

FINAL AUDIT REPORT


CB Registration No.PA-PGFS-8608-1
PrimusGFS ID #314561 - Cert:8
Audited by Primus Auditing Operations

PrimusGFS Version 3.2

Ver en Español

Operation Type:Packinghouse
Audit Report Summary

Organization:	JAB Produce Contact(s): Adam Serck Mke Smietana Address: 2404 S. Wolcott Ave. #23 60608 Location: Chicago, Illinois, United States Phone Number: 7732267805
Operation:	J.A.B. Produce Contact(s): Mke Smietana Location: 2404 S Wolcott Ave Chicago, Illinois 60608, United States
Shipper:	JAB Produce, Inc.
Operation Type:	Packinghouse
Audit Type:	Announced Audit
Audit Executive Summary:	JAB Produce located within the Chicago Produce Terminal at 2404 S. Wolcott Ave. Chicago Ill. services the Wholesale and Retail Fresh Produce Sector. Boxed, Palletized Product is received and identified in Produce Pro with the Suppler Lot Number and the Date Received for Traceability. Product is then Re-boxed and Re-palletized for customer specified orders. Operations are January thru December, Monday thru Saturday, 9:00 pm to 11:00 pm with 58 employees over two shifts. Produce Suppliers have Current, Acceptable 3rd Party Audits. A Food Safety HACCP Plan is in place with no Critical Control Points identified. Allergens are not Handled or Stored in this facility but an Allergen Control Program is in place. Mock Recalls including Packaging Material are completed twice a year using Product Pro Inventory Management Tracking Software. A licensed Pest Control Service provider Monitors and Maintains the weekly Interior Pest Control System using an Electronic Management System. The Produce Terminal is responsible for maintaining the exterior Pest Control System. The Terminals system is reviewed annually by JAB Produce.
Date Documentation Review Started:	13 Oct 2023 04:30
Date Documentation Review Finished:	13 Oct 2023 09:30
Total Amount of Time on the Documentation Review:	5.00 Hours
Date Visual Inspection Started:	13 Oct 2023 09:30
Date Visual Inspection Finished:	13 Oct 2023 11:30
Total Amount of Time on Visual Inspection:	2.00 Hours
Addendum(s) included in the audit:	Not Applicable
Product(s) observed during audit:	Fruits, Cucumbers, Asparagus, Carrots, Beans, Peas, Garlic, Onions, Leeks, Mangoes, Melons, Vegetables, Peppers, Microgreens, Berries, Shallots, Roots, Leafy Greens, Brassica Vegetables, Culinary Herbs, Green Onions/Salad Onions/Scallions, Eggplant / Aubergine, Potatoes
Similar product(s)/process(es) not observed:	None
Product(s) applied for but not observed:	None
Auditor:	Peter Nielsen (Primus Auditing Operations)
Preliminary Audit Score:	99%
Final Audit Score:	100%
Certificate Valid From:	02 Nov 2023 To 01 Nov 2024

GPS Coordinates:	Latitude	Longitude	 Click here to see map
	41° 50' 45"	87° 40' 23"	

FSMA Summary Report

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[Corrective Action Activity](#)

Information related to the audited operation

Total number of workers for the operation:	50	Maximum worker number during peak season:	50
Number of lines in normal production:	1	Number of lines running during the audit:	1
Facility Size:	5000 Square feet	Facility Environment Conditions:	Dry Environment Only
Allergens:	No		
Temperature Controlled Storage:	Yes	Was an anti-microbial used in the water/ice?	No
Water Source:	Municipal/District		
Is cooling equipment used?	No		
Are production areas completely enclosed?	Yes	Production Area:	
Are storage areas completely enclosed?	Yes	Storage Areas:	

Product information for each product

Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Asparagus	Observed on the day of audit	Year round	United States
Beans	Observed on the day of audit	Year round	United States
Berries	Observed on the day of audit	Year round	United States
Brassica Vegetables	Observed on the day of audit	Year round	United States
Carrots	Observed on the day of audit	Year round	United States
Cucumbers	Observed on the day of audit	Year round	United States
Culinary Herbs	Observed on the day of audit	Year round	United States
Eggplant / Aubergine	Observed on the day of audit	Year round	United States
Fruits	Observed on the day of audit	Year round	United States
Garlic	Observed on the day of audit	Year round	United States
Green Onions/Salad Onions/Scallions	Observed on the day of audit	Year round	United States
Leafy Greens	Observed on the day of audit	Year round	United States
Leeks	Observed on the day of audit	Year round	United States
Mangoes	Observed on the day of audit	Year round	United States
Melons	Observed on the day of audit	Year round	United States
Microgreens	Observed on the day of audit	Year round	United States
Onions	Observed on the day of audit	Year round	United States
Peas	Observed on the day of audit	Year round	United States
Peppers	Observed on the day of audit	Year round	United States
Potatoes	Observed on the day of audit	Year round	United States
Roots	Observed on the day of audit	Year round	United States
Shallots	Observed on the day of audit	Year round	United States
Vegetables	Observed on the day of audit	Year round	United States

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	253	Score:	253
	Possible Points:	253	Possible Points:	253
	Percent Score:	100%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1122	Score:	1125
	Possible Points:	1125	Possible Points:	1125
	Percent Score:	99%	Percent Score:	100%
Module 6 - HACCP System Requirements	Score:	95	Score:	95
	Possible Points:	95	Possible Points:	95
	Percent Score:	100%	Percent Score:	100%
TOTAL	Score:	1470	Score:	1473
	Possible Points:	1473	Possible Points:	1473
	Percent Score:	99%	Percent Score:	100%

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

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	
	Buildings and Grounds	
	Site	
	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 Food Safety Policy includes the company's objectives and commitment to following Food Safety Laws, Industry Best Practices and striving for continuous improvement. The policy is signed by Steve Serck President Dated on 9-12-2023 and is posted on the wall in the main office area entrance, employee break room.</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 an organizational chart Document dated 8-2-23 showing key members of the Food Safety Team as well as alternates and job descriptions. Responsibilities are detailed in the Job Descriptions.</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: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, the Food Safety Committee includes, Adam Serck, Steve Argires, Blanca Coronel. Last meeting was 7-26-2023 Topics covered include are results from internal audits. Including Maintenance Issues, Pest Control Reports, Microbiological Testing.</p>	

1.01.04	Question: Is there a training management system in place that shows what types of training 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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, A training Matrix shows training completed and training required for specific job roles and individuals in those roles.	
1.01.05	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, The Food Safety System is reviewed by Management annually. The review covers and evaluates the HACCP Program, Supplier Qualifications, Consumer Complaints, emerging issues related to produce handled. Last review was 8-2-2023.	
1.01.06	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?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Guidelines are from 21 CFR Part 112. Standards for the Growing, Harvesting, Packing and Holding of Produce for Human Consumption.	

FSMS	Control of Documents and Records
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1.02.01	Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Document Control SOP No. 2.1 . Document outlines how documents are to be numbered and dated, with a revision No. If revised. The Director of Food Safety is responsible for developing, updating and removal of obsolete documents.	
1.02.02	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Control and Records SOP requires all records to be stored for a minimum of 2 years.	
1.02.03	Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, paper copies are available up request, electronic records are available as read only documents. Master copies, electronic and paper are maintained in a secured office, access to electronic documents is Password protected.	
1.02.04	Question: Are records maintained in an organized and retrievable manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, paper and electronic records are maintained in identified paper and electronic file folders and easily retrievable.	
1.02.05	Question: Are all records and test results that can have an impact on the food safety program verified by a qualified person independent of the individual(s) completing the records?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, evidence of Potable Water test reports and Microbiological Environmental test reports being reviewed are by signature of the Director of Food Safety.	

FSMS	Procedures and Corrective Actions
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1.03.01	Question: Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Control SOP 2.1.2 Section 2 contains description on How to Write a Standard Operation Procedure. Requires SOP's to be formatted specifying What is to be done, How it will be done and the Frequency with Who is responsible for completing the SOP. Number the Document with Revision Number and Date.	
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, paper copies of procedures are available upon request. Electronic copies are available as read only documents. A Master Copy is maintained electronically with password protection and limited authorized access.	
1.03.03	Question: Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, the Corrective Actions Procedure No. 3.1 outlines the steps to be taken, finding the Root Cause of a Deviation, Implement Corrective Actions, Demonstrate the Effectiveness of the Corrective Actions to prevent re-occurrence.	
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, a NUOCA Log is available. Records reviewed showed a shipment containing insects 4-26-2023. May 11, 2023 a plugged drain.	
FSMS Internal and External Inspections		
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, Internal Audits SOP No. 4.1 contains an Internal Auditing Schedule. Records, Supplier Evaluation and Glass inspections occur Monthly, HACCP Food Safety Audits and review of the Food Safety Program Documents occur Annually. The Director of Food Safety completes all Internal audits using the Primus GFS v3.2 Modules 1, 5 and 6 format. Last Internal GMP Audit was 8-9-2023, HACCP Audit 7-26-2023.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Regulatory Inspections SOP 5.1, requires Regulatory Personnel to sign in on the visitor log, Agree to follow the Facilities GMP's, be escorted. Photos and Sample collection are allowed with Management Approval.	
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, last Primus Audit was 9-7-2022. Most Non-conformance's identified have been corrected. No other audits Regulatory or Customer.	
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, Document Calibration and Accuracy Verification SOP No. 6.1 describes using the Ice Slush method to verify the accuracy of the Thermometers Monthly. Sanitizer concentration is verified weekly using test strips. ATP is verified annually using an external Positive Control.	

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, Monthly Records of the thermometer calibrations/Verifications for July, August and September were reviewed. ATP Meter Calibration/Verifications were reviewed and are consistent with the requirements in the SOP.	

FSMS	Release of Items/Product
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1.05.01	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Product Release SOP No. 8.1 describes the Product Release procedure. All product is identified at Receiving using a Barcode, Product type and Customer Lot No. are entered into Produce Pro. Product picked for shipment is approved for release thru Produce Pro. matching the outbound order with the items picked.	

1.05.02	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Control SOP No. 2.1.2 requires records including Product Release Records to be maintained for 2 years. Product Release Records are maintained in Produce Pro.	

1.05.03	Question: Is there a documented procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Material On-hold and Rejected SOP No. 7.1 Product placed on hold is identified with a Bright Orange Hold Tag, with the date, reason for hold and who placed the product on hold. The product is locked out for use in Produce Pro. Release and Disposition of product on Hold is determined and Authorized by the Director of Food Safety.	

1.05.04	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, product release records are available and maintained for 2 ears in Produce Pro. No records of product placed on Hold or Rejected.	

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, Buyer & Consumer Complaints and Feedback SOP No. 9.1 outlines the complaint procedure. Buyer and Consumer Complaints Form records who made the complaint, lot identification , product description, investigation into the complaint, with corrective actions and preventative actions.	

FSMS	Supplier Monitoring/Control
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1.06.01	Question: Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Supplier Approval Monitoring and Specifications SOP No. 10.1 Contains a Supplier Risk Assessment. Suppliers are required to provide a Letter of Guaranty, Evidence of a 3rd Party Audit, Proof of Insurance and Licensed when applicable. Requirement of a Trial Performance period, Provisional Approval, Emergency Approval and Detailing procedures.	

1.06.02	Question: Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Approved Supplier list reviewed contains Current Suppliers and Service Providers documents with expiration dates, Risk level of product provided.	
1.06.03	Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Produce Commodity Raw Material Specifications contains general requirements for Raw Produce Damage, Bruising, Color, Sizing, Receiving Temperature. Customer Product Specific requirements are included. Service Provider requirements are detailed in SOP 10,1 Suppler Approval. Monitoring and Specification SOP.	
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, Current 3rd Party Audits, Certificates, Licensing and Letters Guaranty are available and a random sampling was reviewed. Bolthouse Farms, Driscoll Strawberry, Monte Packaging.	
1.06.05	Question: Where food safety related testing is being performed by 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 the outside laboratory is 17025:5000 Certified for the tests being performed.	

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, Traceability SOP No. 11.1, Incoming Product is assigned a Lot No in Produce Pro. The Lot No. is Associated with the Purchase order, Product description, Suppliers Lot No. Quantity, Destination and current inventory.	
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, Traceback Recall SOP No. 12.1 Outlines the Product Recall/Tracking procedure. Contains the recall Committee with Emergency Contact numbers, Classes of Recall, Lot Coding for product identification. Requirements for a Mock Recall. Regulatory agencies USDA, FDA, and the Certifying Bodies Primus	
1.07.03	Question: Is testing of recall procedures (including traceback) 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, Mock recalls are completed twice annually. Last Mock recall involving Packaging Material was 9-13-2023. Lessons Learned were the system worked as designed identifying the Amount purchased, amount used Destination Shipped to and Quantity on Hand was identified in under 15 minutes. During the Audit a Trace of Green Onions received on 3-8-2023,the Location Shipped to and Quantity were identified in under 10 minutes using Produce-Pro. System works as designed.	

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, Food Fraud Control SOP No. 13.1 includes an evaluation of Commodities received for potential Adulteration, Dilution, Substitution, Mislabeling or un-approved enhancement.	

1.08.02	Question: Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Food Defense SOP No. 14.1 the Food Defense Program has Evaluated the Building Security, all doors are locked from the outside preventing un-authorized Access, Premise Security Visitor/Contractor Security, Data Security, Inbound and Outbound Freight 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, Food Defense program is reviewed annually, Corrective Actions are maintained. Records reviewed support the annual review.	
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, Emergency contacts and numbers for Management are posted in the Packing house. Additional Food Safety, Regulatory Agencies, Certifying Bodies and Law enforcement contacts are in 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, visitor and contractors are required to sign in and agree to follow Company GMP's. Visitors, Contractors and Regulatory personnel are identified with badges and escorted by a plant representative.	

GMP	General GMP
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5.01.01	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, Cleaning Chemicals are stored in a Locked Cabinet with Controlled access. No maintenance shop in this facility, all maintenance is contracted out.	

5.01.02	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	Possible Points: 10 Points Scored: 7 Score: Minor Deficiency
	Auditor Comments: Minor Deficiency, Hand Sprayer in the Re-pack room was not properly labeled with the contents. All other Food Grade Chemicals were observed to be labeled appropriately and stored in a controlled access area.	

Auditee Comments: New labels were ordered from Anderson Chemical and applied to bottles missing labels.		View Files
	CA Accepted?	
CB/Auditor Review Comments: Accepted with Photographic Evidence of Corrective Actions. Hand Sprayers containing Cleaners/Sanitizer are properly identified and labeled with the contents.	Yes	Possible Points: 10 Points Scored: 10 New Score: Total Compliance

5.01.03	Question: Are signs supporting GMPs posted appropriately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, signs supporting GMP's are posted at receiving, entrance to the warehouse/packing area and employee welfare areas.	

5.01.04	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 exterior doors are locked from the outside with card key access preventing un-authorized access. Visitors are required to sign in and be escorted by a plant representative. Drivers are restricted to the receiving area office.	
GMP Pest Control		
5.02.01	Question: Are products or ingredients free of pests (e.g. insects, rodents, birds, reptiles, mammals) or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, evidence of insects. Rodents/birds/reptiles/mammals was not observed on products or ingredients.	
5.02.02	Question: Are packaging supplies free of pests (e.g., insects, rodents,birds,reptiles,mammals) or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, evidence of insects. Rodents/birds/reptiles/mammals was not observed on packaging supplies.	
5.02.03	Question: Are plant and storage areas free of pests (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, evidence of insects. Rodents/birds/reptiles/mammals was not observed in the storage area.	
5.02.04	Question: Is the area outside the facility free of evidence of pest activity?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, evidence of pest activity outside the facility, tunneling, burrowing or nesting was not observed.	
5.02.05	Question: Is there an effective pest control program in place? 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, Ecolab Pest Control is the licensed Pest Control Operator servicing inside traps weekly. Building Exterior Bait Stations are the responsibility of the Produce Terminal with a Monthly service by a Licensed Pest Control Operator.	
5.02.06	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 bait stations are not used within the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, rodent traps are located along the interior perimeter of the exterior wall away from Food Products. Rodent Bait Stations are located on the exterior perimeter of the outer wall.	
5.02.07	Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Pest Control Devices were observed to be clean an un-damaged. Devices are marked as monitored using a barcode reader every week.	
5.02.08	Question: Are interior and exterior building perimeter pest control devices adequate in number and location?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Exterior Bait Stations and Interior Traps are positioned on either side of entry doors and effectively spaced along interior and exterior wall perimeters as recommended by the Pest Control Company.	

5.02.09	Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, all pest control devices were numbered with a corresponding number on the wall placard above the device.	
5.02.10	Question: Are all pest control devices effective and bait stations secured?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, all exterior pest control devices weighted. All interior and exterior devices are numbered with a corresponding wall placard. Device openings are parallel with the wall.	
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, Products are properly stored to prevent potential cross contamination.	
5.03.02	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, Food Products were the only items observed in the facility.	
5.03.03	Question: Are rejected or on hold materials clearly identified and separated from other materials?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, product placed on hold is identified using a Hold tag and placed isolated from other product. The hold tag identifies, the product, the reason for the hold, additional information identified who placed the product on hold and who released the product.	
5.03.04	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, evidence of spoilage or adulteration was not observed.	
5.03.05	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 including, walls, lights, ceiling floor and comers are clean. A janitorial crew is continually walking thru the facility, sweeping and cleaning under bottom row pallets as they are moved out.	
5.03.06	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 products are properly rotated using FIFO. Material is marked with a Receiving date used to maintain FIFO in Produce Pro the electronic inventory system.	
5.03.07	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, all material is rotated using the FIFO policy with Produce Pro.	

5.03.08	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, Storage temperatures are at the appropriate temperature for the commodity being stored.	
5.03.09	Question: Is any packaging being stored outside, being stored protected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Packaging material is not stored outside.	
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, Product flow, employee and internal vehicle pattern ensures products are not exposed or susceptible to cross contamination.	
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, potential for overhead contamination was not observed.	
5.04.03	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, the facility, lights, Ceiling, walls, Floors and equipment are clean.	
5.04.04	Question: Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, the production area is completely enclosed.	
5.04.05	Question: Is all re-work / re-packaging handled correctly?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, all re-boxing of product is handled correctly. Potential for contamination was not observed.	
5.04.06	Question: Are raw ingredients examined before use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, product is visually inspected at time of receipt for damage and spoilage. Product is inspected during Re-boxing and at shipping for damage and spoilage.	
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, all product is coded from the Supplier with the Lot Code entered into Produce Pro with the Date Received for Product Traceability.	

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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, Metal Detectors are not required. Product is not trimmed, or altered. A visual inspection occurs as product is being Re-boxed.	
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: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, Sanitizer used in the Re-Pack Room is monitored weekly using test strips. No Expired contents, observed measuring the concentration.	
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 washing stations at the entrance to the re-pack room. Stations are equipped with warm water, soap and Single use disposable paper towels.	
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, All stations are equipped with Warm Water, Un-Scented Soap and Single use disposable paper towels.	
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 are 2 toilet facilities for 50 employees over two shifts. Toilet facilities are equipped with Warm Water, Un-Scented Soap and Single use disposable paper towels	
5.04.13	Question: Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Secondary Hand Sanitation Stations are available at the entrance of each cooler and the Re-Pack Room. Units are monitored daily. Units were functional during the audit.	
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, Food Baths are not required in Pack houses.	
5.04.15	Question: Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no single service containers in this Pre-pack, Storage and Distribution facility.	
5.04.16	Question: Are re-usable containers cleanable 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, Re-usable containers are lined and clearly marked for their intended purpose.	
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, Independent Thermometers are located in each of the Cold Storage Rooms and Re-pack Room. Accuracy Verification checks are completed monthly.	

GMP		Worker Practices
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 washing their hands before starting work, after using the restroom or after breaks was observed.</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, Employee fingernails were clean and free of nail polish.</p>	
5.05.03	<p>Question: Are workers who are working directly or indirectly with food, free from signs of boils, sores, open wounds and are not exhibiting signs of foodborne illness?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, evidence of ill employees was not observed.</p>	
5.05.04	<p>Question: Are workers wearing effective hair restraints that contain all hair?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, employees are wearing effective hair restraints.</p>	
5.05.05	<p>Question: Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, jewelry was not observed. Employee GMP covers acceptable jewelry as a plain wedding band.</p>	
5.05.06	<p>Question: Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves, non-latex gloves)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, employees are wearing latex free gloves and aprons.</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, Employees contacting Food were observed removing protective outer garments when going on break.</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: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, employees are provided a designated area to dispose of protective outer garments for breaks and restroom use.</p>	
5.05.09	<p>Question: Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, personal items were not observed in the storage, re-packing or staging 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, eating, drinking is confined to designated 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, potable water is accessible to the employees.	
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 the head, Bluetooth devices, etc.)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, un-secured items or items in the top pockets were not observed	
5.05.13	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, the first aid kit is adequately stocked and accessible with blue band aids and no expired contents.	

GMP	Equipment
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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, food contact equipment surfaces were observed to be free of flaking paint, corrosion, rust and other un-hygienic 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, flaking paint, corrosion, rust and other un-hygienic material was not observed on non-food contact surfaces.	
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, food contact equipment design, placement, and condition facilitates effective cleaning.	
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 observed in each of the cold storage rooms.	
5.06.05	Question: Are all thermometers non-glass and non-mercury?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, all independent thermometers were observed to be non-glass and non-mercury.	

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, all food contact surfaces were observed to be clean.	

5.07.02	Question: Are non-food contact equipment surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, non-food contact surfaces were observed to be 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, product is not stored in totes or bins.	
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, cleaning was not observed during the audit. Sanitation SOP requires Food and Packaging Material to be removed prior to cleaning.	
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, dust, ice was not observed on the cooling unit coils.	
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, fan guards were observed to be clean. No excessive black deposits on the ceiling in front of the fans.	
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, no stored equipment observed.	
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 for sanitation not in use were clean and stored off the floor.	
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 are no maintenance tools in this operation. Maintenance activities are outsourced.	
5.07.10	Question: Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, excess grease/lubricants were not observed.	
GMP General Cleaning		
5.08.01	Question: Are spills cleaned up immediately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, minor clean up by the janitorial crew was occurring continually. No spills were observed.	

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, evidence of excess trash was not observed. Trash is placed in a Gondola that is emptied daily by the Trash Hauler.	
5.08.03	Question: Are floor drains covered, do they appear clean, free from odors, in good repair, and flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Floor drains in Storage, Staging and Re-pack area appeared clean, free of odors, potential for product contamination was not observed. Drains are cleaned and treated with an antimicrobial agent daily.	
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, high level areas, pipes, ducts, lights appeared clean.	
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, plastic strip curtains were clean and not in contact with the floor.	
5.08.06	Question: Is personal protection equipment (PPE) for the sanitation crew 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, the sanitation crew is provided with adequate equipment. All Chemicals are properly labeled. Cleaning equipment is properly stored and color coded for the area of use. Blue-Wet Cooler: Red-Everywhere else.	
5.08.07	Question: Is cleaning equipment maintained clean and stored properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, cleaning equipment is stored in a designated enclosed area, clean, dry and off the floor in the Head Down Orientation.	
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, Cleaning Equipment is color coded for the area of use. Blue-Wet Cooler; Red-Everywhere else.	
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, Sanitation products were not constructed of material that could contaminate product. Steel Wool or Metal Bristles were not 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, toilet facilities and hand washing stations were observed to be clean. A Daily Janitorial Log was reviewed indicating the facilities were cleaned.	

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, employee break rooms, microwave and refrigerator were observed to be clean and are cleaned on a weekly clean out schedule.	
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, this facility does not have a maintenance shop.	
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, the Electric Fork lifts, pallet jacks and manual pallet jacks were observed to be clean. No excess lubricants.	
5.08.14	Question: Are shipping trucks clean and in good condition?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, shipping trucks were not available during the audit. The Shipping Receiving, BOL provides record a visible inspection of the vehicle for cleanliness. Information is entered into Produce Pro.	

GMP	Buildings and Grounds
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5.09.01	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, all lights are shielded to protect product in the event of accidental breakage.	
5.09.02	Question: Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, potential for product contamination from Metal, Glass or Wood was not observed.	
5.09.03	Question: Has the facility eliminated the use of wooden items or surfaces?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, wood in the storage or staging area was not observed. Pallets were observed to be in good condition, not splintering or broken.	
5.09.04	Question: Is there adequate lighting in the production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, the Re-Packing and storage area has adequate lighting.	
5.09.05	Question: Is ventilation adequate to control dust, condensation, odors and vapors?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, dust, condensation, odors were not observed.	
5.09.06	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 observed to be in good condition, no exposed aggregate or debris trapping cracks.	

5.09.07	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 are placed appropriately, sinks are properly plumbed.	
5.09.08	Question: Are closed doors and windows to the outside pest-proof?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, potential entry points Gaps, Holes, Cracks for pests entry was not observed.	
5.09.09	Question: In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Dock Door Bumpers were observed to be intact, Not Ripped or torn.	
5.09.10	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, Dock Load Levelers and Buffers were observed to be in good condition, no rips, tears, voids. Shelters are clean.	
5.09.11	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, holes, cracks were not observed in exterior walls. Pipes are properly covered to prevent pest entry.	
5.09.12	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, holes and cracks were not observed in interior walls.	
5.09.13	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, There is an observable interior wall perimeter between palletized product stored on the floor allowing for Cleaning and Inspection.	
5.09.14	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, Weeds, Litter and Standing water was not observed in the area immediately outside the facility. Parking lot is Asphalt Paved.	
5.09.15	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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no outside storage observed.	
5.09.16	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 good separated from damaged pallets. Storage is inside under the Pest Control Plan. Damaged pallets are repaired or removed daily by the Produce Terminal.	

5.09.17	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 is clean.	
5.09.18	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no outside garbage receptacle, all interior trash bins are emptied and hauled away daily.	
5.09.19	Question: Are all water lines protected against back siphonage?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, all hose drops were observed to be equipped with vacuum breakers.	
5.09.20	Question: Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A no on-site laboratory.	

GMP	Site
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5.10.01	Question: Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, wastewater and other relevant features?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, the site plan showing adjacent properties, adjoining businesses in the Produce Terminal. Water and Sewer are underground services provided by the Municipality.	
5.10.02	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, the facility floor plan shows features of Shipping/Receiving, Storage, Staging, Re-packing, Offices and Restrooms. Product flow through the facility is included.	
5.10.03	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, a Risk assessment has been performed evaluating the Produce Terminal, Businesses on Adjacent Land for potential Chemical, Biological Contaminants. No Risks Identified.	
5.10.04	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, the Backflow Preventer servicing the Produce Terminal was tested and passed on 12-30-2022 by Chicago Backflow Inc.	
5.10.05	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, Adam Serck, Director of Food Safety is responsible for the Food Safety Program.	

GMP	Chemical Files
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5.11.01	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, Chemical Labels for Geron IV and Balance pH were reviewed. Chemicals being used according to the Label Instructions.	
5.11.02	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 is maintained by the Chemical Supplier completed Monthly. Reviewed Records from August, September and October 2023.	
5.11.03	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single pass and/or recirculated/batch water systems, changing of recirculated/batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.) and for monitoring pH and water temperature (if applicable)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, there is no Product Water Contact in this Dry Packing facility.	

GMP	Pest Control Documentation
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5.12.01	Question: Is the pest control program properly documented, 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 Pest Control is the licensed Pest Control Operator using electronic site management. The Service agreement covers inspection of inside pest devices once a week. Pests to be addressed include mice, rats, insects. The manual contains current licensing expiring from the Illinois Department of Public Health 12-31-2023 and liability insurance certificates expiring 12-1-2023.	
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, the site schematic shows 38 interior traps and 3 ILT's. The Terminal maintains Exterior Bait Stations thru Anderson Pest Solutions a Licensed Pest Control Supplier. Service Records from July and August were reviewed.	
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, electronic service reports are generated detailing findings, suggested Corrective Actions and Trending. Printed Service Reports are counter signed by a facility representative with each service.	

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, Incoming trailers and goods inspection is recorded in Product Pro, Providing a record of Trailer Temperature, Refrigeration Unit Temperature, evidence of visual evaluation of trailer for cleanliness, damage and pests is also recorded.	
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, Incoming trailers and goods inspection is recorded in Product Pro, Providing a record of Trailer Temperature, Refrigeration Unit Temperature, evidence of visual evaluation of trailer for cleanliness, damage and pests is also recorded.	

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 (e.g. fungicides), 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, No processing occurring in the dry Re-packing facility.	
5.13.04	Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, 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, this is a dry packing facility, no water product contact.	
5.13.05	Question: Are there records of monitoring for build-up of organic material (turbidity) and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, this is a dry packing facility, no water product contact.	
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, Secondary Hand Sanitizers are Monitored daily and recorded on the Pre-operational Inspection Report. Units are readily accessible to employees and were functional during the audit.	
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, there are no tools used in the daily operation.	
5.13.08	Question: Is there a pre-operation inspection log?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, a Pre-Operational Inspection is completed covering Packing area, Storage areas, Rest Rooms, Shipping/Receiving Dock and Employee Welfare Area. If Corrective Actions are required, the area is re-inspected prior to operations.	
5.13.09	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, Internal audits are performed quarterly Last Internal Audit was 8-9-2023. (The audit follows the Primus GFS v 3.2 Guidelines for Modules 1,5 and 6) Areas audited are Building Interior and Exterior, Pest Control, Cooling Units, Records associated with Thermometer Calibration, Employee Training, Sanitation, Customer Complaints. Records Reviewed show identified deficiencies with Corrective Action follow up.	
GMP Maintenance & Sanitation Files		
5.14.01	Question: Does the facility have a preventative maintenance program that includes a schedule and completion records?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Preventative Maintenance SOP No. 17.1 schedule contains activities to be completed, Lubrication of Fork Lifts and twice annual servicing of Cooling Units. Additional observations occur during daily pre-op. Deficiencies are noted and addressed immediately. Fork lifts, and Refrigeration units on scheduled PMs are serviced by Approved outside service providers.	
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 records from July and September were reviewed. Work is signed off by the Director of Food Safety.	

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, the Maintenance Completion Log indicates Cooling units have been sanitized after servicing.	
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, The Master Sanitation schedule contains equipment and locations to be cleaned and the frequencies, Daily, Weekly, Monthly.	
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, Standard Operating Procedure contains written procedures and chemical concentration for all areas, equipment, coolers.	
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, the Master Cleaning Log is a record of what cleaning was done, dated to show when and initialed by the individual completing the task. Cleaning frequency is dependent on the location and equipment, frequencies are daily, weekly and monthly. Cleaning logs are signed off by the Director of Food Safety.	
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, Daily Sanitizer concentration is tested weekly and recorded on Daily Pre-op form using test strips.	
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, chilled water systems, ice makers, etc.), where applicable?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no CIP system in this Dry Packing Facility.	
5.14.09	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)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Drain Cleaning and Antimicrobial Treatment is recorded on the Daily Pre-op Form.	
5.14.10	Question: Are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Cleaning and Sanitizing of Cooling and evaporative cooling units twice a year. Reviewed Service Invoice for Cooling Units 9-18-2023.	
5.14.11	Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Cleaning and Sanitizing of Cooling units twice a year. Reviewed Service Invoice for Cooling Units 9-18-2023.	

5.14.12	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)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, ATP Testing SOP No. 18.1 Bacterial Sampling of Non- Food Contact Surfaces Utilizing a Hygiene ATP Meter occurs weekly. An acceptable Range of < 60 RLU's. There are no Food Contact Surfaces in this Re-Packing Facility.	
5.14.13	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)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Glass Control SOP No. 19.1 Contains procedures to follow in the event of Glass Breakage identifying and isolating affected product, quarantining the area for clean up. A Glass Register contains a list of Glass not likely to be replaced. Items on the glass registry are inspected monthly and recorded. Reviewed Records from July and August 2023.	

GMP	Worker Documentation
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5.15.01	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Orientation of new hires includes the Food Safety Policy and GMP's included in the Employee Hand Book. Employees sign indicating receipt and understanding. Topics for New Hires and On-going include GMP's, Food Defense, HACCP, Sanitation, Stock Rotation.	
5.15.02	Question: Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, On-going training occurs minimum of annually. Last training was held 9-7-2023. Topics include Sanitation SOP 23. Director of Food Safety is the Trainer.	
5.15.03	Question: Are there training logs for the sanitation workers, including best practices and chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, training for sanitation occurs during the New Hire Training and On-going training sessions. Employees sign the Training Log indicating training and understanding of the topics.	
5.15.04	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 include return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors should check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, GMP Personnel Food Safety Hygiene Training SOP No. 21.1 requires employees to report any cuts, open wounds, illness to the Supervisor or Director of Food Safety.	
5.15.05	Question: Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, GMP Personnel Food Safety Hygiene Training SOP No. 21.1 Section 6) Disciplinary Procedure describes a progressive disciplinary action procedure. Disciplinary actions require the signature of the Employee and Supervisor acknowledging the incident.	
5.15.06	Question: Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Visitors and Contractors are required to sign in and agree to follow the posted GMP's. Visitors will be escorted by a company representative	

GMP	Testing
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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>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, Microbiological Swabbing and Water Testing SOP No. 24.1 has identified Zones 1-4 to be sampled monthly including surfaces to be sampled and tested by an ISO 17025 Accredited Laboratory Certificate No. AT-2613 Expiring 8-23-2024. Water used for Sanitation and employee hygiene is tested annually to meet EPA criteria for potable water.</p>	
5.16.02	<p>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?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, Corrective Action SOP No. 3.1 and Microbiological Swabbing and Water Testing SOP No. 24.1 contain Corrective Action procedures if un-acceptable results occur, then a Root Cause analysis is performed by the Director of Food Safety. Corrective actions are determined and implemented. Retesting of affected and surrounding areas to demonstrate effective Corrective Actions</p>	
5.16.03	<p>Question: Are there records of environmental microbiological test results and does testing meet the program requirements?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, Records of Environmental Microbiological tests are performed monthly for Listeria on Non-Food Contact Surfaces and for Enterobacteriaceae on Food Contact Surfaces. Locations tested include Re-pack Table, Hustler Bathroom, Cooler Walls. Expected results for Listeria spp are negative per area swabbed and Less than 10 CFU for Enterobacteriaceae. Tests results are in compliance with the Environmental Monitoring Program.</p>	
5.16.04	<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>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, water used for cleaning and employee hygiene was sampled annually within the facility and tested for potability by Water by an ISO 17025 Accredited Laboratory. Last sampled 10-4-2023 using Standard Methods SM9223B. Acceptable results.</p>	
5.16.05	<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>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A, Ice is not made or used in this facility. Some Product may come in iced.</p>	
5.16.06	<p>Question: Are there records of tests performed on compressed air or other mechanically introduced gases that are used directly on food and food contact surfaces and does testing meet the program requirements?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A, no compressed air in this Storage and Distribution facility.</p>	
5.16.07	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A, no other tests required by customers or regulatory.</p>	
5.16.08	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A, no un-suitable testing results requiring Corrective Actions.</p>	
5.16.09	<p>Question: Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes, Training to aseptically collect microbiological samples was provided by the ISO 17025 Accredited Laboratory.</p>	

5.16.10	Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with protocols and validated testing methods, evidence of training on testing protocols and methods, and relevant supporting documentation?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no in-house laboratory. All testing is outsourced.	

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 , No Temperature Sensitive Products re-packed or stored in this Facility.	

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, Warehouse/Re-packing room temperature is monitored is monitored daily	

5.17.03	Question: Are there temperature logs for storage rooms?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Temperature of the Refrigerated Storage Rooms is monitored manually daily, data retention is 2 years.	

5.17.04	Question: Is there a documented procedure for checking truck trailer temperature and reviewing sanitary condition of truck trailers prior to loading?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Receiving Storage Re-packing and Shipping SOP No. 16.1 requires a Trailer Temperature Check and Sanitary Condition Check. Section 2) Incoming Trailer Inspection, results are recorded on the BOL and in Produce Pro.	

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, Receiving Storage Re-packing and Shipping SOP No. 16.1 requires a Trailer Temperature Check and Sanitary Condition Check. Section 2) Incoming Trailer Inspection, results are recorded on the BOL and in Produce Pro.	

5.17.06	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, Receiving Storage Re-packing and Shipping SOP No. 16.1 requires a Trailer Temperature Check and Sanitary Condition Check. Section 2) Incoming Trailer Inspection, results are recorded on the BOL and in Produce Pro.	

GMP	Allergen Control
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5.18.01	Question: Are production and storage areas free of allergen risks (i.e. allergens are not stored or handled)??	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: Yes, Allergen's are not handled or stored in this facility however there is an Allergen Management SOP No 25.1 .	

5.18.02	Question: Has a documented allergen management plan been developed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	

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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
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	
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	
5.18.06	Question: Does re-work handling take into account the issues associated with allergen containing products?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
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	
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	
HACCP Preliminary Steps		
6.01.01	Question: Is there a team responsible for the HACCP program at the operation, with an assigned leader for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, There are 7 members on the HACCP Team with Adam Serck the Food Safety Director responsible for the development, implementation and maintenance of the HACCP Plan.	
6.01.02	Question: Is there documented evidence that the HACCP team members have been trained on HACCP principles?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, Adam Serck attended a HACCP course approved by the International HACCP Alliance July of 2020. Other team members have been trained in-house on the HACCP Principles following the HACCP Training SOP No. 26.1, recorded on the Training Log. A competency assessment is given after the training.	
6.01.03	Question: Does a product description exist for the products produced?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, a product description is derived from USDA Standards for the Produce Handled.	

6.01.04	Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, the process has been flow charted showing all relevant steps in the Storage and Re-pack Operation. The flow was verified during the audit.	
6.01.05	Question: Is there documented evidence that the flow chart(s) has been verified on-site?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, the Storage / Re-pack Flow diagram has been verified by the Food Safety Director on 8-2-2023. The Flow Diagram shows all relevant Steps in the Storage and Re-Packing Operation.	
HACCP Development of the HACCP Plan		
6.02.01	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) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, A Hazard Analysis for each step in the re-packing process has been evaluated for potential Biological, Chemical and Physical Hazards using a Risk Matrix, Biological hazards identified were, Salmonella and STEC E.coli and Listeria monocytogenes. Chemical Hazards from pesticides. No Physical Hazards Identified. The Hazard Analysis Includes the severity and potential for occurrence. All Biological, Chemical and Physical hazards are identified as unlikely to occur due to Pre-requisite Programs.	
6.02.02	Question: Have CCP decisions been made with logical, documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, Justification for the determination of no Critical Control Points is documented in the Hazard Analysis using the Risk Matrix. Potential Biological (Listeria), Chemical (Residue)and Physical (Foreign Material) hazards were identified as unlikely to occur due to established Pre-Requisite Programs and no history of these hazards found in this process.	
6.02.03	Question: Is the HACCP system reviewed when significant changes are made and at least once every 12 months?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Evidence of the HACCP System review is by Signature of the Food Safety Director. Last review was 8-2-2023, no changes have been made to the HACCP Plan.	
6.02.04	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.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No, Critical Control Points have not been identified in this Storage and Re-Packing operation.	
6.02.05	Question: Have CCP critical control limits been established and are they supported by relevant validation documentation?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.02.06	Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.02.07	Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	

6.02.08	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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.02.09	Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limits are not met (loss of control/deviation) and plans to adjust the process back into control?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.02.10	Question: Have recording forms been developed for monitoring the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.02.11	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
HACCP Execution of the HACCP Plan on the Plant Floor		
6.03.01	Question: Is there documented evidence that all plant workers have attended a HACCP training, including specific training for CCP operators?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.03.02	Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.03.03	Question: Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.03.04	Question: Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.03.05	Question: Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	
6.03.06	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)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A	