

GMP Cold Storage with Repack Audit Checklist	
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Audited Facility Name	Coosemans LA Shipping
Audited Facility Address (include full address)	2820 E. 44th St., Vernon, CA. 90058 USA
Contact Person	Robert Pollack
Phone Number	352-588-1127
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Email Address	rpk@coosemans.com
Has the Facility Inspected by Government Authority? (e.g., Local County, State, FDA)	None. FDA inspects products, labeling regularly but not the facility.
Does this facility audit their supplier either through a first/second/third party audit?	No. Some suppliers provide audit results.
What other type of audit has been conducted at this facility (e.g., Organic, SQF, FPA, BRC)	None
Type of Primary Packaging (e.g., poly, cardboard boxes, etc.)	Cardboard boxes, plastic mesh bags.
Type of Secondary Packaging (e.g., poly, cardboard boxes, etc.)	Cardboard boxes
Channels of Trade (Retail, Wholesale, International, etc.)	Wholesale only.
Hours of Operation	4am-4pm Mon-Fri
Months of Operation (e.g., January - December)	Jan-Dec
Number of Employees	22
Year Built	1950
Year(s) Updated	2016 New roof and re-paved parking lot.
Size of Facility	18,000 sq ft.
Property Size	45,000 sq ft.
Neighboring Land Use	Industrial/commercial
Building Material, Exterior Walls	Brick, metal
Building Material, Interior Walls	Metal, insulation, wood stud, and fiber reinforced plastic.
Building Material, Floors	Concrete
Building Material, Exterior Roof	Unknown
Building Material, Interior Ceiling	Lined insulation
Areas of the Facility Excluded from the Audit	Offices
Date of Audit Exit Meeting	3/30/2017
Length of Audit	6 hrs
Facility Personnel	Robert Pollack, Controller & Food Safety Manager
Date of Last Audit	3/22/2016
Product(s) Handled	Fresh produce, nuts, various other seasonal products
Facility Construction and Design	There is a general shipping/receiving area. There are four coolers, one of them wet, and one used for repack. There are two storage areas on either side of the building, one for packaging materials another with metal cabinets which hold chemicals, glass product, and other supplies. There is also a shed that contains packaging materials and some other misc. equipment.
Brief Description of the Process	Location is a box in-box out operation. Product arrives at the receiving dock, is sorted, tagged, and stored. There is some repack conducted on chilies, tomatoes, potatoes, lemons. Products are then assembled/palletized for individual orders and shipped.
Food Safety Total Score (≥ 80% Satisfactory per SCS Rating system)	96.31%
Rating	Superior
Food Security Total Score	97.73%

**GMP Cold Storage with Repack Food Safety Assessment
Detailed Report & Final Summary Score**

Category/Subcategory	Food Safety Section			Other Section		
	Points Scored	Points Possible	Percent (%)	Points Scored	Points Possible	Percent (%)
SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES						
Management Commitment and Review	N/A	N/A	N/A	14	15	93.33%
Employee Practices	50	50	100.00%	39	39	100.00%
Training and Education	20	20	100.00%	22	22	100.00%
Sanitary Facilities	40	40	100.00%	50	53	94.34%
Water	10	10	100.00%	8	8	100.00%
Grounds	20	20	100.00%	18	18	100.00%
Building Size, Construction and Design	50	50	100.00%	41	47	87.23%
Pest Control Program and Procedures	50	60	83.33%	72	73	98.63%
General Operational Practices and Procedures	60	70	85.71%	105	109	96.33%
Cleaning Equipment and Chemicals	20	20	100.00%	18	18	100.00%
Cleaning, Sanitation and Housekeeping	50	50	100.00%	97	98	98.98%
Equipment Construction, Design and Maintenance	20	20	100.00%	18	18	100.00%
Receiving, Storage and Distribution	15	20	75.00%	40	40	100.00%
SECTION B: HACCP PLAN AND PROCESS PRACTICES						
Management Commitment and Review	N/A	N/A	N/A	7	7	100.00%
HACCP/Hazard Prevention Program	170	170	100.00%	33	36	91.67%
Allergens	25	30	83.33%	14	14	100.00%
Training and Education	30	30	100.00%	28	28	100.00%
SECTION C: DOCUMENT CONTROL						
Document Control	N/A	N/A	N/A	24	24	100.00%
TOTAL SCORE	630	660	95.45%	648	667	97.15%

Food Safety (GMP) Final Summary

	Points Scored	Points Possible	% Percentage
Food Safety Section	630	660	95.45%
Other Section	648	667	97.15%
TOTAL SCORE	1278	1327	96.31%

Food Security Final Summary

	Points Scored	Points Possible	% Percentage
TOTAL SCORE	129	132	97.73%

AUDIT SCORING SYSTEM					
SCORE			RATING	DESCRIPTION	DOCUMENTATION COMPLIANCE
10 pts	7 pts	4 pts	AUTO	<i>Automatic Unsatisfactory (Refer to next page)</i>	
N/A	N/A	N/A	N/A	Not Applicable	Not Applicable
				The particular question doesn't apply to the facility in question or are not controlled at the facility.	The particular question doesn't apply to the facility in question or are not controlled at the facility.
0	0	0	US	Unsatisfactory	Unsatisfactory
				Critical food safety hazards, which compromise the safety of the product, are observed.	A) No written Food Safety Program in place. B) Records Review: No records available.
1	1	1	NI	Needs Improvement	Needs Improvement
				Serious food safety hazards, which may eventually compromise the safety of the product, are observed. Significant improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs serious improvement. B) Records Review: Very few records may be available and/or current.
3	2	2	NI	Needs Improvement	Needs Improvement
				Major food safety hazards, which may not immediately compromise the safety of the product, are observed. Partial improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs major improvement. B) Records Review: Some records may be unavailable and/or current.
5	4	3	NI	Needs Improvement	Needs Improvement
				Minor food safety hazards, which may not immediately compromise the safety of the product, are observed. Minimum improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs minor improvement. B) Records Review: Very few records may be unavailable and/or not current.
10	7	4	S	Satisfactory	Satisfactory
				No food safety hazards are observed. Meets the intent of the checklist in design and execution.	A) A complete written Food Safety Program in place. B) Records Review: All records are available and kept current.

Food Safety Assessment Rating System

This rating system describes the status of processing, packing, storage operations in regards to food safety issues associated with the particular operations they perform. It should be noted that it is not possible to completely eliminate the risk of contamination associated with production (GMPs) / food 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 these operations.

Percentage	Assessment	Description
95.00 or more	Superior (Pass)	The food is produced in an exemplary environment.
90.00-94.99	Excellent (Pass)	The food is being produced in an environment that significantly reduces the likelihood of contamination.
80.00-89.99	Good (Pass)	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.
Less than 79.99	Fair (Fail)	The food is being produced in an environment where critical deficiencies and/or serious potential or actual contamination were observed. Immediate improvements in procedures and operating practices should occur.

Conditions for an Automatic Failure

A. General

1. An immediate product safety risk is present due to a violation of the Good Manufacturing Practices (Code of Federal Regulations Title 21, Part 110).
2. Product is manufactured under conditions that promote or cause the product to become contaminated, and thus rendered harmful to one's health.
3. Sanitation procedures are not in place.
4. Products are stored at improper conditions (e.g., temperature, humidity, etc.)
5. Presence or evidence of contaminated product with foreign material or filth (e.g., flaking paint, rust, glass, wood, metal, jewelry, lubricants, etc.), during production, packing or storage.

B. Rodents, Insects, Birds, Animals, and other Pests

1. Absence of pest control program in the manufacturing areas including packaging material and product storage areas.
2. Presence or evidence of rodents, insects, or other pests in the product during packing, or storage (e.g., excreta, bird feathers, etc.)
3. Presence or evidence of decomposed rodent(s) in pest control traps.
4. Extensive infestation in manufacturing areas, including infestation of the area overhead where product or packaging material is present (e.g., presence of birds' nests).
5. Any roach activity in product handling or storage areas.
6. Presence of animals inside the facility (e.g., dogs, cats, etc.)

C. Cleaning Chemicals, Pesticides and other Poisonous Materials

1. Product is adulterated.
2. An imminent product safety risk is present due to violation of the Environmental Protection Agency (EPA) and/or State pesticide regulations.
3. Illegal use of pesticides (e.g., pesticides not meeting EPA or other regulatory standards).
4. Recommended guidelines for the preparation and handling of pesticides are not followed (i.e., not following label instructions).
5. Non-food grade cleaning agents (detergents and sanitizers) are used.
6. Presence or evidence of contaminated product with chemicals, pesticides or other poisonous materials.
7. Products stored with toxic substances.

D. Employee Practices

1. Observation of employee practices that jeopardize or may jeopardize the safety of the product (e.g. open sores and boils on employees who have direct contact with product or product handling areas, employees not following hand washing requirements, etc.)
2. Gross negligence or actions, which render product unsafe.

E. Sanitary Facilities

Toilet facilities and hand washing stations not provided.

F. Water

Water supply in the facility is known to be contaminated.

G. HACCP/Hazard Prevention Program

1. No HACCP program exists where legally mandated such as documented HACCP program, detailing 7 principles, is not established, is not up-to-date, and is not available for review.
2. Identified Critical Control Points not implemented and monitored and is not available for review.
3. Falsification of CCP (Critical Control Point(s)) records.

SUMMARY OF DEFICIENCIES			
CATEGORY	NUMBER	FINDINGS	CORRECTIVE ACTIONS
Mgt. Commitment	1.1.2	Description of responsibilities did not include HACCP/Recall team member, food safety English trainer.	
Hand washing	2.3.10	Warm water was not available from the newly installed hands-free faucets in the Men's restroom used by re-pack employees.	
Size, Construction & Design	2.6.3	Employee lockers and food/beverage vending machines are located in the receiving area along one wall.	
Structures/ Fixtures	2.6.7	Half moon cut-outs (vents) were observed in the ceiling insulation lining. Insulation is exposed. Concrete floor is heavily cracked throughout the warehouse/coolers.	
Pest Control	2.7.4	Map is not up-to-date. Revised map from 4/2015 does not indicate interior devices #22 & #23.	
Pest Control	2.7.6	Interior tin cats were not present at one side of the employee entrance and shed entrance exterior doors.	
Pest Control	2.7.19	Dock leveler brushes were missing on dock doors #2 through #4. Door sweeps were not present on the exterior driver entry door and the shed personnel door. Gaps observed on the dock doors in the shed.	
Product Handling Practices	2.8.8	A designated 'Hold' area was not identified.	
Product Handling Practices	2.8.10	Stored overflow repack boxes in the shed were stored cramped together and are not monitored for pest activity.	
Foreign Material Control	2.8.23	SSOP 010 Cold Storage and Temperature Monitoring does not describe how to calibrate the hand held infra-red thermometers used to record trailer temperatures and CCP's.	
Food Safety Program Internal Review	2.8.34	Multiple Visitor sign-outs were missing on the front desk and driver entry logs. Auditor was required to sign-in/out and acknowledge GMP's.	
Sanitation	2.10.8	Hose observed stored in contact w/floor. No wall mounted hanger was available.	
Receiving	2.12.2	Incoming trucks are not inspected. Temperatures were not documented on random received trailers. CCP temperatures were recorded.	
HACCP	2.1.8	CCP's identified on the hazard analysis for sprouts are not shown on the Sprout flow diagram.	
Allergens	2.2.4	Allergens (nuts) were observed stored on a non-designated rack. Adjacent rack labeled 'Allergens' did not contain allergens. Tofu was observed stored above non-allergen containing product and on a non-designated 'Allergen' rack.	

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES									
1.0 MANAGEMENT RESPONSIBILITY									
1.1 Management Commitment and Review									
Mgmt. Commitment	1.1.1	Is a product safety policy documented and communicated to all levels of the organization?	4		4				
Mgmt. Commitment	1.1.2	Is an organizational chart in place that identifies positions responsible for Food Safety System compliance including descriptions of responsibilities?	4			3			Description of responsibilities did not include HACCP/Recall team member, food safety English trainer.
Mgmt. Commitment	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?	7		7				Management appeared to be following cGMPs at the time of inspection.
		Other Section Total Points	15		11	3	0	0	14
2.0 FUNDAMENTALS									
2.1 Employee Practices (Assessed by Observation and/or Documentation) 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.									
Employee Practices	2.1.1*	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?	10		10				No wounds or infections were observed on employees.
Employee Practices	2.1.2	Is repack conducted?		Unscored question					Yes. This was documented by the PCO in the PCP.
Employee Practices	2.1.3	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.	7		7				
Employee Practices	2.1.4*	Are employees removing gloves and protective clothing (when in use) before leaving the product handling area?	10		10				Employees were observed removing gloves and other protective clothing when leaving re-package area.
Employee Practices	2.1.5	Are employees wearing hair restraints (e.g., hair nets, caps, headbands) and/or beard covers in an effective manner in product handling areas?	7		7				
Employee Practices	2.1.6	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?	7		7				
Employee Practices	2.1.7*	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?	10		10				Employees wash hands before returning to work

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Employee Practices	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.	10		10				Signs are posted. Employees were observed eating in designated areas
Employee Practices	2.1.10*	Are all products, materials, and packaging that come in contact with blood destroyed, and any equipment, tools, and/or product contact surfaces that come in contact with blood cleaned and sanitized before use?	10		10				SSOP 003 sect. 4e meets this requirement.
Employee Practices	2.1.11	Does the operation have a written policy, which addresses applicable worker health and hygiene issues?	7		7				SSOP 003 Personnel Practices meets requirements.
Employee Practices	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)	4		4				
Employee Practices	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.	7		7				
		*Food Safety Section Total Points	50		50	0	0	0	50
		Other Section Total Points	39		39	0	0	0	39
2.2 Training and Education (Assessed by Observation, Interview, and Documentation) 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									
Training & Educ.	2.2.1	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?	7		7				SSOP 002 Employee Training meets this requirement.
Training & Educ.	2.2.2	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?	4		4				Jose Luis Ochoa, Warehouse Manager is the designated Spanish trainer.
Training & Educ.	2.2.3*	a. Is there an initial and ongoing 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)	10		10				Last refresher training was conducted/documentd on 10/10/2016.
Training & Educ.	2.2.4	Is worker participation in respective training programs (initial and ongoing and/or refresher, addressed in 2.2.3) documented, including the employee's signature, and available for review?	4		4				
Training & Educ.	2.2.5	Do employees appear to have received and understood training and are they practicing proper product handling procedures?	7		7				
Training & Educ.	2.2.6*	Is there a supervisor with relevant educational background and/or experience, who oversees the food safety practices? (e.g., sanitation, cGMPs)	10		10				Robert Pollack has participated in an online course for the US Food Code on 2/28/14 conducted by Ecolab.
		*Food Safety Section Total Points	20		20	0	0	0	20
		Other Section Total Points	22		22	0	0	0	22

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
<p>2.3 Sanitary Facilities (Assessed by Observation and Documentation) 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.</p> <p>(a) Toilet Facilities General Expectation: Each facility shall provide its employees with adequate, readily accessible toilet facilities.</p>									
Toilet Facilities	2.3.1*	<p>a. Is a minimum of one toilet facility provided for every 20 people?</p> <p>b. Are separate toilet facilities provided if there are 5 or more employees of each gender?</p> <p>c. Are toilet facilities located within a 5-minute walk or 1/4 mile for all workers?</p>	10		10				Toilet facilities are adequate. There is one toilet for men and one for women.
Toilet Facilities	2.3.2*	<p>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).</p> <p>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)</p>	10		10				Bathrooms are separated from the warehouse by 2 doors.
Toilet Facilities	2.3.3	<p>Do toilet facilities have:</p> <p>a. self-closing doors?</p> <p>b. ventilation systems to eliminate odors?</p> <p>c. floors, walls, ceilings and toilets built in such a way that they can be cleaned and sanitized properly?</p> <p>d. floors, walls and ceilings in good repair?</p> <p>e. functional toilets and urinals?</p> <p>f. trash receptacles?</p>	7		7				
Toilet Facilities	2.3.4	Are toilet facilities maintained in clean condition?	7		7				
Toilet Facilities	2.3.5	Are toilet supplies monitored and/or stocked throughout the day?	7		7				
Toilet Facilities	2.3.6	<p>a. Are the cleaning procedures described in a document that details how and when to clean (at least daily)?</p> <p>b. Is cleaning documented and are records legible?</p>	7		7				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(b)									
Hand washing	2.3.7*	Are hand washing stations provided next to the toilet facilities to facilitate their use?	10		10				Both restrooms have hand wash stations.
Hand washing	2.3.8	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)	4		4				
Hand washing	2.3.9*	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?	10		10				No issues observed.
Hand washing	2.3.10	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?	7			4			Warm water was not available from the newly installed hands-free faucets in the Men's restroom used by re-pack employees.
Hand washing	2.3.11	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?	7		7				
Hand washing	2.3.12	a. Are hand washing and/or hand sanitizing stations maintained in clean condition? b. Are hand washing and/or hand sanitizing stations cleaned on a scheduled basis and as needed?	7		7				
		*Food Safety Section Total Points	40		40	0	0	0	40
		Other Section Total Points	53		46	4	0	0	50

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Sub Category	2.4	Water Quality (Assessed by Observation and Interview) 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.							
	(a)	Water Source Testing							
Water	2.4.1	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?	4		4				Location uses only City of Vernon public water. Potability report from 2015 was available for review. Results were negative.
	(b)	In-house Water Testing							
Water	2.4.2*	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?	10		10				Silliker Lab conducts annual water analysis. Samples were taken from 2 water delivery points. Last analysis from 1/21/2017 showed negative results for coliforms.
Water	2.4.3	Are drinking water supply delivery points, fountains or containers maintained in a clean and sanitary manner, with single use paper cups provided where appropriate?	4		4				
		*Food Safety Section Total Points	10		10	0	0	0	10
		Other Section Total Points	8		8	0	0	0	8
2.5		Grounds (Assessed by Observation and Documentation) General Expectation: Compliance with 21 CFR 110.20 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.3.0							
Grounds	2.5.1*	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)	10		10				No issues observed.
Grounds	2.5.2.	Is 16-18 inches of clearance maintained around the outside perimeter of the building?	7		7				
Grounds	2.5.3	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)	7		7				
Grounds	2.5.4	Do all trash receptacles have closed lids?	4		4				
Grounds	2.5.5*	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?	10		10				Trash is collected 3 times a week.
		*Food Safety Section Total Points	20		20	0	0	0	20
		Other Section Total Points	18		18	0	0	0	18

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.6 Building Size, Construction and Design (Assessed by Observation and Documentation) 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									
(a) Building Size, Construction and Design									
Size, Construction & Design	2.6.1*	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).	10		10				There are 4 docks in use for both shipping and receiving. Product is separated and labeled after it enters the facility.
Size, Construction & Design	2.6.2	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?	7		7				
Size, Construction & Design	2.6.3	Are employee break and/or locker areas separate from the product handling areas?	7			4			Employee lockers and food/beverage vending machines are located in the receiving area along one wall.
Size, Construction & Design	2.6.4	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, and rotated)	4		4				
Size, Construction & Design	2.6.5*	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)	10		10				The system for removing waste is adequate.
(b) Building Structures/Fixtures									
Structures/ Fixtures	2.6.6	Is the roof properly maintained? (e.g., no leaks)	7		7				
Structures/ Fixtures	2.6.7	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)	7			4			Half moon cut-outs (vents) were observed in the ceiling insulation lining. Insulation is exposed. Concrete floor is heavily cracked throughout the warehouse/coolers.
Structures/ Fixtures	2.6.8*	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)	10		10				No issues observed.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(c) Plumbing									
Plumbing	2.6.9	Is water used for cleaning of equipment, utensils, and for employee sanitary facilities maintained at a suitable pressure?	4		4				
Plumbing	2.6.10*	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?	10		10				Sewer pipes are underground and there are no pipes over product or equipment.
Plumbing	2.6.11*	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)	10		10				The facility has a backflow device.
Plumbing	2.6.12	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?	7		7				
Plumbing	2.6.13*	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?		X					N/a. Only potable water is used.
(d) Environmental Control									
Env. Control	2.6.14	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?	4		4				
Env. Control	2.6.15	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?		X					N/a. Not used.
		*Food Safety Section Total Points	50		50	0	0	0	50
		Other Section Total Points	47		33	8	0	0	41

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.7 Pest Control Program and Procedures (Assessed by Observation and Documentation) 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									
Pest Control	2.7.1	Is there a written pest control program and is it available for review?	7		7				Ecolab provides bi-weekly licensed/insured pest service.
Pest Control	2.7.2	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?	4		4				
Pest Control	2.7.3*	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?	10		10				Pest control folder lists pesticides used with their EPA # and the related MSDS were on file.
Pest Control	2.7.4	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?	4			3			Map is not up-to-date. Revised map from 4/2015 does not indicate interior devices #22 & #23.
Pest Control	2.7.5	Are pest control stations properly coded (e.g. ID #, bar code) to correspond with the master identification map?	4		4				
Pest Control	2.7.6*	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?	10			5			Interior tin cats were not present at one side of the employee entrance and shed entrance exterior doors.
Pest Control	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?	7		7				
Pest Control	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?	4		4				
Pest Control	2.7.10*	Is there no evidence of decomposed rodents in the interior or exterior pest control devices?	10		10				Random interior devices were checked and no signs of decomposed rodents were observed.
Pest Control	2.7.11	Does the inside of the facility appear to be free from insects, rodents, birds, and domestic animals?	7		7				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Pest Control	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)?	10	X	10				No pests or evidence of pest was observed.
Pest Control	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?	7		7				
Pest Control	2.7.14	Are all light traps positioned so that they will not attract insects from outside, into the building?	4		4				
Pest Control	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?	7		7				
Pest Control	2.7.16	Are birds controlled by netting, screens, traps, or other exclusion methods? (Application of avicides are prohibited in the facility.)	7		7				
Pest Control	2.7.17*	Is toxic bait used only in exterior bait stations?	10		10				Yes. This was documented by the PCO in the PCP.
Pest Control	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)	7		7				
Pest Control	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?	10		5				Dock leveler brushes were missing on dock doors #2 through #4. Door sweeps were not present on the exterior driver entry door and the shed personnel door. Gaps observed on the dock doors in the shed.
Pest Control	2.7.20	Are exterior doors and entrances closed when not in use?	4		4				
Pest Control	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?							N/a. Not stored on site.
		*Food Safety Section Total Points	60		40	10	0	0	50
		Other Section Total Points	73		69	3	0	0	72

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.8		General Operational Practices and Procedures (Assessed by Observation and Documentation) 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							
(i)		Product Cooling							
		Describe Method(s) of Cooling (e.g. ice, forced-air cooling, vacuum cooling, cold storage)		Unscored question					Forced air cooling
(i.a)		Ice							
Ice	2.8.1*	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?)		X					N/a. Ice is not produced or used in the facility.
Ice	2.8.2*	In the event of adverse analytical findings, are corrective actions documented, legible, and available for review?		X					N/a. Ice is not produced or used in the facility.
Ice	2.8.3*	Is ice handled or stored in a manner that prevents or minimizes the possibility of contamination?		X					N/a. Ice is not produced or used in the facility.
(ii)		Handling Practices: Incoming, In-Process and Finished Products, Packaging Materials, Containers 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.							
(ii.a)		Incoming Products							
Product Handling Practices	2.8.4	Are products inspected for evidence of contamination prior to re-packing?	7		7				
Product Handling Practices	2.8.5	Are first-in/first-out (FIFO) rotation practices used and documented for all stored products (raw incoming and finished)?	4		4				
Product Handling Practices	2.8.6	During repacking, are in-house product holding containers (e.g., totes, empty containers) used?		Unscored question					No in-house containers are used.
Product Handling Practices	2.8.6.a	Are containers appropriate for use?		X					N/a. No in-house containers are used.
Product Handling Practices	2.8.6.b	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?		X					N/a. No in-house containers are used.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(ii.b) Hold and Release Program									
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.									
Hold & Release Program	2.8.7	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?	7		7				
Hold & Release Program	2.8.8*	a. Are non-conforming products (incoming and outgoing), 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?	10			5			A designated 'Hold' area was not identified.
(ii.c) Packaging Materials									
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									
Packaging Materials	2.8.9	Does the facility use new packaging materials for repack or reuse the same box during sorting?			Unscored question				New packaging only.
Packaging Materials	2.8.10*	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?	10			5			Stored overflow repack boxes in the shed were stored cramped together and are not monitored for pest activity.
Packaging Materials	2.8.11	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?	7		7				
Packaging Materials	2.8.12	Is FIFO (First In First Out) practiced (i.e., stock rotated on packaging materials)?	4		4				
Packaging Materials	2.8.13	During production, are packaging materials handled in a manner that eliminates contamination from the ground or from inappropriate employee handling?	7		7				
Packaging Materials	2.8.14*	Are damaged cases or packages segregated immediately and products repacked or properly disposed of?	10		10				Damaged cases are properly disposed.
Packaging Materials	2.8.15	If packaging materials are used, are they used only for their intended purpose and not used to store other things?	7		7				
Packaging Materials	2.8.16*	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)	10		10				Packing materials are inspected before use.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(iii) Foreign Material Control/Indirect Product Additives									
General Expectation: Compliance with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.									
Foreign Material Control	2.8.17*	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?		X					N/a. There is no line or foreign material detector used
Foreign Material Control	2.8.18	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?, (li) segregation of suspect materials? (lii) clean-up? (Iv) re-inspection?	7		7				
Foreign Material Control	2.8.19*	a. 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)	10		10				SSOP 14 Glass Policy & SSOP 15 Foreign Material Policy meets requirements.
Foreign Material Control	2.8.20*	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?	10		10				Glass is not used in packaging or repacking. Location occasionally stores small numbers of glass bottles in a locked cabinet.
Foreign Material Control	2.8.21	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?		X					N/a. Not used.
Foreign Material Control	2.8.22	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?		X					N/a. Not used.
(iv) Calibration									
Calibration	2.8.23	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?	4			3			SSOP 010 Cold Storage and Temperature Monitoring does not describe how to calibrate the hand held infra-red thermometers used to record trailer temperatures and CCP's.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(v) Recall/Traceability Program General Expectation: A written recall procedure, which identifies the steps required to retrieve product.									
Recall/Traceability	2.8.24	Is there a formal, written Product Recall Program that includes: b. 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?	7		7				SSOP 101 Product Recall and Traceback policy meets requirements.
Recall/Traceability	2.8.25*	Is there a product coding system that can identify products and can the system track 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).	10		10				BuroWare distribution/wholesale computerized database tracks all product. System can track forward and backward.
Recall/Traceability	2.8.26	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?	7		7				Mock recall conducted on 12/8/2016 for Pickled Ginger lasted 112 minutes with 100% recovery.
Recall/Traceability	2.8.27	In the event of an actual recall, is the associated documentation available for review?	4		4				Last actual recall occurred/documentated on 1/15/15 for Granny Apples.
Recall/Traceability	2.8.28	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)	4		4				
(vi) Facility Inspection/Food Safety Program Review 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.									
Self-Inspection	2.8.29	Are good manufacturing practices or facility inspections conducted periodically, and are findings, corrective actions, and follow ups documented and available for review?	7		7				
Regulatory Inspection	2.8.30	Are regulatory inspection procedures documented and are inspection records available for review?	4		4				
Food Safety Program Internal Review	2.8.31	Are reviews of the written product safety management plan and associated procedures conducted periodically and are periodic reviews documented and available for review?	7		7				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Access Control	(vii)	Visitor and Contractor Access Control							
Access Control	2.8.32	Are truck drivers restricted from production and warehouse areas?	4		4				
Access Control	2.8.33	Is facility access limited to authorized personnel?	4		4				
Access Control	2.8.34	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?	7			4			Multiple Visitor sign-outs were missing on the front desk and driver entry logs. Auditor was required to sign-in/out and acknowledge GMP's.
		<i>*Food Safety Section Total Points</i>	70		50	10	0	0	60
		Other Section Total Points	109		98	7	0	0	105
2.9		Cleaning Equipment and Chemicals 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.							
Equip & Chemicals	2.9.1*	a. Are cleaning compounds and sanitizing agents appropriate (anti-microbial, food grade approved) for product and non-product contact surfaces? b. Are MSDSs and copies of specimen labels maintained for cleaning and sanitizing chemicals?	10		10				A quaternary sanitizer is used for the food contact surfaces in the repack room (Cooler #3). MSDS were available for review.
Equip & Chemicals	2.9.2	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)	7		7				
Equip & Chemicals	2.9.3	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)?	7		7				
Equip & Chemicals	2.9.4	Are first-in/first-out (FIFO) rotation practices used for all cleaning and sanitizing chemicals?	4		4				
Equip & Chemicals	2.9.5*	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?	10		10				Facility's system meets these requirements.
		<i>*Food Safety Section Total Points</i>	20		20	0	0	0	20
		Other Section Total Points	18		18	0	0	0	18

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.10 Cleaning, Sanitation, and Housekeeping Procedures 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									
Sanitation	2.10.1	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?	7		7				
Sanitation	2.10.2*	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?	10		10				SSOP 006 Cleaning, Sanitizing and Maintenance of Non-Food Contact Surfaces defines areas maintained. Cleaning logs are kept and reviewed.
Sanitation	2.10.3*	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?	10		10				SSOP 005 Cleaning, Sanitizing and Maintenance of Food Contact Surfaces defines areas maintained. Cleaning logs are kept and reviewed.
Sanitation	2.10.4	Are pre-operative inspections conducted and documented, and are records legible and available for review?	7		7				
Sanitation	2.10.5	a. Is environmental sampling performed on a periodic basis to monitor the effectiveness of cleaning and sanitizing procedure and are results maintained on file? b. Is air quality monitored on a scheduled basis to ensure that is of suitable quality? (e.g. testing air for yeast and mold, aerobic plate count, pathogens)	7		7				Environmental Testing is conducted annually by Silliker Laboratories on the 7 repack tables. Tests results from 1/21/2017 were <10 for swab Aerobic Plate count.
Sanitation	2.10.5.a	Does the environmental testing program document corrective actions in response to isolated positive results (to eliminate harborage sites)?	7		7				
Sanitation	2.10.5.b	Have trends or recurring environmental positives been identified through periodic in-house record reviews and are corrective actions taken to eliminate recurring positive results?	4		4				
Sanitation	2.10.6	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?	7		7				
Sanitation	2.10.7	Is safety equipment provided to sanitation crew?	4		4				
Sanitation	2.10.8	Are water hoses stored off the floor? (e.g., on wall-mounted hangers)	4			3			Hose observed stored in contact w/floor. No wall mounted hanger was available.
Sanitation	2.10.9	Are adequate staffing and time allocated to ensure complete cleaning of all areas?	4		4				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Sanitation	2.10.10*	Are product and packaging materials protected during cleaning procedures?	10		10				Packaging materials are protected.
Sanitation	2.10.11*	Are cleaned and sanitized portable equipment and utensils protected from contamination during storage?	10		10				Repack knives are stored in a cabinet in the repack room.
Sanitation	2.10.12	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.)	7		7				
Sanitation	2.10.13*	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?	10		10				Equipment is maintained, and repair logs were available for review.
Sanitation	2.10.14	Are maintenance tools, gloves, rags, and other miscellaneous materials stored in secured areas away from product handling equipment to prevent contamination?	4		4				
Sanitation	2.10.15	Are floors kept free of standing water and/or ice? (e.g., floors sloped towards drains)	7		7				
Sanitation	2.10.16	Are product handling and storage areas maintained in clean condition?	7		7				
Sanitation	2.10.17	Is there a pallet inspection program?	4		4				
Sanitation	2.10.18	Is storage of wooden pallets in product handling or storage areas prohibited? (e.g., pallets are brought to these areas only as needed)	4		4				
Sanitation	2.10.19	Are employee break and/or locker rooms, and all other employee welfare areas maintained in sanitary conditions?	7		7				
Sanitation	2.10.20	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?	7		7				
		*Food Safety Section Total Points	50		50	0	0	0	50
		Other Section Total Points	98		94	3	0	0	97

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.11 Equipment Construction, Design, and Maintenance 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									
(a) Equipment/Containers/Utensils									
Equipment	2.11.1*	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)	10		10				Repack tables and knives are stainless steel and designed to prevent adulteration.
Equipment	2.11.2*	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)		X					N/a. There are no product lines or overhead walkways.
Equipment/ Containers/ Utensils	2.11.3*	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?	10		10				Repack tables are stainless steel and were maintained in good condition.
Temporary Repairs	2.11.4	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?	7		7				
Vehicles/ Equipment	2.11.5	Are vehicles and/or equipment, which are used for moving raw materials, finished products, and packaging throughout the facility, cleaned and maintained in good condition?	4		4				
(b) Preventive Maintenance Program									
P.M. Program	2.11.6	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)	7		7				
*Food Safety Section Total Points			20		20	0	0	0	20
Other Section Total Points			18		18	0	0	0	18

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
2.12 Receiving, Storage and Distribution General Expectation: Compliance with 21CFR 110.93 and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VIII.									
(a) Receiving: In-bound Inspection									
Receiving	2.12.1	Are temperatures of refrigerated and frozen products documented at the time of receiving?	7		7				
Receiving	2.12.2*	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?	10			5			Incoming trucks are not inspected. Temperatures were not documented on random received trailers. CCP temperatures were recorded.
(b) Storage									
Storage	2.12.3	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)	7		7				Intellipool computerized system monitors and records cooler temperatures every 15 sec. A weekly graph is printed and reviewed by the Food Safety Manager.
Storage	2.12.4	a. Is temperature and/or humidity monitored regularly via continuous recording device or manually? b. Are records and corrective actions available for review?	7		7				
(c) Transportation and Distribution (Assessed by Observation and Documentation)									
Transp. & Distrib.	2.12.5.a	Is protocol on safe transportation and proper product handling procedures provided to the carrier companies?	4		4				
Transp. & Distrib.	2.12.5.b	Is the protocol issued to the drivers when they enter the site as a reminder?	4		4				
Transp. & Distrib.	2.12.6	Is there a documented procedure on trucks that requires adequate cleaning and inspection on all incoming and outgoing trucks?	4		4				
Transp. & Distrib.	2.12.6.a	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?	10		10				SSOP 011 Product Shipping and Receiving outlines requirements. Outbound trucks are inspected and temperatures are recorded.
Transp. & Distrib.	2.12.7	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?	7		7				
		*Food Safety Section Total Points	20		10	5	0	0	15
		Other Section Total Points	40		40	0	0	0	40

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
SECTION B: HACCP PLAN AND PROCESS PRACTICES									
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.									
1 MANAGEMENT RESPONSIBILITY									
1.1 Management Commitment and Review									
Mgmt. Commitment	1.1.1*	Does management appear to be committed to executing an adequate HACCP/Hazard Prevention food safety management program?	7		7				Management appears committed to executing an adequate HACCP food safety management program.
		Other Section Total Points	7		7	0	0	0	7
2 FUNDAMENTALS									
2.1 HACCP/Hazard Prevention Program									
HACCP	2.1.1	Does the facility have a documented Hazard Prevention program?	7		7				Yes.
HACCP	2.1.2	Is the facility Hazard Prevention program HACCP-based?	7		7				Yes, the program is HACCP-based.
HACCP	2.1.3	Does the facility operate under a government regulated HACCP or Hazard Prevention program?							No Describe
HACCP	2.1.4	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?	4		4				Yes. A food safety management team was identified and documented. It included the list of employees and responsibilities.
HACCP	2.1.5	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?	4		4				Last meeting was on 4/25/2016.
(a) Product Description(s), Process-Flow Diagram(s), Hazard Analysis Worksheet(s)									
General Expectations: 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).									
Product Description(s)	2.1.6	Do HACCP/Hazard Prevention plan(s) include product descriptions, distribution, intended uses, and target customers (channels of trades), and are they accurate?	7		7				
Process-Flow Diagram(s)	2.1.7	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)?	7			4			CCP's identified on the hazard analysis for sprouts are not shown on the Sprout flow diagram.
Hazard Analysis Worksheet(s)	2.1.8*	Do Hazard Analysis Worksheet(s) exist and do they identify the hazards (biological, chemical, and physical), and consider the severity and likelihood of occurrence?	10		10				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
(b) HACCP Plan(s) and CCPs									
HACCP Plan(s) CCPs	2.1.9*	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.	10		10				Receiving, storage, and loading temperature limits for sprouts are the biological CCP for control of microbial growth.
(c) Monitoring Procedures									
Monitoring	2.1.10*	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?	10		10				Temperatures are recorded for incoming trucks, storage, and on outgoing invoices.
Monitoring	2.1.11*	Are CCPs in compliance with the critical limits stated?	10		10				Recorded temperatures were observed within critical limits.
(d) Corrective Actions									
Corrective Actions	2.1.12*	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?	10		10				Critical limits were maintained.
Corrective Actions	2.1.13*	Is disposition of non-compliant product documented?	10		10				Policy and practices are in place. Disposition is part of the procedures when there is deviation to the process.
(e)									
Verification	2.1.14*	Is the HACCP plan signed and/or initialed and dated by the food safety manager or another member of management?	10		10				The HACCP plans are signed by the Food Safety Manager.
Verification	2.1.15*	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?	10		10				Verification procedures are documented and practices are in place.
Verification	2.1.16*	a. Is calibration and/or testing conducted and documented as required in the verification procedures? b. Are records accurate and legible?	10		10				The HACCP plans are signed by the Food Safety Manager.
Verification	2.1.17*	Were all CCPs verified by the auditor during inspection and were all CCPs in compliance with the HACCP Plan(s)?	10		10				The CCP's were verified.
(f) Validation Procedures									
Validation	2.1.18*	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?	10		10				The HACCP plan was reviewed.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Validation	2.1.19*	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)	10		10				Facility has validated the critical limits.
Validation	2.1.20*	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?	10		10				The HACCP plan was reviewed.
Validation	2.1.21*	Are all copies of HACCP/Hazard Prevention plan(s) signed by authorized individuals?	10		10				The HACCP plans are signed by the Food Safety Manager.
Validation	2.1.22*	Are targeted sampling and testing conducted on products, and is it documented as required in the verification procedures?	10		10				Temperatures are monitored and logs are reviewed
Validation	2.1.23*	Are audits of the HACCP plan conducted on a regular basis and records of results maintained?	10		10				Temperatures are monitored and logs are reviewed
(g) Record Keeping									
Record Keeping	2.1.24*	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?	10		10				Records are maintained.
		*Food Safety Section Total Points	170		170	0	0	0	170
		Other Section Total Points	36		29	4	0	0	33
2.2 Allergens 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)									
Allergens	2.2.2	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, milk, wheat, fin fish, and crustacea. Sensitizing chemicals include: sulfites, and some food colorings such as Yellow 5)	7		7				
Allergens	2.2.3	Are there written procedures on management of allergen-containing products?	7		7				
Allergens	2.2.4*	Are allergens stored in a manner that protects other non-allergenic materials from inadvertent contamination?	10			5			Allergens (nuts) were observed stored on a non-designated rack. Adjacent rack labeled 'Allergens' did not contain allergens. Tofu was observed stored above non-allergen containing product and on a non-designated 'Allergen' rack.
Allergens	2.2.5*	Does the operation repack and/or co pack allergen-containing product?		Unscored question					No
Allergens	2.2.5.a*	Are containers, equipment, and/or utensils used in handling allergens identified to prevent cross contamination from allergens to non-allergen containing products?		X					N/A - Allergen products are not re-packed.

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Allergens	2.2.5.b*	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)		X					N/A - Allergen products are not re-packed.
Allergens	2.2.5.c *	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?		X					N/A - Allergen products are not re-packed.
Allergens	2.2.5.d*	Rework or Work in Progress (WIP): Are there written procedures on proper handling of rework or WIP material (if applicable)?		X					N/A - Allergen products are not re-packed.
Allergens	2.2.5.d1*	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?		X					N/A - Allergen products are not re-packed.
Allergens	2.2.6	Are there written labeling and packaging procedures for products containing allergens?		X					N/A - Allergen products are not re-packed.
Allergens	2.2.7*	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)?	10		10				Boxed allergens are received and shipped (box-in, box-out).
Allergens	2.2.8*	Is there an established verification program to ensure allergen control procedures are in compliance?	10		10				Labels are reviewed.
		*Food Safety Section Total Points	30		20	5	0	0	25
		Other Section Total Points	14		14	0	0	0	14
2.3 Training and Education General Expectation: (21 CFR 110.10). Food handlers and supervisors should receive appropriate training in proper food handling techniques and food-protection principles.									
Training & Educ.	2.3.1*	Is there an ongoing (refresher) HACCP training for employees who monitor HACCP parameters?	10		10				Training records were reviewed for 1/25/16.
Training & Educ.	2.3.2	Is there an assigned person responsible for conducting HACCP training?	7		7				Robert Pollack is the assigned person.
Training & Educ.	2.3.3	Is the general content of the training sessions described in a document maintained by the company?	7		7				
Training & Educ.	2.3.4	Does the HACCP training include evaluation criteria for knowledge learned?	7		7				

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Notes
Training & Educ.	2.3.5	Is worker participation in the HACCP training program documented and available for review, and does the training documentation include the employee's signature?	7		7				
Training & Educ.	2.3.6*	Are employees who are monitoring CCPs aware of critical limits, monitoring requirements, corrective actions, and other HACCP-related activities in their immediate work areas?	10		10				Employees are aware of the CCPs.
Training & Educ.	2.3.7*	Is there a supervisor with relevant educational background and/or experience, who oversees the HACCP program?	10		10				Robert Pollack has completed a HACCP Based Food Safety Training Course for Produce Growers and handlers on 9/13/2010 administered by SCS.
		*Food Safety Section Total Points	30		30	0	0	0	30
		Other Section Total Points	28		28	0	0	0	28
3		SECTION C: DOCUMENT CONTROL (Assessed by Documentation)							
Document Control	3.1.1.	Does the facility employ a formal system to manage and control all food safety related documentation, data and records?	4		4				
Document Control	3.1.2	Are procedures in place to control document transmission, changes and removal of obsolete documents?	4		4				
Document Control	3.1.3	Is there an authorized person to issue food safety documents?	4		4				
Document Control	3.1.4	Do document control procedures ensure customer confidentiality?	4		4				
Document Control	3.1.5	Does a document control system protect physical and electronic documents against loss and unauthorized access?	4		4				
Document Control	3.1.6	Is there a records retention policy for food safety related documentation, data and records?	4		4				
		Other Section Total Points	24		24	0	0	0	24