

FINAL AUDIT REPORT


CB Registration No.PA-PGFS-8608-1
PrimusGFS ID #203309 - Cert:5
Audited by Primus Auditing Operations

PrimusGFS Version 3.1

Ver en Español

Operation Type:Packinghouse
Audit Report Summary

Organization:	JAB Produce Contact(s): 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 Scope:	The facility includes approximately 20000 square feet of cooler space located in the Chicago Produce Terminal Market. There are 5 coolers along with a rented cooler used for re-packing of assorted fruits/vegetables. Iced product can be received and is stored in Cooler #2. No ice machines or topping of product conducted on site. During re-packing, commodities are removed from original containers and re-packed into smaller units, corrugated or waxed corrugated boxes. Root vegetables were on product tables during the audit. Traceability coding is then applied to master boxes after packing. Product sold mainly to retail, groceries, and food service. The facility operates 12 months with 50 employees(10 in repack/40 in storage/distribution). Most product is picked up by customers and the facility ships on 2 trucks. Observed the following commodities in coolers: onions, herbs, berries, broccoli, cabbage, carrots, cucumbers, citrus, apples, peppers, spinach, tomatoes, potatoes, melons, mangoes. Pest control as follows: Terminal market(exterior)-Anderson, Company owned space-Ecolab, rented coolers and packing area- PrestoX. There are no critical control points associated with the HACCP Program.
Date Documentation Review Started:	08 Aug 2020 08:00
Date Documentation Review Finished:	08 Aug 2020 11:30
Total Amount of Time on the Documentation Review:	3.50 Hours
Date Visual Inspection Started:	12 Aug 2020 07:00
Date Visual Inspection Finished:	12 Aug 2020 11:00
Total Amount of Time on Visual Inspection:	4.00 Hours
Addendum(s) included in the audit:	Not Applicable
Product(s) observed during audit:	Asparagus, Basil, Berries, Blueberries, Broccoli, Cabbage, Carrots, Cilantro, Cucumbers, Dasheen / Taro, Fruits, Green Onions/Salad Onions/Scallions, Lettuce, Mangoes, Melons, Peppers, Potatoes, Raspberries, Spinach, Strawberries, Tomatoes, Vegetables
Similar product(s)/process(es) not observed:	None
Product(s) applied for but not observed:	None
Auditor:	Ceri Barone (Primus Auditing Operations)
Preliminary Audit Score:	98%
Final Audit Score:	99%
Certificate Valid From:	16 Sep 2020 To 15 Sep 2021

GPS Coordinates:	Latitude	Longitude	 Click here to see map
	41° 50' 47"	87° 40' 15"	

[View Certificate](#)

[Corrective Action Activity](#)

Information related to the audited operation

Total number of workers for the operation:	30	Maximum worker number during peak season:	50
Number of lines in normal production:	1	Number of lines running during the audit:	1
Facility Size:	20000 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		

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
Basil	Observed on the day of audit	Year round	United States
Berries	Observed on the day of audit	Year round	United States
Blueberries	Observed on the day of audit	Year round	United States
Broccoli	Observed on the day of audit	Year round	United States
Cabbage	Observed on the day of audit	Year round	United States
Carrots	Observed on the day of audit	Year round	United States
Cilantro	Observed on the day of audit	Year round	United States
Cucumbers	Observed on the day of audit	Year round	United States
Dasheen / Taro	Observed on the day of audit	Year round	United States
Fruits	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
Lettuce	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
Peppers	Observed on the day of audit	Year round	United States
Potatoes	Observed on the day of audit	Year round	United States
Raspberries	Observed on the day of audit	Year round	United States
Spinach	Observed on the day of audit	Year round	United States
Strawberries	Observed on the day of audit	Year round	United States
Tomatoes	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:	224	Score:	229
	Possible Points:	229	Possible Points:	229
	Percent Score:	97%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1061	Score:	1071
	Possible Points:	1083	Possible Points:	1083
	Percent Score:	97%	Percent Score:	98%
Module 6 - HACCP System Requirements	Score:	85	Score:	85
	Possible Points:	85	Possible Points:	85
	Percent Score:	100%	Percent Score:	100%
TOTAL	Score:	1370	Score:	1385
	Possible Points:	1397	Possible Points:	1397
	Percent Score:	98%	Percent Score:	99%

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

SECTIONS:

Food Safety Management System Requirements	Module 5 - Good Manufacturing Practices Requirements	Module 6 - HACCP System Requirements
Management System	General GMP	Preliminary Steps
Control of Documents and Records	Pest Control	Development of the HACCP Plan
Procedures and Corrective Actions	Storage Areas & Packaging Materials	Execution of the HACCP Plan on the Plant Floor
Internal and External Inspections	Operational Practices	
Release of Items/Product	Worker Practices	
Supplier Monitoring/Control	Equipment	
Traceability and Recall	Equipment Cleaning	
Food Defense	General Cleaning	
	Site	
	Buildings and Grounds	
	Chemical Files	
	Pest Control Documentation	
	Operation Monitoring Records	
	Maintenance & Sanitation Files	
	Worker Documentation	
	Testing	
	Temperature Controlled Storage & Distribution Logs	
	Allergen Control	

FSMS	Management System	
1.01.01	<p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Documented policy on file titled "Food Safety Policy" signed by Adam Serck on 7/23/20. The policy is posted at the main entrance to the facility, near production area, as well as employee break area. Policy includes objectives of providing high quality foods and a commitment to customers.</p>	
1.01.02	<p>Question: Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There is a detailed organizational chart on file titled Organizational Flow Chart dated 6/19/20 which includes key responsibilities and alternates for positions. There is a supplemental document, REC 2.1 which outlines specific responsibilities for key tasks such as food safety director, shipping/receiving, maintenance, and sanitation.</p>	
1.01.03	<p>Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Food Safety Committee includes a team of 8 members. Meetings are conducted quarterly as per guideline. Reviewed meeting minutes dated 11/13/19, 3/25, and 5/22/20. Topics included updating of documents, worker training, pandemic issues, and sanitation.</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. DOC 1.1 is the Employee training matrix. The document shows the various categories of workers (packing, storage/distribution, sanitation, etc), as well as the training requirements for the year.	
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: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There is a document on file titled Management Review Log, which includes a review of the following: internal inspections, review of third party audits, customer complaints, HACCP systems, procedures, and the sanitation program. The document is dated 7/23/20 and reviewed by Steve Serck, Adam Serck, and Mike Smetana. HACCP program reviewed 7/20/20. No major changes to the operation.	
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. The operation has copies of the following on file: USDA Guide to Minimize Microbial Food Safety Hazards for Fruits & Vegetables, Driving Best Practices in Distribution, PCQI.	
FSMS Control of Documents and Records		
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. DOC 2.1 outlines the control of documents, including development of documents and revisions. Per procedure, the QA/Food Safety manager is responsible for document development, revisions, and control. Adam Serck and Mike Smetana are responsible for control of 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. Per DOC 2.1, all records are to be stored for a minimum of 24 months.	
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: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Food safety manuals and records are stored within the food safety office (office is locked when not staffed). Records are turned in to the Food Safety Coordinator when completed. The Produce Pro software system is used to record shipping/receiving information. Passwords are used and the system is backed up on a daily basis. Other records are recorded via paper log.	
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. Records are stored in binders. All food safety documentation is neatly organized by tab according to the document indexes.	
1.02.05	Question: Are all records and test results that can have an impact on the food safety program reviewed and signed off by a person responsible for the food safety program?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Records and test results were signed or initialed by Mike Smetana.	

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. DOC 2.1 includes procedures for the creation of a Standard Operating Procedure. Scope, process, dating, records, and corrective actions, etc to be included in each procedure. The SOP's follow format on file.	
1.03.02	Question: Are the written procedures available to relevant users and is a master copy maintained in a central file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All employees are trained upon hiring to general practices, as well as their specific tasks. Specific training administered depending upon job duties(receiving, shipping, GMP's). Many SOP's are also posted at various locations throughout the facility. Master copy of all procedures is on file in main office.	
1.03.03	Question: Is there a documented corrective action procedure that describes the required processes for handling non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 3.1 outlines the corrective action procedure used on site. Any issues would be recorded on daily logs or the NUOCA log. Procedure includes defining the issue, performing an investigation, making corrective actions and developing a preventive action process.	
1.03.04	Question: Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Document is titled "Notice of Unusual Occurrence & Corrective Actions Form". Observed completed logs from the past season, one dated 8/7/20 and included a damaged ventilation duct.	

FSMS	Internal and External Inspections
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1.04.01	Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 4.1 outlines the internal audit inspection program. Quarterly full inspection is to be conducted using the PrimusGFS audit checklist. Daily pre- inspections are conducted, monthly glass register, and annual FSMS/HACCP review are completed.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. DOC 5.1 outlines procedures for handling regulatory inspections. Document includes shadowing of inspector, photograph policy and sampling protocol.	
1.04.03	Question: Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Past PrimusGFS audit on file dated 7/19/19, along with corrective actions. There is also an Illinois Department of Public Health inspection dated 11/4/19, no issues noted.	
1.04.04	Question: Are there documented calibration and/or accuracy verification procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 6.1 outlines calibration procedures for pulp thermometers and coolers used on site. Each are calibrated monthly. The facility places the pulp thermometer into an ice/water mix for calibrations. Results should read plus or minus 2 degrees F.	

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. Reviewed calibration records on file for the season, Thermometer and Cooler Calibration Logs.	

FSMS	Release of Items/Product
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1.05.01	Question: Is there a written procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 7.1 outlines the "On Hold and Rejected product" SOP. There is a log to be completed as well as a sticker to be placed on items. The software system also places a freeze on scanning equipment used by product pickers. Condition codes are listed in the system, based upon the hold category.	

1.05.02	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Any rejections or returned product is recorded in the Produce Pro software system. There are various codes which outline the reason for the reject/return/hold. Records included in software system.	

1.05.03	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 8.1 includes "Product Release" SOP and includes procedures for products that are returned or placed on hold.	

1.05.04	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The software system includes product release initials or signatures of employees that release product. The 'checkers' are responsible for review and release of products. Outgoing Inspection Logs also contain an initial of the person responsible for release.	

1.05.05	Question: Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. DOC 9.1 outlines customer complaints. The software system tracks approximately 22 product codes for complaints, issues, returns, etc. One issue is 1/3/20 and included a foreign material noted in a pre-packaged salad bag. Responses from the packer are on file, as well as communication with customer.	

FSMS	Supplier Monitoring/Control
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1.06.01	Question: Is there a list of approved suppliers and service providers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The Approved Supplier List is on file and includes products, packaging, chemicals, and service providers. Document dated 6/19/20 as last revised.	

1.06.02	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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Specifications are included within DOC 10.1-4. Specifications for packaging are included in the documents from the packaging supplier. Commodity specifications are included in the USDA specifications document and the Produce Blue Book, both on file.	

1.06.03	<p>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.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 10.1-4 outlines the supplier approval process and program. Program includes requirements to supply, monitoring and evaluation, as well as provisions for emergency temporary suppliers.</p>	

1.06.04	<p>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?</p>	<p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p>
	<p>Auditor Comments: Minor. There is no audit for Excell Packaging. Randomly reviewed the following commodity providers: Mucci(PGFS), Wiers(PGFS/Global Gap), and Coastline(PGFS). Also reviewed audit report for International Paper(Pac Sure). Current insurance and licensing on file for pest control, and testing labs.</p>	

<p>Auditee Comments: We received the audit from Excel Packaging. The audit lists Georgia-Pacific, but this is the Excel facility. The address listed is the address for Excel.</p>		<p>View Files</p>
	<p>CA Accepted?</p>	
<p>CB/Auditor Review Comments: Accepted. Auditor verified through Google that Excell address and audit report address are the same.</p>	<p>Yes</p>	<p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p>

1.06.05	<p>Question: Where food safety related testing is being performed by external laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Don Lewy Labs provides testing for water, equipment and environmental. Current certificate AT2613 is on file, issued through the ANAB valid through 8/23/20. Scope of services also on file including E.coli, coliforms, Listeria.</p>	

FSMS	Traceability and Recall
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1.07.01	<p>Question: Is there a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 11.1-1 includes the traceability process used on site. The company uses the Produce Pro software system. Product is assigned a random lot number when received. This number follows product through the inspection and re-packing process, through to shipping. An "X" is placed in front of the assigned code to indicate where product is re-packed. Traceability performed for lot X0008009, showing tracing to one vendor.</p>	

1.07.02	<p>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?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 12.1 outlines the facility's recall program. The document is dated 6/1/19 as reviewed/revised, and includes classes of recalls, procedures, current team and responsibilities, effectiveness checks. Contact listing also on file dated 6/19/20 and includes internal and external contacts. Adam Serck is the traceback coordinator.</p>	

1.07.03	<p>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?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Three mock recalls on file for the past 12 months. The most recent is dated 8/4/20 and included 217 units of product. Documentation shows re-packing as follows: 42 units of 60 count, and 175 units of 24 count. All product was located as shipped to several suppliers, within 40 minutes. Recall also traced packaging items back to supplier(All packaging is purchased from one vendor). No true recalls for this operation within the past 12 months.</p>	

FSMS	Food Defense
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1.08.01	Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 13.1 outlines the Food Fraud Control Plan. There is a Vulnerability Assessment on file which includes the various types of fraud, as well as a rating system(low, medium, high) which is based on a risk matrix.	
1.08.02	Question: Does the company have a documented food defense plan based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. DOC 14.1-2 outlines the food defense procedures used on site and is based on risk of the facility. The program includes plant security, incoming material receiving, employee security, visitor security, and computer data security. There is a vulnerability assessment on file dated 7/23/20, completed by Adam Serck, also listing risk assignment.	
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. The Food Defense Program includes the following records which were reviewed: Visitors Log, Employee Training(food defense), inventory records.	
1.08.04	Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. An emergency contact listing is on file within the recall program. The contact sheet is dated 6/19/20. There is also a chemical emergency contact list showing various emergency numbers.	
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. All visitors are required to sign a GMP guideline document which includes GMP and security procedures to adhere to while on site. All policies are posted at main entrance door to facility, as well as included in the log.	
GMP	General GMP	
5.01.01	Question: Is there a designated person responsible for the operation's food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Mike Smietana and Adam Serck are responsible for the food safety program on site including documentation and records. Both have current PCQI and HACCP certificates on file. See 6.01.02.	
5.01.02	Question: Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There is a sanitation cabinet in receiving dock area. This area is locked when not in use. There is also a locked cabinet near the employee break room for the storage of janitorial items. Labels are attached to all chemicals. No items observed that were not labeled properly.	
5.01.03	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and stored in a controlled manner?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Food grade and non food grade items are stored appropriately and were observed to be used according to product label. All items neatly stored and labeled.	

5.01.04	Question: Are signs supporting GMPs posted appropriately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Signs are posted in relevant languages, throughout area including entrances to cooler areas, employee break room doors and walls, restrooms, packing area. Signs include GMP's, hand washing, COVID precautions.	
5.01.05	Question: Are the necessary food defense controls implemented in the operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The facility is locked when not in use or staffed. Employees enter facility through a dedicated door using electronic key cards. Cameras are in place both inside of the units, and in exterior areas. The terminal market also has 24 hour patrols for the exterior and common hallways of the facility.	
GMP	Pest Control	
5.02.01	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. Products are free from evidence of animals or insects.	
5.02.02	Question: Are packaging supplies free of pest (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. Packaging items are stored on pallets directly adjacent to the packing tables. No evidence of animal activity.	
5.02.03	Question: Are plant and storage areas free of pest (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Plant and cooler areas were free from pest activity. Wall/floor juncture areas were clear and free from droppings, webbing, etc. Upper wall/beam areas free from pest activity.	
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. Exterior terminal market area consists of concrete areas with no vegetation. Did not observe droppings, nesting, etc.	
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. External devices are controlled by Anderson through the terminal market. Interior devices for company owned coolers is contracted to Ecolab. Interior devices for rented space is controlled by Presto X	
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 traps are not used within the facility?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no bait used in the facility.	

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: 3 Score: Minor Deficiency
	Auditor Comments: Minor. Interior devices are not monitored on a weekly basis as per guidelines. Devices are clean and intact with no evidence of build up of dirt or organic matter. Interior devices consist of tin cats. Devices include a sticker or bar code inside of each unit showing the date of inspection.	
Auditee Comments: We contacted our pest control service provider, ecolab, and changed our monitoring to weekly.		
		CA Accepted?
CB/Auditor Review Comments: Rejected. No evidence of corrective action completed.		No
		Possible Points: 5 Points Scored: 3

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. Traps are properly located within approximately 6 feet of doors. Traps also located throughout cooler areas and are adequate in number.	

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. Devices include numbers on the device and the wall signs.	

5.02.10	Question: Are all pest control devices effective and bait traps secured?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Interior devices are placed parallel to wall/floor juncture areas.	

GMP	Storage Areas & Packaging Materials
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5.03.01	Question: Does the facility layout ensure separation of ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well as any allergen cross contamination issues)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. No issues noted with possible contamination areas. Iced product is stored on lower ground level areas in cooler 2. Like items are stored together. No contamination issues noted with iced products. Bagged and boxed peanuts can be stored for the MLB season, but due to shut down, none are currently stored.	

5.03.02	Question: Is the storage area completely enclosed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The dock terminal area is enclosed. Cooler areas include doors and strip curtains leading onto the enclosed docks. Strip curtains also separate enclosed dock area from facility area.	

5.03.03	Question: Is the facility's use restricted to the storage of food products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Only food related items were observed in the facility.	

5.03.04	Question: Are rejected or on hold materials clearly identified and separated from other materials?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no rejected items on site during the audit. Reviewed procedures with auditee.	

5.03.05	Question: Are raw products, work in progress, ingredients (including water and ice), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There were no signs of spoilage or contamination in food items or ice.	
5.03.06	Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Storage areas were clean and tidy. Wall/floor juncture areas clean and free from dirt build up.	
5.03.07	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All items are tagged upon receiving and include a random lot number assigned through the Produce Pro system. Packaging items have receipt codes/manufacture tickets.	
5.03.08	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Most commodities are rotated within 2-3 days using the FIFO system. Produce Pro tracks the system and employees pick product using a computer scanner.	
5.03.09	Question: Are storage areas at the appropriate temperatures for the specific products being stored?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Cooler temperatures in line with procedures. Examples include 34-39 degrees F(Cooler 2), 54-59(cooler 1) and 44-49(cooler 4). All coolers were in line with independent probes during inspection.	
GMP Operational Practices		
5.04.01	Question: Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Raw products are received through a dedicated receiving dock area, are stored, and then shipped on the opposite end of the building. No issues noted with contamination of products or flow of operation.	
5.04.02	Question: Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. There was no sign of potential overhead contamination observed. There are no walkways in the facility. Did not observe loose panels or insulation.	
5.04.03	Question: Are production areas completely enclosed?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Areas were fully enclosed. Pedestrian and receiving doors were closed. Note: Strip curtains are in place for moving product between coolers and enclosed shipping dock area.	
5.04.04	Question: Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls and equipment, and other hard to reach areas?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Areas are clean. Lighting units are clean with no signs of build up of dirt or insects. Wall/floor junctures and areas behind racking units and pallets were clean.	

5.04.05	Question: Is all re-work / re-packaging handled correctly?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Observed root vegetables being re-packed into smaller boxes. Products are labeled after re-packing. All repacked product is placed into new boxes. Gloves worn in this area during the process. Original boxes are not re-used, compactor located on the receiving dock.	
5.04.06	Question: Are raw ingredients examined before use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Products are visually inspected as they are re-packed on stainless tables.	
5.04.07	Question: Are finished products coded (carton and unit packaging) for the day of production?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Cases are labeled with a lot number which links back to receiving or product. Per customer request, some products can be labeled with the P.O. number. The GTIN label includes the company, date of packing, product, country of origin, and lot number. No issues noted with labeling during the observation of the packing process.	
5.04.08	Question: Are foreign material control methods (e.g. metal detectors, metal traps, magnets, visual inspection, x-ray machines, etc.) in place and regularly tested (where relevant) to ensure proper operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Products visually inspected during the re-pack process. There are no metal detectors used.	
5.04.09	Question: Does the facility use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product contact water, terminal sanitizers, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No test strips or kits used. Chemical mixing titration is performed monthly by the chemical rep.	
5.04.10	Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Hand wash station located in the re-pack area(2 basin) with 10 re-pack workers. There is also a hand sink located in each restroom and entrance to cooler area(40 workers). Re-pack units are located in plain sight to observe hand washing practices.	
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. Sinks were properly stocked with warm water, soap and disposable 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 4 toilet units with 50 workers. Units contained adequate supplies, including soap, towels, trash can, sanitizers.	
5.04.13	Question: Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations maintained properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Wall mounted sanitizers are used in the facility. Units were properly stocked and functioning during the walk through.	

5.04.14	Question: Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No foot dip stations used, no processing of product.	
5.04.15	Question: Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Boxes were used only for product. No issues noted.	
5.04.16	Question: Are re-usable containers cleanable or used with a liner and clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Trash cans are of a dedicated type. No other storage containers used.	
5.04.17	Question: Are devices used to measure, regulate or control temperature, pH, acidity, water activity, and other conditions that affect food safety, working properly and adequately maintained?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Coolers were working correctly and temperatures were accurate during the audit. Example includes cooler 4-45 degrees F(range of44-49). No other measuring devices used.	
GMP Worker Practices		
5.05.01	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Employees were properly washing and sanitizing hands.	
5.05.02	Question: Are workers' fingernails clean, short and free of nail polish?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed with nail polish or dirty hands/nails.	
5.05.03	Question: Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed with sores, wounds, or visible signs of illness.	
5.05.04	Question: Are workers wearing effective hair nets that contain all hair?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Workers were observed to be using hair restraints in production areas.	
5.05.05	Question: Is jewelry confined to a plain wedding band and watches are not worn?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no employees observed wearing jewelry.	
5.05.06	Question: Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves, non-latex gloves)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Re-pack employees were properly wearing gloves and hair nets during the process. Gloves are latex free nitrile.	

5.05.07	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Gloves are disposable and are discarded upon leaving packing areas. There were no employees observed wearing gloves in break or restroom areas.	
5.05.08	Question: Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilets?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Gloves are disposable and are discarded when leaving the re-pack area.	
5.05.09	Question: Worker personal items are not being stored in the production or material storage area(s)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Employee items are stored in lockers in the employee break room. There were no personal items observed in cooler areas.	
5.05.10	Question: Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Smoking is not allowed within the building or within 15 feet from entrances. There is a dedicated break room for eating and drinking. No employees were observed eating or drinking in the production or storage areas.	
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. Fresh potable water is sourced from the City of Chicago, potability test on file dated 7/2/20.	
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. There were no items observed in upper pockets or jackets.	
5.05.13	Question: Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Electronic key cards have been issued to workers. Facial recognition units have also recently been installed which record temperatures(wrist scan).	
5.05.14	Question: Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is a first aid kit located in the shipping office area. Included are several supplies, with expiration dates, as well as blue bandages.	
GMP	Equipment	
5.06.01	Question: Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The stainless tables used for re-packing was free from corrosion, paint, extraneous materials.	

5.06.02	Question: Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Non food contact equipment surfaces(table legs, lower shelves) were observed to be free from flaking paint, corrosion, rust, tape, or cardboard.	
5.06.03	Question: Does food contact equipment design, placement, and condition (e.g., smooth surfaces, smooth weld seams, non-toxic materials, corrosion-resistant, no wood or other absorbent materials) facilitate effective cleaning and maintenance?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Stainless tables are in good condition with no damage, deep crevices, non toxic materials.	
5.06.04	Question: Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Independent thermometers were placed in each cooler unit.	
5.06.05	Question: Are all thermometers non-glass and non-mercury?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Thermometers are round plastic, dial type.	
GMP	Equipment Cleaning	
5.07.01	Question: Are food contact equipment surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Stainless tables are clean and well maintained, including under portions and table legs.	
5.07.02	Question: Are non-food contact equipment surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Racking and forklifts/pallet jacks were clean.	
5.07.03	Question: Are items (totes, bins, etc.) that are used to hold or store product clean?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Products not stored in containers.	
5.07.04	Question: During cleaning, are food products and packaging materials protected from contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Did not observe the cleaning process.	
5.07.05	Question: Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Cooling units are clean. There was no sign of aged, dirty ice on units.	
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 clean and free from visible dirt. Ceilings in front of units were clean.	

5.07.07	Question: Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. All tables were in operation during the audit.	
5.07.08	Question: Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Hoses properly stored off the floor. Utensils used for sanitation are stored on dedicated shelf in the chemical cage.	
5.07.09	Question: Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no maintenance tools observed in production or storage areas.	
5.07.10	Question: Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No equipment used that includes lubricants.	

GMP	General Cleaning
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5.08.01	Question: Are spills cleaned up immediately?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no product spills observed during the audit.	
5.08.02	Question: Are waste and garbage frequently removed from production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Trash cans are placed in storage cooler areas. The units were clean and emptied as needed, with no accumulation of trash. Trash is picked up every other day by an external contractor.	
5.08.03	Question: Do floor drains flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and are well maintained?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Floor drains(round), are located throughout cooler areas. Units were observed to be covered and free from debris or foul odors.	
5.08.04	Question: Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Overhead pipes and fans were clean. Ceiling areas clean and well maintained.	
5.08.05	Question: Are plastic strip curtains maintained in good condition, kept clean and mounted so that the tips are not touching the floor?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Strip curtains are clean and properly mounted with no ends touching floor areas. Power doors also present in some areas. Doors appeared to be clean.	
5.08.06	Question: Does personal protection equipment (PPE) for the sanitation crew meet label requirements of chemicals used, and is it in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Plastic eye protection, including gloves were available for chemical use as per product labels.	

5.08.07	Question: Is cleaning equipment maintained clean and stored properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Brooms and shovels are stored on hangers in various locations throughout the facility.	
5.08.08	Question: Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Color coding system is used on site: black-outside areas, yellow-restrooms, white-food contact tables, red-dry cooler, green-kitchen area, blue-wet coolers, brown-allergens. Items were properly located during audit.	
5.08.09	Question: Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All items composed of plastic, no steel wool or metal bristles observed.	
5.08.10	Question: Are toilet facilities and hand washing stations clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The restroom areas were clean and properly stocked.	
5.08.11	Question: Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The break areas are clean and properly maintained. No sign of rotting foods, no evidence of pest activity.	
5.08.12	Question: Is the maintenance shop organized, with equipment and spares stored in a neat and tidy fashion?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No maintenance shop on site.	
5.08.13	Question: Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Fork lifts and jacks are clean, with no observation of toxic fumes.	
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. Did not observe shipping trucks on site during audit.	
GMP	Site	
5.09.01	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. There is an aerial map showing the terminal market and location of the operation. Map includes adjacent sites and water source.	
5.09.02	Question: Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is a Facility Map on file showing the layout of coolers and re-pack area. Map also includes traffic flow and drains/water system.	

GMP		Buildings and Grounds
5.10.01	<p>Question: Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of a breakage?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Lights, including dock lights, have protective coverings(ceiling lights) or are shatter resistant(dock lights).</p>	
5.10.02	<p>Question: Has the operation eliminated or adequately controlled any potential metal, glass or hard plastic contamination issues?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no potential metal, glass, or plastic issues observed.</p>	
5.10.03	<p>Question: Has the facility eliminated the use of wooden items or surfaces?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no wooden items or surfaces observed.</p>	
5.10.04	<p>Question: Is there adequate lighting in the production and storage areas?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Lighting is adequate in all dock and storage areas.</p>	
5.10.05	<p>Question: Is ventilation adequate to control dust, condensation, odors and vapors?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Ventilation is adequate. There were no areas noted with condensation, odors, vapors.</p>	
5.10.06	<p>Question: Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Floor surfaces were in good condition. Auditor did not observe large cracks or crevices.</p>	
5.10.07	<p>Question: Are the floor drains where they are needed for drainage and cleanup?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Floor drains located throughout cooler areas. Cooler 2 also includes various drains to catch water in wet storage area.</p>	
5.10.08	<p>Question: Are all entry points to the production and storage areas protected to prevent the entry of rodents and birds?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Doors were observed to have tight fitting seals. Dock doors include pest stripping on levelers and brushes across bottoms. No gaps were observed.</p>	
5.10.09	<p>Question: Are dock doors fitted with buffers/shelters to seal against trucks in temperature controlled environments?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Buffers are in place on receiving dock doors.</p>	
5.10.10	<p>Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Shelters are in good condition with no damage observed. Dock levelers are in good condition and clean.</p>	

5.10.11	Question: Are exterior walls free of holes to exclude pests, and are pipes, vents, and air ducts designed and protected in order to prevent pest entry (e.g., by using fine mesh)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no holes or damage observed in exterior walls of the operation.	
5.10.12	Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Did not observe damage to interior walls or ceilings.	
5.10.13	Question: Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters, thereby allowing inspection and cleaning?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Product is rotated within a 2-3days, no long term storage of products. Packaging area has 18 inch perimeter.	
5.10.14	Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Exterior areas include concrete surrounding the terminal market. No litter, weeds, or standing water observed.	
5.10.15	Question: Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the building perimeter)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Pallets are stored in a dedicated area inside of the building. There is no outside storage of equipment or pallets.	
5.10.16	Question: Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Pallets are inspected and placed in dedicated areas(usable and non usable).	
5.10.17	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Push type dumpsters are used inside of the building. No exterior dumpster. The area around dumpsters appeared to be clean.	
5.10.18	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 exterior garbage receptacle was observed.	
5.10.19	Question: Are all water lines protected against back siphonage?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Water lines contained back siphonage devices. There is also a main back flow device on water lines into the terminal building.	
5.10.20	Question: Is the on-site laboratory completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on site laboratory.	

5.11.01	Question: Are copies of all Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. MSDS booklet on file. Randomly reviewed the following: Restore cleaner, Balance pH, Geron IV, and Sterilix. All items in binders with clear indexes/tabs.	
5.11.02	Question: Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Specimen labels on file for sanitation chemicals. Outside company provides chemicals for cleaning. SSOP binder and labels are on file in the facility. Containers were observed to be labeled.	
5.11.03	Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Chemical inventory on file, maintained on a monthly basis by Chemical Rep. Reviewed random records including May, June, July, 2020.	
5.11.04	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring/testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.) and testing of single pass water systems?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Products not washed on site, no ice produced or purchased.	

GMP	Pest Control Documentation
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5.12.01	Question: Is there a documented pest control program, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Ecolab provides interior pest control for the company owned coolers. Insurance valid through 12/31/20, PCO(#063120) valid through 12/31/22, Business license valid through 12/31/20, scope of services also on file. Exterior devices are contracted to an outside company via the landlord(terminal market). Interior devices for rented coolers are contracted by owners of the coolers to Presto-X. Records and documentation was available during the audit for external contractors.	
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. Map of interior stations is on file. Total of 21 interior device. Map and placement appear to be accurate.	
5.12.03	Question: Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Service reports on file for the inspection of traps by Ecolab, includead on the Internal Rodent Traps Inspection Log. There is also a Pest Sighting Log showing activity. No bait used within the operation.	

GMP	Operation Monitoring Records
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5.13.01	Question: Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. SOP 16.1-3 outlines the Shipping/Receiving process. Any issues noted with receiving of trucks or goods is noted within the Produce Pro Software system. Randomly reviewed logs which are scanned into the software system and attached to specific invoices. Most packaging items not meeting specifications are returned prior to entering facility. USDA inspections can be called for product that does not meet specifications. There is also a stamp used on the Bill of Lading, indicating temperature and condition.	

5.13.02	<p>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)?</p> <p>Auditor Comments: Yes. See 51301. Inspections includes trailer temperatures and recorders(if available), as well as pest activity, odors, condition.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
5.13.03	<p>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 (i.e. fungicides, wax, etc.), control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?</p> <p>Auditor Comments: N/A. There are no process monitoring activities.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.13.04	<p>Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?</p> <p>Auditor Comments: N/A. There are no wash water or ice solutions used.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.13.05	<p>Question: Are there records of visual monitoring and/or testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.), for build-up of organic material (turbidity)?</p> <p>Auditor Comments: N/A. No recirculated batch systems. No washing of product.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.13.06	<p>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?</p> <p>Auditor Comments: Yes. Hand sanitizer dispensers are monitored and recorded on the Daily Re-Pack Pre Operation log.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
5.13.07	<p>Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?</p> <p>Auditor Comments: N/A. Tools are not used in re-packing.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.13.08	<p>Question: Is there a pre-operation inspection log?</p> <p>Auditor Comments: Yes. There are 2 daily pre operation logs, Daily Re-Pack, and Daily Pre-Op for general facility. Records indicate areas inspected and issues if noted.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
5.13.09	<p>Question: Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?</p> <p>Auditor Comments: Yes. There is a Risk Assessment for the facility and surrounding areas. Surrounding land includes the terminal market and other produce/commercial entities. Document dated 7/20/20 and includes specific biological, chemical, and physical hazards, as well as mitigation for identified hazards.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
5.13.10	<p>Question: Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?</p> <p>Auditor Comments: Yes. Back flow certificates on file for the building system. Inspections performed by DiFoggio Plumbing(Tester J16668) dated 1/2/20, pass rating.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>

5.13.11	Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	Possible Points: 15 Points Scored: 10 Score: Minor Deficiency								
	Auditor Comments: Minor. Quarterly inspections to be performed. Records dated 1/19, 6/27 and 8/8. No inspection conducted between 1/19 and 6/27, where quarterly is the requirement. Inspections conducted using the PrimusGFS audit checklist with issues noted, closed out.									
	<table border="1"> <tr> <td colspan="3">Auditee Comments: There was a misunderstanding on the definition of quarterly. Internal audits were performed at some point during every quarter, but were not spaced 3 months apart.</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. No evidence of corrective action completed.</td> <td>No</td> <td>Possible Points: 15 Points Scored: 10</td> </tr> </table>		Auditee Comments: There was a misunderstanding on the definition of quarterly. Internal audits were performed at some point during every quarter, but were not spaced 3 months apart.				CA Accepted?		CB/Auditor Review Comments: Rejected. No evidence of corrective action completed.	No
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	CA Accepted?									
CB/Auditor Review Comments: Rejected. No evidence of corrective action completed.	No	Possible Points: 15 Points Scored: 10								

GMP	Maintenance & Sanitation Files
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5.14.01	Question: Does the facility have a preventative maintenance program and a documented schedule?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There is a documented preventative maintenance program on file, DOC 17.1. Most items are contracted out and include forklift and truck maintenance, coolers, and floor scrubbers. Example include condensing units(1/year minimum) and forklifts(monthly). Records of maintenance are recorded on the Day To Day Maintenance Log.	

5.14.02	Question: Are there a logs of maintenance work and repairs and are they signed off when work is completed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Maintenance logs are on file and include any work performed internally as well as through contracted companies.	

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

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

5.14.05	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There are approximately 10 SSOP's on file which include the procedures, chemicals, and required equipment for cleaning of the facility.	

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. Reviewed the following logs showing cleaning of the facility: Daily, Weekly, and Monthly/Quarterly Sanitation Logs.	

5.14.07	<p>Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?</p> <p>Auditor Comments: Yes. Verification of sanitizer is completed by the chemical rep on a monthly basis. Records are included on the Monthly Chemical Inventory Log.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.14.08	<p>Question: Are there documented procedures and completion records for clean-in-place (CIP) activities (e.g., cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, ice makers, etc.), where applicable?</p> <p>Auditor Comments: N/A. No clean in place activities used on site.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>						
5.14.09	<p>Question: Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?</p> <p>Auditor Comments: No. While an SOP is on file, 18.1, there program has been newly developed and records are on file for approximately one monthly only. Several results show out of limit numbers(limit is 60) with re-testing not always performed. Program includes 4 areas per week(2 tables, and 2 scales).</p> <div data-bbox="250 642 1520 928" style="border: 1px solid black; padding: 5px;"> <p>Auditee Comments: Our ATP machine arrived shortly before the audit. We were still training at the time of the audit but have since been testing weekly. Attached is a report of all test results View Files</p> <table border="1" data-bbox="250 709 1520 928"> <thead> <tr> <th data-bbox="250 709 1071 764"></th> <th data-bbox="1071 709 1175 764">CA Accepted?</th> <th data-bbox="1175 709 1520 764"></th> </tr> </thead> <tbody> <tr> <td data-bbox="250 764 1071 928">CB/Auditor Review Comments: Accepted to Minor. Testing submitted is acceptable. Lack of testing for the year for full compliance.</td> <td data-bbox="1071 764 1175 928" style="text-align: center; vertical-align: middle;">Yes</td> <td data-bbox="1175 764 1520 928"> <p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p> </td> </tr> </tbody> </table> </div>		CA Accepted?		CB/Auditor Review Comments: Accepted to Minor. Testing submitted is acceptable. Lack of testing for the year for full compliance.	Yes	<p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p>	<p>Possible Points: 15 Points Scored: 0 Score: Non-Compliance</p>
	CA Accepted?							
CB/Auditor Review Comments: Accepted to Minor. Testing submitted is acceptable. Lack of testing for the year for full compliance.	Yes	<p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p>						
5.14.10	<p>Question: Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?</p> <p>Auditor Comments: Yes. Floor drain cleaning is conducted and recorded on the Daily Sanitation Log, cleaned as per SSOP 1.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>						
5.14.11	<p>Question: Are there records showing filters in air conditioning, ventilation and air filtration units are regularly cleaned and replaced?</p> <p>Auditor Comments: N/A. There are no air conditioning, ventilation or air filtration units. All areas are cooled via condenser units.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>						
5.14.12	<p>Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?</p> <p>Auditor Comments: Yes. Cooling Equipment Services is the current contractor for the operation(as of 6/3/20). Various repair invoices are on file showing cleaning. H2O has performed cleaning and maintenance prior to the new contractor. Reviewed cleaning records dated 6/1/20.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>						
5.14.13	<p>Question: Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?</p> <p>Auditor Comments: Yes. POL 19.1 and 20.1 outline the glass procedure and breakage procedures. A monthly glass inspection is conducted, limited glass on site. No issues noted on logs.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>						

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. POL 21.1 outlines the worker training program. Employees sign the GMP listing upon training. Program includes training for Hygiene, Food Defense, GMP, sanitation, and hand washing.	
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. Quarterly training is conducted. Randomly reviewed the following records: 11/12/19(full GMP, hygiene), 2/18/20(Food Defense), 3/24/20(Hand Washing), 8/10/20(allergen awareness).	
5.15.03	Question: Is there a documented training program with 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. Employees were trained on 8/5/20 in proper chemical use and sanitation. Training included SSOP's and practices.	
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 return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Written procedures are included in main hiring GMP document that requires employees to notify supervisors of cuts, grazes, illnesses, etc. DOC 21.1. There were no employees observed with cuts, wounds, visible signs of illness during the audit.	
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. DOC 21.1, section 6, outlines the non conformance program. There is also a log on file to be used as issues arise.	
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 sign a log in the main office. They are presented with a list of guidelines and rules to follow on site.	
GMP Testing		
5.16.01	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. DOC 24.1 is the Environmental and Water Testing SOP. Water to be tested annually and is to meet drinking water/ potability standards. A hazard analysis is on file explaining the rationale for areas tested, frequency, and pathogens. Prior to 7/20/20 the program includes 6 areas(zones 1-3) tested for Listeria species. New program includes zone 1 testing(Enterococcus), and zones 2/3(listeria species). A total of 9 areas are to be tested for the current month forward. Areas include floors, walls, drains, re-pack tables, scales.	
5.16.02	Question: Are there records of microbiological test results and does testing meet the program requirements?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Total of 6 areas were tested monthly(prior to 7/20/20) and include food contact, non food contact, and environmental areas. Example includes 2/29/20, all areas "negative" for Listeria species(wall, drain, table areas). Lab results were observed to be within tolerance of "negative".	

5.16.03	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. One water test is conducted annually with result dated 7/2/2020, "acceptable" for potability, using testing method SM9223B. Testing conducted by Don Lewy Labs.	
5.16.04	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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No ice used on site.	
5.16.05	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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Compressed air not used.	
5.16.06	Question: Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. The operation does not perform additional testing.	
5.16.07	Question: Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Corrective action procedure is included in DOC 24.1.	
5.16.08	Question: Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no unsuitable results detected.	
5.16.09	Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with validated testing methods and protocols, evidence of training related to sample collection and testing protocols, and relevant records of results?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no testing conducted in house.	
GMP Temperature Controlled Storage & Distribution Logs		
5.17.01	Question: Are there records of final product temperature checks for temperature sensitive product?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Re-packed products not considered temperature sensitive. No processing on site.	
5.17.02	Question: Are there temperature logs for the production area (if refrigerated)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The re-pack cooler temperature is recorded once per day on the Daily RePack Pre Op log. Randomly reviewed records which were found to be within parameters(42-50 degrees F).	
5.17.03	Question: Are there temperature logs for storage rooms?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Temperatures are recorded once per day with records on the Daily Pre Operation Log, as well as the Cooler Temperature Log.	

5.17.04	Question: Is there a documented procedure for checking truck trailer temperature prior to shipping?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There are 2 company owned shipping trailers used. Temperature requirements include 34-50 degrees F, outlined in DOC 16.1.	
5.17.05	Question: Are there records of shipping truck trailer (or other transportation systems) temperature checks, indicating the truck trailer temperature settings and that the truck trailer was pre-cooled prior to loading?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records of shipping truck temperature and condition are recorded on the JAB Produce Outgoing Shipping Trailer Inspection log.	
5.17.06	Question: Is there a documented procedure for reviewing the sanitary condition of truck trailers that will transport the product?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Inspections of trailers are included in DOC 16.1. Inspections to include cleanliness, pest activity, odors, intended use.	
5.17.07	Question: Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records of trailer inspections are included on the Outgoing Shipping Trailer Inspection log.	
GMP Allergen Control		
5.18.01	Question: Are there no allergen risks handled or stored within production and storage areas?	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. There are no allergens stored within the facility. Note: In the past, bagged and boxed peanuts were stored for MLB Baseball season. As season has been modified, there is no storage of allergens.	
5.18.02	Question: Has a documented allergen management plan been developed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
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:	
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:	
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:	
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:	

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:	
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:	
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:	

HACCP	Preliminary Steps
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6.01.01	Question: Is there a team responsible for the HACCP program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The HACCP team includes Mike Smietana(coordinator), Adam Serck(co-coordinator), and 6 other members.	
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. Mike Smietana has a certificate for a two day, International HACCP Alliance Approved course dated 4/25/17. He also has a PCQI certificate dated 12/5/17. Adam Serck has a HACCP certificate(16 hour) dated 7/28/20, as well as PCQI dated 6/4/20. Other team members have been trained by Mike with logs dated 6/18/20.	
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. There is one product description on file for products which includes packaging, intended use, labeling, and distribution. HACCP program reviewed and approved 7/20/20.	
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. Process Flow Diagram is on file. The diagram includes product and packaging items from receiving through distribution. Chart includes the re-packing process, as well.	
6.01.05	Question: Is there documented evidence that the flow chart(s) been verified on-site?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The process has been flow charted and verified by Adam Serck dated 7/20/20.	

HACCP	Development of the HACCP Plan
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6.02.01	<p>Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</p> <p>Auditor Comments: Yes. There is a hazard analysis on file which includes rationale using a 9 point risk matrix. Each process step is included which identifies potential biological, chemical, and physical contaminants, as well as a detailed listing for each step as to the pre requisite programs in place to prevent, reduce, or eliminate possible risks. Analysis is dated 7/20/20 and includes likelihood of occurrence and severity of identified hazards. Hazard analysis includes the re-pack process, as well as product returns and allergens. Note: Peanuts can be stored during baseball season, but none this year.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.02	<p>Question: Have CCP decisions been made with documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?</p> <p>Auditor Comments: Yes. A 3 x 3 risk matrix was used to assign risk factors to identified hazards. A value of 9 is considered to be a CCP. Risk values are identified on the chart.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.03	<p>Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If the answer is YES, continue with the next question. If the answer is NO, the rest of "Module 6 HACCP" is not applicable</p> <p>Auditor Comments: No. Per Hazard Analysis document, the team has concluded that there are no critical control points associated with the plan. Validation documentation for the operation is on file and includes the Guide to Minimize Microbial Food Safety Hazards, also Listeria Guidance to Prevent Contamination from Listeria Monocytogenes, San Antonio University.</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</p>
6.02.04	<p>Question: Have CCP critical control limits been established and supported by relevant validation documentation?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.02.05	<p>Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.02.06	<p>Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.02.07	<p>Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.02.08	<p>Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limit(s) of a CCP are not met (loss of control/deviation) and plans to adjust the process back into control?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
6.02.09	<p>Question: Have recording templates (recording forms) been developed for monitoring the CCPs?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>

6.02.10	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.11	Question: Is the HACCP system verified when operational changes are made and at least once every 12 months?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.12	Question: Is there documented evidence that all plant workers have attended a HACCP training, including training for CCP operators?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

HACCP	Execution of the HACCP Plan on the Plant Floor
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6.03.01	Question: Do all of the documents noted in the HACCP Plan accurately reflect plan requirements for the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.03.02	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:	
6.03.03	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:	
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:	
6.03.05	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:	
6.03.06	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:	