Food Safety GMP Cold Storage Warehouse With Repack Operation Final Assessment Summary Report

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Food Safety GMP Cold Storage Warehouse with Repack Operation audit checklist	
Has the Facility Been Inspected by Government Authority? (e.g., Local County, State, FDA)	Local County.
Does this facility audit their supplier either through a first/second/third party audit?	City of Vernon
What other type of audit has been conducted at this facility (e.g., Organic, SQF, FPA, BRC)	Avendra audit.
Type of Primary Packaging (e.g., poly, cardboard boxes, etc)	Corrugated boxes, Clamshells, Mesh Bags, Paper Bags, Poly Bags.
Type of Secondary Packaging (e.g., poly, cardboard boxes, etc)	Corrugated Boxes.
Channels of Trade (Retail, Wholesale, International, etc.)	Wholesale.
Hours of Operation	4:00 AM- 4:00 PM
Months of Operation (e.g., January - December)	Jan.- Dec.
Number of Employees	22
Year Built	1950's
Year(s) Updated	2009
Size of Facility	20,000 sq. ft.
Property Size	60,000 sq. ft.
Neighboring Land Use	Warehouses
Building Material, Exterior Walls	Brick, metal
Building Material, Interior Walls	Metal, insulation, concrete, FRP
Building Material, Floors	Concrete
Building Material, Exterior Roof	Composite
Building Material, Interior Ceiling	Metal, insulation, FRP
Areas of the Facility Excluded from the Audit	None
Date of Audit Exit Meeting	03/12/2013
Facility Personnel	Bob Pollack
Date of Last Audit	3/6/2012
Product(s) Handled	Fresh Produce (Fruits & Vegetables)
Facility Construction and Design	Facility is enclosed. Receiving, shipping and cold storage rooms are adjacent to the repack area. Employee break room and restrooms are located away from production and storage areas. Offices are located in the front of the building. Packaging materials are stored in a separate shed adjacent to the facility.
Brief Description of the Process	Product is received, placed in cold storage and repacked if necessary. Product is kept in cold storage prior to distribution.
Food Safety Total Score (≥ 80% Satisfactory)	96.95%
Rating	Superior
Food Security Total Score (≥ 80% Satisfactory)	99.26%
Rating	Superior

Food Safety GMP Cold Storage Warehouse with Repack Operation Audit Summary						
Category	Food Safety Section			Other Section		
	Points Scored	Points Possible	Percent	Points Scored	Points Possible	Percent
SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES	400	420	95.24%	520	526	98.86%
Management Commitment And Review	10	10	100.00%	15	15	100.00%
Employee Practices	45	50	90.00%	39	39	100.00%
Training And Education	20	20	100.00%	22	22	100.00%
Sanitary Facilities	25	30	83.33%	57	57	100.00%
Water Quality	20	20	100.00%	4	4	100.00%
Grounds	20	20	100.00%	11	11	100.00%
Building Size, Construction And Design	40	40	100.00%	40	40	100.00%
Pest Control Program And Procedures	55	60	91.67%	66	66	100.00%
General Operational Practices And Procedures	65	70	92.86%	109	109	100.00%
Cleaning Equipment And Chemicals	20	20	100.00%	18	18	100.00%
Cleaning, Sanitation, And Housekeeping Procedures	40	40	100.00%	88	94	93.62%
Equipment Construction, Design, And Maintenance	20	20	100.00%	11	11	100.00%
Receiving, Storage And Distribution	20	20	100.00%	40	40	100.00%
SECTION B: HACCP PLAN AND PROCESS PRACTICES	183	190	96.32%	80	85	94.12%
Management Commitment And Review	N/A	N/A	N/A	7	7	100.00%
HACCP/Hazard Prevention Program	160	160	100.00%	36	36	100.00%
Allergens	3	10	30.00%	9	14	64.29%
Training And Education	20	20	100.00%	28	28	100.00%
SECTION C: DOCUMENT CONTROL	N/A	N/A	N/A	24	24	100.00%
Food Safety GMP Cold Storage Warehouse With Repack Operation Total Score	583	610	95.57%	624	635	98.27%

Food Safety GMP Cold Storage Warehouse with Repack Operation Audit Summary			
Section	**Points Scored**	**Points Possible**	**Percent**
Food Safety	583	610	95.57%
Other	624	635	98.27%
TOTAL SCORE	1207	1245	96.95%
Overall Rating: 96.95% SUPERIOR			

Food Security Final Summary			
	Points Scored	**Points Possible**	**Percent**
TOTAL SCORE	135	136	99.26%

Summary of Deficiencies			
Category	**Findings**		**Corrective Actions**
Employee Practices	1.2.1.9	Employees drink found in locker in packaging room.	
Toilet Facilities	1.2.3.3.2	No floor drains in restrooms.	
Pest Control Program And Procedures	1.2.7.19	Observed gap in dock doors located by receiving area greater than 1 inch.	
Foreign Material Control	1.2.8.3.5.5	Truffle oil stored in glass bottles are not on glass inspection checklist.	
Sanitation	1.2.10.8	Chemical concentration and instruction were not documented or available for sanitizer.	
Sanitation	1.2.10.17	Standing water on floor located in cooler - wet room.	
Allergens	2.3.2.2	Facility sometimes orders cases of peanuts. However, peanuts were not listed on the allergen list.	
Allergens	2.3.2.4	Allergen storage location or signs are not available.	
Food Security	4.5	No random food security inspections conducted.	

Food Safety GMP Cold Storage Warehouse with Repack Operation Ratings Summary	
SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES	
MANAGEMENT RESPONSIBILITY	
Management Commitment and Review	Satisfactory
FUNDAMENTALS	
Employee Practices	Needs Improvement
Training and Education	Satisfactory
Sanitary Facilities	Needs Improvement
Water Quality	Satisfactory
Grounds	Satisfactory
Building Size, Construction and Design	Satisfactory
Pest Control Program and Procedures	Needs Improvement
General Operational Practices and Procedures	Needs Improvement
Cleaning Equipment and Chemicals	Satisfactory
Cleaning, Sanitation, and Housekeeping Procedures	Needs Improvement
Equipment Construction, Design, and Maintenance	Satisfactory
Receiving, Storage and Distribution	Satisfactory
SECTION B: HACCP PLAN AND PROCESS PRACTICES	
MANAGEMENT RESPONSIBILITY	
Management Commitment and Review	Satisfactory
FUNDAMENTALS	
HACCP/Hazard Prevention Program	Satisfactory
Allergens	Needs Improvement
Training and Education	Satisfactory
SECTION C: DOCUMENT CONTROL	
SECTION C: DOCUMENT CONTROL	Satisfactory
SECTION D: FOOD SECURITY	
SECTION D: FOOD SECURITY	Needs Improvement

Food Safety GMP Cold Storage Warehouse with Repack Operation Auditor's Checklist					
Section #	**Category/Requirements**	**Rating**	**Score**	**Possible**	**Auditor's Note**
1.0 SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES					
1.1	MANAGEMENT RESPONSIBILITY				
1.1.1	Management Commitment and Review				
1.1.1.1	Is a Product Safety Policy documented and communicated to all levels of the organization?	S	4	4	The Product Safety Policy was documented in a language understood by all employees and staff and was effectively communicated to all levels of the organization.
1.1.1.2	Is an organizational chart in place that identifies positions responsible for Food Safety System compliance including descriptions of responsibilities?	S	4	4	An organizational chart identifying positions responsible for Food Safety System compliance including descriptions of responsibilities was documented.
1.1.1.3	Is management following Current Good Manufacturing Practices (cGMPs) (21 CFR Part 110) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables?	S	7	7	Management was following cGMPs.
1.1.1.4	a. Does the food safety team meet periodically to address food safety issues and/or review the food safety program? b. Are records of the meetings kept on file and available for review"	S	10	10	The food safety team meet periodically to address food safety issues and/or review the food safety program. The records of the meetings were kept on file and available for review.
Subtotal			25	25	
1.2	FUNDAMENTALS				
1.2.1	Employee Practices (Assessed by Observation and/or Documentation)				
1.2.1.1	General Expectation: Compliance with 21 CFR 110.10 (a) and (b), 110.37 (e)(5), and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section IV.A. and B.				
1.2.1.2	a. Are employees with: (i) open and/or infected wounds or cuts on their hands or face, or with symptoms of infectious illness (e.g., diarrhea, vomiting), prohibited from having direct contact with exposed product or production and/or storage areas? (ii) signs of communicable disease evaluated? (e.g., observations) b. Are corrective actions taken if a worker is found to be infected?	S	10	10	The auditor did not find employee(s) with open and/or infected wounds, cuts on their hands or face, symptoms of infectious illness, or signs of communicable disease. Management was interviewed and was able to explain that appropriate corrective actions are taken if a worker is found to be infected.
1.2.1.3	Is repack conducted?	Yes	—	—	Yes. Repack is conducted at this facility.
1.2.1.4	Are employees maintaining: a. adequate personal cleanliness? b. gloves and/or protective clothing in an intact, clean, and sanitary condition? NOTE: The gloves should be of an impermeable material.	S	7	7	Employees maintained clean clothing and adequate personal cleanliness. Clean protective clothing and/or gloves were worn by the employees.
1.2.1.5	Are employees removing gloves and protective clothing (when in use) before leaving the product handling area?	S	10	10	Employees were removing disposable gloves and protective clothing before leaving the product handling areas. Disposable items that are dirty and damaged are removed and replaced with new disposable clothing and gloves.
1.2.1.6	Are employees wearing hair restraints (e.g., hair nets, caps, headbands) and/or beard covers in an effective manner in product handling areas?	S	7	7	Employees wore hair restraints and beard nets in an effective manner in product handling areas.

1.2.1.7	Are employees prohibited from: a. wearing any jewelry other than a plain wedding band? b. wearing false eyelashes or finger nails and finger nail polish? c. carrying loose items, such as pens or thermometers, in above-the-waist pockets?	S	7	7	Employees were not: a. wearing any jewelry other than a plain wedding band, b. wearing false eyelashes or finger nails and finger nail polish, or c. carrying loose items, such as pens or thermometers, in above-the-waist pockets.
1.2.1.8	Are employees washing and/or sanitizing hands and/or gloves prior to beginning or returning to work or whenever the hands and/or gloves may have become soiled or contaminated?	S	10	10	Employees washed and sanitized hands prior to beginning or returning to work, or whenever the hands became soiled or contaminated. When provided, gloves were replaced with a new pair of gloves.
1.2.1.9	Are employees prohibited from eating food, drinking beverages, spitting, chewing gum, and using tobacco and/or toothpicks in product handling areas? NOTE: Food consumption should also be prohibited in locker rooms.	NI	5	10	Employees drink found in locker in packaging room.
1.2.1.10	Are all products, materials and packaging that come in contact with blood destroyed, and any equipment, tool and/or product contact surface that comes in contact with blood cleaned and sanitized before use?	S	10	10	Based on the interview of the supervisor, all products, materials, and packaging that come in contact with blood are destroyed. Any equipment, tools, and/or product contact surfaces that come in contact with blood are cleaned and sanitized before use. According to management, there have been no incidents.
1.2.1.11	Does the operation have a written policy, which addresses applicable worker health and hygiene issues?	S	7	7	The facility had a written policy, which addressed applicable worker health and hygiene issues. SOP # 003 addresses this policy.
1.2.1.12	Are readily understandable written signs and/or pictures in appropriate language(s) strategically located around the product handling areas? (e.g., reminding employees to wash and sanitize their hands, when necessary, cGMPs policy)	S	4	4	Readily understandable written signs and/or pictures in the appropriate language(s) were strategically located around the product handling areas.
1.2.1.13	Are employees storing their clothing or personal belongings in appropriate designated areas away from the product handling areas? NOTE: Food storage should be prohibited in lockers.	S	7	7	Employees stored their clothing or personal belongings in appropriate designated areas.
1.2.2	Training and Education (Assessed by Observation, Interview, and Documentation)				
1.2.2.1	General Expectation: Compliance with 21 CFR 110.10 (c) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section IV.2.0				
1.2.2.2	Is there a documented employee training program, which includes initial and ongoing and/or refresher food safety training (e.g., cGMPs, personnel practices) for all employees, and training on cleaning and sanitation procedures for sanitation employees?	S	7	7	A documented employee training program was available and included initial, continuous and/or refresher food safety, and sanitation training.
1.2.2.3	Is there an assigned person or an outside agency responsible for conducting training on topics such as food safety, cGMPs, and sanitation and cleaning procedures?	S	4	4	The facility did have an assigned person and/or an outside agency responsible for conducting training.
1.2.2.4	a. Is there an initial, continuous and/or refresher employee training program that addresses food safety related issues (e.g., cGMPs, personnel practices, sanitation procedures) to all employees, including new employees? b. Is the general content of the training sessions included? (e.g., topics covered, who was trained, who provided the training, date of training)	S	10	10	An initial, continuous, and refresher employee training program was implemented and addressed food safety related issues for all employees.

1.2.2.5	Is worker participation in respective training programs (initial and ongoing and/or refresher, addressed in previous question) documented, including the employee's signature, and available for review?	S	4	4	Worker participation in respective training programs (initial, continuous and/or refresher) was documented and included the employees' signatures.
1.2.2.6	Do employees appear to have received and understood training and are they practicing proper product handling procedures?	S	7	7	Employees were interviewed randomly. They had a good understanding of cGMPs and were practicing proper product handling procedures.
1.2.2.7	Is there a supervisor with relevant educational background and/or experience, who oversees the food safety and/or HACCP program? (e.g., sanitation, cGMPs)	S	10	10	The supervisor had a relevant educational background and/or experience. Last class was on-line Eco Lab Food Safety class on 2-21-2012.
1.2.3	Sanitary Facilities (Assessed by Observation and Documentation)				
1.2.3.1	General Expectation: Compliance with 21 CFR 110.37 (d) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section V.				
1.2.3.2	Toilet Facilities				
1.2.3.3	General Expectation: Each facility shall provide its employees with adequate, readily accessible toilet facilities.				
1.2.3.3.1	a. Is a minimum of one toilet facility provided for every 20 people? b. Are separate toilet facilities provided if there are 5 or more employees of each gender? c. Are toilet facilities located within a 5-minute walk or 1/4 mile for all workers?	S	10	10	Adequate toilet facilities were provided for each gender and the facilities were located within 5 minutes walk.
1.2.3.3.2	a. Are toilet facilities located and/or designed so as to reduce the possibility of contamination to water sources or product in the event of a malfunction? (e.g., adequate drainage). b. Are doors to toilet facilities situated so they do not open into areas where product is exposed to air-borne contamination, except where alternate means have been taken to protect against such contamination? (e.g., double doors or positive air-flow systems)	NI	5	10	No floor drains in restrooms.
1.2.3.3.3	Do toilet facilities have: a. self-closing doors? b. ventilation systems to eliminate odors? c. floors, walls, ceilings and toilets built in such a way that they can be cleaned and sanitized properly? d. floors, walls and ceilings in good repair? e. functional toilets and urinals? f. trash receptacles?	S	7	7	Toilet facilities had self-closing doors and functional ventilation systems, toilets, and/or urinals. The surface materials were cleanable, non-porous, and maintained in good repair.
1.2.3.3.4	Are toilet facilities maintained in clean condition?	S	7	7	Toilet facilities were maintained in clean condition.
1.2.3.3.5	Are toilet supplies monitored and/or stocked throughout the day?	S	7	7	Toilet supplies were provided.
1.2.3.3.6	a. Are the cleaning procedures described in a document that details how and when to clean (at least daily)? b. Is cleaning documented and are records legible?	S	7	7	Cleaning procedures and records were documented and available for review.
1.2.3.4	Hand washing facilities				
1.2.3.4.1	General Expectation: Compliance with 21 CFR 110.37 (e) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section V.				
1.2.3.4.2	Are hand washing stations provided in close proximity to the toilet facilities and are they easily accessible to workers?	S	4	4	Hand washing stations were provided in close proximity to the toilet facilities to facilitate their use.

1.2.3.4.3	Are additional hand washing stations and, where appropriate, hand sanitizer stations (e.g., hand dips, wall units) provided in the facility where good sanitary practices require employees to wash and/or sanitize their hands? (e.g., at entries to product washing, sorting, and/or packing areas)	S	4	4	Additional hand washing station(s) and hand sanitizer stations were provided in the facility.
1.2.3.4.4	Are hand washing stations located and/or designed: a. to prevent contamination of the product (e.g., water is not splashed near product or product contact surfaces) and to protect against recontamination of clean, sanitized hands? (e.g., installation of devices and/or fixtures such as water control valves) b. to facilitate hands-free operations?	S	10	10	Hand washing stations were properly located and/or designed to prevent contamination of the product and to protect against recontamination of clean hands.
1.2.3.4.5	a. Are single-use paper towels or air drying devices used at hand washing stations? b. Are hand washing stations functional (e.g., not leaking) and equipped with warm running water, bacteriostatic soap, and/or an appropriate hand sanitizer? c. Are written signs and/or pictures in appropriate language(s) located next to the hand washing stations reminding employees to wash and sanitize their hands, when necessary?	S	7	7	Hand washing stations were functional and were equipped with a) single-use paper towels and/or air drying devices, b) warm running water, or c) bacteriostatic soap, and/or hand sanitizer. Written signs and/or pictures in appropriate language(s) were located next to the hand washing stations.
1.2.3.4.6	a. Are hand washing stations and/or hand sanitizing stations (e.g., hand-dips, wall units) monitored and/or stocked throughout the day? b. Is the chemical concentration in hand-dips maintained at appropriate concentration at all times, documented, and available for review?	S	7	7	Hand washing stations and hand sanitizing stations (wall units) were monitored and/or stocked throughout the day. Note: Hand dips are not used.
1.2.3.4.7	a. Are hand washing and/or hand sanitizing stations maintained in clean condition? b. Are hand washing and/or sanitizing stations cleaned on a scheduled basis and as needed?	S	7	7	Hand washing and sanitizing stations were maintained in clean condition.
1.2.4	Water Quality (Assessed by Observation and Interview)				
1.2.4.1	General Expectation: Compliance with 21 CFR 110.37 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section II.				
1.2.4.2	Water Source Testing				
1.2.4.2.1	a. Is water with adequate quality provided in sufficient quantities and locations in the facility? b. Are analytical tests for water kept on file? c. If results are out of specification, are corrective actions documented and legible?	S	10	10	Water with adequate quality was provided in sufficient quantities. Analytical tests for water taken from the water source were within the specifications. Municipal water is used in the facility. 2011 water quality report was on file and available for review.
1.2.4.3	In-house Water Testing				
1.2.4.3.1	a. Is the water supply checked for microbial quality from several different locations in the facility on a periodic basis? b. Are analytical tests for water kept on file? c. If results are out of specification, are corrective actions documented and legible?	S	10	10	Analytical testing (microbiological) was conducted for on-site water samples and the results were within specifications. Water microbial activity test results dated 1/4/2013 from Silliker indicated <1.1 MPN/100mL for E. coli.
1.2.4.4	Are drinking water supply delivery points, fountains or containers maintained in a clean and sanitary manner, with single use paper cups provided where appropriate?	S	4	4	Drinking water supply delivery points were maintained in a clean and sanitary manner. Note: Water fountains or containers were not used.
1.2.5	Grounds (Assessed by Observation and Documentation)				
1.2.5.1	General Expectation: Compliance with 21 CFR 110.10 (a) and (b), 110.37 (e)(5), and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section IV.A. and B.				

1.2.5.2	a. Is there a written policy, which describes the required maintenance of grounds and is it being followed? b. Are roads, yards, and parking lots maintained in a condition so that they do not constitute a source of contamination in areas where product is exposed? (e.g., keeping weeds or grass cut, no pot holes and adequate surface drainage to prevent foot-borne filth and breeding places for pests)	S	10	10	A policy on the maintenance of the outside grounds was documented. The grounds were free of waste or accumulated debris. There were no tall grasses or weeds, and pot holes. An adequate drainage system was provided and the grounds were sloped away from the building. SOP # 14 addresses this policy.
1.2.5.3	Is 16-18 inches of clearance maintained around the outside perimeter of the building?	S	7	7	16-18 inches of clearance was maintained along the outside perimeter of the building.
1.2.5.4	Is equipment and/or materials, which is stored on the grounds, stored in a manner so as to prevent harborage of pests? (e.g., idle equipment and/or material is at least 20 feet away from any buildings and 6 inches off the ground (pallets are acceptable), pipes must have sealed ends)	N/A	N/A	N/A	There were no equipment and/or materials stored outside.
1.2.5.5	Do all trash receptacles have closed lids?	S	4	4	All trash receptacles had closed lids. Trash was not over-flowing. The surrounding area was kept in a clean condition; i.e. there was no accumulated trash on the ground.
1.2.5.6	Is litter collected and waste stored and/or disposed of in a manner adequate to minimize the odor, prevent contamination of product and/or become an attractant to vermin?	S	10	10	Waste was collected, stored and disposed of properly.
1.2.6	Building Size, Construction and Design (Assessed by Observation and Documentation)				
1.2.6.1	General Expectation: Compliance with 21 CFR 110.20 (b), 21 CFR 110.37 (b), and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0				
1.2.6.2	a. Is the facility constructed and/or arranged so to allow complete separation of incoming, in-process, and finished products, to reduce potential for cross-contamination? (e.g., packing and/or repacking areas separate from storage and distribution areas).	S	10	10	The facility was constructed and arranged to allow complete separation of incoming, in-process, and finished products.
1.2.6.3	Are working spaces provided between equipment and walls, and are they adequately unobstructed and of adequate width to allow employees to perform their duties and to protect against contaminating product or product contact surfaces with clothing or personal contact?	S	7	7	Adequate working spaces were provided.
1.2.6.4	Are employee break and/or locker areas separate from the product handling areas?	S	7	7	Employee break and locker areas were located separately from the product handling areas.
1.2.6.5	Is adequate lighting available in all areas where the product is received, examined, or stored, and in all employee areas? (e.g., to allow for product to be properly fabricated, stored, rotated)	S	4	4	Adequate lighting was available in all areas where the product is examined, packaged, or stored. Employee welfare areas also had adequate lighting.
1.2.6.6	Does the system for removing waste materials from product handling area work efficiently? (e.g., litter and waste stored and/or disposed of in a manner adequate to prevent contamination of product and/or become an attractant to vermin)	S	10	10	There was no accumulated products on the floor. Note: The facility does not have a product waste line.
1.2.6.7	Building Structures/Fixtures				
1.2.6.7.1	Is the roof properly maintained? (e.g., no leaks)	S	7	7	The roof was properly maintained; there were no signs of any leaks.

1.2.6.7.2	a. Is the facility and its structures, such as ceilings, walls, floors, windows, vents, drains, and overheads (e.g., pipes, air vents, and lights) designed and constructed of materials to be adequately cleaned and maintained in good repair, to protect product from cross-contamination? (e.g., using appropriate construction materials) b. Are these areas kept in good repair? (e.g., no deep holes or cracks, exposed foam materials, and broken windows and lights)	S	7	7	Floors were constructed from smooth, dense impact resistant material that is impervious to liquid and easily cleaned. Walls, partitions, ceilings, and doors were of durable construction. Their light colored surfaces were smooth and impervious to liquid. All the areas including overhead fixtures and drains were kept in good condition.
1.2.6.7.3	Are overhead fixtures, ducts, and pipes located over product contact surfaces, packaging materials, and exposed products, maintained in clean and good condition? (e.g., no cracks, rust, breakage, missing parts, or drips)	N/A	N/A	N/A	There were no overhead fixtures, ducts, or pipes located directly over product contact surfaces, packaging materials and exposed products.
1.2.6.8	Plumbing				
1.2.6.8.1	Is water used for cleaning of equipment, utensils, and for employee sanitary facilities maintained at a suitable pressure?	S	4	4	Water supply was maintained at a suitable pressure.
1.2.6.8.2	Are sewer pipes and water pipes placed to avoid possible contamination of product or equipment in the event of a leak or dripping from condensation, and are preventative measures in place?	S	10	10	The sanitary drainage system was not connected to any other drains within the premises and was directed to a septic tank or sewerage system.
1.2.6.8.3	Are the water lines for product handling and/or employee use protected against back-flow or cross-connections from the wastewater and sewage plumbing system? (e.g., there is a main water back-flow device as well as devices at points where there is potential for back-flow into potable water lines)	S	10	10	Back-flow prevention devices were installed on all water lines in the facility.
1.2.6.8.4	Is there adequate floor drainage in areas where floors are subject to flood-type cleaning, or where normal operations release or discharge water or other liquid waste on the floor, and is there a procedure in place to remove discharge?	N/A	N/A	N/A	The facility does not wash products and does not use flood-type cleaning method.
1.2.6.8.5	If potable and non-potable water is provided at the facility, is the water source and plumbing system identified potable vs. non potable, and are they separate?	N/A	N/A	N/A	The water source is potable only.
1.2.6.9	Environmental Control				
1.2.6.9.1	a. Is proper ventilation or control equipment in place to minimize odors? b. If fans or other blowing equipment are used, are they operated in a manner that minimizes the potential for contaminating product, equipment, or packaging materials?	S	4	4	Adequate ventilation was provided. Note: Blowing equipment was not used.
1.2.6.9.2	a. Are disinfectant foot foamers, foot baths, or foot sprayers provided at entries to product handling areas if appropriate? b. Are sanitizer concentrations monitored regularly, documented, and available for review?	N/A	N/A	N/A	Foot disinfectants are not used.
1.2.7	Pest Control Program and Procedures (Assessed by Observation and Documentation)				
1.2.7.1	General Expectation: Compliance with 21 CFR 110.20 (b)(7), 21 CFR 110.35 (c) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0				
1.2.7.2	Is there a written pest control program and is it available for review?	S	7	7	The pest control program was documented and available for review. The pest control service was implemented by an external company.

1.2.7.3	a. Are pesticide applications performed by trained and licensed/certified personnel? b. Are the service agreement, license and certificate of insurance (if service is provided by an outside company) current and available for review? c. Does the facility have an assigned person responsible for overseeing the pest control program and is this responsibility documented?	S	4	4	The service was provided by trained and licensed certified personnel. The service agreement, license, and certificate of insurance were current. The facility has an assigned person to oversee the pest control program and the responsibility was documented. Ecolab, an outside service, provides pest control services. PCO licenses for technicians expires on 6-30-13. Certificate of liability insurance expires on 12-31-13.
1.2.7.4	a. Do pesticides, chemicals, or other pest control measures meet applicable regulations (e.g., USDA, EPA, OSHA)? b. Are MSDSs and copies of labels for all chemicals and compounds used available for review?	S	10	10	Pesticides and other pest control measures met applicable regulations. MSDSs and copies of labels used were available for review.
1.2.7.5	a. Are locations of all traps (e.g., glue boards, bait stations, light traps, pheromone traps or any other device in use) indicated on a facility map, which is cross-referenced to a list or a key on the map showing the descriptions and/or types of traps at each station? b. Is the facility map signed and dated (verified as accurate) within last year?	S	4	4	Locations of all traps were indicated on a current pest control map, which was cross-referenced against a list or key on the map. The facility map was signed and dated.
1.2.7.6	Are pest control stations properly coded (e.g. trap ID#, bar code, wall signage) to correspond with the master identification map?	S	4	4	Pest control stations were properly coded to correspond with the master identification map.
1.2.7.7	a. Is there an adequate number of interior pest control devices, spaced at intervals (typically 25-30 feet) along the interior perimeter of the facility, including on both interior sides of overhead doors? b. Is there an adequate number of secured (to the ground, building or some type of block), tamper resistant (lid must be secured and require some type of 'key' or other device to open) exterior pest control devices, spaced at intervals (typically 30-50 feet) around the building perimeter? c. Are pest control stations set-up or constructed to avoid product, packaging, or equipment contamination?	S	10	10	An adequate number of pest control devices were provided along the interior and exterior perimeter of the building(s). The traps were adequately spaced and were constructed and located to avoid contamination. The exterior traps with baits were secured to the ground.
1.2.7.8	Are live catch devices and glue boards checked at least semi-monthly, insect traps checked at least monthly, and bait stations checked for fresh bait at least monthly?	S	7	7	The pest control devices were inspected on a scheduled basis.
1.2.7.9	a. Are pest control devices functioning properly? b. Are pest control exclusion devices (e.g., light traps, mechanical traps) cleaned and maintained on a scheduled basis?	S	4	4	Pest control devices were maintained in a clean condition and were functioning properly.
1.2.7.10	Is there no evidence of decomposed rodents in the interior or exterior pest control devices?	S	10	10	The traps were inspected randomly. There was no evidence of decomposed rodents in the interior and exterior pest control devices.
1.2.7.11	Does the inside of the facility appear to be free from insects, rodents, birds, and domestic animals?	S	7	7	The inside of the facility was free from insects, rodents, birds, and domestic animals.
1.2.7.12	Is there no evidence of insect, rodent, or bird activity on or in product, packaging, and product-contact surfaces (e.g., excreta, feathers)?	S	10	10	There was no evidence of insect, rodent, or bird activity on or in product, packaging, and/or product-contact surfaces.
1.2.7.13	a. Are insect-exclusion devices used appropriately at exterior entrances (e.g., air curtains, light traps)? b. Are insect exclusion devices cleaned and maintained on a scheduled basis?	N/A	N/A	N/A	The facility does not use any insect-exclusion devices.
1.2.7.14	Are all light traps positioned so that they will not attract insects from outside, into the building?	S	4	4	Light traps were positioned appropriately.

1.2.7.15	Are destructive type traps located at least 30 feet from exposed product or packaging and 5 feet away from covered product or packaging?	N/A	N/A	N/A	The facility did not have any destructive type light trap(s).
1.2.7.16	Are birds controlled by netting, screens, traps, or other exclusion methods? (Application of avicides are prohibited in the facility.)	S	7	7	Birds were controlled by using exclusion methods.
1.2.7.17	Is toxic bait used only in exterior bait stations?	S	10	10	Toxic bait was used only in exterior bait stations.
1.2.7.18	Are inspection records from the past twelve months available for review? (e.g., findings, corrective actions, trap observations, pesticide application, equipment used)	S	7	7	The inspection records from the past twelve months were available for review.
1.2.7.19	a. Have cracks or crevices been sealed to prevent entrance or harborage of pests? b. Are outside drains protruding from exterior building walls screened? c. Are doors and windows sealed to prevent gaps greater than 1 inch? d. Are windows and exterior doors, vents, fans, and other similar features screened, and rodent-proofed to protect against insect and rodent entry and infestation? e. Do dock door levelers have intact seals?	NI	5	10	Observed gap in dock doors located by receiving area greater than 1 inch.
1.2.7.20	Are exterior doors and entrances closed when not in use?	S	4	4	Exterior doors and entrances were closed when not in use.
1.2.7.21	If pest control chemicals are stored on site for pest control, are they properly labeled and kept in secure, locked areas, away from any product handling and packaging material storage areas?	S	7	7	Pest control chemicals stored on site were properly labeled and kept in secure and locked areas.
1.2.8	General Operational Practices and Procedures (Assessed by Observation and Documentation)				
1.2.8.1	General Expectation: Compliance with 110.80 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section II, Section VII.B.2.0				
1.2.8.2	Product Cooling				
1.2.8.2.1	Describe method(s) of cooling (e.g. ice, forced-air cooling, vacuum cooling, cold storage)	Answered	0	0	Cold storage.
1.2.8.2.2	Ice				
1.2.8.2.2.1	Is ice in direct contact with product or product contact surfaces periodically checked for adequate microbial quality, and are results available for review? (If ice is purchased from an outside source, is it checked for microbial quality, and are analytical results requested and available for review?)	N/A	N/A	N/A	The facility does not use any ice.
1.2.8.2.2.2	In the event of adverse microbial findings, are adequate corrective actions documented and available for review?	N/A	N/A	N/A	The facility does not use any ice.
1.2.8.2.2.3	Is ice handled or stored in a manner that prevents or minimizes the possibility of contamination?	N/A	N/A	N/A	The facility does not use any ice.
1.2.8.3	Handling Practices: Incoming, In-Process and Finished Products, Packaging Materials, Containers				
1.2.8.3.1	General Expectation: Compliance with 21 CFR 110.80: Raw materials shall be inspected and segregated or otherwise handled as necessary to ascertain that they are clean and suitable for processing into product and shall be stored under conditions that will protect against contamination and minimize deterioration. Compliance with 21 CFR 110.80: Effective measures shall be taken to protect finished product from contamination by raw materials, other ingredients, or refuse.				
1.2.8.3.2	Incoming Products				
1.2.8.3.2.1	Are products inspected for evidence of contamination prior to re-packing?	S	7	7	Products were inspected for evidence of contamination prior to re-packing.

1.2.8.3.2.2	Are first-in/first-out (FIFO) rotation practices used and documented for all stored products (raw incoming and finished)?	S	4	4	FIFO rotation practices were used and documented for all incoming and finished products.
1.2.8.3.2.3	During repacking, are in-house product holding containers (e.g., totes, empty containers) used?	No	—	—	No. In-house containers are not used.
1.2.8.3.2.4	Are containers appropriate for use?	N/A	N/A	N/A	The facility does not use any product containers.
1.2.8.3.2.5	a. Does the facility prohibit the reuse of in-house containers for holding products, unless they are adequately sanitized or (if applicable) have protective liners? b. Are containers properly labeled and/or color coded?	N/A	N/A	N/A	The facility does not use any product containers.
1.2.8.3.3	Hold and Release Program				
1.2.8.3.3.1	General Expectation: Products shall be inspected and segregated or otherwise handled as necessary to ascertain that they are clean and suitable for packing and shall be stored under conditions that will protect against contamination and minimize deterioration.				
1.2.8.3.3.2	Is there a documented Hold and Release Program that includes: a. who is responsible for putting items on hold and releasing them? b. how products are marked and controlled? c. how 'hold' product is monitored, how often it is reconciled and by whom?	S	7	7	A Hold and Release Program was documented and included: a. who was responsible for putting items on hold and releasing them, b. how products were marked and controlled, and c. how 'hold' product was monitored, how often it was reconciled, and by whom.
1.2.8.3.3.3	a. Are non-conforming products, which are rejected or on hold, properly identified (e.g., clearly tagged), adequately segregated and controlled against inadvertent shipment, and protected from contamination? b. Are adulterated products disposed of in a manner that protects against the contamination of other products? c. Are findings from inspections and corrective actions (if any) documented and are these documents available for review?	S	10	10	The facility had procedures on non-conforming products. For example, non-conforming products which are rejected or on hold, are properly identified, adequately segregated, controlled against inadvertent shipment, and protected from contamination. Adulterated products are disposed of in a manner that protected against the contamination of other products. Findings from inspections and corrective actions (if any) are documented. At the time of inspection, there were no non-conforming products.
1.2.8.3.4	Packaging Materials				
1.2.8.3.4.1	General Expectation: Compliance with 21 CFR 110.80 and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.1.0				
1.2.8.3.4.2	Does the facility use new packaging materials for repack or reuse the same box during sorting?	Yes	—	—	The facility uses new packing materials.
1.2.8.3.4.3	a. Are packaging material storage areas maintained under conditions that prevent or minimize the likelihood of contamination? b. Are the areas monitored for pest activities on a continuous basis?	S	10	10	Packaging material storage areas were maintained under conditions that prevented or minimized the likelihood of contamination. The areas were monitored for pest activities on a continuous basis.
1.2.8.3.4.4	Is a sanitation program in place for the packaging materials storage area, and is the area cleaned on a regular basis and inspected from a sanitation standpoint?	S	7	7	A sanitation program was implemented for the packaging materials storage area(s), and the area(s) was cleaned on a regular basis and inspected from a sanitation standpoint.
1.2.8.3.4.5	Is FIFO (First In First Out) practiced (i.e., stock rotated on packaging materials)?	S	4	4	The facility does not overstock packaging materials. The materials are ordered when low on inventory.
1.2.8.3.4.6	During production, are packaging materials handled in a manner that eliminates contamination from the ground or from inappropriate employee handling?	S	7	7	During production, packaging materials were handled properly.

1.2.8.3.4.7	Are damaged cases or packages segregated immediately and products repacked or properly disposed of?	S	10	10	Damaged cases or packages were segregated immediately, and the products were repacked and/or disposed of properly.
1.2.8.3.4.8	If packaging materials are used, are they used only for their intended purpose and not used to store other things?	S	7	7	Packaging materials were used strictly for products.
1.2.8.3.4.9	Are packaging materials inspected (new or reuse) for evidence of contamination prior to use? (e.g., a. packaging materials, which are damaged, dirty, wet, or which have evidence of pest activity, foreign materials, and/or chemicals, must be prohibited from reuse, b. inspected and released into inventory)	S	10	10	Packaging materials were inspected for evidence of contamination prior to use.
1.2.8.3.5	Foreign Material Control/Indirect Product Additives				
1.2.8.3.5.1	General Expectation: Compliance with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.				
1.2.8.3.5.2	Is foreign material detector(s) used on the packing lines? If so, is it tested on a routine basis to ensure proper performance and are inspection records maintained and available for review?	N/A	N/A	N/A	The facility does not use any metal detector(s).
1.2.8.3.5.3	a. Is there a documented glass and/or brittle plastic management policy? (e.g., no unprotected glass or brittle plastic will be allowed in the facility) b. Does it include procedures for: (i) line stoppage?, (ii) segregation of suspect materials? (iii) clean-up? (iv) re-inspection?	S	7	7	Glass and/or brittle plastic management policy was documented and the following procedures were covered: a) line stoppage, b) segregation of suspect materials, c) clean-up, and d) re-inspection.
1.2.8.3.5.4	Is exposed glass and/or brittle plastic prohibited, and is a highly audited 'glass free zone' maintained in the product handling and storage areas? (e.g., a. shatter-proof light bulbs and/or light bulbs covered with protective covers, including insectocutors, dock lights; b. windows coated or made of tempered glass or of plastic; c. no exposed glass thermometers; d. no storage or use of food and drinks in glass containers in product handling areas)	S	10	10	Exposed glass and/or brittle plastic was prohibited and the highly audited 'glass free zone' was maintained in the product handling and storage areas. Light fittings in product handling and storage areas including packaging material storage areas were fitted with protective covers or had shatter-proof lights installed.
1.2.8.3.5.5	Is the packaging material made of glass? If so, are proper control measures in place to prevent breakage, and is there a written policy for handling glass packaging in product storage and handling areas?	NI	5	10	Truffle oil stored in glass bottles are not on glass inspection checklist.
1.2.8.3.5.6	Is compressed air used to clean product contact surfaces or equipment, handled in such a way as not to contaminate the products with unlawful indirect product additives?	N/A	N/A	N/A	The facility does not use compressed air to clean product contact surfaces or equipment.
1.2.8.3.5.7	a. Are food grade lubricants approved for use in appropriate areas and are they properly stored? b. Are Material Safety Data Sheet(s) and label(s) maintained on file? c. Are excess grease or lubricants removed from the equipment located over or close to product contact surfaces?	N/A	N/A	N/A	N/A. Food grade lubricants are not used at this facility.
1.2.8.3.6	Calibration				
1.2.8.3.6.1	Are temperature measuring devices (e.g., pulp thermometers, cooler thermometers and units) and other monitoring equipment (e.g., product weighing scales), including foreign material detectors, calibrated on a specified schedule and are records available for review?	S	4	4	Temperature measuring devices and finished product weighing scales were calibrated.
1.2.8.3.7	Recall/Traceability Program				
1.2.8.3.7.1	General Expectation: A written recall procedure, which identifies the steps required to retrieve product.				

1.2.8.3.7.2	Is there a formal, written Product Recall Program that includes: a. a recall coordinator, b. a 24 hour recall team contact list, c. a description of categories (e.g., class 1, class II, class III), d. regulatory contacts and procedures to notify regulatory agency?	S	7	7	Product Recall Program was documented and it included: a. a recall coordinator, b. a 24 hour recall team contact list, c. a description of categories (e.g., class 1, class II, class III), and d. regulatory contacts and procedures on notifying regulatory agency.
1.2.8.3.7.3	Is there a product coding system that can identify products and can the system track finished products back to their source? (e.g., date of receipt, lot and/or date codes for incoming products; identification, lot codes on outer case and/or inner packages for finished products such as MM DD YY, YDDD or YYDDD).	S	10	10	A product coding system did exist to allow the system to trace back the finished product(s) to its source(s). The outer case and/or the inner package was printed with lot code.
1.2.8.3.7.4	Are mock recalls for lot code backwards and lot code forward performed at least annually and are results (e.g., % product recovery, elapsed time) documented and maintained on file?	S	7	7	Mock recalls for lot code backwards and lot code forward were performed at least annually. The product recovery percentage and elapsed time was documented.
1.2.8.3.7.5	In the event of an actual recall, is the associated documentation available for review?	S	4	4	The facility had an actual recall and the associated documentation were available for review. Facility had an actual recall on mangos from Cost Tropical regarding possible salmonella illness on 9-20-2012. However, no issues accrued and records indicated 100% recovery.
1.2.8.3.7.6	a. Is a food-safety-related customer complaint program in place? b. Are records of food-safety-related customer complaints and company responses kept on file and available for review? (e.g., tracking of customer feedback, including notification of QA of issues reported, assignment of responsibilities, and follow ups)	S	4	4	A food-safety-related customer complaint program was implemented.
1.2.8.3.8	Facility Inspection/Food Safety Program Review				
1.2.8.3.8.1	General Expectation: Periodic facility inspections will assist in assessing effectiveness of product safety practices and periodic reviews of written procedures will assure that product safety practices will continue to control hazards.				
1.2.8.3.8.2	Are good manufacturing practices or facility inspections conducted periodically, and are findings, corrective actions, and follow ups documented and available for review?	S	7	7	Good manufacturing practices or facility inspections were conducted periodically, and the findings, corrective actions, and follow ups were documented.
1.2.8.3.8.3	Are regulatory inspection procedures documented and are inspection records available for review?	S	4	4	Regulatory inspection procedures were documented and inspection records were available for review.
1.2.8.3.8.4	Are reviews of the written food safety management plan and associated procedures conducted periodically and are periodic reviews documented and available for review?	S	7	7	Reviews of the written food safety management plan and associated procedures were conducted and the records were available for review.
1.2.8.3.9	Visitor and Contractor Access Control				
1.2.8.3.9.1	Are truck drivers restricted from production and warehouse areas?	S	4	4	Truck drivers were restricted from the production and storage areas.
1.2.8.3.9.2	Is facility access limited to authorized personnel?	S	4	4	The facility access was limited to authorized personnel only.
1.2.8.3.9.3	a. Is there a policy requiring inspectors, visitors, and contractors to comply with good manufacturing practices? b. Are they required to read or are they briefed on cGMPs policy upon entry to the facility?	S	7	7	A policy requiring inspectors, visitors, and contractors to comply with good manufacturing practices was implemented. The auditor was required to read and/or be briefed on cGMPs policy upon entry to the facility.

1.2.9	Cleaning Equipment and Chemicals				
1.2.9.1	General Expectation: Compliance with 21 CFR 110.35 (d)(e). Cleaning compounds and sanitizing agents used in cleaning and sanitizing procedures shall be free from undesirable microorganisms and shall be safe and adequate under the conditions of the use.				
1.2.9.2	a. Are cleaning compounds and sanitizing agents appropriate (anti-microbial, food grade approved) for non-product contact surfaces? b. Are MSDSs and copies of specimen labels maintained for cleaning and sanitizing chemicals?	S	10	10	Cleaning compounds and sanitizing agents were anti-microbial and food grade approved. MSDSs and copies of labels were available for review.
1.2.9.3	Are cleaning compounds and sanitizing agents used by the sanitation crew or for production clearly identified with chemical name, when in original container and when not in original container? (e.g., chemical barrels, spray bottles, spray containers, buckets)	S	7	7	Cleaning compounds and sanitizing agents were clearly identified with chemical names.
1.2.9.4	a. Are cleaning compounds and sanitizing agents stored in secure, locked areas away from any product handling or storage areas? b. Do chemical storage areas have clean floors (no excessive or old spills)?	S	7	7	Cleaning compounds and sanitizing agents were stored in secure, locked areas away from product handling or storage areas. Chemical storage areas did not have any signs of spills on the floor.
1.2.9.5	Are first-in/first-out (FIFO) rotation practices used for all cleaning and sanitizing chemicals?	S	4	4	The facility does not overstock cleaning and sanitizing chemicals. The products are ordered if low in inventory.
1.2.9.6	a. Are containers, brushes, and applicators, which are used for cleaning and/or sanitizing, color coded or labeled to properly identify them for their intended use? (e.g., cleaning items used in restrooms should not be used elsewhere) b. If a color coding system is used, is appropriate signage posted regarding use of the containers and equipment?	S	10	10	Cleaning items which were used for cleaning and sanitizing were labeled to properly identify them for their intended use.
1.2.10	Cleaning, Sanitation, and Housekeeping Procedures				
1.2.10.1	General Expectation: Compliance with 21 CFR 110.35 and with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.1.0, VII.B.2.0				
1.2.10.2	a. Is there a written sanitation program that describes how sanitation in and around the facility is managed, who is responsible for managing it, and policies related to sanitation? (Internal or external contract). b. Are the cleaning procedures (for product contact and non-product contact equipment surfaces, including other product handling areas) described in a document that details frequency of cleaning, type(s) of cleaning chemicals used (with concentrations), cleaning items used, and how and when to clean?	S	7	7	A sanitation program was documented for product and non-product contact surfaces. The program included responsibilities, cleaning procedures, frequency of cleaning, type(s) of cleaning chemicals, concentrations, and cleaning items used.
1.2.10.3	a. Are non-product contact surfaces and areas throughout the facility, including dry and cold storage areas, cleaned on a scheduled basis and as needed? (e.g., daily and/or weekly housekeeping, master sanitation schedule) b. Is cleaning documented (initialed by sanitation person and/or supervisor), reviewed (dated and initialed by reviewer), and are records legible and available for review?	S	10	10	Non-product contact surfaces including other areas throughout the facility were kept cleaned and cleaning was documented. Sanitation records were reviewed by authorized personnel.
1.2.10.4	a. Are product contact equipment and surfaces throughout the facility cleaned on a scheduled basis, or as needed? (e.g., master sanitation schedule, daily/weekly housekeeping) b. Is cleaning documented (initialed by sanitation person and/or supervisor), reviewed (dated and initialed by reviewer), and are records legible and available for review?	S	10	10	Product contact surfaces were kept cleaned and cleaning was documented. Sanitation records were reviewed by authorized personnel.

1.2.10.5	Are pre-operative inspections conducted and documented, and are records legible and available for review?	S	7	7	Pre-operative inspections were conducted and documented.
1.2.10.6	Is equipment and/or environmental sampling performed on a periodic basis to monitor the effectiveness of cleaning and sanitizing procedures and are results maintained on file?	S	7	7	The equipment sampling is performed on a periodic basis.
1.2.10.7	a. Is environmental and equipment sampling performed on a periodic basis to monitor the effectiveness of cleaning and sanitizing procedures and are results maintained on file? b. Is air quality monitored on a scheduled basis to ensure that it is of suitable quality? (e.g., testing air for Yeast and Mold, Aerobic Plate Count, Pathogens)	S	7	7	Environmental and/or equipment swabbing was performed. Silliker Labs - swabbing packing tables.
1.2.10.7.1	Does the equipment and/or environmental testing program document corrective actions in response to isolated positive results (to eliminate harborage sites)?	N/A	N/A	N/A	There were no positive findings.
1.2.10.7.2	Have trends or recurring environmental positives been identified through periodic in-house record reviews and are corrective actions taken to eliminate recurring positive results?	N/A	N/A	N/A	There were no positive findings.
1.2.10.8	a. Are chemical preparations tested by trained personnel for concentration, via test kits or sanitizer strength strips, prior to use or on a periodic basis? b. Is chemical concentration documented, and are records legible and available for review?	NI	4	7	Chemical concentration and instruction were not documented or available for sanitizer.
1.2.10.9	Is safety equipment provided to sanitation crew?	S	4	4	Safety equipment was provided to sanitation crew.
1.2.10.10	Are water hoses stored off the floor? (e.g., on wall-mounted hangers)	S	4	4	Water hose(s) was mounted on the wall hangers.
1.2.10.11	Are adequate staffing and time allocated to ensure complete cleaning of all areas?	S	4	4	Adequate staffing and time was allocated.
1.2.10.12	Are product and packaging materials protected during cleaning procedures?	S	10	10	Product and packaging materials were protected during cleaning procedures.
1.2.10.13	Are cleaned and sanitized portable equipment and utensils protected from contamination during storage?	N/A	N/A	N/A	The facility does not use any portable equipment or utensils.
1.2.10.14	Is there a written SOP to ensure that equipment is cleaned, sanitized and inspected after having been worked on and/or repaired? (This includes equipment that has stopped functioning during production and has been repaired on the line, or equipment that has been moved out of the production area and repaired in another area.)	S	7	7	Procedures to ensure that equipment was cleaned, sanitized and inspected after having been worked on and/or repaired were documented.
1.2.10.15	a. Are equipment product contact surfaces, which have undergone repairs, maintenance or re-assembly, cleaned and sanitized prior to use? b. Is this task documented and available for review?	S	10	10	Equipment product contact surfaces, which had undergone repairs, maintenance or re-assembly, were cleaned prior to use. The task(s) was documented and was available for review.
1.2.10.16	Are maintenance tools, gloves, rags, and other miscellaneous materials stored in secured areas away from product handling equipment to prevent contamination?	S	4	4	Maintenance tools, gloves, rags, and other miscellaneous materials were stored in secured areas away from product handling equipment.
1.2.10.17	Are floors kept free of standing water and/or ice? (e.g., floors sloped towards drains)	NI	4	7	Standing water on floor located in cooler - wet room.

1.2.10.18	Are product handling and storage areas maintained in clean condition?	S	7	7	Product handling and storage areas were maintained in clean condition.
1.2.10.19	Is there a pallet inspection program?	S	4	4	A pallet inspection program was implemented.
1.2.10.20	Is storage of wooden pallets in product handling or storage areas prohibited? (e.g., pallets are brought to these areas only as needed)	S	4	4	Wooden pallets were not stored in the product handling and/or product storage areas. The pallets were brought in these areas only when needed.
1.2.10.21	Are employee break and/or locker rooms, and all other employee welfare areas maintained in sanitary conditions?	S	7	7	Employee break and locker areas, and all other employee welfare areas were maintained in sanitary conditions.
1.2.10.22	a. Is sufficient aisle space (typically 12-18 inches) maintained along walls to permit cleaning and inspection for pest activity? b. Are materials stored at an adequate height (typically the height of a pallet) above the floor?	S	7	7	Sufficient aisle space was maintained along the interior perimeter of the walls. Materials were stored at an adequate height.
1.2.11	Equipment Construction, Design, and Maintenance				
1.2.11.1	General Expectation: Compliance with 21CFR 110.40: All facility equipment and utensils shall be so designed and of such material and workmanship as to be adequately cleanable, and shall be properly maintained; 21 CFR 110.80 (7): Equipment, containers, and utensils used to convey, hold, or store raw materials, work-in-process, rework, or product shall be constructed, handled, and maintained during manufacturing or storage in a manner that protects against contamination; the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0				
1.2.11.2	Equipment/Containers/Utensils				
1.2.11.2.1	Is equipment designed to: a. prevent adulteration of product with lubricants, oil, or other similar contaminants? (e.g., catch pans used under the motors and/or bearings on production lines located over food contact surfaces, where there is potential for leakage of oil or other lubricants, b. prevent water collection? (suggest cautious use of hollow structures, such as catwalk framework, table legs, conveyor rollers, and racks, because they may collect water and debris, and harbor pathogens)	S	10	10	Equipment was designed to prevent adulteration of product(s).
1.2.11.2.2	Are product lines, which are underneath ladders and walkways protected to prevent potential contamination? (i.e., there are kick plates that are at least 4 inches wide, covers, or other shields installed where necessary)	N/A	N/A	N/A	There were no ladders or walkways in the product handling areas.
1.2.11.2.3	a. Are equipment, containers, and utensils: (i) in good repair? (e.g., no rust and/or peeling paint present) and being used for their intended purpose(s), (ii) able to be cleaned and sanitized? (i.e., wooden equipment, utensils and/or wooden product surfaces are prohibited) b. Are product contact surfaces made of smooth, non-absorbent, sealed, durable, non-corrosive, nontoxic materials, easily cleanable food contact surfaces that are sloped to drain freely, and are they able to withstand the environment in which they are used? c. Are seams on product contact equipment or surfaces smoothly bonded?	S	10	10	Equipment, containers, and/or utensils were designed, constructed, and maintained in accordance with the industry standards.
1.2.11.2.4	Are materials such as string, tape, wire, and/or cardboard that might have potential to contaminate the product or that cannot be properly cleaned and sanitized, not being used for temporary repairs on product contact equipment?	N/A	N/A	N/A	During the inspection, there were no temporary repairs.
1.2.11.2.5	Are vehicles and/or equipment, which are used for moving products and/or packaging materials throughout the facility, cleaned and maintained in good condition?	S	4	4	Vehicles and/or equipment, used for moving packaged products throughout the facility were maintained in good condition.
1.2.11.3	Preventive Maintenance Program				

1.2.11.3.1	Does the facility have a preventative maintenance program for its equipment and utensils, and are logs kept for ordered maintenance work or repairs, which are signed off when the work is completed? (e.g., wash tanks, hydrocoolers, packing line and/or table, chlorine injectors, water filtration systems, backflow devices, cutting knives)	S	7	7	The facility had a preventative maintenance program for its equipment, containers, and/or utensils.
1.2.12	Receiving, Storage and Distribution				
1.2.12.1	General Expectation: Compliance with 21CFR 110.93 and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VIII.				
1.2.12.2	Receiving: In-bound Inspection				
1.2.12.2.1	Are temperatures of refrigerated and frozen products documented at the time of receiving?	S	7	7	Temperatures of refrigerated and/or frozen products were documented at the time of receiving.
1.2.12.2.2	a. Does the company have practices for the inspections of incoming trucks and are inspections (e.g., cleanliness, temperature) documented, and available for review? b. Do incoming trucks, trailers, or transport containers that are used for transporting product appear to be clean and in good condition?	S	10	10	Incoming trucks were inspected for cleanliness and temperature and records were available for review.
1.2.12.3	Storage				
1.2.12.3.1	a. Are storage room temperatures maintained within a defined acceptable range? b. Is storage room humidity maintained within a defined acceptable range? (Applicable only if humidity control is in place)	S	7	7	Storage room temperatures were maintained within a defined acceptable range.
1.2.12.3.2	a. Is temperature and/or humidity monitored regularly via continuous recording device or manually? b. Are records and corrective actions available for review?	S	7	7	Temperature was monitored and documented.
1.2.12.4	Transportation and Distribution (Assessed by Observation and Documentation)				
1.2.12.4.1	Is protocol on safe transportation and proper product handling procedures provided to the carrier companies?	S	4	4	Protocol on safe transportation and proper product handling procedures were provided to the carrier companies.
1.2.12.4.2	Is the protocol briefed to the drivers when they are at the site as a reminder?	S	4	4	The proper handling procedure(s) was posted.
1.2.12.4.3	Is there a documented procedure on trucks that requires adequate cleaning and inspection on all incoming and outgoing trucks?	S	4	4	A cleaning procedure was implemented.
1.2.12.4.4	a. Does the company have practices for the inspections of outgoing trucks? b. Do outgoing trucks, trailers, or transport containers that are used for transporting product appear to be clean and in good condition? c. Are inspections (e.g., cleanliness, temperature) documented, and are inspection records and corrective actions available for review?	S	10	10	Outgoing trucks were inspected for cleanliness and temperature and the observations were documented
1.2.12.4.5	Are perishable products maintained in their appropriate temperature range if staged and/or stored in shipping areas (outside the coolers) to prevent temperature degradation of products?	S	7	7	Perishable products were maintained in their appropriate temperature range when staged and/or stored in shipping areas.
Subtotal			895	921	
2.0 SECTION B: HACCP PLAN AND PROCESS PRACTICES					

2.1	General Expectation: An accurate and documented Hazard Analysis Critical Control Points (HACCP) Plan is developed and implemented. The HACCP Plan complies with Codex Alimentarius Commission and National Advisory Committee for Microbiological Criteria for Foods' definitions for HACCP. The plan addresses physical, chemical, and biological hazards. Frequency of checks and required record keeping are documented. Verification procedures document that the HACCP Plan is working and is continuously effective.				
2.2	MANAGEMENT RESPONSIBILITY				
2.2.1	Management Commitment and Review				
2.2.1.1	Does management appear to be committed to executing an adequate HACCP/Hazard Prevention food safety management program?	S	7	7	The management was committed to executing an adequate HACCP/Hazard Prevention food safety management program.
Subtotal			7	7	
2.3	FUNDAMENTALS				
2.3.1	HACCP/Hazard Prevention Program				
2.3.1.1	Does the facility have a documented Hazard Prevention program?	S	7	7	The facility had a documented Hazard Prevention Program.
2.3.1.2	Is the facility Hazard Prevention program HACCP-based?	S	7	7	The facility's Hazard Prevention Program was HACCP-based. Yes, for sprouts.
2.3.1.3	Does the facility operate under a government regulated HACCP or Hazard Prevention program?	No	—	—	The facility does not operate under a government regulated HACCP or Hazard Prevention program.
2.3.1.4	a. Is there a food safety management (HACCP) team identified and documented? b. Is the HACCP team comprised of employees with diverse responsibilities and does it include a person trained in HACCP?	S	4	4	A HACCP team was documented. It comprised of employees with diverse responsibilities and included a person trained in HACCP.
2.3.1.5	a. Does the HACCP team meet periodically to address food safety issues and/or review the HACCP program? b. Are records of the meetings kept on file and available for review?	S	4	4	The HACCP team does meet periodically to address food safety issues and/or review the HACCP program. Records of meetings were available for review.
2.3.1.6	General Expectation: Are there documented HACCP program(s), detailing the 7 principles, and is it established, up-to-date, and available for review? The HACCP Plan must be developed following the required steps: 1) Conduct a hazard analysis. 2) Determine the critical control points (yes/no). 3) Establish critical limits (if any CCPs). 4) Establish monitoring procedures (if any CCPs). 5) Establish corrective actions (if any CCPs). 6) Establish verification procedures (if any CCPs). 7) Establish record-keeping, documentation, and validation procedures (if any CCPs).				
2.3.1.7	Product Description(s), Process-Flow Diagram(s), Hazard Analysis Worksheet(s)				
2.3.1.7.1	Do HACCP/Hazard Prevention plan(s) include product descriptions, distribution, intended uses, and target customers (channels of trades), and are they accurate?	S	7	7	HACCP/Hazard Prevention plan(s) did include product descriptions, distribution, intended uses, and target customers.
2.3.1.7.2	a. Are process-flow diagram(s) current for all HACCP/Hazard prevention plan(s), and are they accurate? b. Are critical control or control point(s) identified on the process-flow diagram(s)?	S	7	7	A process-flow diagram(s) was documented.
2.3.1.7.3	Do Hazard Analysis Worksheet(s) exist and do they identify the hazards (biological, chemical, and physical), and consider the severity and likelihood of occurrence?	S	10	10	A Hazard Analysis Worksheet(s) existed and identified the hazards (biological, chemical, and physical), and the severity and likelihood of occurrence.
2.3.1.8	HACCP Plan(s) and CCPs				

2.3.1.8.1	Do HACCP plan(s) exist, which if necessary, adequately summarize the key elements of HACCP: a. name of CCPs that control hazards; b. critical limits; c. monitoring procedures and frequency; d. corrective actions taken if critical limits are violated; e. plan verification procedures; f. record keeping and documentation procedures.	S	10	10	The HACCP plan(s) was documented and it did include a. name of CCPs that control hazards; b. critical limits; c. monitoring procedures and frequency; d. corrective actions taken if critical limits are violated; e. plan verification procedures; f. record keeping and documentation procedures.
2.3.1.9	Monitoring Procedures				
2.3.1.9.1	a. Is each critical control point as specified in HACCP/Hazard Prevention plan, monitored at scheduled intervals, documented, and reviewed? b. Are HACCP records signed and/or initialed by the individual performing the task? c. Are HACCP records signed and/or initialed by the individual reviewing the records? d. Are records accurate and legible?	S	10	10	Critical control point(s) as specified in HACCP Plan(s) was monitored at scheduled intervals, documented, and reviewed. HACCP records were reviewed and the records were accurate and legible.
2.3.1.9.2	Are CCPs in compliance with the critical limits stated?	S	10	10	CCP(s) was in compliance with the critical limit(s) stated.
2.3.1.10	Corrective Actions				
2.3.1.10.1	a. When critical limit(s) are not met, are identified corrective actions as specified on the HACCP Plan(s) implemented to bring critical control point(s) under control? b. Are deviation and corrective actions properly documented and reviewed (initialed and dated)? c. Are records accurate and legible?	S	10	10	Corrective actions as specified on the HACCP Plan(s) were implemented, properly documented and reviewed. Records were accurate and legible.
2.3.1.10.2	Is disposition of non-compliant product documented?	S	10	10	Disposition of non-compliant product(s) was documented. Records were accurate and legible.
2.3.1.11	Verification Procedures				
2.3.1.11.1	Is the HACCP plan signed and/or initialed and dated by the food safety manager or another member of management?	S	10	10	The HACCP plan(s) was signed and/or initialed and dated by the food safety manager or another member of management.
2.3.1.11.2	Are verification procedures (e.g., calibration, testing), which determine the validity of the HACCP plan and food safety management practices, defined in a written document?	S	10	10	Verification procedures, which determine the validity of the HACCP plan(s) and food safety management practices were documented.
2.3.1.11.3	a. Is calibration and/or testing conducted and documented as required in the verification procedures? b. Are records accurate and legible?	S	10	10	Records on verification were accurate and legible.
2.3.1.11.4	Were all CCPs verified by the auditor during inspection and were all CCPs in compliance with the HACCP Plan(s)?	S	10	10	CCP(s) was verified by the auditor during inspection and the CCP(s) was in compliance with the HACCP Plan(s).
2.3.1.12	Validation Procedures				
2.3.1.12.1	a. Are audits or reviews of HACCP/Hazard Prevention procedures conducted on a regular basis to ensure they are executed according to the facility's plan? b. Are records available for review?	S	10	10	Audits or reviews of HACCP/Hazard Prevention procedures were conducted.
2.3.1.12.2	Has the facility validated all critical limits or key elements, and is support documentation maintained and available for review? (e.g., cite number and dates of in-house study, scientific reference, regulatory requirements)	S	10	10	Validation records on critical control points were available for review.
2.3.1.12.3	a. Were copies of the HACCP/Hazard Prevention plan(s) in use during the audit current and up-to-date? b. Do these documents provide the date of last assessment?	S	10	10	Copies of the HACCP/Hazard Prevention plan(s) in use during the audit were current and up-to-date. Date of last assessment was provided.

2.3.1.12.4	Are all copies of HACCP/Hazard Prevention plan(s) signed by authorized individuals?	S	10	10	A copy of HACCP/Hazard Prevention plan(s) was signed by authorized individual(s).
2.3.1.12.5	Are targeted sampling and testing conducted on products, and is it documented as required in the verification procedures?	S	10	10	Targeted sampling and testing(s) was conducted on products as required in the verification procedure(s).
2.3.1.13	Record Keeping				
2.3.1.13.1	a. Are all records associated with the food safety management program maintained for a specified number of years (at least 1 year)? b. Are all records accurate and legible?	S	10	10	All records associated with the food safety management program were maintained for a specified number of years. All records were accurate and legible.
2.3.2	Allergens				
2.3.2.1	General Expectation: Develop food allergen program based on a. the eight food groups, b. food additives, c. color additives, d. allergens used in the products (refer to 21 CFR)				
2.3.2.2	Is there a list indicating all allergens and/or sensitizing chemicals stored in the facility? (e.g., eight major allergens recognized by the USDA and Codex include: proteins from peanuts, tree nuts, dairy, egg, soy, wheat, fin fish, and crustacea. Sensitizing chemicals include: sulfites, and some food colorings such as Yellow 5)	NI	2	7	Facility sometimes orders cases of peanuts. However, peanuts were not listed on the allergen list.
2.3.2.3	Are there written procedures on management of allergen-containing products?	S	7	7	Management of allergen-containing products was documented.
2.3.2.4	Are allergens stored in a manner that protects other non-allergenic materials from inadvertent contamination?	NI	3	10	Allergen storage location or signs are not available.
2.3.2.5	Does the operation repack and/or co pack allergen-containing product?	No	—	—	The facility handles allergens; however, repack and/or copack is not conducted.
2.3.2.5.1	Are containers, equipment, and/or utensils used in handling allergens identified to prevent cross contamination from allergens to non-allergen containing products?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products.
2.3.2.5.2	Are proper product handling procedures in place to prevent cross contamination from allergens to non-allergen containing products? (e.g., production sequencing and equipment sanitation [i.e., nonallergen-containing product is produced first], or sanitation protocols are followed to ensure that equipment used for the production of allergen-containing products is strictly used for its purpose)	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products.
2.3.2.5.3	a. Are effective sanitation procedures practiced to prevent cross contamination from allergen to non-allergen containing products or during change-overs? b. Is cleaning documented when switching from allergen to non-allergen containing products and are the equipment, containers, and/or utensils checked for removal of potential allergenic-product residue?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products.
2.3.2.5.4	Rework or Work in Progress (WIP): Are there written procedures on proper handling of rework or WIP material (if applicable)?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products.
2.3.2.5.4.1	Is the policy enforced to prevent cross contamination from allergens to non-allergen containing products and also to ensure that rework or WIP is only incorporated into similar products?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products.
2.3.2.6	Are there written labeling and packaging procedures for products containing allergens?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products or use any new labels.

2.3.2.7	a. Are labels reviewed for accuracy upon receipt or printing and upon use? b. Are all allergens declared on the label using common terms as dictated by the FDA Food Allergen Labeling and Protection Act of 2004 (effective Jan 2006)?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products or use any new labels.
2.3.2.8	Is there an established verification program to ensure allergen control procedures are in compliance?	N/A	N/A	N/A	The facility does not repack or copack any allergen-containing products or use any new labels.
2.3.3	Training and Education (Assessed by Observation, Interview, and Documentation)				
2.3.3.1	General Expectation: (21 CFR 110.10). Food handlers and supervisors should receive appropriate training in proper food handling techniques and food-protection principles.				
2.3.3.2	Is there an ongoing (refresher) HACCP training for employees who monitor HACCP parameters?	S	10	10	HACCP training was provided to employees who monitor HACCP parameters. Training materials and records were available for review.
2.3.3.3	Is there an assigned person responsible for conducting HACCP training?	S	7	7	A person is assigned for conducting HACCP training.
2.3.3.4	Is the general content of the training sessions described in a document maintained by the company?	S	7	7	The general content of the training sessions was documented.
2.3.3.5	Does the HACCP training include evaluation criteria for knowledge learned?	S	7	7	The HACCP training did include evaluation criteria for knowledge learned.
2.3.3.6	Is worker participation in the HACCP training program documented and available for review, and does the training documentation include the employee's signature?	S	7	7	Worker participation in the HACCP training program was documented.
2.3.3.7	Are employees who are monitoring CCPs aware of critical limits, monitoring requirements, corrective actions, and other HACCP-related activities in their immediate work areas?	S	10	10	Employees who monitor CCP(s) were aware of critical limits, monitoring requirements, corrective actions, and other HACCP-related activities.
Subtotal			256	268	
3.0 SECTION C: DOCUMENT CONTROL (Assessed by Documentation)					
3.1	Does the facility employ a formal system to manage and control all food safety related documentation, data and records?	S	4	4	The facility did employ a formal system to manage and control all food safety related documentation, data and records.
3.2	Are procedures in place to control document transmission, changes and removal of obsolete documents?	S	4	4	Procedures were implemented to control document transmission, changes and removal of obsolete documents.
3.3	Is there an authorized person to issue food safety documents?	S	4	4	The facility did have an authorized person to issue food safety documents.
3.4	Do document control procedures ensure customer confidentiality?	S	4	4	Document control procedures did ensure customer confidentiality.
3.5	Does a document control system protect physical and electronic documents against loss and unauthorized access?	S	4	4	A document control system did protect physical and electronic documents against loss and unauthorized access.
3.6	Is there a records retention policy for food safety related documentation, data and records?	S	4	4	The facility did have a records retention policy for food safety related documentation, data and records.
Subtotal			24	24	
4.0 SECTION D: FOOD SECURITY					

4.1	FDA registration on food security: Does the company have FDA registration number confirmation?	Yes	—	—	The company had their FDA registration number on file.
4.2	Are there written food security policies/crisis management policies in place and are they communicated to all levels of the organization?	S	4	4	Food security /crisis management policies were documented and were communicated to all levels of organization.
4.2.1	Does the written food security policy include: a documented operational risk management program (ORP)?	S	4	4	A documented food security policy include did include an operational risk management program (ORP).
4.3	Does management appear to be committed to executing an adequate food security management program?	S	4	4	Management was committed to executing an adequate food security management program.
4.4	Is there a food security management team/crisis management team identified?	S	4	4	A food security management team/crisis management team is identified.
4.4.1	a. Does the team meet periodically (at least annually) to address food security issues and/or review the food security program ? i.e., food security procedures and operations. b. Are meeting minutes documented?	S	4	4	The team meets periodically to address food security issues and/or review the food security program. Team meeting records were available for review.
4.5	Does the company perform random food security inspections of all appropriate areas of the facility using knowledgeable in-house or third party staff, and keeping information confidential?	NI	3	4	No random food security inspections conducted.
4.6	Is there a policy requiring HR to conduct a suitable background check on all staff (including seasonal, temporary, contract, and volunteer staff, whether hired directly or through a recruitment firm?)	S	4	4	The facility did have a policy requiring HR to conduct a suitable background check on all staff.
4.7	Is there a policy requiring company to have employee identification system (uniforms, cards, passes, photo ID badges, time cards, bio-metric, etc.)?	S	4	4	The company did have an employee identification system.
4.7.1	Is there a policy requiring employees to have ID when entering company property/building and/or are they checked by authorized personnel upon entry?	S	4	4	The facility did have a policy requiring employees to have ID when entering company property/building and/or to be checked by authorized personnel upon entry. Time cards are used to identify employees.
4.7.2	a. Are badges and passes in stock adequately secured and collected when a staff member is no longer associated with the company? b. Is there a policy to change combinations, rekeying locks and/or collecting the retired key card when a staff member who is in possession of these is no longer associated with the facility ?	S	4	4	Badges and passes in stock were adequately secured and collected when a staff member was no longer associated with the company. The policy to change combinations, rekeying locks and/or collecting the retired key card was implemented.
4.8	Does the company promote food security awareness by requiring company supervisors and employees to undergo training on food security issues?	S	4	4	Food security training was provided to employees and training records were available for review.
4.8.1	Is the food security training and employee participation documented and available for review?	S	4	4	The food security training and employee participation was documented.
4.9	Is there a policy requiring assigned supervisors to check employees routinely for proper identification? This includes providing an appropriate level of supervision to all staff, including cleaning and maintenance staff, contract workers, data entry and computer support staff, and especially new staff.	S	4	4	The facility did have a policy requiring assigned supervisors to check employees routinely for proper identification.

4.10	Is there a policy requiring assigned supervisors to routinely conduct security checks of the packing lines, utilities, dock areas, critical computer data systems, etc., (at a frequency appropriate to the operation)?	S	4	4	The facility did have a policy requiring assigned supervisors to routinely conduct security checks at the facility.
4.11	Is there a policy requiring employees to be assigned to specific work areas and to be in the plant property only during assigned work hours?	S	4	4	The facility did have a policy requiring employees to be assigned to specific work areas and to be on the property only during assigned work hours.
4.12	Is there a policy requiring employees not to have any restricted item on them along with any material or item not required at work?	S	4	4	The facility did have a policy prohibiting employees from having restricted items on them.
4.13	Does the company provide lockers for employees to store their personal belongings?	Yes	—	—	The company does provide lockers for employees to store their personal belongings.
4.13.1	Is there a policy requiring appropriate personnel to do unannounced random check on employee lockers and belongings?	S	4	4	The facility did have a policy requiring appropriate personnel to conduct unannounced random checks on employee lockers and belongings.
4.14	Is there a policy requiring all visitors/vendors to sign in and be issued visitor ID card with authorized personnel before entering company property and building and to sign out and leave ID with authorized personnel upon leaving company property?	S	4	4	The facility did have a policy requiring all visitors/vendors to sign in and be issued a visitor ID card with authorized personnel before entering company property and building and to sign out and leave ID with authorized personnel upon leaving company property.
4.15	Is there a policy requiring all visitors to be accompanied by a designated employee, in the areas of restriction and also while on company property, unless they are otherwise specifically authorized? (areas of restriction: food handling and storage areas, locker rooms).	S	4	4	The facility did have a policy requiring all visitors to be accompanied by a designated employee.
4.16	Is there a policy requiring inspection of incoming and outgoing trucks, packages, etc. for suspicious, inappropriate or unusual items or activity?	S	4	4	The facility did have a policy requiring inspection of incoming and outgoing trucks for suspicious, inappropriate, and unusual items or activity.
4.17	Is there a designated waiting area for truck drivers?	S	4	4	The facility had a designated waiting area for truck drivers.
4.18	a. Is there a policy requiring daily check on inventory and reconciliation on finished products and on ingredients (if applicable) and packaging materials used? b. Is there a written program for reconciliation of parts used in maintenance work?	S	4	4	The facility did have a policy requiring a daily check on inventory and reconciliation of finished products and/or ingredients, and packaging materials used. A program for reconciling parts used in maintenance work was documented.
4.19	Is there a written Hold and Release Program that: a. identifies tampered products? b. segregates and secures affected products?	S	4	4	A Hold and Release Program was documented and implemented.
4.20	Is there a policy requiring establishing delivery schedules, not accepting unexplained, unscheduled deliveries or drivers and investigating delayed or missed shipments?	S	4	4	The facility did have a policy on not accepting unexplained or unscheduled deliveries.
4.21	Is there a policy requiring products, ingredients (if applicable), packaging materials and other supplies shall be received from locked and/or sealed vehicles/containers/railcars?	S	4	4	The facility did have a policy requiring products and/or ingredients, packaging materials and other supplies to be received from locked and/or sealed vehicles.
4.21.1	If sealed, is there a policy to maintain chain of custody?	N/A	N/A	N/A	The vehicles are not sealed.

4.22	Is there a policy requiring inspection of incoming materials	S	4	4	The facility did have a policy requiring inspection of incoming materials.
4.23	Is there a policy requiring keeping track of incoming materials and materials in use, including gas, packaging, labels, salvage products, rework products, and product returns? i.e., requiring daily check or as needed on inventory and reconciliation?	S	4	4	The facility did have a policy on keeping track of incoming materials and materials in use.
4.24	Is there a policy requiring all received products, packaging materials, process materials, etc., cleaning chemicals, pesticides (if stored on-site) to be stored in secure areas with controlled access? E.g., (locked/supervised)	S	4	4	The facility did have a policy requiring all received items to be stored in secure areas with controlled access.
4.25	Is there a policy requiring products from the facility to be loaded on the locked and/or sealed vehicles/containers only?	N/A	N/A	N/A	The vehicles are not sealed
4.25.1	Is the seal number provided to the consignee?	N/A	N/A	N/A	The vehicles are not sealed.
4.26	Is there a policy requiring securing non municipal water wells, hydrants, storage, and handling facilities?	S	4	4	The facility did have a policy requiring securing water supply source(s), storage or handling facilities.
4.27	Has the company identified alternate sources of potable water for use during emergency? (for e.g., trucking from an approved source, treating on-site or maintaining on-site storage).	S	4	4	The facility did identify alternate sources of potable water for use during an emergency.
4.28	Is perimeter access protected with fencing or other deterrent, where appropriate?	S	4	4	The perimeter access was protected by fencing and/or other deterrent.
4.29	Are doors, windows, roof openings/hatches, vent openings, ventilation systems, utility rooms, ice manufacturing and storage rooms, enclosed trailer bodies, tanker trucks, railcars, bulk storage tanks, etc, secured, if not in use or if unsupervised?	S	4	4	Doors, windows, roof openings, and other areas were secured.
4.30	Is there a policy requiring monitoring the security of the premises using appropriate methods?	S	4	4	The facility did have a policy requiring monitoring the security of the premises using appropriate methods.
4.31	Is adequate exterior and interior lighting provided, including emergency lighting, where appropriate to facilitate detection of suspicious or unusual activities?	S	4	4	Adequate exterior and interior lighting was provided.
Subtotal			135	136	
Total			1342	1381	

Causes of Automatic Failure	
1.2.3.3.1	a. Is a minimum of one toilet facility provided for every 20 people? b. Are separate toilet facilities provided if there are 5 or more employees of each gender? c. Are toilet facilities located within a 5-minute walk or 1/4 mile for all workers?
1.2.3.4.2	Are hand washing stations provided in close proximity to the toilet facilities and are they easily accessible to workers?
1.2.4.2.1	a. Is water with adequate quality provided in sufficient quantities and locations in the facility? b. Are analytical tests for water kept on file? c. If results are out of specification, are corrective actions documented and legible?
1.2.6.8.2	Are sewer pipes and water pipes placed to avoid possible contamination of product or equipment in the event of a leak or dripping from condensation, and are preventative measures in place?
1.2.6.8.5	If potable and non-potable water is provided at the facility, is the water source and plumbing system identified potable vs. non potable, and are they separate?
1.2.7.2	Is there a written pest control program and is it available for review?
1.2.7.10	Is there no evidence of decomposed rodents in the interior or exterior pest control devices?
1.2.7.11	Does the inside of the facility appear to be free from insects, rodents, birds, and domestic animals?
1.2.7.12	Is there no evidence of insect, rodent, or bird activity on or in product, packaging, and product-contact surfaces (e.g., excreta, feathers)?
1.2.7.21	If pest control chemicals are stored on site for pest control, are they properly labeled and kept in secure, locked areas, away from any product handling and packaging material storage areas?
1.2.8.2.2.2	In the event of adverse microbial findings, are adequate corrective actions documented and available for review?
2.3.1.8.1	Do HACCP plan(s) exist, which if necessary, adequately summarize the key elements of HACCP: a. name of CCPs that control hazards; b. critical limits; c. monitoring procedures and frequency; d. corrective actions taken if critical limits are violated; e. plan verification procedures; f. record keeping and documentation procedures.
2.3.1.9.1	a. Is each critical control point as specified in HACCP/Hazard Prevention plan, monitored at scheduled intervals, documented, and reviewed? b. Are HACCP records signed and/or initialed by the individual performing the task? c. Are HACCP records signed and/or initialed by the individual reviewing the records? d. Are records accurate and legible?
2.3.1.13.1	a. Are all records associated with the food safety management program maintained for a specified number of years (at least 1 year)? b. Are all records accurate and legible?

Food Safety GMP Cold Storage Warehouse With Repack Operation Assessment Rating System

This rating system describes the status of a product handling operation in regards to food safety issues associated with practices and procedures. It should be noted that it is not possible to completely eliminate the risk of contamination associated with production (cGMPs) / product environment. This fact remains true regardless of the practices employed or the rating level achieved as a result of an audit. The Good Manufacturing Practices (21 CFR, Part 110) are used as references to assess the levels of risk associated with this operation.

Percentage	Assessment	Description
95.00 or more	Superior	The food is produced in an exemplary environment.
90.00 - 94.99	Excellent	The food is being produced in an environment that significantly reduces the likelihood of contamination.
80.00 - 89.99	Good	Procedures and guidelines to protect the food product against contamination need some improvement. However, there is a low likelihood that current practices will lead to contamination of the food product.
79.99 or less	Unsatisfactory (Fail)	The food is being produced in an environment where practices that protect the food against contamination are not being followed. Potential hazards and/or the potential for product contamination exists. Improvements in procedures and operating practices would further reduce the likelihood of product contamination.