


FINAL AUDIT REPORT

CB Registration No.PA-PGFS-8608-1
PrimusGFS ID #173107 - Cert:4
Audited by Primus Auditing Operations

PrimusGFS Version 3.0

Ver en Español

Operation Type:Packinghouse
Audit Report Summary

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 six cooler areas owned by the auditee, and nine packing tables located in another rented cooler of 5000 square feet. 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. There is no trimming, cutting or washing of re-packed product. During the audit, there were eight packers observed. Product sold mainly to retail, groceries, and food service. The facility operates 12 months with 52 employees, including two drivers. Most product is picked up by customers and the facility ships on 2 trucks. Observed yellow tomatoes and taro being re-packed on the day of the audit. Observed a variety of fruits and vegetables in the coolers. Pest control as follows: Terminal market(exterior)-Anderson, Company owned space-Ecolab, rented coolers and packing area- Anderson, and PrestoX. There are no critical control points associated with the HACCP Program.				
Date FSMS Started:	19 Jul 2019 08:00				
Date FSMS Finished:	19 Jul 2019 11:00				
Total Amount of Time in FSMS	3.00 Hours				
Date Operation Started:	19 Jul 2019 11:00				
Date Operation Finished:	19 Jul 2019 14:00				
Total Amount of Time in Operation	3.00 Hours				
Product(s) observed during audit:	Asparagus, Basil, Berries, Blueberries, Broccoli, Cabbage, Carrots, Cilantro, Cucumbers, Dasheen / Taro, Fruits, Green Onions/Salad Onions/Scallions, Lettuce, Melons, Peppers, Raspberries, Spinach, Strawberries, Tomatoes, Vegetables				
Similar product(s)/process(es) not observed:	None				
Product(s) applied for but not observed:	None				
Auditor:	Lori Randall (Primus Auditing Operations)				
Preliminary Audit Score:	96%				
Final Audit Score:	97%				
Certificate Valid From:	26 Aug 2019 To 25 Aug 2020				
GPS Coordinates:	<table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>41° 50' 43"</td> <td>87° 40' 20"</td> </tr> </tbody> </table>  Click here to see map	Latitude	Longitude	41° 50' 43"	87° 40' 20"
Latitude	Longitude				
41° 50' 43"	87° 40' 20"				

View Certificate

Corrective Action Activity

Information related to the audited operation

Total number of workers:	52	Maximum worker number during peak season:	52
Number of lines in normal production:	1	Number of lines running during the audit:	1
Square Footage/Meters:	25000 Square feet	Are/Is a CCP(s) identified:	No
Allergens:	Yes	Allergen type(s):	Peanut
Temperature Controlled Storage:	Yes	Wet or dry:	Dry-Water used for Cleaning
Water Source:	Municipal/District		

Product information for each product

		Operation Process(es)			
Product Group/Product Name	Seasonality	Cultural Methods	Cooling Equipment	Water Used	Antimicrobial Used
Asparagus	Year round	Conventional	N/A	N/A	N/A
Basil	Year round	Conventional	N/A	N/A	N/A
Berries	Year round	Conventional	N/A	N/A	N/A
Blueberries	Year round	Conventional	N/A	N/A	N/A
Broccoli	Year round	Conventional	N/A	N/A	N/A
Cabbage	Year round	Conventional	N/A	N/A	N/A
Carrots	Year round	Conventional	N/A	N/A	N/A
Cilantro	Year round	Conventional	N/A	N/A	N/A
Cucumbers	Year round	Conventional	N/A	N/A	N/A
Dasheen / Taro	Year round	Conventional	N/A	N/A	N/A
Fruits	Year round	Conventional	N/A	N/A	N/A
Green Onions/Salad Onions/Scallions	Year round	Conventional	N/A	N/A	N/A
Lettuce	Year round	Conventional	N/A	N/A	N/A
Melons	Year round	Conventional	N/A	N/A	N/A
Peppers	Year round	Conventional	N/A	N/A	N/A
Raspberries	Year round	Conventional	N/A	N/A	N/A
Spinach	Year round	Conventional	N/A	N/A	N/A
Strawberries	Year round	Conventional	N/A	N/A	N/A
Tomatoes	Year round	Conventional	N/A	N/A	N/A
Vegetables	Year round	Conventional	N/A	N/A	N/A

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	219	Score:	219
	Possible Points:	229	Possible Points:	229
	Percent Score:	95%	Percent Score:	95%
Module 5 - Good Manufacturing Practices Requirements	Score:	1098	Score:	1098
	Possible Points:	1128	Possible Points:	1128
	Percent Score:	97%	Percent Score:	97%
Module 6 - HACCP System Requirements	Score:	80	Score:	85
	Possible Points:	85	Possible Points:	85
	Percent Score:	94%	Percent Score:	100%
TOTAL	Score:	1397	Score:	1402
	Possible Points:	1442	Possible Points:	1442
	Percent Score:	96%	Percent Score:	97%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	3	3
Module 5 - Good Manufacturing Practices Requirements	3	3
Module 6 - HACCP System Requirements	1	0
TOTAL	7	6

SECTIONS:

Food Safety Management System Requirements	Module 5 - Good Manufacturing Practices Requirements	Module 6 - 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	
Release of Items/Product	Worker Practices	
Supplier Monitoring/Control	Equipment	
Traceability and Recall	Equipment Cleaning	
Food Defense	General Cleaning	
	Site	
	Buildings and Grounds	
	Chemical Files	
	Pest Control Documentation	
	Operation Monitoring Records	

Maintenance & Sanitation Files
Worker Documentation
Testing
Temperature Controlled Storage & Distribution Logs
Allergen Control

FSMS		Management System										
1.01.01	<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 07/03/2019. 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>											
1.01.02	<p>Question: Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. There is a detailed organizational chart on file (DOC 2.1-2) titled Organizational Flow Chart dated 06/01/2019 which includes key responsibilities and alternates for positions. There is a supplemental document, REC 2.1-2 (06/01/2019) Job Description Form, which outlines specific responsibilities for key tasks such as food safety director, shipping/receiving, maintenance, and sanitation.</p>											
1.01.03	<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. Meetings have not been conducted quarterly as per guidelines. There was no meeting documented for second quarter. The Food Safety Committee includes Mike Smietana, Hector Espinoza, Blanca Coronel, Steve Serck, Steve Argires, Luis Lattica, Jose Martinez Sr and Jose Martinez Jr. Topics included audit preparation, documentation updates and employee training. Meeting minutes are documented on DOC 3.1-3, Food Safety Committee Form.</p>											
<table border="1" style="width: 100%;"> <tr> <td colspan="3">Auditee Comments: Did not have a 2nd quarter for the food safety committee. Will be done quarterly moving forward</td> </tr> <tr> <td style="width: 60%;"></td> <td style="width: 10%; text-align: center;">CA Accepted?</td> <td style="width: 30%;"></td> </tr> <tr> <td>CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.</td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 5 Points Scored: 3</p> </td> </tr> </table>				Auditee Comments: Did not have a 2nd quarter for the food safety committee. Will be done quarterly moving forward				CA Accepted?		CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.	No	<p>Possible Points: 5 Points Scored: 3</p>
Auditee Comments: Did not have a 2nd quarter for the food safety committee. Will be done quarterly moving forward												
	CA Accepted?											
CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.	No	<p>Possible Points: 5 Points Scored: 3</p>										
1.01.04	<p>Question: Is there a training management system in place that shows what types of trainings are required for various job roles of specific workers, including who has been trained, when they were trained, which trainings they still need to take, and a training schedule?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. There is a matrix (4.1 Employee Training Verification Log) listing positions and required training. Training topics include HACCP, Food Safety/GMPs, Sanitation, Allergen, Hand Washing. There is documentation of the completed training and attendees and a training schedule.</p>											
1.01.05	<p>Question: Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>										
	<p>Auditor Comments: Yes. There is a document on file, titled Management Review Log (5.1), 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 6/29/2019. HACCP program reviewed 06/25/2019.</p>											

1.01.06	<p>Question: Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?</p>	<p>Possible Points: 3 Points Scored: 0 Score: Non-Compliance</p>									
	<p>Auditor Comments: No. There are no specific industry guidelines or best practices documents available.</p>										
<table border="1" style="width: 100%;"> <tr> <td colspan="2"> <p>Auditee Comments: Mike Smietana is FSPCA certified. Attached is FSPCA certification.</p> </td> <td style="text-align: right;"> <p>View Files</p> </td> </tr> <tr> <td style="width: 60%;"></td> <td style="text-align: center;"> <p>CA Accepted?</p> </td> <td></td> </tr> <tr> <td> <p>CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.</p> </td> <td style="text-align: center;"> <p>No</p> </td> <td> <p>Possible Points: 3 Points Scored: 0</p> </td> </tr> </table>			<p>Auditee Comments: Mike Smietana is FSPCA certified. Attached is FSPCA certification.</p>		<p>View Files</p>		<p>CA Accepted?</p>		<p>CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.</p>	<p>No</p>	<p>Possible Points: 3 Points Scored: 0</p>
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	<p>CA Accepted?</p>										
<p>CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.</p>	<p>No</p>	<p>Possible Points: 3 Points Scored: 0</p>									

FSMS	Control of Documents and Records
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1.02.01	<p>Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 2.1-1 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.</p>	

1.02.02	<p>Question: Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 2.1-1 requires all records to be stored for at least two years.</p>	

1.02.03	<p>Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>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 daily. All other records are recorded via paper log.</p>	

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

1.02.05	<p>Question: Are all records and test results that can have an impact on the food safety program reviewed and signed off by the person responsible for the food safety program?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Food safety records and test results are reviewed by Mike Smietana, QA/Food Safety Manager.</p>	

FSMS	Procedures and Corrective Actions
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1.03.01	<p>Question: Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 2.1-1 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.</p>	

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 utilizing the SOPs 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.	
1.03.03	Question: Is there a documented corrective action procedure that describes the required processes for handling non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 3.1-1 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 an incident reporting system, also known as 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 (6.1 and 6.1-a Spanish. Observed completed logs with one dated 04/19/2019 involving an issue with a toilet. Repairs made and issue closed out.	

FSMS	Internal and External Inspections
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1.04.01	Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 4.1-1 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. Reviewed 10/10/2018 (all modules), 01/19/2019 and 06/29, 2019 (FSMS).	
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 5.1-1 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. Auditee verbally confirms no regulatory inspections in the last year. The most recent PrimusGFS audit (06/06/2019) is on file with corrective actions.	
1.04.04	Question: Are there documented calibration and/or accuracy verification 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 6.1-2 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. Scale accuracy is checked monthly against a 2 Kg weight.	
1.04.05	Question: Are calibration and/or accuracy verification records maintained and are they consistent with the requirements outlined in the SOP(s) for instruments and measuring devices requiring calibration?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Calibration and accuracy checks are documented on 7.1-a-1 (pulp thermometers), 7.1-b-1 (cooler thermometers), and 7.1-c (scales). Frequency and acceptable values match procedures.	

FSMS	Release of Items/Product
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1.05.01	Question: Is there a written procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 7.1-1 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 and rejected items 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 8.1-1 includes "Product Release" SOP and includes procedures for products that are returned or placed on hold. Documentation is maintained in Produce Pro.	
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 procedure 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 9.1-1 outlines customer complaints. The software system tracks approximately 22 product codes for complaints, issues, returns, etc. The auditee verbally confirms there have been no customer complaints in the last year.	

FSMS	Supplier Monitoring/Control
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1.06.01	Question: Is there a list of approved suppliers and service providers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes. REC 10.1 is the Approved Supplier List and includes products, packaging, chemicals, and service providers. Document dated 4/23/18 as last revised.							
1.06.02	Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including packaging), services provided on-site, and outsourced services?	Possible Points: 5 Points Scored: 0 Score: Non-Compliance						
	Auditor Comments: No. There are no food safety related specifications to review for incoming products, ingredients, materials, services provided on-site or outsourced services.							
<div style="border: 1px solid black; padding: 5px;"> <p>Auditee Comments: JAB produce uses USDA guidelines set forth for all incoming products and materials. Attached is copy of blue book guidelines. 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; font-size: small;">CA Accepted?</td> <td style="width: 30%;"></td> </tr> <tr> <td>CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.</td> <td style="text-align: center; font-size: large; font-weight: bold;">No</td> <td style="border: 1px solid black; padding: 5px;"> Possible Points: 5 Points Scored: 0 </td> </tr> </table> </div>				CA Accepted?		CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.	No	Possible Points: 5 Points Scored: 0
	CA Accepted?							
CB/Auditor Review Comments: Reject. No objective evidence of compliance provided.	No	Possible Points: 5 Points Scored: 0						

1.06.03	Question: Is there a written procedure detailing how suppliers and service providers are evaluated, including hazard analysis and supplier control of hazards (where applicable), supplier approval, and ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 10.1-1 outlines the supplier approval process and program. Program includes requirements to supplier monitoring and evaluation based on risk, as well as provisions for emergency temporary suppliers.	
1.06.04	Question: Does the organization have documented evidence to ensure that all incoming products, ingredients, materials, services provided on-site and outsourced service suppliers comply with the approval requirements and that all supplier verification activities (including monitoring) are being followed, as defined in the supplier approval procedure?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Audit reports are available for suppliers of product and packaging. Current insurance and licensing on file for pest control, and testing labs.	
1.06.05	Question: Where food safety related testing is being performed by external laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, 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 AT-2613 issued by ANAB, valid through 08/23/2020. Scope of services also on file including E.coli, coliforms, Listeria testing.	

FSMS	Traceability and Recall
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1.07.01	Question: Is there is 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 11.1-1 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. A "P" is placed at the end of the assigned code to indicate where product is re-packed.	
1.07.02	Question: Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings, requirement for recall effectiveness checks, explanation of different recall classes and handling of recalled product?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. DOC 12.1-1 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 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, and the company can demonstrate the ability to trace materials (one step forward, one step back) effectively?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Three mock recalls are on file, dated 10/25/2018, 02/28/2019 and 06/05/2019. The most recent mock recall was performed and documented as a class 3 recall on 60 count of dill that was repacked into 24 count boxes. In 30 minutes, 100% of product was located. During the audit, a traceability exercise was performed by the auditee. Lot 63592 included 140 cases (50#) received, 139 of which has been shipped.	

FSMS	Food Defense
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1.08.01	Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 13.1 (Food Fraud Control) includes the written food fraud vulnerability assessment and protection plan and covers all types of fraud includes all incoming and outgoing products.	

1.08.02	Question: Does the company have a documented food defense plan based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 14.1-1 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.	
1.08.03	Question: Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There are incoming product inspection records, visitor logs, key logs and camera data.	
1.08.04	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 17.1-1) is on file within the recall program.	
1.08.05	Question: Are visitors and contractors to the company operations required to adhere to food defense procedures?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Visitors and contractors are required to sign in and out on REC 18.1 and by doing so, agree to adhere to the operations food defense procedures.	
GMP	General GMP	
5.01.01	Question: Is there a designated person responsible for the operation's food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Mike Smietana is the designated person responsible for the operation's food safety program.	
5.01.02	Question: Are all cleaning and maintenance 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.	
5.01.03	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label 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.	
5.01.04	Question: Are signs supporting GMPs 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.	
5.01.05	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
5.02.01	<p>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.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Products are free from evidence of animals or insects.</p>	
5.02.02	<p>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.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Packaging items are stored on pallets directly adjacent to the packing tables. No evidence of animal activity.</p>	
5.02.03	<p>Question: Are plant and storage areas free of insects/rodents/birds/reptiles/mammals, or any evidence of them?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>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.</p>	
5.02.04	<p>Question: Is the area outside the facility free of evidence of pest activity?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Exterior terminal market area consists of concrete areas with no vegetation. Did not observe droppings, nesting, etc.</p>	
5.02.05	<p>Question: Is there an effective pest control program in place? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>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 are controlled by Anderson and Presto X</p>	
5.02.06	<p>Question: Are pest control devices located away from exposed raw materials, work-in-progress, ingredients (including water and ice), finished goods and packaging, and poisonous rodent bait traps are not used within the facility?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. The pest control devices are located appropriately away from exposed materials, work-in progress, ingredients, finished goods and packaging. Only baited stations are located on the ground level perimeters of the building. No bait located within operation.</p>	
5.02.07	<p>Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Devices are clean and intact with no evidence of buildup of dirt or organic matter. Interior devices consist of tin cats. Devices include a bar code inside of each unit.</p>	
5.02.08	<p>Question: Are interior and exterior building perimeter pest control devices adequate in number and location?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Traps are properly located within approximately 6 feet of doors. Traps also located throughout area and are adequate in number.</p>	
5.02.09	<p>Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Pest control devices are identified by bar code and numbered wall placards.</p>	

5.02.10	Question: Are all pest control devices effective and bait traps 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		
5.03.01	Question: Does the facility layout ensure separation of 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 as 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 peanuts were in the facility at the time of the audit. No contamination issues noted with iced products.	
5.03.02	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.	
5.03.03	Question: Is the facility's 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.	
5.03.04	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.	
5.03.05	Question: Are raw products, work in progress, ingredients (including water and ice), finished goods and food contact packaging within accepted tolerances for spoilage and free from 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.	
5.03.06	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.	
5.03.07	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.	
5.03.08	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. Commodities are rotated as appropriate within a few days using the FIFO system. Produce Pro tracks the system and employees pick product using a computer scanner.	

5.03.09	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 6) and 44-49(cooler 3, 4 and 5). All coolers were in line with independent probes during inspection.	
GMP Operational Practices		
5.04.01	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.	
5.04.02	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.	
5.04.03	Question: Are production areas completely enclosed?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Areas were fully enclosed, and doors closed during audit. Strip curtains are in place for moving product between coolers and enclosed shipping dock area.	
5.04.04	Question: Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls 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 buildup of dirt or insects. Wall/floor junctures and areas behind racking units and pallets were clean.	
5.04.05	Question: Is all re-work / re-packaging handled correctly?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Observed yellow tomatoes and taro 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 eight employees working the packing operation.	
5.04.06	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.	
5.04.07	Question: Are finished products coded (carton and unit packaging) for the day of production?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Cases are labeled with the original lot number plus a "P" which links back to receiving or product. No issues noted with labeling during the observation of the packing process.	
5.04.08	Question: Are foreign material control methods (e.g. metal detectors, metal traps, magnets, visual inspection, x-ray machines, etc.) in place and 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.	

5.04.09	Question: Does the facility use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product contact water, terminal sanitizers, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No test strips or kits used.	
5.04.10	Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	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 50 employees.	
5.04.11	Question: Are hand washing stations in working order, have water of suitable temperature and pressure, adequately stocked (e.g. disposable towels, unscented soap, etc.) and restricted to hand washing purposes only?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Hand washing stations in working order, with warm water, stocked and restricted to hand washing purposes only.	
5.04.12	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. There is one men's' room with 4 units. There is one unisex restroom with an adjacent hand wash sink. All areas clean and properly stocked. There is an additional restroom in the upstairs office for administrative staff.	
5.04.13	Question: Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations maintained properly?	Possible Points: 5 Points Scored: 5 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.	
5.04.14	Question: Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and 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.	
5.04.15	Question: Are single service 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.	
5.04.16	Question: Are re-usable containers cleanable or used with a liner and 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.	
5.04.17	Question: Are devices used to measure, regulate or control temperature, pH, acidity, water activity, and other conditions that affect food safety, working properly and adequately maintained?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Coolers were working correctly, and temperatures were accurate during the audit. Scales were used for final product weight.	

GMP	Worker Practices
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5.05.01	<p>Question: Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Employees were properly washing and sanitizing hands.</p>	
5.05.02	<p>Question: Are workers' fingernails clean, short and free of nail polish?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no employees observed with nail polish or dirty hands/nails.</p>	
5.05.03	<p>Question: Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no employees observed with sores, wounds, or visible signs of illness.</p>	
5.05.04	<p>Question: Are workers wearing effective hair nets that contain all hair?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Workers were observed to be using hair nets in packing areas.</p>	
5.05.05	<p>Question: Is jewelry confined to a plain wedding band and watches are not worn?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no employees observed wearing jewelry.</p>	
5.05.06	<p>Question: Are all workers wearing outer garments suitable for the operation (e.g., appropriate clothes, smocks, aprons, sleeves, non-latex gloves)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Re-pack employees were properly wearing gloves, beard and hair nets during the process. Gloves are latex free nitrile.</p>	
5.05.07	<p>Question: Do workers remove protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break, before using the toilets and when going home at the end of their shift?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Gloves and nets are disposable and are discarded upon leaving packing areas. There were no employees observed wearing gloves or nets in break or restroom areas.</p>	
5.05.08	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. Gloves are disposable and are discarded when leaving the re-pack area.</p>	
5.05.09	<p>Question: Worker personal items are not being stored in the production or material storage area(s)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Employee items are stored in lockers in the employee break room. There were no personal items observed in cooler areas.</p>	
5.05.10	<p>Question: Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>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.</p>	

5.05.11	Question: Is fresh potable drinking water readily accessible to workers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance								
	Auditor Comments: Yes. There is fresh potable drinking water readily accessible to workers.									
5.05.12	Question: Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of head, Bluetooth devices, etc.)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance								
	Auditor Comments: Yes. There were no items observed in upper pockets or jackets.									
5.05.13	Question: Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)?	Possible Points: 5 Points Scored: 0 Score: Non-Compliance								
	Auditor Comments: No. Workers are not issued non-reproducible identification.									
	<table border="1"> <tr> <td colspan="3">Auditee Comments: Will have ID badges in the near future but do not have any at this time</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.</td> <td>No</td> <td>Possible Points: 5 Points Scored: 0</td> </tr> </table>		Auditee Comments: Will have ID badges in the near future but do not have any at this time				CA Accepted?		CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No
Auditee Comments: Will have ID badges in the near future but do not have any at this time										
	CA Accepted?									
CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No	Possible Points: 5 Points Scored: 0								
5.05.14	Question: Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	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										
5.06.01	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.									
5.06.02	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: 10 Score: Total Compliance								
	Auditor Comments: Yes. Non-food contact equipment surfaces are free of flaking paint, corrosion, rust or other unhygienic materials.									
5.06.03	Question: Does food contact equipment design, placement, and condition (e.g., smooth surfaces, smooth weld seams, non-toxic materials, corrosion-resistant, no wood or other absorbent materials) 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.									
5.06.04	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.									

5.06.05	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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5.07.01	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.	

5.07.02	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.	

5.07.03	Question: Are items (totes, 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.	

5.07.04	Question: During cleaning, are food products and packaging materials protected from contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Did not observe the cleaning process.	

5.07.05	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. The cooling units appear clean and free of aged, dirty ice.	

5.07.06	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. The fan guards appeared dust-free and the ceiling in front of the fans appeared free of excessive black deposit.	

5.07.07	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.	

5.07.08	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.	

5.07.09	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.	

5.07.10	Question: Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No equipment used that includes lubricants.	

GMP	General Cleaning
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5.08.01	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	

5.08.02	Question: Are waste and garbage frequently removed from production 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.	

5.08.03	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 are well maintained?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Floor drains (round) located throughout cooler areas covered and free from debris or odors.	

5.08.04	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.	

5.08.05	Question: Are plastic strip curtains maintained in 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.	

5.08.06	Question: Does personal protection equipment (PPE) for the sanitation crew meet label requirements of chemicals used, and is it in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. PPEs for the sanitation crew appeared in good condition, appropriate for use and not a source of contamination for product and packaging.	

5.08.07	Question: Is cleaning equipment maintained clean 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.	

5.08.08	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.	

5.08.09	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.	
5.08.10	Question: Are toilet facilities and hand washing stations clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The restroom areas were clean and properly stocked.	
5.08.11	Question: Are worker break facilities clean, including microwaves and refrigerators, and 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.	
5.08.12	Question: Is the maintenance shop organized, with 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.	
5.08.13	Question: Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Forklifts and jacks are clean, with no observation of toxic fumes.	
5.08.14	Question: Are shipping trucks clean and in good condition?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The observed shipping trucks appeared clean and in good condition.	
GMP	Site	
5.09.01	Question: Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, waste water and other relevant features?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is a site map showing the facility, location, adjacent sites, roads, water sources and other relevant features.	
5.09.02	Question: Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns.	
GMP	Buildings and Grounds	
5.10.01	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, coated or otherwise shatter resistant to protect product from contamination in the event of breakage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Lights, including dock lights, have protective coverings (ceiling lights) or are shatter resistant (dock lights).	

5.10.02	Question: Has the operation eliminated or adequately controlled any potential metal, glass or hard plastic contamination issues?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There were no potential metal, glass, or plastic issues observed.	
5.10.03	Question: Has the facility eliminated the use of wooden items or surfaces?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no wooden items or surfaces observed.	
5.10.04	Question: Is there adequate lighting in the production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Lighting is adequate in all dock, storage, and packing areas.	
5.10.05	Question: Is ventilation adequate to control dust, condensation, odors and vapors?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Ventilation is adequate. There were no areas noted with condensation, odors, vapors.	
5.10.06	Question: Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Floor surfaces were in good condition.	
5.10.07	Question: Are the floor drains where they are needed for drainage and cleanup?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Floor drains located throughout cooler areas to capture water in wet product coolers.	
5.10.08	Question: Are all entry points to the production and storage areas protected to prevent entry of rodents and birds?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	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.	
5.10.09	Question: Are dock doors fitted with buffers/shelters to seal against trucks in temperature controlled environments?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Buffers are in place on receiving dock doors.	
5.10.10	Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Shelters are in good condition with no damage observed. Dock levelers are in good condition and clean.	
5.10.11	Question: Are exterior walls free of holes to exclude pests, and are pipes, vents, and 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.	

5.10.12	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.	
5.10.13	Question: Is an 18" (46 cm) 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.	
5.10.14	Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, 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.	
5.10.15	Question: Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the 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.	
5.10.16	Question: Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Pallets are inspected and placed in dedicated areas.	
5.10.17	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. The area around the dumpster appeared clean.	
5.10.18	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The dumpster was closed.	
5.10.19	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.	
5.10.20	Question: Is the on-site laboratory 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	
5.11.01	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. SDS booklet on file. Randomly reviewed the following: Balance pH 7, Geron IV, and Sani Quat sanitizer. All items in binders with clear indexes/tabs.	

5.11.02	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.	
5.11.03	Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Chemical inventory on file, maintained on a monthly basis by Anderson Chemical Representative.	
5.11.04	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring/testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.) and testing of single pass water systems?	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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5.12.01	Question: Is there a documented pest control program, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (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 12/31/19, PCO (#052-063120) valid through 12/31/19, Business license (#051-025864) valid through 12/31/19, scope of services. 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 Anderson and Presto-X	
5.12.02	Question: Is there a schematic drawing/plan of the facility showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Complete map of interior stations on file dated 07/2019. Total of 18 interior devices. Map and placement appear to be accurate.	
5.12.03	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 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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5.13.01	Question: Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. SOP 16.1-2 outlines the Shipping/Receiving process. Any issues noted with receiving of trucks or goods are noted within the Produce Pro Software system. Randomly reviewed logs. There is also a stamp used on the Bill of Lading, indicating temperature and condition.	
5.13.02	Question: Are there inspection logs on incoming trailers (and other forms of transport) for rodents and insects, cleanliness, holes and temperature control of the trailer (for food requiring temperature control for safety and/or as required per buyer specifications)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Any issues noted with receiving of trucks or goods are noted within the Produce Pro Software system. Randomly reviewed logs. There is also a stamp used on the Bill of Lading, indicating temperature and condition.	

5.13.03	Question: Are there records for the necessary process monitoring activities (e.g., pH, water temperature vs. product temperature, metal detection, X-ray, labeling, heating processes, reduction/kill step processes, postharvest pesticides, waxing, control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There are no process monitoring activities.	
5.13.04	Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There are no wash water or ice solutions used.	
5.13.05	Question: Are there records of visual monitoring and/or testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.), for build-up of organic material (turbidity)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There are no wash water or ice solutions used.	
5.13.06	Question: Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations, and are there stock check and replenishment records for gel and spray stations?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Hand sanitizer dispensers are monitored and recorded on the Re-Pack Room Daily PreOp Form, REC 22a. There are no foot dips or tool dips.	
5.13.07	Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Tools are not used in re-packing.	
5.13.08	Question: Is there a pre-operation inspection log?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There are 2 daily pre-operation logs, Daily Re-Pack, and Daily Pre-Op for general facility. Records indicate areas inspected and issues if noted.	
5.13.09	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. REC 23 (Facility Risk Assessment) 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 06/29/2019.	
5.13.10	Question: Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Backflow certificates on file (2 devices) for the building system dated 10/16/2018 by Chicago Department of Water.	
5.13.11	Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Self assessments performed by Mike Smietana using the PrimusGFS audit checklist. Randomly reviewed inspections dated 01/19/2019 and 06/29/2019, no issues noted.	

GMP	Maintenance & Sanitation Files
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5.14.01	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 24.1-1. Most items are contracted out and include forklift and truck maintenance, coolers, and floor scrubbers. Example include cooling units(2/year) and forklifts(monthly).	
5.14.02	Question: Are there a logs of maintenance work and repairs and are they signed off when work is 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 24-a.	
5.14.03	Question: Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair 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 24-a.	
5.14.04	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.	
5.14.05	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There are 16 SSOPs for facility and equipment.	
5.14.06	Question: Are cleaning and sanitation logs on file that show what was done, when and by who?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There are cleaning and sanitation logs on file that show what was done, when and by who.	
5.14.07	Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Anderson Chemical Company performs monthly checks of the dilution system for the cleaning and chemical concentrations.	
5.14.08	Question: Are there documented procedures and completion records for clean-in-place (CIP) activities (e.g., cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, ice makers, etc.), where applicable?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No clean in place activities used on site.	

5.14.09	<p>Question: Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?</p>	<p>Possible Points: 15 Points Scored: 0 Score: Non-Compliance</p>									
	<p>Auditor Comments: No. There is no testing program in place to verify sanitation effectiveness utilizing rapid post sanitation checks.</p>										
<table border="1"> <tr> <td colspan="3">Auditee Comments: JAB is in the process of purchasing an ATP measurement device..</td> </tr> <tr> <td></td> <td style="text-align: center;"><small>CA Accepted?</small></td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.</td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 15 Points Scored: 0</p> </td> </tr> </table>			Auditee Comments: JAB is in the process of purchasing an ATP measurement device..				<small>CA Accepted?</small>		CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No	<p>Possible Points: 15 Points Scored: 0</p>
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	<small>CA Accepted?</small>										
CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No	<p>Possible Points: 15 Points Scored: 0</p>									
5.14.10	<p>Question: Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Floor drain cleaning is conducted and recorded on the Daily Sanitation Log.</p>										
5.14.11	<p>Question: Are there records showing filters in air conditioning, ventilation and air filtration units are regularly cleaned and replaced?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A. There are no air conditioning, ventilation, or air filtration units.</p>										
5.14.12	<p>Question: Are there records showing cooling units are maintenance 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 at least twice annually.</p>										
5.14.13	<p>Question: Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. DOC 19.1-1 and 20.1-1 outline the glass procedure and breakage procedures. A monthly glass inspection is conducted, limited glass on site.</p>										
<p>GMP Worker Documentation</p>											
5.15.01	<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. DOC 21.1-2 outlines the worker training program. New employees sign the GMP listing, REC 27 or 27.1-a (Spanish).</p>										
5.15.02	<p>Question: Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. DOC 21.1-2 outlines the worker training program. Program includes training for HACCP, GMPs, Sanitation, Allergens, and hand washing.</p>										
5.15.03	<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. There was documented training with logs for the sanitation workers, last performed on 05/22/2019. Training included SSOP's and chemical use.</p>										

5.15.04	<p>Question: Are there written and communicated 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, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).</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 21.1-2. There were no employees observed with cuts, wounds, visible signs of illness during the audit.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>						
5.15.05	<p>Question: Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?</p> <p>Auditor Comments: Yes. Sickness reporting and return to work procedures are documented within SOP 21.1-2.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>						
5.15.06	<p>Question: Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?</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>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>						
<p>GMP Testing</p>								
5.16.01	<p>Question: Is there a written risk-based, scientifically valid microbiological testing program that may include pathogen testing, and details program design (zonal approach, food contact/non-food contact surfaces, spent sprout irrigation water, test & hold, water, ice, etc.), rationale for organisms tested for, procedures for sampling and testing (surfaces, water, product, ingredients, etc.), timing and frequency of testing, the testing methodology, the lab that performs the tests, and acceptable results/threshold levels for each organism?</p> <p>Auditor Comments: Major. There is no written risk assessment included in the microbiological testing program. There is no rationale for the organisms tested, timing of the testing, or frequency of the testing. The program indicates 10-12 samples are to be collected. There are only results for 8 sites. The program does not include water testing. The program included sites to be tested, acceptable results, corrective actions.</p> <div data-bbox="250 995 1516 1230" style="border: 1px solid black; padding: 5px;"> <p>Auditee Comments: SOP states that 8 samples are taken monthly. Water test analysis was submitted. View Files</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;"></th> <th style="width: 10%; text-align: center;">CA Accepted?</th> <th style="width: 30%;"></th> </tr> </thead> <tbody> <tr> <td>CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.</td> <td style="text-align: center; font-weight: bold;">No</td> <td> Possible Points: 15 Points Scored: 5 </td> </tr> </tbody> </table> </div>		CA Accepted?		CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No	Possible Points: 15 Points Scored: 5	<p>Possible Points: 15 Points Scored: 5 Score: Major Deficiency</p>
	CA Accepted?							
CB/Auditor Review Comments: Rejected. No objective evidence of compliance provided.	No	Possible Points: 15 Points Scored: 5						
5.16.02	<p>Question: Are there records of environmental microbiological test results and does testing meet the program requirements?</p> <p>Auditor Comments: Yes. There were monthly results for Listeria spp. testing performed on 8 sites with acceptable results.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.16.03	<p>Question: Are there records of microbiological tests on water used in the facility (sampled from within the facility) and does the testing meet the program requirements?</p> <p>Auditor Comments: Yes. There were acceptable water tests for potability performed on 04/26/2019.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.16.04	<p>Question: Are there records of microbiological tests on ice used in the facility (either produced in-house or purchased) and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. No ice produced or used within the facility.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>						
5.16.05	<p>Question: Are there records of tests performed on compressed air or other mechanically introduced gases that is used directly on food and food contact surfaces and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. No compressed air or other mechanically introduced gases.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>						

5.16.06	Question: Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No other tests performed.	
5.16.07	Question: Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There were corrective action procedures included in DOC 24.1.	
5.16.08	Question: Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no unacceptable results in the last audit cycle.	
5.16.09	Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with validated testing methods and protocols, evidence of training related to sample collection and testing protocols, and relevant records of results?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No In-house testing performed.	

GMP	Temperature Controlled Storage & Distribution Logs
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5.17.01	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.	
5.17.02	Question: Are there temperature logs for the production area (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 PreOp log. Randomly reviewed records which were found to be within parameters (42-47 degrees F).	
5.17.03	Question: Are there temperature logs for storage rooms?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Cooler temperatures were logged on Daily PreOp Form.	
5.17.04	Question: Is there a documented procedure for checking truck trailer temperature prior to shipping?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 30 included checking the temperatures of truck trailers.	
5.17.05	Question: Are there records of shipping truck trailer (or other transportation systems) temperature checks, indicating the truck trailer temperature settings and that the truck trailer 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.	
5.17.06	Question: Is there a documented procedure for reviewing the sanitary condition of truck trailers that will transport the product?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 30 includes reviewing the sanitary condition of truck trailers.	

5.17.07	Question: Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records of shipping truck conditions were recorded on the JAB Produce Trailer Inspection Log and the Bill of Ladings.	
GMP Allergen Control		
5.18.01	Question: Are there 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. There were none in storage during the audit.	
5.18.02	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 25.1-1.	
5.18.03	Question: Are there adequate storage controls (e.g., 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.	
5.18.04	Question: Is there a dedicated allergen 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.	
5.18.05	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.	
5.18.06	Question: Does re-work handling take into account the issues associated with allergen containing products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: N/A. Allergens not packed or produced on site.	
5.18.07	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: Yes. Workers were trained on the facility's allergen program on 07/03/2019.	
5.18.08	Question: Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no allergens in storage during the audit.	
5.18.09	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
6.01.01	<p>Question: Is there a team responsible for the HACCP program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the HACCP system?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. The HACCP team includes Mike Smietana (coordinator), Steve Serck, Steve Argires, Blanca Coronel, Truman Smith, Jose Martinez Sr, Hector Espinoza.</p>	
6.01.02	<p>Question: Is there documented evidence that the HACCP team members have been trained on HACCP principles?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>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 02/20/2019. All workers are also trained to HACCP principles with records dated 02/19/2019.</p>	
6.01.03	<p>Question: Does a product description exist for the products produced?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There are three product description on file for products, Storage and Distribution of Refrigerated Fruits and Vegetables, Repacking of Fruits and Vegetables, and Storage and Distribution of Prepackaged Peanuts, which includes packaging, intended use, labeling, and distribution.</p>	
6.01.04	<p>Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. The process has been flow charted and verified by Steve Serck on 06/25/2019. The diagram includes product and packaging items from receiving through distribution</p>	
6.01.05	<p>Question: Is there documented evidence that the flow chart(s) been verified on-site?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. The flow chart was verified by Steve Serck on 06/25/2019.</p>	

HACCP		Development of the HACCP Plan
6.02.01	<p>Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</p>	<p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p>
	<p>Auditor Comments: Minor. The hazard analysis does not list a chemical hazard of allergens at receiving of the prepackaged peanuts. 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 06/25/2019 and includes likelihood of occurrence and severity of identified hazards.</p>	
<p>Auditee Comments: Attached file with hazard for allergens. View Files</p>		
		CA Accepted?
<p>CB/Auditor Review Comments: Total compliance. Corrective actions accepted.</p>		Yes
		<p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p>

6.02.02	<p>Question: Have CCP decisions been made with documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. CCP decisions have been made utilizing the FDA Guide to Minimize Microbial Food Safety Hazards, also Listeria Guidance to Prevent Contamination from Listeria Monocytogenes, San Antonio University.</p>	
6.02.03	<p>Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 6 HACCP" is not applicable.</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</p>
	<p>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.</p>	
6.02.04	<p>Question: Have CCP critical control limits been established and supported by relevant validation documentation?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.05	<p>Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.06	<p>Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.07	<p>Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.08	<p>Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limit(s) of a CCP are not met (loss of control/deviation) and plans to adjust the process back into control?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.09	<p>Question: Have recording templates (recording forms) been developed for monitoring the CCPs?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.10	<p>Question: Have verification plans and schedules been developed for each CCP?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
6.02.11	<p>Question: Is the HACCP system verified when operational changes are made and at least once every 12 months?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	

6.02.12	<p>Question: Is there documented evidence that all plant workers have attended a HACCP training, including training for CCP operators?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
HACCP Execution of the HACCP Plan on the Plant Floor		
6.03.01	<p>Question: Do all of the documents noted in the HACCP Plan accurately reflect plan requirements for the CCPs?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.03.02	<p>Question: Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.03.03	<p>Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.03.04	<p>Question: Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.03.05	<p>Question: Is there a deviation record detailing documented corrective actions when a deviation/loss of control of a CCP occurs (a critical control limit is exceeded)?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.03.06	<p>Question: Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>