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**FINAL AUDIT REPORT**


CB Registration No. WQS-PGFS-4680-1  
 PrimusGFS ID #340519 - Cert:3  
 Audited by WQS, LLC.

**PrimusGFS Version 3.2**

Operation Type: Packinghouse  
 Audit Report Summary

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<b>Organization:</b>	<b>Great West Produce Inc.</b> Contact(s): <a href="#">Andy Medina</a> Address: 2600 South Eastern ave. 90040 Location: Commerce, California, United States Phone Number: 323-869-0200 x. 2517
<b>Operation:</b>	<b>Great West Produce, Inc.</b> Contact(s): <a href="#">Andy Medina</a> Location: 2600 South Eastern Ave. Commerce, California 90040, United States
<b>Shipper:</b>	Great West Produce, Inc.
<b>Operation Type:</b>	<b>Packinghouse</b>
<b>Audit Type:</b>	<b>Announced Audit</b>
<b>Audit Executive Summary:</b>	The audit was conducted at a facility that conducts packing of onions on an almost daily basis and conducts packing of grape tomatoes, green beans, and brussels sprouts in special small pack styles. There are three pieces of packing equipment that is used depending on the product type. One packing equipment does have a metal detector, but that packing equipment was not in operation during the audit. The majority of the operation conducts storage and distribution activities of different fruits and vegetables. All product is sourced from approved suppliers. At the time of the audit, onions were being packed from large bags into smaller onion bags. There was no packing of green beans and Brussel sprouts. The building set up with a receiving and shipping area, 1 packing room, cold storage area, dry ambient storage area, and a wet cold storage area that holds iced product. The facility does have a small ice machine that is used to top ice products per customer request. The water used cleaning and hand washing is from the municipal district. The facility is cleaned and sanitized using a cleaner and sanitizer following their Master Sanitation Schedule. Andy Medina (food safety manager) was present during the audit and participated.
<b>Date Documentation Review Started:</b>	30 Sep 2024 09:45
<b>Date Documentation Review Finished:</b>	30 Sep 2024 15:30
<b>Total Amount of Time on the Documentation Review:</b>	5.75 Hours
<b>Date Visual Inspection Started:</b>	30 Sep 2024 08:00
<b>Date Visual Inspection Finished:</b>	30 Sep 2024 09:45
<b>Total Amount of Time on Visual Inspection:</b>	1.75 Hours
<b>Addendum(s) included in the audit:</b>	Not Applicable
<b>Product(s) observed during audit:</b>	Lettuce, Bananas, Broccoli, Celery, Cabbages, Fruits, Tomatoes, Bell Peppers, Cucumbers, Squashes, Cauliflower, Parsley (Herb), Apples, Asparagus, Carrots, Sugar Snap Peas, Peas, Green Bean, Onions, Mangoes, Pineapples, Citrus, Fruits & Vegetables, Capsicums (Peppers / Chillies), Parsnips, Cilantro, Brussels Sprouts, Herbs - Misc, Beetroots, Corn
<b>Similar product(s)/process(es) not observed:</b>	None
<b>Product(s) applied for but not observed:</b>	None
<b>Auditor:</b>	<a href="#">Courtney Cox</a> (WQS, LLC.)
<b>Preliminary Audit Score:</b>	<b>95%</b>
<b>Final Audit Score:</b>	<b>99%</b>
<b>Certificate Valid From:</b>	19 Nov 2024 To 18 Nov 2025

GPS Coordinates:	<b>Latitude</b>	<b>Longitude</b>	 <a href="#">Click here to see map</a>
	33° 59' 57"	118° 9' 34"	

FSMA Summary Report

View Certificate

Corrective Action Activity

**Information related to the audited operation**

<b>Total number of workers for the operation:</b>	50	<b>Maximum worker number during peak season:</b>	50
<b>Number of lines in normal production:</b>	3	<b>Number of lines running during the audit:</b>	1
<b>Facility Size:</b>	50000 Square feet	<b>Facility Environment Conditions:</b>	Wet- High Humidity Storage
<b>Allergens:</b>	Yes	<b>Allergen type(s):</b>	Egg
<b>Temperature Controlled Storage:</b>	Yes	<b>Was an anti-microbial used in the water/ice?</b>	No
<b>Water Source:</b>	Municipal/District		
<b>Is cooling equipment used?</b>	Yes	<b>Cooling Equipment:</b>	Evaporator/Condensing Unit, Ice Machine
<b>Are production areas completely enclosed?</b>	Yes	<b>Production Area:</b>	
<b>Are storage areas completely enclosed?</b>	No	<b>Storage Areas:</b>	No roof or storage area for product or food-contact items is located outside <b>Other:</b> Cardboard packaging stored outside.

**Product information for each product**

<b>Product Group/Product Name</b>	<b>Observed Product</b>	<b>Seasonality</b>	<b>Country of destination for product</b>
Apples	Observed on the day of audit	Year round	United States
Asparagus	Observed on the day of audit	Year round	United States
Bananas	Observed on the day of audit	Year round	United States
Beetroots	Observed on the day of audit	Year round	United States
Bell Peppers	Observed on the day of audit	Year round	United States
Broccoli	Observed on the day of audit	Year round	United States
Brussels Sprouts	Observed on the day of audit	Year round	United States
Cabbages	Observed on the day of audit	Year round	United States
Carrots	Observed on the day of audit	Year round	United States
Cauliflower	Observed on the day of audit	Year round	United States
Celery	Observed on the day of audit	Year round	United States
Citrus	Observed on the day of audit	Year round	United States
Cilantro	Observed on the day of audit	Year round	United States
Corn	Observed on the day of audit	Year round	United States
Cucumbers	Observed on the day of audit	Year round	United States
Herbs - Misc	Observed on the day of audit	Year round	United States
Fruits	Observed on the day of audit	Year round	United States
Green Bean	Observed on the day of audit	Year round	United States
Lettuce	Observed on the day of audit	Year round	United States
Mangoes	Observed on the day of audit	Year round	United States
Onions	Observed on the day of audit	Year round	United States
Parsley (Herb)	Observed on the day of audit	Year round	United States
Parsnips	Observed on the day of audit	Year round	United States
Peas	Observed on the day of audit	Year round	United States
Capsicums (Peppers / Chillies)	Observed on the day of audit	Year round	United States
Pineapples	Observed on the day of audit	Year round	United States
Squashes	Observed on the day of audit	Year round	United States
Sugar Snap Peas	Observed on the day of audit	Year round	United States
Tomatoes	Observed on the day of audit	Year round	United States
Fruits & 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:	244	Score:	248
	Possible Points:	248	Possible Points:	248
	Percent Score:	98%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1147	Score:	1190
	Possible Points:	1198	Possible Points:	1198
	Percent Score:	95%	Percent Score:	99%
Module 6 - HACCP System Requirements	Score:	85	Score:	95
	Possible Points:	95	Possible Points:	95
	Percent Score:	89%	Percent Score:	100%
<b>TOTAL</b>	Score:	1476	Score:	1533
	Possible Points:	1541	Possible Points:	1541
	Percent Score:	95%	Percent Score:	99%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	1	0
Module 5 - Good Manufacturing Practices Requirements	8	2
Module 6 - HACCP System Requirements	1	0
<b>TOTAL</b>	<b>10</b>	<b>2</b>

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><b>Question:</b> Is there a documented food safety policy detailing the company's commitment to food safety?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The food safety policy was available on site posted in the break room, available in Spanish and English. It was signed by the Vice President (dated 09/23/2024) The company's food safety commitment and responsibility also includes a Food Safety Culture Plan.</p>	
1.01.02	<p><b>Question:</b> Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The Organizational Chart was made available and reviewed. There were food safety job descriptions available and it included alternates. It was reviewed and dated as of 09/27/2024.</p>	
1.01.03	<p><b>Question:</b> Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The food safety committee includes the Vice President, Operations Manager, Production Manager, Sales, QA, and FSQA Manager. All food safety related matters and needs are communicated directly to the executive leadership team and the committee meets quarterly. The recent meetings on 08/2/2024 covered different topics. For example, sanitation, HACCP, complaints, and food safety trainings.</p>	

1.01.04	<p><b>Question:</b> 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?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The documents "Training Program and Schedule" was available and included all the job roles, training topics, and frequency (at hire and quarterly) of trainings. Example of topics include, worker hygiene principles, allergens, food safety, HACCP, and sanitation.</p>	
1.01.05	<p><b>Question:</b> Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?</p>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The management review and commitment to resources was completed on 08/22/2024 by the food safety committee. Example areas include HACCP verification, employee training, internal audits, sanitation program, and facility improvement. The executive leadership are highly involved in the food safety program to ensures it remains adequate and effective.</p>	
1.01.06	<p><b>Question:</b> Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?</p>	<p><b>Possible Points:</b> 3  <b>Points Scored:</b> 3  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The company had different topics stored electronically for review. For example the FDA Produce Safety Rule, FDA Sanitary Transportation, and Onion Best Practices.</p>	

<b>FSMS</b>	<b>Control of Documents and Records</b>
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1.02.01	<p><b>Question:</b> Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?</p>	<p><b>Possible Points:</b> 3  <b>Points Scored:</b> 3  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The "Document Control SOP" was available for review. The FSQA Manager is in charge of document control for hard copy documents throughout the operations and electronic documents are managed in an internal database. This SOP includes all the necessary steps to approve, make updates, and storage retention. There is also a document register that includes all the food safety documents via the drive. All electronic documents are backed up by a cloud based server.</p>	

1.02.02	<p><b>Question:</b> Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The "Document Control SOP" includes the requirement that food safety documents are stored for a minimum of 24 months.</p>	

1.02.03	<p><b>Question:</b> Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 1  <b>Score:</b> Major Deficiency</p>
	<p><b>Auditor Comments:</b> Major. There was evidence that corrective fluid (whiteout) was used in the food safety related records. The evidence was observed in training records, a maintenance work order, and incoming and outgoing records. The company does has a system to ensure only authorized personnel are available to get into electronic documents and the information backed up frequently through their server.</p>	

<p><b>Auditee Comments:</b> A training was held with our Warehouse Shipping team members to review the proper procedure for addressing documentation entry errors.</p>		<p><a href="#">View Files</a></p>
	<p>CA Accepted?</p>	
<p><b>CB/Auditor Review Comments:</b> Accepted total compliance. The evidence includes a root cause and training with the workers. The evidence also includes a process to keep workers updated on the document control procedure.</p>	<p><b>Yes</b></p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>New Score:</b> Total Compliance</p>

1.02.04	<b>Question:</b> Are records maintained in an organized and retrievable manner?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There were no concerns observed during the audit. All documents were available in an organized in binders and computer filing system.	
1.02.05	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the records review there was evidence test results and records (e.g., sanitation logs, metal detection) were evaluated and signed off with in 7 days. As example, a environmental test was received on 07/26/2024 and verified/signed on 07/29/2024 by the FSQA Manager.	

<b>FSMS</b>	<b>Procedures and Corrective Actions</b>
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1.03.01	<b>Question:</b> Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Instructions for creating SOPs" & was available and reviewed. There was evidence throughout the documentation review that it was being followed.	
1.03.02	<b>Question:</b> Are the written procedures available to relevant users and is a master copy maintained in a central file?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All workers have access to their applicable SOPs from the FSQA Manager's access.	
1.03.03	<b>Question:</b> Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The Document "Corrective Actions Preventive Action" was available and reviewed. It includes how the company manages corrective actions including the determination of the cause, preventative actions and follow-up validation to ensure corrective action taken has solved the problem.	
1.03.04	<b>Question:</b> Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The Document "NUOCA Log & Protocol" was available and reviewed. There have not been any incidents in the past 12 months.	

<b>FSMS</b>	<b>Internal and External Inspections</b>
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1.04.01	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Internal Audit SOP" was reviewed. The FSQA Manager is responsible of ensuring the internal audits are conducted. The internal GMP audits are conducted quarterly and the FSMS and HACCP audit occurs annually.	
1.04.02	<b>Question:</b> Are there written procedures for handling regulatory inspections?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "visitors, contractors, and regulatory inspection" was available for review. It included rules for always accompanying inspector, identified meeting space, rules for taking photographs, how to follow-up after the inspection, and corrective action requirements. All visitors arrive to the facility entrance door prior to being authorized to enter the facility.	

1.04.03	<b>Question:</b> Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company had their previous PrimusGFS food safety audit conducted by WQS on file with corrective actions. It was conducted on 10/13/2023.	
1.04.04	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. Calibration Procedures were available and reviewed. These included the ATP device and thermometer. ATP calibrations are conducted by FSQA Manager daily and there are weekly thermometer calibrations. The ATP calibration follows the manufactures recommendations.	
1.04.05	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There was evidence that required calibrations occur. For example, reviewed the ATP calibration records. The ATP device was calibrated on 06/15/2024.	

<b>FSMS</b>	<b>Release of Items/Product</b>
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1.05.01	<b>Question:</b> Is there a documented product release procedure available?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The SOP "Receiving, Shipping, & Product Release" was available for review. This describes the process for releasing product after packing and ready for shipment. The release evaluates the shipping trailer and evaluates that the product lots meet required specification.	
1.05.02	<b>Question:</b> Are there records of product releases kept on file?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit, there was evidence of product releases. The product release records include shipping documents and recorded information in the "outgoing -shipping trailer inspection". As example, reviewed the documents for the order #1311723 - mixed peppers. The product was released for shipment on 09/16/2024.	
1.05.03	<b>Question:</b> Is there a documented procedure for handling on hold and rejected items?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The SOP "Hold & Rejected Materials" was available and reviewed. The company using a HOLD tag to designate items on hold. The holds are recorded on the "Product Hold & Disposition Log".	
1.05.04	<b>Question:</b> Are there records of the handling of on hold and rejected items kept on file?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. There have not been items on hold in the past 12 months for food safety. All holds are Quality or Customer holds.	
1.05.05	<b>Question:</b> Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Buyer & Customer Complaint SOP" was available for review. It was verbally confirmed that no food safety complaints have been received in the past 12 months. All complaints were related to quality concerns.	

<b>FSMS</b>	<b>Supplier Monitoring/Control</b>
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1.06.01	<p><b>Question:</b> Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The documents "Supplier/Vendor &amp; Service Provider Approval &amp; Monitoring Program" and "Vendor Food Safety Data Sheet" were available and reviewed. The document includes how supplier/service providers are managed, included specifications, methods for approval and un-approving, and how to use emergency suppliers/service providers.</p>	
1.06.02	<p><b>Question:</b> Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The company manages all active and inactive suppliers in the Approved Suppliers and service providers Lists. The active list included all approved supplier/service providers. For example, Fridge Doctor (cooling service), Platinum Packaging Group (film packaging), and raw product suppliers. There was no evidence that any emergency service providers were used in the past 12 months.</p>	
1.06.03	<p><b>Question:</b> Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The document "Vendor Food Safety Data Sheet" included all specifications for supplier/service providers. As applicable, service providers must provide current Letters of guarantees, 3rd party audits, applicable certificate of insurance, and product specification.</p>	
1.06.04	<p><b>Question:</b> 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><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. Records demonstrated the company has evidence that all suppliers/service providers comply with their approval requirements and meet the requirements. Example, reviewed Pest Control business license and certificate of insurance, Supplier audit/certificate (expires 12/11/2024), and packaging supplier's AIB Packaging audit, dated 12/13/2023. The company outsources the raw product supplier approval and monitoring. There was evidence that the service provider is active in monitoring raw product vendors for the company.</p>	
1.06.05	<p><b>Question:</b> 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><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The company uses Food Microbiological Labs for their environmental and water program. ISO 17025 accreditation certificate #TL403 expires 10/01/2025. The accreditation certification included the methods used in the environmental and water testing program.</p>	
<p><b>FSMS</b> Traceability and Recall</p>		
1.07.01	<p><b>Question:</b> 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><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The company describes their traceability system in the document "Product Traceability &amp; Recall Plan". Verified the coding used during the facility walk through and conducted a traceability verification during audit used arriving lot #1311723. The company was able to use internal software to quickly show when and where product came from and the customer. Each packed or stored product includes a lot# sticker that relates to receiving information and shipping information. A pallet tag is also used that includes the same details as box tag.</p>	
1.07.02	<p><b>Question:</b> 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><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The Document "Product Traceability &amp; Recall Plan" was available and reviewed. The program includes team, recall classes, external contact listing, and other necessary components.</p>	

1.07.03	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total compliance. Mocks recalls for the company are conducted 2x year that also includes packaging. The company's mock recall occurred on 04/10/2024. Scenario chosen was cucumbers had a fowl smell. The recall and traceback exercise involved team members (30 minutes to complete). The recall was able to recover 100% of product. The recall documentation provided evidence of traceability paperwork for product and included the lessons learned. The recent packaging (onion netting bags) mock recall occurred on 09/06/2024.	

<b>FSMS</b>	<b>Food Defense</b>
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1.08.01	<b>Question:</b> Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The Food Fraud Assessment and Plan was available for review. The assessment included different areas of fraud (e.g., supplier fraud) and was most recently completed on 09/18/2024.	

1.08.02	<b>Question:</b> Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The Food Defense Plan and assessments were available for review. It was recently reviewed as 09/18/2024. The assessment included security details for the site location and the program covers area as personal security, shipping, camera on site, locked perimeter doors including front door at all times, and document security.	

1.08.03	<b>Question:</b> Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All visitors and contractor are required to sign-in upon entering the site and be escorted at all times. There was evidence of the visitor log in use, internal audits, pre-operational inspections, and active cameras in use.	

1.08.04	<b>Question:</b> Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance The emergency contact numbers were located in the food safety program binders and posted in the breakroom. These included local law enforcement and regional FDA contacts.	

1.08.05	<b>Question:</b> Are visitors and contractors to the company operations required to adhere to food defense procedures?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All visitors to company must register at the entrance to packinghouse upon arrival and be escorted at all times.	

<b>GMP</b>	<b>General GMP</b>
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5.01.01	<b>Question:</b> Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All cleaning and maintenance chemicals used at the facility were observed secure in their dedicated areas and cabinets. Example of chemicals used at the facility: Alpet D2, F-29 disinfect, and Domolish.	

5.01.02	<b>Question:</b> Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The food grade lubricants were held separately than non food grade grease in the locked cabinet. There was no evidence of other non-food grade chemicals at the facility.	

5.01.03	<b>Question:</b> Are signs supporting GMPs posted appropriately?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There are GMP signs posted in Spanish and English in the break room, hand wash station, and within the warehouse and packing areas.	
5.01.04	<b>Question:</b> Are the necessary food defense controls implemented in the operation?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The auditor observed security control upon entering the building, cameras in use throughout the facility and exterior, all building and storage areas are locked overnight, and the site is fenced and locked overnight.	
<b>GMP</b>		
<b>Pest Control</b>		
5.02.01	<b>Question:</b> 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.	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. At the time of the audit there was no evidence of pests on the product.	
5.02.02	<b>Question:</b> 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.	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. At the time of audit there was no evidence of pests in or around packaging.	
5.02.03	<b>Question:</b> Are plant and storage areas free of pests (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. At the time of the audit there was no evidence of pests inside the facility.	
5.02.04	<b>Question:</b> Is the area outside the facility free of evidence of pest activity?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. At the time of the audit there was no evidence of pests outside the facility.	
5.02.05	<b>Question:</b> Is there an effective pest control program in place? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company manages the pest control by the service provider Sprague Pest Control. The overall program is designed to cover small rodents and crawling insects. The company comes on site weekly to monitor the internal devices and monthly to monitor external.	
5.02.06	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All devices were located away from product and packaging. There was no evidence that poisonous bait is used inside the facility.	
5.02.07	<b>Question:</b> Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All the devices observed were clean and intact and all appeared to be monitored. The devices includes a bar code system that the technician scans when monitoring.	

5.02.08	<b>Question:</b> Are interior and exterior building perimeter pest control devices adequate in number and location?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility tour there was evidence that the site has an adequate number of devices. They were observed to be placed inside the perimeter building walls, outside entrance doors, and outside perimeter walls.	
5.02.09	<b>Question:</b> Are all pest control devices identified by a number or other code (e.g. barcode) ?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All devices were observed to be identified by a number located on the wall above the device. The numbering system and placement matched the pest control map on site.	
5.02.10	<b>Question:</b> Are all pest control devices effective and bait stations secured?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The devices were observed in the correct positions and were aligned to the walls correctly.	
<b>GMP Storage Areas &amp; Packaging Materials</b>		
5.03.01	<b>Question:</b> 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)?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the tour of the facility there was no evidence that the layout was a risk to products or packaging.	
5.03.02	<b>Question:</b> Is the facility's use restricted to the storage of food products?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There was no evidence of non production equipment or items stored.	
5.03.03	<b>Question:</b> Are rejected or on hold materials clearly identified and separated from other materials?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all of the rejected product (i.e., waste/non quality grade onions) were placed in identified containers to be thrown away as waste or bins for donation.	
5.03.04	<b>Question:</b> 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.	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of product, packaging, or bins contaminated.	
5.03.05	<b>Question:</b> Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All storage areas, including hard to reach areas were observed clean.	
5.03.06	<b>Question:</b> Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All products observed were properly labeled with packing dates and receiving date that included company lot coding. This information is either a sticker placed on product and final packed product. All raw product received is tagged with date of receiving.	

5.03.07	<b>Question:</b> Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. Based on information gathered during the audit, the product is rotated using FIFO by the internal lot coding for packaging and product.	

5.03.08	<b>Question:</b> Are storage areas at the appropriate temperatures for the specific products being stored?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All storage rooms were observed being maintained appropriately for the product being held. As example, 1 cold storage held at 44-50F and separate cold storage room was held at 34-42F.	

5.03.09	<b>Question:</b> Is any packaging being stored outside, being stored protected?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 3 <b>Score:</b> Major Deficiency
	<b>Auditor Comments:</b> Major. During the exterior walk through observed pallets of cardboard packaging stored outside and the specific area not included in the rodent control program. All packaging was observed covered tightly in plastic wraps.	

<b>Auditee Comments:</b> We contacted our pest control company to have them reassess the exterior packaging storage area and they determined that two additional bait stations were needed, so they were added.		<a href="#">View Files</a>
	<b>CA Accepted?</b>	
<b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause, correction of adding 2 pest control bait stations near the outside packaging storage area, and a preventive action.	<b>Yes</b>	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>New Score:</b> Total Compliance

<b>GMP</b>	<b>Operational Practices</b>
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5.04.01	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. The facility is not conducting process activities.	

5.04.02	<b>Question:</b> Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 5 <b>Score:</b> Major Deficiency
	<b>Auditor Comments:</b> Major. During the interior walk through observed condensation on a cooling unit in cold rooms #2 and #7. In cooler #7 the product was directly underneath, but no evidence of condensation dropping onto the product. At the time of observation management directed 2 workers to remove the pallets that were underneath the cooling unit.	

<b>Auditee Comments:</b> We contacted our Refrigeration company, Fridge Dr., to have them come inspect and service the cooling units in our cold rooms. In Cooler room 7, there was a clogged drain line, which was cleared. In Cooler room 2, one of the motors was not operating properly. A new motor was ordered and replaced on 10/17/24.		<a href="#">View Files</a>
	<b>CA Accepted?</b>	
<b>CB/Auditor Review Comments:</b> Accepted for minor deficiency scoring. The evidence includes a root cause, a correction of the issues found during the investigation, and a preventive action. The cooling units will be verified during the next annual food safety audit for total compliance.	<b>Yes</b>	<b>Possible Points:</b> 15 <b>Points Scored:</b> 10 <b>New Score:</b> Minor Deficiency

5.04.03	<b>Question:</b> Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls and equipment, and other hard to reach areas?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of concern in the packing room. The all areas (floors, walls, packing table and lights) in the room appeared in a clean condition.	
5.04.04	<b>Question:</b> Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. The facility is completely enclosed.	
5.04.05	<b>Question:</b> Is all re-work / re-packaging handled correctly?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. During the audit there was no re-work or repackaging occurring that falls under this question's applicability.	
5.04.06	<b>Question:</b> Are raw ingredients examined before use?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit a visual examination was observed at the packing line prior to the onions being placed into into final consumer bags.	
5.04.07	<b>Question:</b> Are finished products coded (carton and unit packaging) for the day of production?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The operation uses a labeling system to apply a lot to each finished bag. The coding is able to link to the pack date. The lot coding and pallet tag supports the full traceability of product from connecting to supplier of product and trace forward.	
5.04.08	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The facility follows a visual inspection at the onion packing equipment and bagger equipment (not in use during the audit). The Vertek 1200 that packs products into film bags does have a metal detector. This metal detector is checked hourly when the equipment is in use and after every lot change.	
5.04.09	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company uses appropriate test strips to verify the concentration of the F-29 sanitizer material used in the sanitation process and a titration for the detergent. The company is in the process to switch over to the Alpet D2 that does not require verification.	
5.04.10	<b>Question:</b> Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the packing area tour adequate there was 1 hand washing stations were observed for the packing workers. Approximately 3 hand washing stations were available for all worker access in the toilet facilities. The peak season of workers total for the operation is 30, but the packing process is less than 15 workers.	
5.04.11	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All hand washing stations were observed to be in working order (no drainage issues and had warm water), adequately stocked with supplies (unscented soap, paper towels, trash containers) and was for only hand washing.	



5.04.12	<b>Question:</b> Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The facility has approximately 3 different toilet locations for the 30 workers. All were properly stocked. The production area toilet facilities did not open directly into the packing room.	
5.04.13	<b>Question:</b> Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit observed 3 hand sanitizer dispensers located throughout the facility. These were all in areas that workers can easily access.	
5.04.14	<b>Question:</b> Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. The facility does not use foot baths, foamers or dry powdered sanitizing stations.	
5.04.15	<b>Question:</b> Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit observed cartons and bags used as single use containers. There was no observation of these items being used for any other purpose than hold product.	
5.04.16	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit observed 3 different types of re-usable containers. As example, trash containers, donation bins, and waste containers. All were appropriately identified for use. There was no observation of these containers being used for anything other intended purpose.	
5.04.17	<b>Question:</b> 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?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit the ATP device was evaluated on site and it was working properly as the company described.	
<b>GMP</b> Worker Practices		
5.05.01	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. During the audit the hand washing practices was not able to be observed.	
5.05.02	<b>Question:</b> Are workers' fingernails clean, short and free of nail polish?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of workers with fingernails that contained dirt or with nail polish. This is monitored during the company's daily pre-operational inspections.	
5.05.03	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all workers within the facility were free from signs of boils, sores, open wounds and were not exhibiting signs of foodborne illness. This topic is monitored during the company's daily pre-operational inspections.	

5.05.04	<b>Question:</b> Are workers wearing effective hair restraints that contain all hair?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all workers were wearing hair nets and if necessary, beard nets.	
5.05.05	<b>Question:</b> Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of workers wearing watches, studs, false eyelashes, or other potential foreign material jewelry.	
5.05.06	<b>Question:</b> Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves, non-latex gloves)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All workers observed were wearing appropriate clean clothes and non-latex gloves and sleeves at the packing line.	
5.05.07	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit did not observe any workers with their gloves, or sleeves in the break room. The gloves are single use.	
5.05.08	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The gloves/sleeves are single use and are thrown away when on break and before using the toilets.	
5.05.09	<b>Question:</b> Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of worker personal items in the packinghouse. All worker items are stored in lockers.	
5.05.10	<b>Question:</b> Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There was no concerns observed during the audit.	
5.05.11	<b>Question:</b> Is fresh potable drinking water readily accessible to workers?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company provides potable drinking water for its workers. There are different water stations throughout the packing facility for easy access.	
5.05.12	<b>Question:</b> 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.)?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There was no concerns observed during the audit.	



5.05.13	<b>Question:</b> Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The first aid kits were observed fully stock and readily available for the workers. 2 first kit were observed for the workers. The kits contained different materials such as blue-metal detectable bandages and non-latex gloves.	

<b>GMP</b>	<b>Equipment</b>
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5.06.01	<b>Question:</b> Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit the food contact surfaces of each packing equipment was observed free of flaking paint, corrosion, rust, and other unhygienic materials.	

5.06.02	<b>Question:</b> Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 7 <b>Score:</b> Minor Deficiency
	<b>Auditor Comments:</b> Minor. During the packing area walk through observed the bagger equipment (not in use during the audit) with minor wear and time in one specific area (i.e., paint rubbing off).	

<b>Auditee Comments:</b> We cleaned/removed the remaining flaking paint and then the section was repainted.		<a href="#">View Files</a>
	<b>CA Accepted?</b>	
<b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause, an immediate correction to the equipment, and a preventive action.	<b>Yes</b>	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>New Score:</b> Total Compliance

5.06.03	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit the equipment appeared to be designed in a manner that they can be cleaned effectively following the company's cleaning process.	

5.06.04	<b>Question:</b> Are thermometers (independent of thermostat probes) present in all coolers and freezers?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All coolers on site had thermometers.	

5.06.05	<b>Question:</b> Are all thermometers non-glass and non-mercury?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The thermometers were observed non-glass and non-mercury.	

<b>GMP</b>	<b>Equipment Cleaning</b>
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5.07.01	<b>Question:</b> Are food contact equipment surfaces clean?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The food contact areas of each packing equipment appeared to be in a clean condition.	

5.07.02	<b>Question:</b> Are non-food contact equipment surfaces clean?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit the non food contact areas of each packing appeared be in clean condition. There was no visual evidence of product debris build up, dirt, dust, etc.	
5.07.03	<b>Question:</b> Are items (totes, bins, etc.) that are used to hold or store product clean?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all bins in storage appeared to be in clean condition.	
5.07.04	<b>Question:</b> During cleaning, are food products and packaging materials protected from contamination?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. During the audit there was no cleaning occurring.	
5.07.05	<b>Question:</b> Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All cooling units appeared to be in a clean condition and free of aged, dirty ice.	
5.07.06	<b>Question:</b> Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all fan guards for the cooling units appeared to be dust free and there was no evidence of black deposits in front of the fans.	
5.07.07	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. During the interior walk through there was no observation of stored equipment in the facility that could be used.	
5.07.08	<b>Question:</b> Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no concern observed.	
5.07.09	<b>Question:</b> Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. During the audit maintenance tools were not observed in the facility.	
5.07.10	<b>Question:</b> Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the pack area walk through there was no evidence of excess grease or lubricants at the packing equipment.	

<b>GMP</b>	<b>General Cleaning</b>
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5.08.01	<b>Question:</b> Are spills cleaned up immediately?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. There was no evidence of old spills in the packing and storage areas.	

5.08.02	<b>Question:</b> Are waste and garbage frequently removed from production and storage areas?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no concern of the trash build up. The trash is taken out daily to the on site dumpster.	
5.08.03	<b>Question:</b> 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)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no concern with the drains in the facility. As example, there was no debris build up or odors in the drains within the wet cooler.	
5.08.04	<b>Question:</b> Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All high level area (e.g. overhear pipes and metal structures) appeared to be clean during the audit.	
5.08.05	<b>Question:</b> Are plastic strip curtains maintained in good condition, kept clean and mounted so that the tips are not touching the floor?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All plastic strips curtains in the facility appeared to be in a clean condition and were not touching the floor.	
5.08.06	<b>Question:</b> 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?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. PPE equipment was stored appropriate in a cabinet.	
5.08.07	<b>Question:</b> Is cleaning equipment maintained clean and stored properly?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all cleaning equipment was observed stored appropriately on hooks and in their dedicated area.	
5.08.08	<b>Question:</b> Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company uses a color system to identify cleaning equipment zones. This policy was posted in different areas of facility and at the cleaning equipment hooks. Blue - floors, Yellow - ice machine use, white - food contact areas.	
5.08.09	<b>Question:</b> Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All items observed were appropriate for their designated purpose, e.g., plastic and brushes that were not made of metal parts.	
5.08.10	<b>Question:</b> Are toilet facilities and hand washing stations clean?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. Toilet facility and all hand washing stations appeared clean.	
5.08.11	<b>Question:</b> Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The worker break area was observed clean during the audit.	

5.08.12	<b>Question:</b> 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
	<b>Auditor Comments:</b> Not-Applicable. The facility does not have a maintenance shop on-site.	
5.08.13	<b>Question:</b> 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
	<b>Auditor Comments:</b> Total Compliance. During the audit all forklift and pallet jacks appeared to be in a clean condition.	
5.08.14	<b>Question:</b> Are shipping trucks clean and in good condition?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the shipping area walk through observed one trailer being loaded. The trailer appeared to be in a clean and appropriate condition for use.	
<b>GMP</b>	<b>Buildings and Grounds</b>	
5.09.01	<b>Question:</b> 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
	<b>Auditor Comments:</b> Total Compliance. During the audit all lights were confirmed to be shatter resistant and protected. There was no concerns during the tour of inside or outside lights.	
5.09.02	<b>Question:</b> Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All potential metal, glass, and or brittle plastic on site is controlled by a glass register and monitored.	
5.09.03	<b>Question:</b> Has the facility eliminated the use of wooden items or surfaces?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit observed a wooden ceiling in the dry warehouse area. The area is controlled by ambient temperature and does not store any iced or wet cartons.	
5.09.04	<b>Question:</b> Is there adequate lighting in the production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit all storage areas had adequate lighting.	
5.09.05	<b>Question:</b> Is ventilation adequate to control dust, condensation, odors and vapors?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the all it appeared there was adequate ventilation controls. The condensation observation on the underside of 2 units is scored in question 5.04.02	
5.09.06	<b>Question:</b> Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there were a few deep cracks that were repaired last year based on the previous nonconformance. There was evidence the repair is wearing off, not lasting. The company provided evidence of a work order and conversations from the service provider to re-repair those areas coming soon.	

5.09.07	<b>Question:</b> Are the floor drains where they are needed for drainage and cleanup?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The drains were observed appropriately located in the facility. As example, drains were located near wet cooler areas and near the ice machine.	
5.09.08	<b>Question:</b> Are closed doors and windows to the outside pest-proof?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility tour all closed doors were appropriately closed and sealed. There was no evidence of gaps or light to the outside.	
5.09.09	<b>Question:</b> In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility walk through observed all docks enclosed and the dock doors included buffers to seal against trucks.	
5.09.10	<b>Question:</b> Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility walk through observed all dock load levelers and buffers debris free and appeared to be a in good condition.	
5.09.11	<b>Question:</b> 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)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the exterior facility tour there was no evidence of holes or pipes, vents, air ducts that needed be protected to prevent pest entry.	
5.09.12	<b>Question:</b> Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the interior facility tour there was no evidence that the walls or ceilings had cracks or crevices.	
5.09.13	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the interior tour an 18 inch perimeter was maintained.	
5.09.14	<b>Question:</b> Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the exterior tour the outside was clean and no evidence of litter, weeds, or standing water.	
5.09.15	<b>Question:</b> 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)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the exterior walk through there was no evidence of outside equipment storage.	

5.09.16	<b>Question:</b> Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the audit there was no evidence of dirty or broken pallets being used. There is a designated area for broken pallets.	
5.09.17	<b>Question:</b> Is the area around the dumpster/cull truck/trash area clean?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The dumpster / trash area was observed to be clean and contained no overflow of trash.	
5.09.18	<b>Question:</b> Are outside garbage receptacles and dumpsters kept covered or closed?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The garbage and dumpsters located on the outside were observed closed.	
5.09.19	<b>Question:</b> Are all water lines protected against back siphonage?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All water lines are protected against back siphonage.	
5.09.20	<b>Question:</b> Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. The facility does not have an on-site laboratory.	
<b>GMP</b>	<b>Site</b>	
5.10.01	<b>Question:</b> Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, wastewater and other relevant features?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The facility site map was available and reviewed. It shows the central location of the facility and adjacent land. The water source is municipal.	
5.10.02	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The facility floor plan was available for review. The plan included the lay out of the cold rooms and packing area and included the flow of workers and forklift traffic.	
5.10.03	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Facility Risk Assessment" was available. It was recently reviewed on 09/18/2024. The assessment included detail about specific risk to the facility and the implemented control measures. As example, adjacent land was identified as potential hazard and the facility controls by monitoring, pest control program, and security measures.	
5.10.04	<b>Question:</b> Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The back flow inspection occurred on 5/04/2024. It was conducted by CA Water Service. Result was Pass. Tester's Certificate #10142041.	

5.10.05	<p><b>Question:</b> Is there a designated person responsible for the operation's food safety program?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. Andy Medina (FSQA Manager) is the designated person responsible for the company's food safety program. There was evidence during the audit that he is highly integrated in the company's processes. There was evidence that he has training and qualifications in HACCP. Additionally, the operation's manager has PCQI training and certification.</p>	

**GMP** Chemical Files

5.11.01	<p><b>Question:</b> Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. During the tour labels were available on all master containers in their locked designated area. (e.g., chemical closet.)</p>	

5.11.02	<p><b>Question:</b> Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?</p>	<p><b>Possible Points:</b> 3  <b>Points Scored:</b> 3  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. The company controls inventory for all chemicals used on site by the "Inventory Log", except pest control. All pest control is outsourced. The inventory is taken monthly and is verifying each chemical's available volume on site and number of containers. Examples of chemicals included in the inventory were F-29 Disinfect, Domolish, and Alpet D2.</p>	

5.11.03	<p><b>Question:</b> 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)?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 0  <b>Score:</b> Non-Compliance</p>
	<p><b>Auditor Comments:</b> Not-Compliance. The ice machine used does not currently use a sanitizer. The facility has a small scale ice machine that is used for top icing product in cartons per customer request.</p>	

**Auditee Comments:** We contacted the City of Commerce to request information on the water treatment. The provider of the water is California Water Service and the confirmed that they treat our water source with Chlorine. We have begun taking daily Free Chlorine PPM measurements. The target PPM levels must be between 0.5ppm to 5ppm.

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	<small>CA Accepted?</small>	
<p><b>CB/Auditor Review Comments:</b> Accepted for minor deficiency scoring. The evidence includes a root cause and a correction action. The company will be monitoring the chlorine concentration going forward. The new process will be verified during the next annual audit for total compliance.</p>	Yes	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 7  <b>New Score:</b> Minor Deficiency</p>

**GMP** Pest Control Documentation

5.12.01	<p><b>Question:</b> 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?</p>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. Pest control is managed by service company Sprague Pest Control: Weekly monitoring occurs for all internal devices and monthly monitoring for external devices. The program included information about the target pest (crawling and small rodents), devices on site and monitoring and annual IPM review. There was an appropriate pest control license for technician and business licenses, including insurance documents.</p>	

5.12.02	<p><b>Question:</b> 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?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>
	<p><b>Auditor Comments:</b> Total Compliance. During the audit a pest control map was made available. The current date of the map is 01/31/2024.</p>	



5.12.03	<b>Question:</b> Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the pest control documentation review there were detailed inspection/ service reports available. These included detail about what was found in the devices during the check and actions taken. Example of service occurred on 09/25/2024 the rodent bait boxes and tin cats were inspected.	
<b>GMP</b> <b>Operation Monitoring Records</b>		
5.13.01	<b>Question:</b> Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The "Incoming trailer inspection record" is completed in the receiving area for every incoming product and materials to be received. The inspection is checking for product or packaging condition condition.	
5.13.02	<b>Question:</b> 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)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The "Incoming trailer inspection record" is completed in the receiving area for every incoming product and materials to be received. The inspection is checking trailer condition upon accepting goods. The inspection is checking the trailer for temperature, cleanliness, and any off odors.	
5.13.03	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The metal detector at the Vertek 1200 packing equipment is monitored hourly and at every lot change. During the audit the equipment was not being use. The information is recorded on the "Metal Detector Check Log".	
5.13.04	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. At the time of audit the ice machine does not use a sanitizer. The observation is referenced in question 5.11.03	
5.13.05	<b>Question:</b> 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.)?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not-Applicable. The facility does not use recycled / reused water systems.	
5.13.06	<b>Question:</b> 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?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The hand sanitizer dispense stations are checked daily in the pre-operational inspection.	
5.13.07	<b>Question:</b> Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company uses knives and scissors on site when required for opening mesh bags of onions, prior to product dump onto the line. The document "Knife & Scissors Inventory" was available for review. The inventory accounts of the condition and the quantity. These utensils are held in a locked box when not in use.	



5.13.08	<b>Question:</b> Is there a pre-operation inspection log?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The pre-operation inspection logs were available and reviewed. These checks are inspecting different areas of the facility. As example worker hygiene, facility overall cleanliness, including break areas.	
5.13.09	<b>Question:</b> Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The recent GMP internal audit was conducted on 08/15/2024 by the FSQA Manager. The GMP internal audits are completed quarterly and FSMS/HACCP is conducting annually. The report included all areas of the inspection (e.g., GMPs, packing room, glass and brittle plastic, and food safety records) and summary of findings and corrections.	

<b>GMP</b>	<b>Maintenance &amp; Sanitation Files</b>
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5.14.01	<b>Question:</b> Does the facility have a preventative maintenance program that includes a schedule and completion records?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company has a preventative maintenance program that is documented. This program is overseen by the operation's manager. The program is set up to evaluate specific areas, such as fork lifts, ice machine, compressor units, dock, and packing equipment. As example, the preventative maintenance occurred on 09/27/2024 evaluating the packing equipment chains working appropriate.	

5.14.02	<b>Question:</b> Are there a logs of maintenance work and repairs and are they signed off when work is completed?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. Maintenance work and repairs are documented on the "work order form". Recent repair example, on 02/05/2024 the bagger equipment required repair. The activity was documented and verified as completed.	

5.14.03	<b>Question:</b> Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 1 <b>Score:</b> Major Deficiency
	<b>Auditor Comments:</b> Major. During the records review observed several maintenance work orders that were closed and did not indicate if cleaning and sanitization was completed post work or if not required. The company does have a section on the form to document this information.	

<b>Auditee Comments:</b> A training was conducted with operations management team and supervisors on the proper procedure for completing Maintenance Work Order forms.		<a href="#">View Files</a>
<b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes root cause and a corrective action that included training with the workers.	<b>Yes</b>	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>New Score:</b> Total Compliance

5.14.04	<b>Question:</b> Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The Master Sanitation Program and Schedule is managed by the FSQA Manager. It provided all the different facility areas and operational components that required cleaning and sanitation and the frequency. As example, floors, all food contact surfaces, and forklifts- daily, non-food contact components, plastic strip curtains, trash cans - weekly, and deep floor scrub, walls, and lights - monthly.	

5.14.05	<p><b>Question:</b> Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?</p> <p><b>Auditor Comments:</b> Total Compliance. All SSOPs that are part of the Master Sanitation Schedule were available. The auditor evaluated a sample of SSOPs. Examples include food contact areas SSOP &amp; floors SSOPs. All SSOPs evaluated during the records review included the chemicals for use, PPE, and cleaning utensils. All workers involved in the following the SSOPs are trained.</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>						
5.14.06	<p><b>Question:</b> Are cleaning and sanitation logs on file that show what was done, when and by who?</p> <p><b>Auditor Comments:</b> Minor. The cleaning and sanitation logs do not identify the sanitation workers' that completed each completed activity following the MSS. Cleaning and sanitation logs were available that indicated all food contact surfaces, floors, drains, and other areas are cleaned and sanitized following the MSS. Example record: 09/27/2024: rollers at the packing equipment were cleaned and sanitized prior to next production.</p> <div data-bbox="250 541 1516 848" style="border: 1px solid black; padding: 5px;"> <p><b>Auditee Comments:</b> A training was conducted with Sanitation team on the proper procedure for completing the daily sanitation logs. The training included the review of two new sanitation logs: Daily Repack Sanitation and Daily Sanitation. <span style="float: right;"><a href="#">View Files</a></span></p> <table border="1" data-bbox="250 634 1516 848"> <thead> <tr> <th data-bbox="250 634 1071 688"></th> <th data-bbox="1071 634 1175 688">CA Accepted?</th> <th data-bbox="1175 634 1516 688"></th> </tr> </thead> <tbody> <tr> <td data-bbox="250 688 1071 848"> <p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms that includes the worker's initials.</p> </td> <td data-bbox="1071 688 1175 848" style="text-align: center; vertical-align: middle;"><b>Yes</b></td> <td data-bbox="1175 688 1516 848"> <p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p> </td> </tr> </tbody> </table> </div>		CA Accepted?		<p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms that includes the worker's initials.</p>	<b>Yes</b>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 7  <b>Score:</b> Minor Deficiency</p>
	CA Accepted?							
<p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms that includes the worker's initials.</p>	<b>Yes</b>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p>						
5.14.07	<p><b>Question:</b> Are there records showing verification of cleaning and sanitizing chemical concentrations?</p> <p><b>Auditor Comments:</b> Total Compliance. The FSQA Manager verifies F-29 Sanitizer concentration by using test strips. The verification activity is recorded in the log "Sanitizer Concentration Log". The acceptable concentration is 150-400ppm. The domolish cleaner is verified and recorded by the use of a titration kit.</p>	<p><b>Possible Points:</b> 5  <b>Points Scored:</b> 5  <b>Score:</b> Total Compliance</p>						
5.14.08	<p><b>Question:</b> 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><b>Auditor Comments:</b> Not-Applicable. The facility does not have equipment onsite that requires CIP.</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> N/A</p>						
5.14.09	<p><b>Question:</b> 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><b>Auditor Comments:</b> Major. During the records review there was no record that the drains are cleaned daily. It was verbally confirmed they are cleaned daily. The current record of cleaning is documented on the monthly cleaning log.</p> <div data-bbox="250 1465 1516 1772" style="border: 1px solid black; padding: 5px;"> <p><b>Auditee Comments:</b> A training was conducted with Sanitation team on the proper procedure for completing the daily sanitation logs. The training included the review of two new sanitation logs: Daily Repack Sanitation and Daily Sanitation. <span style="float: right;"><a href="#">View Files</a></span></p> <table border="1" data-bbox="250 1558 1516 1772"> <thead> <tr> <th data-bbox="250 1558 1071 1612"></th> <th data-bbox="1071 1558 1175 1612">CA Accepted?</th> <th data-bbox="1175 1558 1516 1612"></th> </tr> </thead> <tbody> <tr> <td data-bbox="250 1612 1071 1772"> <p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms to document the cleaning activity.</p> </td> <td data-bbox="1071 1612 1175 1772" style="text-align: center; vertical-align: middle;"><b>Yes</b></td> <td data-bbox="1175 1612 1516 1772"> <p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p> </td> </tr> </tbody> </table> </div>		CA Accepted?		<p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms to document the cleaning activity.</p>	<b>Yes</b>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 3  <b>Score:</b> Major Deficiency</p>
	CA Accepted?							
<p><b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company has introduce 2 new sanitation forms to document the cleaning activity.</p>	<b>Yes</b>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>New Score:</b> Total Compliance</p>						

5.14.10	<b>Question:</b> Are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The evaporator installed in the packing area was cleaned and serviced on 02/05/2024.	
5.14.11	<b>Question:</b> Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the records review there was evidence that the cooling units are services and cleaning annually. The current service and cleaning occurred on 05/25/2024.	
5.14.12	<b>Question:</b> Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The packinghouse verifies sanitation by conducting weekly ATP monitoring using a Hygiena Ensure Touch ATP device. The monitoring is managed by the "ATP Testing Log". The pass threshold is < 500 RLU's for plastic materials and < 250 for stainless steel materials. If a fail occurs, recleaning is conducted and a retest. The pass and fail results/monitoring is record in the log. Auditor failed to make a note of one record for the report.	
5.14.13	<b>Question:</b> 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)?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The documents "Glass/Brittle Plastic Policy" was available and reviewed. The company has a glass register and monitors the items included monthly. Examples of items checked on the register include plastic strip curtains, light, thermometers, hair net plastic box. The policy included a procedure for glass breakage and clean-up.	

<b>GMP</b>	<b>Worker Documentation</b>
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5.15.01	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. It was confirmed that all workers at hire must receive GMP orientation training on different topics: Employee Health, Hygiene, GMPs, Food Safety. As example, there was evidence of new hire trained on 2/21/2021. The new hire received a training on all GMP Orientation topics and the training was provided by the FSQA manager.	

5.15.02	<b>Question:</b> Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 3 <b>Score:</b> Major Deficiency
	<b>Auditor Comments:</b> Major. During the records review there were several quarterly food safety training records missing the date that the training occurred. The company conducts quarterly food training covering the topics from Employee Health, Hygiene, Chemical Use, Food Safety, and HACCP. As example, a training occurred on 05/21/2024 with all workers that covered GMPs.	

<b>Auditee Comments:</b> A training was conducted with operations management team and supervisors on the proper procedure for completing Training Sign Off forms.		<a href="#">View Files</a>
	<b>CA Accepted?</b>	
<b>CB/Auditor Review Comments:</b> Accepted for total compliance scoring. The evidence includes a root cause and corrective action. The company conducted a training with the workers on the document control procedures and included a preventive action.	<b>Yes</b>	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>New Score:</b> Total Compliance

5.15.03	<b>Question:</b> Are there training logs for the sanitation workers, including best practices and chemical use details?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the records review it was confirmed that all workers involved in cleaning and sanitizing activities received training. As example, on 8/21/2024 sanitation workers were trained on the chemical usage and SSOPs. Training was given by the FSQA manager.	
5.15.04	<b>Question:</b> 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).	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The "GMP Policy" was available and reviewed. These topics are covered with all workers during the at hire orientation and topics are included in the quarterly refresher trainings. All workers must sign this policy at hire.	
5.15.05	<b>Question:</b> Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. All incidents are addressed immediately and if applicable retraining occurs.	
5.15.06	<b>Question:</b> Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?	<b>Possible Points:</b> 3 <b>Points Scored:</b> 3 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. At the facility entrance there is a sign in sheet that all visitors and contractors must sign and adhere to all the GMP policies. The visitor rules were also observed posted throughout the facility.	

<b>GMP</b>	<b>Testing</b>
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5.16.01	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> TC. The SOP "Microbiological Monitoring Program SOP & Schedule" was available that include the zones, organisms to monitor, rationale for the frequency, sites/zones 1-4, & organisms to monitor. Zones 1-4: sponge samples are taken at a rotation sites & monitors Total Coliforms (< 100 CFU), Generic E.coli (< 10 CFU), Salmonella Spp (absent). Water & Ice testing is conducted monthly and compressed air is tested annually.	
5.16.02	<b>Question:</b> 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?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The corrective action process (documented in the "Microbiological Monitoring Program SOP & Schedule" included detail about a root cause and corrective action process depending on the finding. As example, targeted deep cleaning occurs, retesting occurs, and continuous site monitoring. The FSQA Manager is responsible for taking the lead on the investigations.	
5.16.03	<b>Question:</b> Are there records of environmental microbiological test results and does testing meet the program requirements?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The auditor evaluated a sample of records from the past 12 months. Example: Site ID- Ice Machine Surface , 09/23/2024, result - < 10 Generic E.coli and Total Coliforms. Site ID - Drains, 07/25/2024, result - Listeria Spp (Absent)	
5.16.04	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The auditor evaluated a sample of records from the past 12 months. Example:09/23/2024 Test result: sample from hand wash spigot, Generic E.coli - Absent and Total Coliforms Absent	

5.16.05	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The auditor evaluated a sample of records from the past 12 months. Example:09/23/2024 Test result: sample from hand wash spigot, Generic E.coli - Absent and Total Coliforms Absent	
5.16.06	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The current annual's testing occurred on 03/26/2024 Test result: 64 Mold count and < 1 yeast count. Compressed air is used for dry cleaning and there are parts of the packing equipment that uses compressed air.	
5.16.07	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. The company's testing program only covers environmental, water, and compressed air monitoring.	
5.16.08	<b>Question:</b> 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?	<b>Possible Points:</b> 15 <b>Points Scored:</b> 15 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the past 12 months there was an over tolerance of total coliforms in an ice sample and test from 03/01/2024. FSQA manager and sampler conducted a root cause analysis and conducted retests. The root cause identified that the tool used to grab the ice was not cleaned appropriately. Training occurred with appropriate staff. The FSQA manager took a sample and test for 3 reoccurring weeks, and all three identified total coliforms as absent.	
5.16.09	<b>Question:</b> Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The sampler that conducts water and ice sampling was recently training on proper techniques on 08/29/2024. The FSQA Manager and sampler were recently trained on proper environmental sampling techniques on 08/21/2024.	
5.16.10	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. Testing is outsourced.	

<b>GMP</b>	<b>Temperature Controlled Storage &amp; Distribution Logs</b>	
5.17.01	<b>Question:</b> Are there records of final product temperature checks for temperature sensitive product?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. The fruit that is handled is not identified as temperature control for safety foods.	
5.17.02	<b>Question:</b> Are there temperature logs for the production area (if refrigerated)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The temperature of all rooms are monitored and record on the "Temperature verification log". The packing area can be ambient or controlled at 38-50F depending on the product being packed that day.	

5.17.03	<b>Question:</b> Are there temperature logs for storage rooms?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The temperature of all rooms are monitored and record on the "Temperature verification log". There facility has multiple cold room that have temperatures controlled at different ranges depending on products. As example, Cooler #3, 34-42°F, can store Apples, berries, and stone fruit.	
5.17.04	<b>Question:</b> Is there a documented procedure for checking truck trailer temperature and reviewing sanitary condition of truck trailers prior to loading?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Shipping Trailer Sanitation Temperature and Security Check" was available and reviewed. This SOPs describes the requirement that each truck must have a sanitary survey and temperature verification.	
5.17.05	<b>Question:</b> 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?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility walk through and records review observed evidence of the shipping inspection record in use. As example, shipment on 09/16/2024 occurred for order ID #1311723. The shipment recorded included the trailer temperature evaluation and sanitary condition prior to loading.	
5.17.06	<b>Question:</b> Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. During the facility walk through and records review observed evidence of the shipping inspection record in use. As example, shipment on 09/16/2024 occurred for order ID #1311723. The shipment recorded included the trailer temperature evaluation and sanitary condition prior to loading.	
<b>GMP Allergen Control</b>		
5.18.01	<b>Question:</b> Are production and storage areas free of allergen risks (i.e. allergens are not stored or handled)??	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> No
	<b>Auditor Comments:</b> No. The facility has the ability to store Eggs, dairy and wheat in very small quantities depending on customer orders. It was verbally confirmed that it's usually only cases not pallets. There was no allergens on site during the audit.	
5.18.02	<b>Question:</b> Has a documented allergen management plan been developed?	<b>Possible Points:</b> 10 <b>Points Scored:</b> 10 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The document "Allergen Plan SOP" was available and reviewed. It include the major 8 allergens and a list of three allergens that could be stored.	
5.18.03	<b>Question:</b> Are there adequate storage controls (e.g., separation, identification, etc.) that ensure that allergens are not contaminating other materials?	<b>Possible Points:</b> 5 <b>Points Scored:</b> 5 <b>Score:</b> Total Compliance
	<b>Auditor Comments:</b> Total Compliance. It was observed that allergen product must only be stored in 1 bottle shelf area.	
5.18.04	<b>Question:</b> Is there a dedicated allergen production line or adequate clean down and production procedures that prevent allergen cross contamination?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. The facility does not pack allergen products.	
5.18.05	<b>Question:</b> Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable. The facility does not pack allergen products.	



5.18.06	<b>Question:</b> Does re-work handling take into account the issues associated with allergen containing products?	Possible Points: 0 Points Scored: 0 Score: N/A
	<b>Auditor Comments:</b> Not Applicable. The facility does not pack allergen products.	
5.18.07	<b>Question:</b> Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The company provides allergen training at hire and during the quarterly refreshers. As example, the current training occurred on 5/08/2024 for the current workers.	
5.18.08	<b>Question:</b> 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
	<b>Auditor Comments:</b> Not Applicable. The facility does not pack allergen products.	
5.18.09	<b>Question:</b> Are all products manufactured on site labeled correctly with respect to allergens?	Possible Points: 0 Points Scored: 0 Score: N/A
	<b>Auditor Comments:</b> Not Applicable. The facility does not pack allergen products.	

<b>HACCP</b>	<b>Preliminary Steps</b>
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6.01.01	<b>Question:</b> 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
	<b>Auditor Comments:</b> Total Compliance. There are 7 members on the HACCP team with Andy Medina (FSQA Manager) listed as the on site HACCP coordinator. The team includes the Vice President, operations manager, production manager, Sales, and QA. The team meets quarterly, the current meeting occurred on 08/22/2024.	
6.01.02	<b>Question:</b> Is there documented evidence that the HACCP team members have been trained on HACCP principles?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The HACCP leaders certificates were on file - 16 hours, dated 09/17/2024 & 12/12/2018. The other members received HACCP training on 05/22/2024 given by the HACCP coordinator covering what are the 7 principles of HACCP.	
6.01.03	<b>Question:</b> Does a product description exist for the products produced?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The product description was available and reviewed. It included packaging types (e.g., cardboard, plastic film, bags) intended use, shelf life, and storage conditions (34-50 °F) depending on the product.	
6.01.04	<b>Question:</b> 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
	<b>Auditor Comments:</b> Total Compliance. The flow chart was reviewed on 06/06/2024 by HACCP leader and team members and verified by auditor as accurate during the tour. The chart includes the receiving raw product and packaging, icing if needed, packing, waste removal, storage, and shipping.	
6.01.05	<b>Question:</b> Is there documented evidence that the flow chart(s) has been verified on-site?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	<b>Auditor Comments:</b> Total Compliance. The HACCP leader and members of the HACCP Team verified the flow chart on-site on 06/06/2024.	

HACCP		Development of the HACCP Plan										
6.02.01	<p><b>Question:</b> 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.</p>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 5  <b>Score:</b> Major Deficiency</p>										
	<p><b>Auditor Comments:</b> Major. The hazard analysis (dated 08/01/2024) is missing to include all potential (known or reasonably foreseeable) biological hazards that may be reasonably expected to occur in specific steps. The Hazard Analysis was missing to include the specific icing step.</p>											
<table border="1" style="width: 100%;"> <tr> <td colspan="2"><i>Auditee Comments:</i> The HACCP Plan Hazard Analysis was updated to include the Icing process step.</td> <td style="text-align: right;"><a href="#">View Files</a></td> </tr> <tr> <td style="width: 60%;"></td> <td style="text-align: center;"><b>CA Accepted?</b></td> <td></td> </tr> <tr> <td><i>CB/Auditor Review Comments:</i> Accepted for total compliance scoring. The evidence includes a root cause and correction. The company updated their hazard analysis.</td> <td style="text-align: center;"><b>Yes</b></td> <td> <p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>New Score:</b> Total Compliance</p> </td> </tr> </table>				<i>Auditee Comments:</i> The HACCP Plan Hazard Analysis was updated to include the Icing process step.		<a href="#">View Files</a>		<b>CA Accepted?</b>		<i>CB/Auditor Review Comments:</i> Accepted for total compliance scoring. The evidence includes a root cause and correction. The company updated their hazard analysis.	<b>Yes</b>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>New Score:</b> Total Compliance</p>
<i>Auditee Comments:</i> The HACCP Plan Hazard Analysis was updated to include the Icing process step.		<a href="#">View Files</a>										
	<b>CA Accepted?</b>											
<i>CB/Auditor Review Comments:</i> Accepted for total compliance scoring. The evidence includes a root cause and correction. The company updated their hazard analysis.	<b>Yes</b>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>New Score:</b> Total Compliance</p>										
6.02.02	<p><b>Question:</b> 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)?</p>	<p><b>Possible Points:</b> 15  <b>Points Scored:</b> 15  <b>Score:</b> Total Compliance</p>										
	<p><b>Auditor Comments:</b> Total Compliance. The CCP decision was made by the use of a CCP decision risk matrix.</p>											
6.02.03	<p><b>Question:</b> Is the HACCP system reviewed when significant changes are made and at least once every 12 months?</p>	<p><b>Possible Points:</b> 10  <b>Points Scored:</b> 10  <b>Score:</b> Total Compliance</p>										
	<p><b>Auditor Comments:</b> Total Compliance. The HACCP team reviewed and verified the HACCP system on 08/22/2024. There was no changes.</p>											
6.02.04	<p><b>Question:</b> Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 6 HACCP" is not applicable.</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> No</p>										
	<p><b>Auditor Comments:</b> No. CCPs are were identified in the hazard analysis</p>											
6.02.05	<p><b>Question:</b> Have CCP critical control limits been established and are they supported by relevant validation documentation?</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> N/A</p>										
	<p><b>Auditor Comments:</b> Not Applicable</p>											
6.02.06	<p><b>Question:</b> Have monitoring requirements and frequencies been determined and documented for the CCPs?</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> N/A</p>										
	<p><b>Auditor Comments:</b> Not Applicable</p>											
6.02.07	<p><b>Question:</b> Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> N/A</p>										
	<p><b>Auditor Comments:</b> Not Applicable</p>											
6.02.08	<p><b>Question:</b> Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?</p>	<p><b>Possible Points:</b> 0  <b>Points Scored:</b> 0  <b>Score:</b> N/A</p>										
	<p><b>Auditor Comments:</b> Not Applicable</p>											



6.02.09	<b>Question:</b> 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?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.02.10	<b>Question:</b> Have recording forms been developed for monitoring the CCPs?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.02.11	<b>Question:</b> Have verification plans and schedules been developed for each CCP?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
<b>HACCP Execution of the HACCP Plan on the Plant Floor</b>		
6.03.01	<b>Question:</b> Is there documented evidence that all plant workers have attended a HACCP training, including specific training for CCP operators?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.03.02	<b>Question:</b> Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.03.03	<b>Question:</b> Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.03.04	<b>Question:</b> Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.03.05	<b>Question:</b> Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	
6.03.06	<b>Question:</b> 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)?	<b>Possible Points:</b> 0 <b>Points Scored:</b> 0 <b>Score:</b> N/A
	<b>Auditor Comments:</b> Not Applicable	