible Points: 10 Points Scored: 7</p>									
2.29.03	<p>Question: Is there a documented training program with training logs for the sanitation workers including best practices and chemical use details?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Employees were trained on 3/27/18 in proper chemical use and sanitation. Training included SSOP's and chemical use.</p>										
2.29.04	<p>Question: 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).</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Written procedures are included in main hiring GMP document that requires employees to notify supervisors of cuts, grazes, illnesses, etc. DOC 17.1, #14 and #17. There were no employees observed with cuts, wounds, visible signs of illness during the audit.</p>										
2.29.05	<p>Question: Are there written sickness reporting and return to work procedures?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Sickness reporting and return to work procedures are documented within SOP 17.1, #14.</p>										
2.29.06	<p>Question: Is there an worker non-compliance/disciplinary action procedure (verbal confirmation accepted)?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. All employees are members of the union. There is a formal grievance plan in place between the owner of the company, employees, and union management.</p>										
2.29.07	<p>Question: Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene and health policies?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Visitors sign a log in the main office. They are presented with a list of guidelines and rules to follow on site.</p>										
<p>GMP Testing/Analyses Records</p>											
2.30.01	<p>Question: Are there records of routine equipment microbiological testing?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Testing program in place(DOC 20.1). Total of 10 areas are tested monthly and include food contact, non food contact, and environmental areas. All areas tested for Listeria species. Reviewed tests for the 12 month period with most showing "Negative". One presumptive positive test detected on 8/24/17 with a successful retest on 8/31/17. Issue noted within the NUOCA log with results on file. Areas include tables, drains, walls. Analysis by Don Lewy Labs.</p>										

2.30.02	Question: Are there records of routine environmental microbiological testing?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. See comments in 2.30.01.	
2.30.03	Question: Are there routine microbiological tests on water used in the facility (sampled from within the facility)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. One water test is conducted annually with result dated 4/26/18 < 1.1 for coliforms/E.coli. Testing conducted by Don Levy Labs.	
2.30.04	Question: Are there routine microbiological tests on ice used in the facility (either produced in-house or purchased)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No ice used on site.	
2.30.05	Question: Are routine tests (e.g., microbiological, moisture, etc.) performed on compressed air that is used directly on food and food contact surfaces?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Compressed air not used.	

GMP	Temperature Controlled Storage & Distribution Logs
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2.31.01	Question: Are there records of final product temperature checks for temperature sensitive product?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Re-packed products not considered temperature sensitive. No processing on site.	
2.31.02	Question: Are there temperature logs for the packing room (if refrigerated)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The re-pack cooler temperature is recorded once per day on the Daily RePack Pre Op log. Randomly reviewed records which were found to be within parameters(42-47 degrees F).	
2.31.03	Question: Are there temperature logs for storage rooms?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Temperatures for storage coolers 4 and 5 are recorded on the daily pre operation log once per day. Cooler temps for coolers 1, 2, and 4 are also recorded separately by the food safety manager once per day, recorded on the Cooler Temp Log(REC 27.1).	
2.31.04	Question: Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records of shipping truck temperature and condition are recorded on the JAB Produce Trailer Inspection Log. Temperatures also recorded on the Bill of Ladings.	
2.31.05	Question: Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. See comments in 2.31.04.	

GMP	Allergen Control
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2.32.01	Question: There are no allergen risks handled or stored within production and storage areas?	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. The operation receives, stores, and ships bags of peanuts during baseball season, typically April-September.	
2.32.02	Question: Has a documented allergen management plan been developed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Allergen program is outlined in DOC 21.1.	
2.32.03	Question: Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other materials?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is a dedicated shelf used to store the peanuts. The area is separated from other products or packaging items, and is labeled.	
2.32.04	Question: Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Allergens not packed or produced on site.	
2.32.05	Question: Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Allergens not packed or produced on site.	
2.32.06	Question: Does re-work handling take into account the issues associated with allergen containing products?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Allergens not packed or produced on site.	
2.32.07	Question: Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: es. Training logs show allergen awareness training and are dated 3/21/18.	
2.32.08	Question: Are all products manufactured on site, labeled correctly with respect to allergens?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Allergens not packed or produced on site.	
HACCP Preliminary Steps		
3.01.01	Question: Is there a team responsible for the HACCP program at the operation, with a leader assigned and if applicable, for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The HACCP team includes Mike Smietana(coordinator), Steve Serck, Steve Argires, Blanca Coronel, Truman Smith, Miguel Espinoza, Hector Espinoza.	
3.01.02	Question: Is there documented evidence that the HACCP team members have being trained on HACCP principles?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Mike Smietana has a certificate for a two day, International HACCP Alliance Approved course dated 4/25/17. Other team members have been trained by Mike with logs dated 3/14/18. All workers are also trained to HACCP principles with records dated 3/14/18.	

3.01.03	Question: Does a product description exist for the products produced?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There is one product description on file for products which includes packaging, intended use, labeling, and distribution. HACCP program reviewed and approved 5/31/18.	
3.01.04	Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps and has the flow chart(s) been verified?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The process has been flow charted and verified by Steve Serck on 5/5/17. The diagram includes product and packaging items from receiving through distribution. Chart includes the re-packing process, as well. Full HACCP program reviewed and approved on 5/31/18.	
HACCP Development of the HACCP Plan		
3.02.01	Question: Has a documented hazard analysis for the process been conducted, showing the various types of hazard, their likelihood of occurrence and their associated severity? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There is a detailed hazard analysis on file which includes rationale using a 9 point risk matrix. Each process step is included which identifies potential biological, chemical, and physical contaminants, as well as a detailed listing for each step as to the pre requisite programs in place to prevent, reduce, or eliminate possible risks. Analysis is dated 5/5/17 and includes likelihood of occurrence and severity of identified hazards.	
3.02.02	Question: Have CCPs been developed? If answer is YES, continue with next question. If answer is NO, the rest of "Module 3 HACCP" is not applicable. If the auditor detects that one or more CCPs have been omitted, then the auditor should score down a Zero Point, Non-Compliance under 3.02.01. If the auditor thinks that CCPs have been added that should be omitted, then the auditor should note the issue under 3.02.03.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. Per Hazard Analysis document, the team has concluded that there are no critical control points associated with the plan. Validation documentation for the operation is on file and includes the FDA Guide to Minimize Microbial Food Safety Hazards, also Listeria Guidance to Prevent Contamination from Listeria Monocytogenes, San Antonio University.	
3.02.03	Question: Have CCP decisions been made with documented justification and where CCPs are noted have they been developed to control the hazards identified in the hazard analysis step?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.04	Question: Have CCP critical control limits been established with the support of relevant sources of information or by validation documentation?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.05	Question: Have monitoring requirements and frequencies been determined for the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.06	Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.07	Question: Have standard operating procedures (SOPs) been created for the monitoring process of the CCPs, which would include how to carry out the monitoring activities?.	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

3.02.08	Question: Have Corrective Action procedures for the CCPs been established, including a detailed action plan for operators to follow if the limits are not met and plans to adjust the process back into control?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.09	Question: Have recording templates (recording forms) been developed for monitoring the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.10	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.11	Question: Are changes in the process, equipment, ingredients etc., causing timely reviews of HACCP systems, including hazard analysis, CCP decisions, CCP records and staff training?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.02.12	Question: Is there evidence recorded for HACCP training to all plant workers, including training for CCP operators?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
HACCP Execution of the HACCP plan on the Plant Floor		
3.03.01	Question: Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.03.02	Question: Are the CCP monitoring activities and frequencies in compliance with the plan?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.03.03	Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs? (Interview operators to verify).	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.03.04	Question: Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
3.03.05	Question: Are corrective actions detailed in writing when the failure of a CCP occurs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

3.03.06	<p>Question: Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
3.03.07	<p>Question: Is any other CCP verification performed (apart from daily record verification) according to the HACCP Plan?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>