

FINAL AUDIT REPORT


CB Registration No.PA-PGFS-8608-1
PrimusGFS ID #276525 - Cert:7
Audited by Primus Auditing Operations

PrimusGFS Version 3.2

Operation Type:Packinghouse
Audit Report Summary

Ver en Español

Organization:	JAB Produce Contact(s): Adam Serck Mke Smietana Address: 2404 S. Wolcott Ave. #23 60608 Location: Chicago, Illinois, United States Phone Number: 7732267805
Operation:	J.A.B. Produce Contact(s): Mke Smietana Location: 2404 S Wolcott Ave Chicago, Illinois 60608, United States
Shipper:	JAB Produce, Inc.
Operation Type:	Packinghouse
Audit Type:	Announced Audit
Audit Executive Summary:	The facility includes approximately 20000 square feet of cooler space located in the Chicago Produce Terminal Market. There are 6 coolers along with a rented cooler used for re-packing of assorted fruits/vegetables(split case and quality inspections). Iced product can be received and is stored in cooler #2. No making of ice or topping of product occurs on site. During re-packing, commodities are removed from original containers and re-packed into smaller bags, or corrugated boxes for splitting of cases. Assorted vegetables are inspected for quality where rots are removed, and items are placed back into original boxes. Garlic re-packing was observed on the day of the audit. Products are removed from original containers, weighed where needed and placed into new containers(boxes, bags). Master boxes are labeled for traceability. Product is sold mainly to retail, groceries, and food service. The facility operates 12 months with 30 workers(10-repack, 20 in storage/distribution). Most product is picked up by customers and the facility ships on 7 company-owned trucks. Observed multiple stored commodities while on site such as onions, potatoes, herbs, berries, citrus, broccoli, greens, cabbage, carrots, cucumbers, peppers. Pest control as follows: Terminal market-exterior-Anderson, company owned space-Ecolab, Re-pack rented space, Anderson. There is no washing or processing of product and there are no critical control points associated with the HACCP program.
Date Documentation Review Started:	07 Sep 2022 07:30
Date Documentation Review Finished:	07 Sep 2022 11:00
Total Amount of Time on the Documentation Review:	3.50 Hours
Date Visual Inspection Started:	07 Sep 2022 11:00
Date Visual Inspection Finished:	07 Sep 2022 13:00
Total Amount of Time on Visual Inspection:	2.00 Hours
Addendum(s) included in the audit:	Not Applicable
Product(s) observed during audit:	Fruits, Cucumbers, Carrots, Beans, Garlic, Onions, Melons, Vegetables, Peppers, Berries, Shallots, Roots, Leafy Greens, Brassica Vegetables, Culinary Herbs, Green Onions/Salad Onions/Scallions, Eggplant / Aubergine, Potatoes
Similar product(s)/process(es) not observed:	Asparagus, Peas, Leeks, Mangoes, Microgreens
Product(s) applied for but not observed:	None
Auditor:	Ceri Barone (Primus Auditing Operations)
Preliminary Audit Score:	94%
Final Audit Score:	99%
Certificate Valid From:	13 Oct 2022 To 12 Oct 2023

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:	26	Maximum worker number during peak season:	30
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?	NA
Water Source:	Municipal/District	Antimicrobial Used:	
Is cooling equipment used?	Yes	Cooling Equipment:	Evaporator/Condensing Unit
Are production areas completely enclosed?	Yes	Production Area:	
Are storage areas completely enclosed?	Yes	Storage Areas:	

Product information for each product

Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Asparagus	Not observed but of a similar risk type to what was observed*	Year round	United States
Beans	Observed on the day of audit	Year round	United States
Berries	Observed on the day of audit	Year round	United States
Brassica Vegetables	Observed on the day of audit	Year round	United States
Carrots	Observed on the day of audit	Year round	United States
Cucumbers	Observed on the day of audit	Year round	United States
Culinary Herbs	Observed on the day of audit	Year round	United States
Eggplant / Aubergine	Observed on the day of audit	Year round	United States
Fruits	Observed on the day of audit	Year round	United States
Garlic	Observed on the day of audit	Year round	United States
Green Onions/Salad Onions/Scallions	Observed on the day of audit	Year round	United States
Leafy Greens	Observed on the day of audit	Year round	United States
Leeks	Not observed but of a similar risk type to what was observed*	Year round	United States
Mangoes	Not observed but of a similar risk type to what was observed*	Year round	United States
Melons	Observed on the day of audit	Year round	United States
Microgreens	Not observed but of a similar risk type to what was observed*	Year round	United States
Onions	Observed on the day of audit	Year round	United States
Peas	Not observed but of a similar risk type to what was observed*	Year round	United States
Peppers	Observed on the day of audit	Year round	United States
Potatoes	Observed on the day of audit	Year round	United States
Roots	Observed on the day of audit	Year round	United States
Shallots	Observed on the day of audit	Year round	United States
Vegetables	Observed on the day of audit	Year round	United States

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	234	Score:	253
	Possible Points:	253	Possible Points:	253
	Percent Score:	92%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1036	Score:	1076
	Possible Points:	1090	Possible Points:	1090
	Percent Score:	95%	Percent Score:	98%
Module 6 - HACCP System Requirements	Score:	95	Score:	95
	Possible Points:	95	Possible Points:	95
	Percent Score:	100%	Percent Score:	100%
TOTAL	Score:	1365	Score:	1424
	Possible Points:	1438	Possible Points:	1438
	Percent Score:	94%	Percent Score:	99%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	4	0
Module 5 - Good Manufacturing Practices Requirements	8	3
Module 6 - HACCP System Requirements	0	0
TOTAL	12	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	
	Buildings and Grounds	
	Site	
	Chemical Files	
	Pest Control Documentation	
	Operation Monitoring Records	
	Maintenance & Sanitation Files	
	Worker Documentation	
	Testing	
	Temperature Controlled Storage & Distribution Logs	
	Allergen Control	

FSMS	Management System							
1.01.01	<p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p> <p>Auditor Comments: Minor. Documented policy on file titled "Food Safety Policy" signed by Steve Serck(owner) dated 8/1/22. The policy lacks provisions for providing a food safety culture with employees. 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 exceeding regulatory requirements.</p>	<p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p>						
<p>Auditee Comments: See attached updated Food Safety Policy in both Spanish and English. View Files</p> <table border="1" style="width: 100%;"> <thead> <tr> <th></th> <th>CA Accepted?</th> <th></th> </tr> </thead> <tbody> <tr> <td>CB/Auditor Review Comments:</td> <td style="text-align: center; vertical-align: middle;">Yes</td> <td> <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> </td> </tr> </tbody> </table>				CA Accepted?		CB/Auditor Review Comments:	Yes	<p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p>
	CA Accepted?							
CB/Auditor Review Comments:	Yes	<p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p>						

1.01.02	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. There is a detailed organizational chart on file titled Organizational Flow Chart dated 8/1/22 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. Adam Serck and Mike Smetana are responsible for food safety on site.	
1.01.03	Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Food Safety Committee includes a team of 7 members. Meetings are conducted quarterly as per guideline. Reviewed meeting minutes dated 1/12, 4/20, 7/13, and 10/1/22. Topics included micro testing, maintenance, supplier approval, employee training.	
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: 15 Points Scored: 15 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, resource analysis, review of third party audits, customer complaints, HACCP systems, procedures, and the sanitation program. The document is dated 8/1/22 and reviewed by Steve Serck, Adam Serck, and Mike Smetana. HACCP program reviewed 8/1/22. One change which was documented includes revision of organization chart.	
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 2 years.	
1.02.03	Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 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 verified by a qualified person independent of the individual(s) completing the records?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records and test results were signed or initialed by Adam Serck.	

FSMS	Procedures and Corrective Actions
------	-----------------------------------

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 basic requirements for handling all 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 included an 'out of limit' result for Listeria Monocytogenes dated 9/5/22. Re-testing is pending lab results and the document has not yet been closed out.	

FSMS	Internal and External Inspections
------	-----------------------------------

1.04.01	Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. 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 to be 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, photography policy, sampling protocol, and follow up for deviations.	

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 8/18/21, along with corrective actions. No other inspections conducted within the past 12 months.	

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: 7 Score: Minor Deficiency
	Auditor Comments: Minor. DOC 6.1 outlines calibration procedures for pulp thermometers and coolers used on site. The SOP lacks calibration procedures for the ATP meter. Thermometers and coolers 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.	

Auditee Comments: See attached updated calibration procedures.		View Files
	CA Accepted?	
CB/Auditor Review Comments:	Yes	Possible Points: 10 Points Scored: 10 New Score: Total Compliance

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: 1 Score: Major Deficiency
	Auditor Comments: Major. There are no records showing calibrations of the ATP meter. Reviewed calibration records on file for the season, Thermometer and Cooler Calibration Logs.	

Auditee Comments: See attached yearly calibration conducted 9/12/2022.		View Files
	CA Accepted?	
CB/Auditor Review Comments:	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance

FSMS	Release of Items/Product
-------------	---------------------------------

1.05.01	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 product release including inspection of units/product, inspection of trailers, and signature or initial of designated person.	

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

1.05.03	Question: Is there a documented procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 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.	
1.05.04	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 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, randomly reviewed records.	
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 various product codes for complaints, issues, returns, etc. Reviewed random quality complaints for the past audit cycle. There have been no food safety or foreign material issues noted.	

FSMS	Supplier Monitoring/Control	
1.06.01	Question: Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. 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. There is also a Product Supplier Risk Assessment which was completed which identifies risks and likelihood, severity, and significance of suppliers.	
1.06.02	Question: Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The Approved Supplier List is on file and includes products, packaging, chemicals, and service providers. Document dated "2022" as last revised.	
1.06.03	Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. 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 on file.	

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: 5 Score: Major Deficiency</p>
	<p>Auditor Comments: Major. There is no audit certificate or report on file for the manufacturer of the waxed food contact boxes used in re-pack operations. Reviewed audit report for PCA(FSSC 22000 through 10/24). Randomly reviewed the following commodity providers: Steinbeck, Gem Tomato, Christopher Ranch, all with current PGFS audits). Current insurance and licensing on file for pest control, and testing lab.</p>	

Auditee Comments: See attached audit for Monte Packaging supplier.		View Files
	CA Accepted?	
CB/Auditor Review Comments:	Yes	<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 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 8/23/24. Scope of services also on file including E.coli, coliforms, Listeria, EB.</p>	

FSMS	Traceability and Recall
-------------	--------------------------------

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 X0013947, garlic, showing the origin from one vendor, as well as pack out information. Product still in inventory.</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 6/1/20 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. Mock recalls are completed every 6 months with the most recent dated 9/4/22. Watermelon were received(77 units) from one vendor with the following pack out: 23-4 count, and 54-5 count. Documentation on file supports the system and all product was located within 15 minutes. No true recalls on file for this operation.</p>	

FSMS	Food Defense
-------------	---------------------

1.08.01	<p>Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. DOC 13.1 outlines the Food Fraud Control Plan. There is a Vulnerability Assessment on file(8/1/22) which includes the various types of fraud, as well as a rating system(low, medium, high) which is based on a risk matrix. The assessment also reviews the physical plant, perimeters, computers, suppliers, workers, and products.</p>	

1.08.02	Question: Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 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 8/1/22, 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).	
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.	
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(18.1) 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: Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Cleaning supplies are stored within a locked cabinet at the receiving dock. Items were observed to be labeled.	
5.01.02	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	Possible Points: 10 Points Scored: 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 with a locked storage cabinet.	
5.01.03	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.	
5.01.04	Question: Are the necessary food defense controls implemented in the operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The facility 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.	

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 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. 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 pests (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. 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 Anderson.	
5.02.06	Question: Are pest control devices located away from exposed raw materials, work-in-progress, ingredients (including water and ice), finished goods and packaging, and poisonous bait stations are not used within the facility?	Possible Points: 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: 5 Score: Total Compliance
	Auditor Comments: Yes. Interior devices are inspected on a weekly basis. 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 bar code inside of each unit showing the date of inspection.	
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. Devices are adequately 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(Bar Code) on the device, along with wall signs.	
5.02.10	Question: Are all pest control devices effective and bait stations secured?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Interior devices are placed parallel to wall/floor juncture areas.	

GMP		Storage Areas & Packaging Materials
5.03.01	<p>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)?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. No issues noted with possible contamination areas. Iced product is stored in cooler 2. Like items are stored together. No contamination issues noted with iced products. No allergens were stored on site.</p>	
5.03.02	<p>Question: Is the facility's use restricted to the storage of food products?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Cooler areas include glass doors and/or air curtains leading onto the shipping docks.</p>	
5.03.03	<p>Question: Are rejected or on hold materials clearly identified and separated from other materials?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There were no rejected items on site during the audit. Reviewed procedures with auditee.</p>	
5.03.04	<p>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.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. There were no signs of spoilage or contamination in food items or ice.</p>	
5.03.05	<p>Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. Auditor failed to address non conformance in closing meeting. One wall of the tomato cooler showed signs of dust build up.</p>	
5.03.06	<p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>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.</p>	
5.03.07	<p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Most commodities are rotated within a few days using the FIFO system. Produce Pro tracks the system and employees pick product using a computer scanner.</p>	
5.03.08	<p>Question: Are storage areas at the appropriate temperatures for the specific products being stored?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Cooler temperatures in line with procedures. Examples include 32-40 degrees F(Cooler 2), 34-40(cooler 5). Cooler temps were in line with independent probes during inspection.</p>	
5.03.09	<p>Question: Is any packaging being stored outside, being stored protected?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. Packaging items are not stored outside.</p>	

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 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	
5.04.04	Question: Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. The facility is fully enclosed.	
5.04.05	Question: Is all re-work / re-packaging handled correctly?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Observed garlic being re-packed into smaller boxes during the audit. Products are labeled after re-packing with product, name, country of origin. All repacked product is placed into new containers or original containers(quality checks).	
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. Master boxes include traceability code and can link to the date of packing, origin, etc.	
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	<p>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?</p> <p>Auditor Comments: Major. Titration kit and test strips were available for the testing of the quat sanitizer used. Each were expired.</p>	<p>Possible Points: 15 Points Scored: 5 Score: Major Deficiency</p>						
<table border="1"> <tr> <td colspan="2" data-bbox="250 260 1073 310"> <p>Auditee Comments: See attached invoice for test strips.</p> </td> <td data-bbox="1073 260 1518 310" style="text-align: right;"> <p>View Files</p> </td> </tr> <tr> <td data-bbox="250 310 1073 533"> <p>CB/Auditor Review Comments: Accepted minor. Test strips will be reviewed upon next schedule audit. Corrective actions lack root cause and preventive measures.</p> </td> <td data-bbox="1073 310 1179 533" style="text-align: center;"> <p>Yes</p> </td> <td data-bbox="1179 310 1518 533"> <p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p> </td> </tr> </table>			<p>Auditee Comments: See attached invoice for test strips.</p>		<p>View Files</p>	<p>CB/Auditor Review Comments: Accepted minor. Test strips will be reviewed upon next schedule audit. Corrective actions lack root cause and preventive measures.</p>	<p>Yes</p>	<p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p>
<p>Auditee Comments: See attached invoice for test strips.</p>		<p>View Files</p>						
<p>CB/Auditor Review Comments: Accepted minor. Test strips will be reviewed upon next schedule audit. Corrective actions lack root cause and preventive measures.</p>	<p>Yes</p>	<p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p>						
5.04.10	<p>Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?</p> <p>Auditor Comments: Yes. Hand wash station located in the re-pack area(2 basin) with 10 re-pack workers. There are also 2 hand sinks located in the restroom and entrance to cooler area(20 workers). Re-pack units are located in plain sight to observe hand washing practices.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.04.11	<p>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?</p> <p>Auditor Comments: Yes. Sinks were adequately stocked with warm water, soap and disposable towels.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.04.12	<p>Question: Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?</p> <p>Auditor Comments: Yes. There are 4 toilet units with 30 workers. Units contained adequate supplies, including soap, towels, trash can, sanitizers.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.04.13	<p>Question: Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?</p> <p>Auditor Comments: Yes. Wall mounted sanitizers are used in the facility. Units were properly stocked and functioning during the walk through.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.04.14	<p>Question: Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?</p> <p>Auditor Comments: N/A. No foot dip stations used, no processing of product.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>						
5.04.15	<p>Question: Are single service containers used for their intended purpose only so that potential cross contamination is prevented?</p> <p>Auditor Comments: Yes. Boxes were used only for product. No issues noted.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.04.16	<p>Question: Are re-usable containers cleanable and clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?</p> <p>Auditor Comments: Yes. Trash cans are of a dedicated type. No other storage containers used.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						

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 5-36 degrees F(range of 34-40). 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: Are workers who are working directly or indirectly with food, free from signs of boils, sores, open wounds and are not exhibiting signs of foodborne illness?	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 restraints 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, studs, false eyelashes, etc., 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: 1 Score: Major Deficiency
	Auditor Comments: Major. Workers were observed to be wearing hair restraints, along with gloves. The SOP for hygiene states that re-pack workers are to wear aprons and sleeves. SOP not in line with practice.	

Auditee Comments: See attached revised SOP, specifically procedure 3.5.		View Files
CB/Auditor Review Comments:	CA Accepted?	
	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance

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: Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?	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. Individual bottles can also be provided.	
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 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 were 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 shelving units) 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. The refrigeration system is connected to an alarm which sends notifications to the owners when deviations occur. There are also multiple probes in the larger coolers.	
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 and at the point of re-packing.	

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		
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 and re-pack room. The units were clean and emptied throughout the day. Trash is picked up daily by an external contractor, loaded through a dedicated door in receiving.	
5.08.03	Question: Are floor drains covered, do they appear clean, free from odors, in good repair, and flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Floor drains(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 ends not touching floor areas. Doors appeared to be clean.	
5.08.06	Question: Is personal protection equipment (PPE) for the sanitation crew in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. 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. 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. Utensils were observed to be composed of plastic, no steel wool or metal bristles were 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 with soap, toilet paper, and trash cans.	
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 tidy. 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	Buildings and Grounds	
5.09.01	Question: Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of breakage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Lights, including dock lights, have protective coverings(ceiling lights) or are shatter resistant(dock lights).	

5.09.02	<p>Question: Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?</p>	<p>Possible Points: 10 Points Scored: 3 Score: Major Deficiency</p>									
	<p>Auditor Comments: Major. Observed a cracked light shield on a forklift, exposing the bulb below.</p>										
<table border="1"> <tr> <td colspan="2">Auditee Comments: See attached work order</td> <td align="right">View Files</td> </tr> <tr> <td></td> <td align="center"><i>CA Accepted?</i></td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments:</td> <td align="center">Yes</td> <td> <p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p> </td> </tr> </table>			Auditee Comments: See attached work order		View Files		<i>CA Accepted?</i>		CB/Auditor Review Comments:	Yes	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>
Auditee Comments: See attached work order		View Files									
	<i>CA Accepted?</i>										
CB/Auditor Review Comments:	Yes	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>									
5.09.03	<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>										
5.09.04	<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>										
5.09.05	<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 leaking condensation, odors, vapors.</p>										
5.09.06	<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>										
5.09.07	<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. A floor scrubber is used, and workers also squeegee water to drains. No pooled water was observed.</p>										
5.09.08	<p>Question: Are closed doors and windows to the outside pest-proof?</p>	<p>Possible Points: 10 Points Scored: 3 Score: Major Deficiency</p>									
	<p>Auditor Comments: Major. The pedestrian door at pest device 23 had gaps at the bottom with light present.</p>										
<table border="1"> <tr> <td colspan="2">Auditee Comments: Replaced door sweep under door. See attached photo.</td> <td align="right">View Files</td> </tr> <tr> <td></td> <td align="center"><i>CA Accepted?</i></td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments:</td> <td align="center">Yes</td> <td> <p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p> </td> </tr> </table>			Auditee Comments: Replaced door sweep under door. See attached photo.		View Files		<i>CA Accepted?</i>		CB/Auditor Review Comments:	Yes	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>
Auditee Comments: Replaced door sweep under door. See attached photo.		View Files									
	<i>CA Accepted?</i>										
CB/Auditor Review Comments:	Yes	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>									

5.09.09	Question: In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Buffers are in place on receiving dock doors.	
5.09.10	Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Shelters are in good condition with no damage observed. Dock levelers are in good condition and clean. Note: One leveler was not in operation during the audit, awaiting repair. The issue was noted in the NUOCA log. No gaps were present.	
5.09.11	Question: Are exterior walls free of holes to exclude pests, and are pipes, vents, and air ducts designed and protected in order to prevent pest entry (e.g., by using fine mesh)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There were no holes or damage observed in exterior walls of the operation.	
5.09.12	Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Did not observe damage to interior walls or ceilings.	
5.09.13	Question: Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters, thereby allowing inspection and cleaning?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 18 inch perimeters are maintained.	
5.09.14	Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Exterior areas include concrete surrounding the terminal market. No litter, weeds, or standing water observed.	
5.09.15	Question: Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the building perimeter)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Pallets are stored in a dedicated area inside of the building. There is no outside storage of equipment or pallets.	
5.09.16	Question: Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Pallets are inspected and placed in dedicated areas (usable and non usable).	
5.09.17	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Push type dumpsters are used inside of the building. No exterior dumpster. The area around interior dumpsters appeared to be clean. There is also a cardboard bailer in this area, self contained and clean.	
5.09.18	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No exterior garbage receptacle was observed.	

5.09.19	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.	
5.09.20	Question: Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on site laboratory.	

GMP	Site
------------	-------------

5.10.01	Question: Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, wastewater and other relevant features?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There is an aerial site plan showing the facility, building, and surrounding areas.	

5.10.02	Question: Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns?	Possible Points: 5 Points Scored: 3 Score: Minor Deficiency									
	Auditor Comments: Minor. Waste flow is not included on the production site plan dated 8/1/22.										
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="2">Auditee Comments: See attached revised floor plan</td> <td style="text-align: right;">View Files</td> </tr> <tr> <td style="width: 60%;"></td> <td style="text-align: center; font-weight: bold;">CA Accepted?</td> <td></td> </tr> <tr> <td style="padding: 5px;">CB/Auditor Review Comments:</td> <td style="text-align: center; font-size: 1.2em; font-weight: bold;">Yes</td> <td style="padding: 5px;"> Possible Points: 5 Points Scored: 5 New Score: Total Compliance </td> </tr> </table>			Auditee Comments: See attached revised floor plan		View Files		CA Accepted?		CB/Auditor Review Comments:	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance
Auditee Comments: See attached revised floor plan		View Files									
	CA Accepted?										
CB/Auditor Review Comments:	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance									

5.10.03	Question: Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Facility risk assessment is on file dated 8/1/22 by Adam Serck. Facility is located on a terminal market with other produce vendors.	

5.10.04	Question: Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Backflow certificate on file from Chicago Backflow dated 1/10/22, showing a "pass" rating.	

5.10.05	Question: Is there a designated person responsible for the operation's food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Adam Serck is responsible for food safety. HACCP and PCQI certificates are on file.	

GMP	Chemical Files
------------	-----------------------

5.11.01	Question: Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. 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.	
5.11.02	Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Chemical inventory on file, maintained on a monthly basis by the chemical rep. Reviewed random records including August, June, March.	
5.11.03	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single pass and/or recirculated/batch water systems, changing of recirculated/batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.) and for monitoring pH and water temperature (if applicable)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Products not washed on site, no ice produced or purchased.	

GMP	Pest Control Documentation
------------	-----------------------------------

5.12.01	Question: Is the pest control program properly documented, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Ecolab provides interior pest control for the company owned coolers. Insurance valid through 12/31/22, PCO(#063120) valid through 12/31/22, Business license valid through 12/31/22, 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 Anderson. 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. 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, included on the Service Report. There is also a Pest Sighting Log showing activity. Complete review of the program and contract are dated 1/12/22. No bait used within the operation.	

GMP	Operation Monitoring Records
------------	-------------------------------------

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. 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	Question: Are there inspection logs on incoming trailers (and other forms of transport) for rodents and insects, cleanliness, holes and temperature control of the trailer (for food requiring temperature control for safety and/or as required per buyer specifications)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. See 51301. Inspections includes trailer temperatures and recorders(if available), as well as pest activity, odors, condition.	

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 (e.g. fungicides), 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, 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 monitoring for build-up of organic material (turbidity) and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.)?</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 and the Daily Pre Operation Checklist(common areas and coolers).</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: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?</p> <p>Auditor Comments: Yes. The PrimusGFS audit checklist is used with records dated 11/10/21, 2/16/22, 5/25, 22 and 8/31/22. Adam Serck is responsible for completion of inspections.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
<p>GMP Maintenance & Sanitation Files</p>		
5.14.01	<p>Question: Does the facility have a preventative maintenance program that includes a schedule and completion records?</p> <p>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 scrubber. Example include condensing units(1/year minimum) and forklifts(monthly). Records of maintenance are recorded on the Day To Day Maintenance Log.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
5.14.02	<p>Question: Are there a logs of maintenance work and repairs and are they signed off when work is completed?</p> <p>Auditor Comments: Yes. Maintenance logs are on file and include any work performed internally as well as through contracted companies.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>

5.14.03	<p>Question: Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Documents include where items were cleaned and sanitized after work was performed.</p>										
5.14.04	<p>Question: Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>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.</p>										
5.14.05	<p>Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. There are approximately 20 SSOP's on file which include the procedures, chemicals, and required equipment for cleaning of the facility. Examples: Drains, floors, walls, floor scrubber, trash cans, repack tables.</p>										
5.14.06	<p>Question: Are cleaning and sanitation logs on file that show what was done, when and by who?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Reviewed the following logs showing cleaning of the facility: Daily, Weekly, and Monthly/Quarterly Sanitation Logs.</p>										
5.14.07	<p>Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?</p>	<p>Possible Points: 5 Points Scored: 1 Score: Major Deficiency</p>									
	<p>Auditor Comments: Major. There are no records of sanitizer concentration checks for Geron IV quat sanitizer used for repack tables (mixed on site). Sani Quik utilizes a terminal system and is calibrated monthly by the chemical rep.</p>										
<table border="1" style="width: 100%;"> <tr> <td colspan="2"> <p>Auditee Comments: Weekly geron IV concentration tests have been added to daily repack pre-op log. See attached.</p> </td> <td style="text-align: right;"> <p>View Files</p> </td> </tr> <tr> <td style="width: 60%;"></td> <td style="text-align: center;"> <p>CA Accepted?</p> </td> <td></td> </tr> <tr> <td> <p>CB/Auditor Review Comments: Minor. Records will be reviewed upon next scheduled audit. Lack of records for full compliance.</p> </td> <td style="text-align: center; vertical-align: middle;"> <p>Yes</p> </td> <td> <p>Possible Points: 5 Points Scored: 3 New Score: Minor Deficiency</p> </td> </tr> </table>			<p>Auditee Comments: Weekly geron IV concentration tests have been added to daily repack pre-op log. See attached.</p>		<p>View Files</p>		<p>CA Accepted?</p>		<p>CB/Auditor Review Comments: Minor. Records will be reviewed upon next scheduled audit. Lack of records for full compliance.</p>	<p>Yes</p>	<p>Possible Points: 5 Points Scored: 3 New Score: Minor Deficiency</p>
<p>Auditee Comments: Weekly geron IV concentration tests have been added to daily repack pre-op log. See attached.</p>		<p>View Files</p>									
	<p>CA Accepted?</p>										
<p>CB/Auditor Review Comments: Minor. Records will be reviewed upon next scheduled audit. Lack of records for full compliance.</p>	<p>Yes</p>	<p>Possible Points: 5 Points Scored: 3 New Score: Minor Deficiency</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, chilled water systems, ice makers, etc.), where applicable?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A. No clean in place activities used on site.</p>										
5.14.09	<p>Question: Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Floor drain cleaning is conducted and recorded on the Daily Sanitation Log, cleaned as per SSOP 1.</p>										
5.14.10	<p>Question: Are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: Yes. Filters for air curtains are cleaned twice per year, records dated 12/10/21 and 8/26/22.</p>										

5.14.11	Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Cooling Equipment Services is the current contractor for the operation. Inspection and cleaning is conducted at least once per year with the most recent invoice dated 8/30/22.	
5.14.12	Question: Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. ATP program is outlined in DOC 18.1 where the Hygiene Ultra Snap system is used. 6 areas are tested daily with a limit of < 60 units. Results included on the ATP Log showing numerical result and re-testing as required.	
5.14.13	Question: Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. 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 with the most recent dated August 2022.	
GMP Worker Documentation		
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(minimum) is conducted. Randomly reviewed the following records: 3/16/21(full GMP, hygiene), 6/15/22(Food Defense and HACCP), 9/15/21-Repack and shipping operations, 11/30/21 sanitation.	
5.15.03	Question: Are there training logs for the sanitation workers, including best practices and chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Employees were trained on 11/30/21 in proper chemical use and sanitation. Training included SSOP's and practices. Program is outlined in DOC 23.1.	
5.15.04	Question: Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and include return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors should check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. 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	<p>Question: Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?</p> <p>Auditor Comments: Yes. Visitors sign a log in the main office. They are presented with a list of guidelines and rules to follow on site.</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
<p>GMP Testing</p>		
5.16.01	<p>Question: Is there a written risk-based, scientifically valid microbiological testing program that may include pathogen testing, and details program design (zonal approach, food contact/non-food contact surfaces, spent sprout irrigation water, test & hold, water, ice, etc.), rationale for organisms tested for, procedures for sampling and testing (surfaces, water, product, ingredients, etc.), timing and frequency of testing, the testing methodology, the lab that performs the tests, and acceptable results/threshold levels for each organism?</p> <p>Auditor Comments: Yes. DOC 24.1-3 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. The program includes zone 1 testing(Enterobacteriaceae), and zones 2/3(listeria monocytogenes). A total of 14 areas are to be tested monthly. Areas include floors, walls, drains, re-pack tables(food contact and non food contact areas), scales.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
5.16.02	<p>Question: Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?</p> <p>Auditor Comments: Yes. Corrective actions are noted in DOC 24.1 and can include re-testing and re-cleaning.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
5.16.03	<p>Question: Are there records of environmental microbiological test results and does testing meet the program requirements?</p> <p>Auditor Comments: Yes. Reviewed records dated 1/25, 2/22, 3/29, 4/26, 5/31, 6/28, 7/27, and 9/2/22. Zone 1 tests for EB include re pack tables(Limit of < 100 units). Other areas include drains, walls, floors, non food contact table legs, tested for Listeria Species(limit of 'negative'). All results for the above tests were within limits, except test dated 9/2/22.(See 5.16.08).</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
5.16.04	<p>Question: Are there records of microbiological tests on water used in the facility (sampled from within the facility) and does the testing meet the program requirements?</p> <p>Auditor Comments: Yes. Water is tested annually by Don Lew Labs with result dated 9/2/22 using testing method SM9223B, colilert. Results shows "absent".</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
5.16.05	<p>Question: Are there records of microbiological tests on ice used in the facility (either produced in-house or purchased) and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. No ice used on site.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.16.06	<p>Question: Are there records of tests performed on compressed air or other mechanically introduced gases that are used directly on food and food contact surfaces and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. Compressed air not used.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
5.16.07	<p>Question: Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?</p> <p>Auditor Comments: N/A. The operation does not perform additional testing.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>

5.16.08	<p>Question: Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?</p>	<p>Possible Points: 15 Points Scored: 5 Score: Major Deficiency</p>
	<p>Auditor Comments: Major. Test dated 9/2/22 showed a positive for Listeria Monocytogenes for the cooler 3 floor. A NUOCA log was completed when the results were received(9/5/22) showing re-cleaning of the area, as well as 12 vector areas surrounding the spot. The labs has not yet sent re-test results to the auditee.</p>	
<p>Auditee Comments: See attached NUOCA log. View Files</p>		
		CA Accepted?
<p>CB/Auditor Review Comments:</p>		Yes
		<p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p>

5.16.09	<p>Question: Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?</p>	<p>Possible Points: 10 Points Scored: 0 Score: Non-Compliance</p>
	<p>Auditor Comments: No. There is no documented training programs and training records for personnel conducting ATP, Environmental, and water testing.</p>	
<p>Auditee Comments: See attached updated training matrix, new SOP for sampling training, and documentation used for training. View Files</p>		
		CA Accepted?
<p>CB/Auditor Review Comments: Accepted to major. There is no training log attached. Will be reviewed upon next scheduled audit.</p>		Yes
		<p>Possible Points: 10 Points Scored: 3 New Score: Major Deficiency</p>

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

GMP Temperature Controlled Storage & Distribution Logs

5.17.01	<p>Question: Are there records of final product temperature checks for temperature sensitive product?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. Re-packed products not considered temperature sensitive. No processing on site.</p>	

5.17.02	<p>Question: Are there temperature logs for the production area (if refrigerated)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>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(40-50 degrees F).</p>	

5.17.03	<p>Question: Are there temperature logs for storage rooms?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: Yes. Temperatures are recorded once per day with records on the Daily Pre Operation Log.</p>	

5.17.04	Question: Is there a documented procedure for checking truck trailer temperature and reviewing sanitary condition of truck trailers prior to loading?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Temperature requirements for shipping trucks are included in the Shipping SOP, 16.1 where temperature range is 36-40 degrees F. Condition of trailers is to be monitored upon loading(odors, integrity, cleanliness).	
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 Outbound Shipping Trailer Inspection log.	
5.17.06	Question: Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Records of trailer inspections are included on the Outbound Shipping Trailer Inspection log.	

GMP	Allergen Control
------------	-------------------------

5.18.01	Question: Are production and storage areas free of allergen risks (i.e. allergens are not stored or handled)??	Possible Points: 0 Points Scored: 0 Score: 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		
6.01.01	Question: Is there a team responsible for the HACCP program at the operation, with an assigned leader for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The HACCP team includes Adam Serck(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. 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 Ada, with logs dated 8/17/22.	
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 8/1/22.	
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) has 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 8/1/22.	
HACCP Development of the HACCP Plan		
6.02.01	Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. 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 includes likelihood of occurrence and severity of identified hazards.	
6.02.02	Question: Have CCP decisions been made with logical, documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. 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.	

6.02.03	Question: Is the HACCP system reviewed when significant changes are made and at least once every 12 months?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The HACCP program was reviewed and approved by Adam Serck dated 8/1/22. No changes have been made since the past audit.	
6.02.04	Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 6 HACCP" is not applicable.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. The team has determined that there are no critical control points associated with the program.	
6.02.05	Question: Have CCP critical control limits been established and are they supported by relevant validation documentation?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.06	Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.07	Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.08	Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.09	Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limits are not met (loss of control/deviation) and plans to adjust the process back into control?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.10	Question: Have recording forms been developed for monitoring the CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.02.11	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
HACCP Execution of the HACCP Plan on the Plant Floor		
6.03.01	Question: Is there documented evidence that all plant workers have attended a HACCP training, including specific training for CCP operators?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

6.03.02	Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
6.03.03	Question: Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
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: 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:	
6.03.06	Question: Is there a deviation record detailing documented corrective actions when a deviation/loss of control of a CCP occurs (a critical control limit is exceeded)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	