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Version 1.0 Dec 23, 2009

**Audited By Glades Crop Care, Inc.. (114342)
Cooling and Cold Storage v08.06**

Facility(s)	Astin Strawberry Exchange Cold Storage Contact: <u>Chuck Moses</u> Address: 107 Holloway Road, P.O. Box 3837 Plant City Florida 33563 United States Phone Number: (813) 650 8448 Fax Number: (813) 754 5702 Email(s): <u>chuck@strawberryexchange.com</u>
Customer(s)	Astin Strawberry Exchange Contact: Sam Astin Address: 107 Holloway Road, P.O. Box 3837 Plant City Florida 33563 United States Phone Number: (813) 650 8448 Fax Number: (813) 754 5702 Email(s): <u>shawn@strawberryexchange.com</u> ; <u>jpierce@strawberryexchange.com</u>
Audit Type:	Cooling/Cold Storage
Foreman or Contact Person (and email):	Chuck Moses; <u>shawn@strawberryexchange.com</u>
Location/City:	Plant City
State:	Florida
Country:	United States
Date Audit Started:	12/10/2009 16:30
Date Audit Finished:	12/10/2009 18:30
Commodity(ies):	Strawberries
Auditor:	<u>Steven Hoak</u> (Affiliated Auditors,Glades Crop Care – Affiliated)
Audit Percentage Score:	96%
Scoring Category:	95–100 Superior
Announced Audit?	Yes
FDA Registration Number:	XXXXXXXX6232

Additional Report Links

[See Severity Answers & Recommendations](#)

[See The Result Comparison](#)

[See The Audited Entity History](#)

Corrective Actions Response

Note: This link must be used in order to notify that you are taking action in the corrective measures for questions that were not in full compliance.

Sections:

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Good Manufacturing Practices

Food Safety File Requirements

Food Security

Miscellaneous Survey Questions

New Questions (Not part of overall Food Safety percentage)

Good Manufacturing Practices							
Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
1.1.1	Is there a designated person responsible for the food safety program?	Total Compliance	10	10		Yes, Chuck Moses is the person in charge of food safety.	
1.1.2	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15		Yes.	
1.1.3	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	Total Compliance	10	10		Yes.	
1.1.4	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10		Yes, signs that support GMP's are posted in appropriate areas throughout the facility.	
1.2.1	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes, all products and ingredients are free of insects/rodents/birds/reptiles/mammals or any evidence of them.	
1.2.2	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes, all packaging supplies are free of insects/rodents/birds/reptiles/mammals or any evidence of them.	
1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	10	10		Yes.	
1.2.4	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10		Yes.	
1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes, the facility has a pest control program.	
1.2.6	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Total Compliance	10	10		Yes.	
1.2.7	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Minor Deficiency	3	5	All pest control devices should be maintained clean and replaced when damaged so they will accomplish their intended use. Date of	One of the pest control devices did not have a punch card.	

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inspections should be posted on the devices as well as kept on file (unless barcode scanned).

1.2.8	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5		Yes.
1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5		Yes.
1.2.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5		Yes, all pest control devices were properly installed and secure.
1.3.1	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)?	Total Compliance	15	15		Yes.
1.3.2	Is the storage area completely enclosed?	Minor Deficiency	7	10	All raw material and finished goods should be stored inside. Food contact packaging should be stored inside. Non food contact packaging should be stored inside but if stored outside, should be shroud protected.	Two doors are left open for unloading trucks.
1.3.3	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5		Yes.
1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	N/A	0	0		N/A. Score not affected. On hold or rejected products were not present during the audit.
1.3.5	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes.
1.3.6	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Total Compliance	10	10		Yes.
1.3.7	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	Total Compliance	5	5		Yes.
1.3.8	Are materials (commodities, packaging, ingredients, processing aids,	Total Compliance	5	5		Yes.

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	work in progress, etc.) rotated using FIFO policy?				
1.3.9	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes.
1.4.1	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Total Compliance	15	15	Yes, all exposed product are protected from overhead contamination.
1.4.2	If occurring, e.g. because of damaged product from the field, is all re-work/re-packaging handled correctly?	N/A	0	0	N/A. Score not affected. Not observed during audit.
1.4.3	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	N/A	0	0	N/A. Score not affected. All sanitizers are pre-packaged.
1.4.4	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	Total Compliance	15	15	Yes.
1.4.5	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	Total Compliance	15	15	Yes.
1.4.6	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Total Compliance	5	5	Yes.
1.4.7	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice etc.) such that cross contamination is prevented?	Total Compliance	5	5	Yes.
1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15	Yes, employees are washing and sanitizing their hands before starting work, after breaks, and after using the restrooms.
1.5.2	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	Total Compliance	10	10	Yes.
1.5.3	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes.
1.5.4	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes.
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15	Yes, all food contact surfaces in use were clean and free of unhygienic materials.
1.6.2			10	10	Yes.

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	Are non–food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance			
1.6.3	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non–toxic materials, no wood) facilitate effective cleaning and maintenance?	Total Compliance	15	15	Yes.
1.6.4	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes.
1.6.5	Are all thermometers non–glass and non–mercury?	Total Compliance	10	10	Yes.
1.7.1	Are food contact surfaces clean?	Total Compliance	15	15	Yes.
1.7.2	Are non–food contact surfaces clean?	Total Compliance	10	10	Yes.
1.7.3	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes.
1.7.4	Are all fan guards dust–free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5	Yes.
1.7.5	Is stored equipment that is not used on a daily basis stored in a clean condition with food–contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	Total Compliance	10	10	Yes.
1.7.6	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Total Compliance	10	10	Yes.
1.7.7	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes.
1.8.1	Are spills cleaned up immediately?	Total Compliance	10	10	Yes.
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes, the packing and storage areas were free of excess waste and garbage.
1.8.3	Do floor drains appear clean, free from odors and well maintained?	Total Compliance	5	5	Yes.
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes.
1.8.5	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Total Compliance	5	5	Yes, plastic strip curtains are maintained in a clean condition and do not touch the floor.
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	Total Compliance	3	3	Yes, the facility provides safety equipment for the sanitation crew, it is maintained in good condition and stored correctly.
1.8.7	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes.
1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production,	Total Compliance	5	5	Yes.

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	maintenance, outside, restroom equipment?				
1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5	Yes.
1.8.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes.
1.8.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes.
1.8.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	N/A	0	0	N/A. Score not affected. All maintenance work is contracted.
1.8.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	Total Compliance	5	5	Yes, all internal transport vehicles were clean and sanitary.
1.8.14	Are shipping trucks clean and in good condition?	N/A	0	0	N/A. Score not affected. Shipping trucks were not present at time of audit.
1.9.1	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	Major Deficiency	5	15	Lights should be periodically cleaned. Lights should be protected against glass breakage in production, product storage, packaging storage and maintenance areas. Dock lights were not protected in the cold storage area.
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	Yes.
1.9.3	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes.
1.9.4	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes.
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3	Yes.
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Total Compliance	10	10	Yes.
1.9.7	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes.
1.9.8	Are doors to the outside pest proof?	Minor Deficiency	3	5	All exterior doors should fit tightly with a maximum allowable gap of 1/8 inch. Special attention should be given to the Doors have gaps, which can allow pests to enter the facility.

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maintenance of weather strips. Air curtains where used, should be operating properly.

1.9.9	Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)?	Total Compliance	3	3		Yes, all dock doors for loading product are fitted with buffers to seal against trucks.
1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)?	Total Compliance	3	3		Yes.
1.9.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	Major Deficiency	1	5	Walls should be free of holes, crevices and cracks to prevent pest infestations. If pipe holes are needed, they should be protected to avoid pest entry. Vents and air ducts should also be protected. Mesh size should be small enough to prevent insect entry.	Attention to space over the cantaloupe line where it goes outside the building. Small holes in the wall were found in the dry storage area.
1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Total Compliance	5	5		Yes.
1.9.13	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes.
1.9.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Total Compliance	5	5		Yes, an internal 18" wall perimeter is maintained.
1.9.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5		Yes.
1.9.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	Total Compliance	5	5		Yes.
1.9.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5		Yes.
1.9.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3		Yes.
1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5		Yes, outside garbage receptacles are closed.
1.9.20	Are all water lines protected against back siphonage?	Total Compliance	5	5		Yes.

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Food Safety File Requirements

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
2.1.1	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3		Yes, there is a written procedure for handling regulatory inspections.	
2.1.2	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	Total Compliance	5	5		Yes, there is a written glass management policy that includes a glass policy, a glass register, and a glass breakage procedure.	
2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	Total Compliance	5	5		Yes.	
2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	Total Compliance	5	5		Yes.	
2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	Total Compliance	10	10		Yes, there is a fully documented account that indicates how the trace back and trace forward system works.	
2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	Total Compliance	15	15		Yes.	
2.2.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	Minor Deficiency	7	10	Testing of recall procedures should be performed at least annually. Documentation should include time taken to carry out the mock recall, reconciliation of product, copies of relevant traceback paperwork and notes of any findings from the mock recall.	Testing of the recall procedure was performed; all documents were in place, but notes on how long the test took, and lessons learned were not included.	
2.2.4	Is there a written procedure for handling on hold or rejected products?	Total Compliance	10	10		Yes, the procedure states that on hold or rejected products are tagged with date, reason for rejection and the name of the person in charge of separating the product.	
2.3.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Total Compliance	5	5		Yes.	
2.3.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent	Total Compliance	5	5		Yes.	

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	chemicals, product sanitizers?				
2.3.3	Is there a chemical inventory and/ or usage log?	Total Compliance	3	3	Yes.
2.3.4	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	N/A	0	0	N/A. Score not affected. This is a cold storage facility, water and ice is not used.
2.4.1	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	Total Compliance	15	15	Yes, there is a written pest control program on file, a contract with an extermination company, pest control operator license and a copy of the current insurance documents.
2.4.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	Total Compliance	10	10	Yes, there is a schematic drawing of the facility showing all traps and bait stations.
2.4.3	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Total Compliance	10	10	Yes.
2.5.1	Where the auditee sells product to the customers is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective actions?	Total Compliance	5	5	Yes.
2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5	Yes, a food safety audit was performed 12/11/08 and corrective actions were noted.
2.5.3	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	N/A	0	0	N/A. Score not affected. This is a cooling facility and no processing activities take place.
2.5.4	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes, there is a Daily Pre-Operation Inspection Log.
2.5.5	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?	Minor Deficiency	7	10	In depth internal inspections should be performed and recorded in order to proactively ensure safe food production. Records should show corrective actions and/or action verifications should be shown on the next inspection report.
2.5.6	Are there equipment calibration procedures and records for pH meters,	Total Compliance	10	10	Yes.

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	ORP meters, thermometers and other measuring equipment related to the safety of the product?					
2.5.7	Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc?	Minor Deficiency	3	5	Recording systems for food safety related topics should be audited on a routine basis to ensure that they are being completed properly e.g. using the right log, right frequencies, recording results correctly, recording actions, etc.	Food safety record inspections are only done once a year.
2.5.8	Where the auditee buys product or packaging, does the facility have incoming goods (products, ingredients and packing materials) inspection data?	Total Compliance	5	5		Yes.
2.5.9	Where the auditee buys product or packaging, does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for products and packaging items?	Total Compliance	15	15		Yes.
2.5.10	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Total Compliance	10	10		Yes, inspection logs are kept for incoming trailers.
2.6.1	Does the facility have a preventative maintenance program and schedule?	Total Compliance	10	10		Yes the facility has a preventative maintenance program and schedule.
2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10		Yes.
2.6.3	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Minor Deficiency	7	10	A master sanitation program must be in place that covers the entire area of the facility, equipment and all other areas of the facility. The master sanitation schedule should include a list of areas and equipment to be cleaned as well as the frequency.	The cleaning schedule does not clearly define what is to be done weekly, monthly, and annually.
2.6.4	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Major Deficiency	3	10	The facility, all equipment, internal transport vehicles and shuttle trucks should be cleaned and sanitized on a regularly scheduled basis based on written Sanitation Standard Operating Procedures (SSOP's).	The cleaning procedures are missing detailed instructions.
2.6.5	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Minor Deficiency	3	5	Sanitation logs should be on file covering the entire area of the facility and equipment. Logs should include: date, list of areas/equipment that were cleaned, the individual	The sanitation log does not indicate who did the cleaning.

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accountable and signed-off
for each task completed.

2.6.6	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	Total Compliance	5	5	Yes.
2.6.7	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	Total Compliance	10	10	Yes, there are records that show all cooling units are cleaned and serviced annually.
2.7.1	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	Total Compliance	5	5	Yes.
2.7.2	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes.
2.7.3	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	Total Compliance	5	5	Yes.
2.7.4	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes.
2.8.1	Are there records of routine equipment microbiological testing?	N/A	0	0	N/A. Score not affected. Equipment microbiological testing is not required for this type of facility.
2.8.2	Are there records of routine environmental microbiological testing?	N/A	0	0	N/A. Score not affected. Environmental microbiological testing is not required for this type of facility.
2.8.3	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes, there is a current microbiological test on the water used at the site.
2.8.4	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	N/A	0	0	N/A. Score not affected. Ice is not used at this facility.
2.9.1	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes, there are temperature logs for all of the storage rooms.
2.9.2	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5	Yes.
2.9.3	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes.

Food Security

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
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3.1.1	Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?	Total Compliance	5	5		Yes, security fencing surrounds the critical entry points of this facility.
3.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	Total Compliance	10	10		Yes.
3.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound?	Total Compliance	5	5		Yes.
3.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	Total Compliance	5	5		Yes.
3.1.5	Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound?	Total Compliance	5	5		Yes.
3.2.1	Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)?	Total Compliance	5	5		Yes, background checks are conducted on all critical personnel.
3.2.2	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes.
3.2.3	Are employees issued non-reproducible identification badges?	Non-Compliance	0	5	Staff should have personal identifications that link them to the company. The IDâ€™s should have the employeeâ€™s number, photo and position within the organization.	No. Employees are not issued identification badges.
3.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	Total Compliance	5	5		Yes.
3.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	Total Compliance	5	5		Yes.
3.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	N/A	0	0		N/A. Score not affected. Flat bed trucks deliver produce to the facility.
3.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	Total Compliance	3	3		Yes.
NEW 3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way	Total Compliance	3	3		Yes.

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	radio?					
3.4.1	Are potable and non-potable water supply clearly identified?	Total Compliance	3	3		Yes.
3.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	Total Compliance	3	3		Yes.
3.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	N/A	0	0		N/A. Score not affected. This is a cold storage facility, and the only water used is for sanitation purposes.
3.5.1	Does the company have documented food security policies based on the risks associated with the operation?	Total Compliance	10	10		Yes.
NEW 3.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Total Compliance	3	3		Yes.
3.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	Total Compliance	10	10		Yes.
3.5.4	Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage?	Total Compliance	3	3		Yes.
3.5.5	Is there an implemented and documented system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)?	Total Compliance	3	3		Yes.
3.5.6	Is there a chemical inventory and/or usage log?	Total Compliance	3	3		Yes.

Miscellaneous Survey Questions

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
4.1.1	Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)?	Yes	0	0		Yes, the company has a policy against hiring minors.	
4.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	N/A	0	0		N/A. Score not affected. See 4.1.1.	
4.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	N/A	0	0		N/A. Score not affected. See 4.1.1.	
4.2.1	There are no allergen risks handled or stored on site?	Yes	0	0		Yes, there are no allergen risks on site.	
4.2.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	N/A	0	0		N/A. Score not affected. See 4.2.1.	

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4.2.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	N/A	0	0		N/A. Score not affected. See 4.2.1.
4.2.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	N/A	0	0		N/A. Score not affected. See 4.2.1.
4.2.5	Does re-work handling take into account the issue associated with allergen containing products?	N/A	0	0		N/A. Score not affected. See 4.2.1.
4.2.6	Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records?	N/A	0	0		N/A. Score not affected. See 4.2.1.
4.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0		N/A. Score not affected. See 4.2.1.





New Questions (Not part of overall Food Safety percentage)

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
5.1.1	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	N/A	0	0		N/A. Score not affected. CIP activities are not relevant to this operation.	
5.1.2	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	Non-Compliance	0	3	There should be a backflow prevention device on main water lines entering the facility and have backflow prevention devices on individual water lines within production areas. A trained inspector must verify the principle backflow prevention system annually.	No. Backflow inspections are not done at this time.	
5.1.3	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	N/A	0	0		N/A. Score not affected. Gloves are not required.	
5.1.4	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Non-Compliance	0	5	All employees should sign to say that they will abide by the company rules regarding personal hygiene/GMPs, health requirements and occupational safety rules.	No. Employees are not required to sign compliance documents at this time.	
5.1.5	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Total Compliance	3	3		Yes.	
5.1.6	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual	Total Compliance	3	3		Yes.	



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	records).				
5.1.7	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	N/A	0	0	N/A. Score not affected. Bandages were not observed during this audit.
5.1.8	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?	N/A	0	0	
5.1.9	Are all records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry?	Total Compliance	3	3	Yes.


Audit Scoring Summary

	Good Manufacturing Practices	Score	597
		Possible Points	618
		Percent Score	97%
	Food Safety File Requirements	Score	274
		Possible Points	294
		Percent Score	93%
	Miscellaneous Survey Questions	Score	0
		Possible Points	0
		Percent Score	0%
	Total	Score	871
		Possible Points	912
		Percent Score	96%


Food Security Scoring Summary

	Food Security	Score	94
		Possible Points	99
		Percent Score	95%
	Total	Score	94
		Possible Points	99
		Percent Score	95%

New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage)

	New Questions (Not part of overall Food Safety percentage)	Score	9
		Possible Points	17
		Percent Score	53%

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 Total	Score	9
	Possible Points	17
	Percent Score	53%

Score System For Entire Audit
Percentage/Category
95–100 Superior
90–94 Excellent
85–89 Good
80–84 Standard
<80 Unsatisfactory

Point System For Individual Questions				
Question Points	Total Compliance	Minor Deficiency	Major Deficiency	Non Compliance
15 Point Question	15 points	10 points	5 points	0 points
10 Point Question	10 points	7 points	3 points	0 points
5 Point Question	5 points	3 points	1 point	0 points
3 Point Question	3 points	2 points	1 point	0 points

Compliance Categories	
Full Compliance:	To meet the question and/or compliance criteria in full.
Minor Deficiency:	To have minor deficiencies against the question and/or compliance criteria. To have single or isolated non–severe deficiencies (usually up to three) against the question and/or compliance criteria. To have covered most of the question compliance criteria, but not all.
Major Deficiency:	To have major deficiencies against the question and/or compliance criteria. To have numerous non–severe deficiencies (usually more than three) against the question and/or compliance criteria. To have single or isolated severe deficiencies against the question and/or compliance criteria. To have covered some of the question compliance criteria, but not most of it.
Non–Compliance:	To have not met the question and/or compliance criteria requirements at all. Having systematic deficiencies against the question and/or compliance criteria (severe or non–severe issues).