


| FINAL AUDIT REPORT | | CB Registration No. PA-PGFS-4499-2 | PrimusGFS Version 3.0 | | | | |
|--|--|------------------------------------|--|------------|-------------|---|--|
| Operation Type: Packinghouse Audit Report Summary | | PrimusGFS ID #182289 - Cert:7 | Ver en Español | | | | |
| Organization: | Venida Packing Co. Contact(s): Chris Taniau Tammy Rodgers Address: 19823 Ave. 300 93221 Location: Exeter, California, United States Phone Number: (559)592-2816 | | | | | | |
| Operation: | Venida Packing Co. Contact(s): Tammy Rodgers Location: 19823 Ave. 300 Exeter, California 93221, United States | | | | | | |
| Shipper: | Venida Packing Co. | | | | | | |
| Operation Type: | Packinghouse | | | | | | |
| Audit Type: | Announced Audit | | | | | | |
| Audit Scope: | Packinghouse facility operating from May to November with 85 workers. Audited three buildings, repack room, packing building and cooler. The water is sourced from a well located on site. No allergens handled. Receiving conventional and organic fruit from owned orchards and outside growers. The fruit is received, stored in cold room at 32-34 F, then moved to packing line, dumped onto a belt, passed thru a rinse with fresh potable water-single pass, washed with chlorinated water 50 - 200 ppm single pass, rinsed with fresh potable water - single pass, fungicide and wax application - single use, graded, sized, packed, stored in cold room and shipped. | | | | | | |
| Date FSMS Started: | 20 Aug 2019 10:00 | | | | | | |
| Date FSMS Finished: | 20 Aug 2019 12:00 | | | | | | |
| Total Amount of Time in FSMS | 2.00 Hours | | | | | | |
| Date Operation Started: | 20 Aug 2019 08:00 | | | | | | |
| Date Operation Finished: | 20 Aug 2019 16:00 | | | | | | |
| Total Amount of Time in Operation | 6.00 Hours | | | | | | |
| Addendum(s) included on the audit: | U.S. FDA FSMA Preventive Controls for Human Food. | | | | | | |
| Product(s) observed during audit: | Plums | | | | | | |
| Similar product(s)/process(es) not observed: | Kiwi Fruit, Persimmons / Sharon Fruit, Prunes | | | | | | |
| Product(s) applied for but not observed: | None | | | | | | |
| Auditor: | Graciela Adame (Primus Auditing Operations) | | | | | | |
| Preliminary Audit Score: | 92% | | | | | | |
| Final Audit Score: | 96% | | | | | | |
| Certificate Valid From: | 04 Oct 2019 To 03 Oct 2020 | | | | | | |
| GPS Coordinates: | <table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>36° 20' 2"</td> <td>119° 7' 46"</td> </tr> </tbody> </table> | Latitude | Longitude | 36° 20' 2" | 119° 7' 46" |  Click here to see map | |
| Latitude | Longitude | | | | | | |
| 36° 20' 2" | 119° 7' 46" | | | | | | |
| | | View Certificate | Corrective Action Activity | | | | |

| Information related to the audited operation | | | |
|--|-------------------|---|--|
| Total number of workers: | 85 | Maximum worker number during peak season: | 85 |
| Number of lines in normal production: | 2 | Number of lines running during the audit: | 1 |
| Square Footage/Meters: | 46500 Square feet | Are/Is a CCP(s) identified: | No |
| Allergens: | No | Allergen type(s): | |
| Temperature Controlled Storage: | Yes | Wet or dry: | Wet-Product Wash Step without Reused Water |
| Water Source: | Well | | |

| Product information for each product | | | | | |
|--------------------------------------|-------------------------------|--------------------------|-------------------|--------------------------|-----------------------------|
| | | Operation Process(es) | | | |
| Product Group/Product Name | Seasonality | Cultural Methods | Cooling Equipment | Water Used | Antimicrobial Used |
| Kiwi Fruit | From: October To: November | Organic, Conventional | Forced Air | Single pass water system | Sodium/Calcium hypochlorite |
| Persimmons / Sharon Fruit | From: October To: November | Organic, Conventional | Forced Air | Single pass water system | Sodium/Calcium hypochlorite |
| Plums | From: June To: September | Conventional, Organic | Forced Air | Single pass water system | Sodium/Calcium hypochlorite |
| Prunes | From: July To: July | Organic, Conventional | Forced Air | Single pass water system | Sodium/Calcium hypochlorite |

| AUDIT SCORING SUMMARY | Pre-Corrective Action Review | | Post-Corrective Action Review | |
|--|--|--|--|--|
| Food Safety Management System Requirements | Score: 210 Possible Points: 224 Percent Score: 93% | Score: 222 Possible Points: 224 Percent Score: 99% | Score: 222 Possible Points: 224 Percent Score: 99% | Score: 222 Possible Points: 224 Percent Score: 99% |
| Module 5 - Good Manufacturing Practices Requirements | Score: 1070 Possible Points: 1155 Percent Score: 92% | Score: 1098 Possible Points: 1155 Percent Score: 95% | Score: 1098 Possible Points: 1155 Percent Score: 95% | Score: 1098 Possible Points: 1155 Percent Score: 95% |
| Module 6 - HACCP System Requirements | Score: 80 Possible Points: 85 Percent Score: 94% | Score: 85 Possible Points: 85 Percent Score: 100% | Score: 85 Possible Points: 85 Percent Score: 100% | Score: 85 Possible Points: 85 Percent Score: 100% |
| Module 7 - Preventive Controls Program | Score: 75 Possible Points: 85 Percent Score: 88% | Score: 85 Possible Points: 85 Percent Score: 100% | Score: 85 Possible Points: 85 Percent Score: 100% | Score: 85 Possible Points: 85 Percent Score: 100% |
| TOTAL | Score: 1435 Possible Points: 1549 Percent Score: 92% | Score: 1490 Possible Points: 1549 Percent Score: 96% | Score: 1490 Possible Points: 1549 Percent Score: 96% | Score: 1490 Possible Points: 1549 Percent Score: 96% |

| Non-Conformance Summary By Count | Pre-Corrective Action Non-Conformances | Post-Corrective Action Non-Conformances |
|--|--|---|
| Food Safety Management System Requirements | 4 | 1 |
| Module 5 - Good Manufacturing Practices Requirements | 19 | 14 |
| Module 6 - HACCP System Requirements | 1 | 0 |
| Module 7 - Preventive Controls Program | 2 | 0 |
| TOTAL | 26 | 15 |

SECTIONS:

| Food Safety Management System Requirements | Module 5 - Good Manufacturing Practices Requirements | Module 6 - HACCP System Requirements | Module 7 - Preventive Controls Program |
|--|--|--|--|
| Management System | General GMP | Preliminary Steps | Preliminary Steps |
| Control of Documents and Records | Pest Control | Development of the HACCP Plan | Development of the Preventive Controls Program |
| Procedures and Corrective Actions | Storage Areas & Packaging Materials | Execution of the HACCP Plan on the Plant Floor | Execution of the Preventive Controls Program |
| Internal and External Inspections | Operational Practices | | |
| Release of Items/Product | Worker Practices | | |
| Supplier Monitoring/Control | Equipment | | |
| Traceability and Recall | Equipment Cleaning | | |
| Food Defense | General Cleaning | | |
| | Site | | |
| | Buildings and Grounds | | |
| | Chemical Files | | |

| |
|--|
| Pest Control Documentation |
| Operation Monitoring Records |
| Maintenance & Sanitation Files |
| Worker Documentation |
| Testing |
| Temperature Controlled Storage & Distribution Logs |
| Allergen Control |

| FSMS Management System | | | | | | | | | | | | | | | | | | | |
|---|---|--|-------------------|----------------------------|--|--|--------------|--|--|-----|------------------|----|--|----------------|----|--|------------|------------------|--|
| 1.01.01 | <p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p> <p>Auditor Comments: Yes, there is a documented food safety policy signed by the General Manager of the Company on 6/4/19. Posted in the break room.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td>Possible Points: 5</td> <td>Points Scored: 5</td> <td>Score: Total Compliance</td> </tr> </table> | | Possible Points: 5 | Points Scored: 5 | Score: Total Compliance | | | | | | | | | | | | | | | |
| Possible Points: 5 | Points Scored: 5 | Score: Total Compliance | | | | | | | | | | | | | | | | | |
| 1.01.02 | <p>Question: Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p> <p>Auditor Comments: Yes. Food Safety Organizational Chart indicating positions, revised on 04/15/19. Job descriptions and alternates were available for review on a separate document. Tammy Rodgers is the person responsible for Food Safety.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td>Possible Points: 10</td> <td>Points Scored: 10</td> <td>Score: Total Compliance</td> </tr> </table> | | Possible Points: 10 | Points Scored: 10 | Score: Total Compliance | | | | | | | | | | | | | | | |
| Possible Points: 10 | Points Scored: 10 | Score: Total Compliance | | | | | | | | | | | | | | | | | |
| 1.01.03 | <p>Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p> <p>Auditor Comments: Yes. There is a team conformed by 11 individuals. Reviewed weekly meeting minutes. Topics covered: production, upcoming audit, surveillance audit, new hire, pending training and sanitation during slow time.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td>Possible Points: 5</td> <td>Points Scored: 5</td> <td>Score: Total Compliance</td> </tr> </table> | | Possible Points: 5 | Points Scored: 5 | Score: Total Compliance | | | | | | | | | | | | | | | |
| Possible Points: 5 | Points Scored: 5 | Score: Total Compliance | | | | | | | | | | | | | | | | | |
| 1.01.04 | <p>Question: Is there a training management system in place that shows what types of trainings are required for various job roles of specific workers, including who has been trained, when they were trained, which trainings they still need to take, and a training schedule?</p> <p>Auditor Comments: Minor. The training matrix is missing some training topics, dates of training completed and pending training. The chart indicates positions, frequencies and some topics. Workers receive food safety training pre-season and mid season.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: Training Matrix updated and filled in using existing training records.</td> <td>View Files</td> </tr> <tr> <td colspan="2"></td> <td>CA Accepted?</td> </tr> <tr> <td colspan="2">CB/Auditor Review Comments: Accepted.</td> <td>Yes</td> </tr> <tr> <td>Possible Points:</td> <td>5</td> <td></td> </tr> <tr> <td>Points Scored:</td> <td>5</td> <td></td> </tr> <tr> <td>New Score:</td> <td>Total Compliance</td> <td></td> </tr> </table> | | Auditee Comments: Training Matrix updated and filled in using existing training records. | | View Files | | | CA Accepted? | CB/Auditor Review Comments: Accepted. | | Yes | Possible Points: | 5 | | Points Scored: | 5 | | New Score: | Total Compliance | |
| Auditee Comments: Training Matrix updated and filled in using existing training records. | | View Files | | | | | | | | | | | | | | | | | |
| | | CA Accepted? | | | | | | | | | | | | | | | | | |
| CB/Auditor Review Comments: Accepted. | | Yes | | | | | | | | | | | | | | | | | |
| Possible Points: | 5 | | | | | | | | | | | | | | | | | | |
| Points Scored: | 5 | | | | | | | | | | | | | | | | | | |
| New Score: | Total Compliance | | | | | | | | | | | | | | | | | | |
| 1.01.05 | <p>Question: Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?</p> <p>Auditor Comments: Major. Only reviewing the hazard (HACCP), preventive control analysis and resource analysis, last done on 06/04/2019. No other programs included.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: At August 27th weekly staff meeting, handed out a copy of all programs from the Food Safety Manual for everyone to read and make notes on. All members included. The entire program was reviewed over the last three weeks.</td> <td>View Files</td> </tr> <tr> <td colspan="2"></td> <td>CA Accepted?</td> </tr> <tr> <td colspan="2">CB/Auditor Review Comments: Accepted</td> <td>Yes</td> </tr> <tr> <td>Possible Points:</td> <td>10</td> <td></td> </tr> <tr> <td>Points Scored:</td> <td>10</td> <td></td> </tr> <tr> <td>New Score:</td> <td>Total Compliance</td> <td></td> </tr> </table> | | Auditee Comments: At August 27th weekly staff meeting, handed out a copy of all programs from the Food Safety Manual for everyone to read and make notes on. All members included. The entire program was reviewed over the last three weeks. | | View Files | | | CA Accepted? | CB/Auditor Review Comments: Accepted | | Yes | Possible Points: | 10 | | Points Scored: | 10 | | New Score: | Total Compliance | |
| Auditee Comments: At August 27th weekly staff meeting, handed out a copy of all programs from the Food Safety Manual for everyone to read and make notes on. All members included. The entire program was reviewed over the last three weeks. | | View Files | | | | | | | | | | | | | | | | | |
| | | CA Accepted? | | | | | | | | | | | | | | | | | |
| CB/Auditor Review Comments: Accepted | | Yes | | | | | | | | | | | | | | | | | |
| Possible Points: | 10 | | | | | | | | | | | | | | | | | | |
| Points Scored: | 10 | | | | | | | | | | | | | | | | | | |
| New Score: | Total Compliance | | | | | | | | | | | | | | | | | | |
| 1.01.06 | <p>Question: Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?</p> <p>Auditor Comments: Yes. Food safety guidelines for fresh, whole stone fruit produced in California's San Joaquin Valley.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td>Possible Points: 3</td> <td>Points Scored: 3</td> <td>Score: Total Compliance</td> </tr> </table> | | Possible Points: 3 | Points Scored: 3 | Score: Total Compliance | | | | | | | | | | | | | | | |
| Possible Points: 3 | Points Scored: 3 | Score: Total Compliance | | | | | | | | | | | | | | | | | |
| FSMS Control of Documents and Records | | | | | | | | | | | | | | | | | | | |
| 1.02.01 | <p>Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?</p> <p>Auditor Comments: Yes. There is a detailed procedure named Document control and record SOP, indicating the revision, and storage of documents. Document control and revision log is maintained.</p> | | | | | | | | | | | | | | | | | | |
| <table border="1"> <tr> <td>Possible Points: 3</td> <td>Points Scored: 3</td> <td>Score: Total Compliance</td> </tr> </table> | | Possible Points: 3 | Points Scored: 3 | Score: Total Compliance | | | | | | | | | | | | | | | |
| Possible Points: 3 | Points Scored: 3 | Score: Total Compliance | | | | | | | | | | | | | | | | | |

| | | |
|---------|--|--|
| 1.02.02 | <p>Question: Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?</p> <p>Auditor Comments: Yes. According to written policy, records are kept for 24 months.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.02.03 | <p>Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?</p> <p>Auditor Comments: Yes. Paper records are kept in the office in labeled binders with limited access.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |
| 1.02.04 | <p>Question: Are records maintained in an organized and retrievable manner?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |
| 1.02.05 | <p>Question: Are all records and test results that can have an impact on the food safety program reviewed and signed off by the person responsible for the food safety program?</p> <p>Auditor Comments: Yes. Tammy Rodgers reviews and stamps the food safety related records such water testing.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |

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

| | | |
|---------|--|--|
| 1.03.01 | <p>Question: Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?</p> <p>Auditor Comments: Yes. There is a written SOP Development document that describes the document generation, storage, and revision.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.03.02 | <p>Question: Are the written procedures available to relevant users and is a master copy maintained in a central file?</p> <p>Auditor Comments: Yes. The master copy of the procedures is kept in the office available for reference.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.03.03 | <p>Question: Is there a documented corrective action procedure that describes the required processes for handling non-conformances affecting food safety?</p> <p>Auditor Comments: Yes. The procedure is described on the Corrective action procedure DOC 1.04, describing the investigation process, corrective and preventive action implementation and follow up.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.03.04 | <p>Question: Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?</p> <p>Auditor Comments: Yes. Notice of Unusual Occurrence and corrective action log is in place. 5/27/19 pump at the well went out, replaced the same day and water test conducted.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |

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

| | | |
|---------|--|--|
| 1.04.01 | <p>Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?</p> <p>Auditor Comments: Yes. There is a program named Self-audit procedure DOC 1.05. Done three times during season against the PrimusGFS checklists. Monthly records review log. PGFS checklist completed on 6/5/19.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 1.04.02 | <p>Question: Are there written procedures for handling regulatory inspections?</p> <p>Auditor Comments: Yes. It is outlined on the Handling Regulatory Audits SOP DOC 1.06. Describing process from Inspector arrival, sampling, photo taking and follow up.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |
| 1.04.03 | <p>Question: Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?</p> <p>Auditor Comments: Yes. There were records of the previous third party audit, PGFS - PAO 2018.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.04.04 | <p>Question: Are there documented calibration and/or accuracy verification procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?</p> <p>Auditor Comments: Yes. There is a calibrating procedure DOC 1.07. Handheld thermometers - monthly. Cold room probes - annually. Scales - biannually. Using Hygiena Ultrasnap machine calibrated monthly following Hygiena SOP.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 1.04.05 | <p>Question: Are calibration and/or accuracy verification records maintained and are they consistent with the requirements outlined in the SOP(s) for instruments and measuring devices requiring calibration?</p> <p>Auditor Comments: Yes. There are annual cold room probe calibration records, last done on 08/08/19 by in house personnel. Monthly handheld unit calibration recorded on the Daily room/pulp temperature/safety check. Monthly ATP machine calibration reports are on file.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |

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

| | | |
|---------|--|--|
| 1.05.01 | <p>Question: Is there a written procedure for handling on hold and rejected items?</p> <p>Auditor Comments: Yes. There is a procedure named DOC 1.08 Handling on-hold or rejected product/product release SOP.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.05.02 | <p>Question: Are there records of the handling of on hold and rejected items kept on file?</p> <p>Auditor Comments: N/A. Per Auditee, there have not been product rejections or on hold.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 1.05.03 | <p>Question: Is there a documented product release procedure available?</p> <p>Auditor Comments: Yes. There is a procedure named DOC 1.08 Handling on-hold or rejected product/product release SOP.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.05.04 | <p>Question: Are there records of product releases kept on file?</p> <p>Auditor Comments: Yes. The packed fruit is released for shipping by designated personnel and indicated on the Daily Run Sheets.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.05.05 | <p>Question: Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?</p> <p>Auditor Comments: Yes. There is a procedure named Handling customer and buyer complaints indicating the steps such notification to responsible parties, establish root cause analysis, determine action plan, records keeping and management review.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |

FSMS Supplier Monitoring/Control

| | | |
|---------|---|--|
| 1.06.01 | <p>Question: Is there a list of approved suppliers and service providers?</p> <p>Auditor Comments: Yes. There is a complete list of approved suppliers. Packaging: Maxco Supply, Georgia Pacific, Mid Valley Packaging, I.B.S. Seaca, Sinclair, Hobb's Container, Pace International, Ernest Packaging, San Joaquin Pest Control, Central Valley Air. Cold Storage Technologies and Valley Pack Line.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.06.02 | <p>Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including packaging), services provided on-site, and outsourced services?</p> <p>Auditor Comments: Yes. There are written specifications for raw materials, packaging materials, services, chemicals and laboratory. DOC 1-10 Approved suppliers and specifications.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.06.03 | <p>Question: Is there a written procedure detailing how suppliers and service providers are evaluated, including hazard analysis and supplier control of hazards (where applicable), supplier approval, and ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.</p> <p>Auditor Comments: Yes. There is a written procedure indicating the process for supplier approval and evaluation named DOC 1-10 Approved suppliers and specifications.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 1.06.04 | <p>Question: Does the organization have documented evidence to ensure that all incoming products, ingredients, materials, services provided on-site and outsourced service suppliers comply with the approval requirements and that all supplier verification activities (including monitoring) are being followed, as defined in the supplier approval procedure?</p> <p>Auditor Comments: Yes. Packaging material supplier provided letter of guarantee and food safety third party audits. Service supplier provided letter of guarantee or licenses.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 1.06.05 | <p>Question: Where food safety related testing is being performed by external laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?</p> <p>Auditor Comments: Yes. Fruit Growers Laboratory Inc. ELAP 2810 (water testing) and ISO/IEC certificate # L18-366.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |

FSMS Traceability and Recall

| | | |
|---|--|--|
| 1.07.01 | <p>Question: Is there a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?</p> <p>Auditor Comments: Minor. There is a written traceability SOP. However, the primary packaging material is not included on the system. Bags and clamshells are marked with run number and field ID. Boxes with GTIN number. Mock recall during the audit involved plums with field code 1X76BLKT160 stating at 11:59 am and finished at 12:20 pm involved 2087 cartons, 2007 in inventory and 80 shipped.</p> | <p>Possible Points: 10 Points Scored: 7 Score: Minor Deficiency</p> |
| <p>Auditee Comments: Added Primary Packaging to the SOP. First had the QC team write the packaging used on the QC sheets, but then created a Primary Packaging log.</p> <p style="text-align: right;">View Files</p> | | |
| <p>CA Accepted?</p> <p>Yes</p> <p>CB/Auditor Review Comments: Accepted.</p> | | <p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p> |

| | | | | | | | | | | | |
|---|---|---|---|--|----------------------------|--|--------------|--|---|------------|--|
| 1.07.02 | <p>Question: Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings, requirement for recall effectiveness checks, explanation of different recall classes and handling of recalled product?</p> <p>Auditor Comments: Yes. There is a documented product recall program DOC 1-13 with all elements to comply with requirements.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | | |
| 1.07.03 | <p>Question: Is testing of recall procedures (including trace back) performed and documented at least every six months, and the company can demonstrate the ability to trace materials (one step forward, one step back) effectively?</p> <p>Auditor Comments: Yes. Mock recall done several times per season. Last performed on 08/16/2019 involving 5112 boxes of plums starting at 1:45 pm and concluded at 2:15 pm.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| FSMS Food Defense | | | | | | | | | | | |
| 1.08.01 | <p>Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?</p> <p>Auditor Comments: Minor. There is a Food fraud protection plan SOP - DOC 1-14. However, a FFVA assessment was not conducted.</p> | <p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p> | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: An FFVA assessment was conducted. All members were included.</td> <td align="right">View Files</td> </tr> <tr> <td></td> <td align="center">CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. The document attached do not indicate the types of possible frauds considered.</td> <td align="center">No</td> <td> Possible Points: 5 Points Scored: 3 </td> </tr> </table> | | | Auditee Comments: An FFVA assessment was conducted. All members were included. | | View Files | | CA Accepted? | | CB/Auditor Review Comments: Rejected. The document attached do not indicate the types of possible frauds considered. | No | Possible Points: 5 Points Scored: 3 |
| Auditee Comments: An FFVA assessment was conducted. All members were included. | | View Files | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Rejected. The document attached do not indicate the types of possible frauds considered. | No | Possible Points: 5 Points Scored: 3 | | | | | | | | | |
| 1.08.02 | <p>Question: Does the company have a documented food defense plan based on the risks associated with the operation?</p> <p>Auditor Comments: Yes. There is a written food defense policy covering visitors, employees and security measures in all areas.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 1.08.03 | <p>Question: Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?</p> <p>Auditor Comments: Yes. There are visitor sign in sheets and training records.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 1.08.04 | <p>Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?</p> <p>Auditor Comments: Yes. There is a list of emergency contacts with internal and external numbers.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | | | | |
| 1.08.05 | <p>Question: Are visitors and contractors to the company operations required to adhere to food defense procedures?</p> <p>Auditor Comments: Yes. There are visitor's policies, required to be read and sign before accessing the premises.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | | | | |
| GMP General GMP | | | | | | | | | | | |
| 5.01.01 | <p>Question: Is there a designated person responsible for the operation's food safety program?</p> <p>Auditor Comments: Yes. Tammy Rodgers is responsible for the food safety program, her training certificates were presented during the audit.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| 5.01.02 | <p>Question: Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?</p> <p>Auditor Comments: Yes. Cleaning chemicals were properly stored in locked area with the appropriate labels.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | | |
| 5.01.03 | <p>Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and stored in a controlled manner?</p> <p>Auditor Comments: Minor. A food grade lubricant was found in cabinet with food grade materials.</p> | <p>Possible Points: 10 Points Scored: 7 Score: Minor Deficiency</p> | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: Retrained maintenance on chemical storage.</td> <td align="right">View Files</td> </tr> <tr> <td></td> <td align="center">CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Accepted</td> <td align="center">Yes</td> <td> Possible Points: 10 Points Scored: 10 New Score: Total Compliance </td> </tr> </table> | | | Auditee Comments: Retrained maintenance on chemical storage. | | View Files | | CA Accepted? | | CB/Auditor Review Comments: Accepted | Yes | Possible Points: 10 Points Scored: 10 New Score: Total Compliance |
| Auditee Comments: Retrained maintenance on chemical storage. | | View Files | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Accepted | Yes | Possible Points: 10 Points Scored: 10 New Score: Total Compliance | | | | | | | | | |
| 5.01.04 | <p>Question: Are signs supporting GMPs posted appropriately?</p> <p>Auditor Comments: Yes. There are GMPs supporting signs at the entrance of the production area, in the restrooms, break room and in hand washing area.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |

| 5.01.05 | <p>Question: Are the necessary food defense controls implemented in the operation?</p> <p>Auditor Comments: Yes. The facility has door locks, some fencing and gates and security cameras.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
|--|---|--|--|--------------|--|---|------------|--|
| GMP Pest Control | | | | | | | | |
| 5.02.01 | <p>Question: Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p> <p>Auditor Comments: Yes. Products are ingredients were observed free of pest evidence.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| 5.02.02 | <p>Question: Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p> <p>Auditor Comments: Yes. Packaging materials were free of pest evidence.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| 5.02.03 | <p>Question: Are plant and storage areas free of insects/rodents/birds/reptiles/mammals, or any evidence of them?</p> <p>Auditor Comments: Minor. Cobwebs observed in pallet with packaging materials, none in direct contact with materials.</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> | | | | | | |
| <p>Auditee Comments: Cleaning crew retrained on removal of spider webs and also trained on SSOP's since new members were added and new cleaning processes were being implemented. View Files</p> <table border="1"> <thead> <tr> <th></th> <th>CA Accepted?</th> <th></th> </tr> </thead> <tbody> <tr> <td>CB/Auditor Review Comments: Accepted</td> <td style="text-align: center;">Yes</td> <td> <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> </td> </tr> </tbody> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> | | | | | | |
| 5.02.04 | <p>Question: Is the area outside the facility free of evidence of pest activity?</p> <p>Auditor Comments: Yes. The exterior of the facility was observed free of pest activity.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.02.05 | <p>Question: Is there an effective pest control program in place? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p> <p>Auditor Comments: Yes. There is an effective pest control program implemented. Service provided by San Joaquin Pest Control.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| 5.02.06 | <p>Question: Are pest control devices located away from exposed raw materials, work-in-progress, ingredients (including water and ice), finished goods and packaging, and poisonous rodent bait traps are not used within the facility?</p> <p>Auditor Comments: Yes. Pest control devices are located in compliance with audit requirements, baited stations are only installed in the exterior of the facility.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.02.07 | <p>Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?</p> <p>Auditor Comments: Yes. Pest control devices are maintained clean and in good working conditions. Serviced bi weekly by contracted Company and weekly in house.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.02.08 | <p>Question: Are interior and exterior building perimeter pest control devices adequate in number and location?</p> <p>Auditor Comments: Yes. Pest control devices are adequate in number and location.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.02.09 | <p>Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?</p> <p>Auditor Comments: Yes. All pest control devices inspected were identified with a unique number and barcoded.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.02.10 | <p>Question: Are all pest control devices effective and bait traps secured?</p> <p>Auditor Comments: Yes. The baited stations were secured to the walls with chains and locked.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| GMP Storage Areas & Packaging Materials | | | | | | | | |
| 5.03.01 | <p>Question: Does the facility layout ensure separation of ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well as any allergen cross contamination issues)?</p> <p>Auditor Comments: Yes. The layout of the facility prevent cross contamination issues. Finished products are separated from received raw products.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |

| | | | | | | | | | | | |
|--|--|--|---|--|--|--|--------------|--|--|----|--|
| 5.03.02 | <p>Question: Is the storage area completely enclosed?</p> | <p>Possible Points: 10 Points Scored: 3 Score: Major Deficiency</p> | | | | | | | | | |
| | <p>Auditor Comments: Major. The storage of cardboard boxes is not enclosed. Pallets kept covered with plastic shroud and pest control stations installed in these areas.</p> | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="3">Auditee Comments: We have no inside storage room.</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted.</td> <td>No</td> <td>Possible Points: 10 Points Scored: 3</td> </tr> </table> | | | Auditee Comments: We have no inside storage room. | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | No | Possible Points: 10 Points Scored: 3 |
| Auditee Comments: We have no inside storage room. | | | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | No | Possible Points: 10 Points Scored: 3 | | | | | | | | | |
| 5.03.03 | <p>Question: Is the facility's use restricted to the storage of food products?</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. The facility is restricted to storage of food products.</p> | | | | | | | | | | |
| 5.03.04 | <p>Question: Are rejected or on hold materials clearly identified and separated from other materials?</p> | <p>Possible Points: 0 Points Scored: 0 Score: NA</p> | | | | | | | | | |
| | <p>Auditor Comments: N/A. On hold products were not observed, however, policy and tags were available and a designated area in a cold room in north building.</p> | | | | | | | | | | |
| 5.03.05 | <p>Question: Are raw products, work in progress, ingredients (including water and ice), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Products and packaging materials were free from adulteration issues at the time of the audit.</p> | | | | | | | | | | |
| 5.03.06 | <p>Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. All storage areas including packaging and produce were visibly clean i.e. walls, doors, curtains and floors. See further section for ceiling conditions.</p> | | | | | | | | | | |
| 5.03.07 | <p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Packaging materials and produce are rotated based on information from receiving documents i.e bin tags with receiving dates.</p> | | | | | | | | | | |
| 5.03.08 | <p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. A FIFO policy is implemented with products and packaging materials.</p> | | | | | | | | | | |
| 5.03.09 | <p>Question: Are storage areas at the appropriate temperatures for the specific products being stored?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Proper room temperatures are maintained for the product being stored, < 40 F.</p> | | | | | | | | | | |
| <p>GMP Operational Practices</p> | | | | | | | | | | | |
| 5.04.01 | <p>Question: Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. The process flow prevent cross contamination issues in the facility.</p> | | | | | | | | | | |
| 5.04.02 | <p>Question: Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Issues related to overhead contamination were not observed.</p> | | | | | | | | | | |
| 5.04.03 | <p>Question: Are production areas completely enclosed?</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> | | | | | | | | | |
| | <p>Auditor Comments: Minor. The product dumping/washing area as well as one set off line are not completely enclosed.</p> | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="3">Auditee Comments: Dump is outside due to kiwi fuzz and part of our palletization is done outside due to lack of space.</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td>No</td> <td>Possible Points: 15 Points Scored: 10</td> </tr> </table> | | | Auditee Comments: Dump is outside due to kiwi fuzz and part of our palletization is done outside due to lack of space. | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 |
| Auditee Comments: Dump is outside due to kiwi fuzz and part of our palletization is done outside due to lack of space. | | | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 | | | | | | | | | |

| | | |
|------------------------------------|---|--|
| 5.04.04 | <p>Question: Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls and equipment, and other hard to reach areas?</p> <p>Auditor Comments: Yes. The production rooms were clean and well maintained; lighting, floors, walls and equipment.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.04.05 | <p>Question: Is all re-work / re-packaging handled correctly?</p> <p>Auditor Comments: N/A. Re-packing activities were not observed during the audit. There is a designated building for repacking.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.04.06 | <p>Question: Are raw ingredients examined before use?</p> <p>Auditor Comments: Yes. Products are visually inspected when sorting.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.04.07 | <p>Question: Are finished products coded (carton and unit packaging) for the day of production?</p> <p>Auditor Comments: Yes. Bags and clamshells are marked with run number and field ID.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.04.08 | <p>Question: Are foreign material control methods (e.g. metal detectors, metal traps, magnets, visual inspection, x-ray machines, etc.) in place and regularly tested (where relevant) to ensure proper operation?</p> <p>Auditor Comments: Yes. Only visual inspections are conducted.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.04.09 | <p>Question: Does the facility use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product contact water, terminal sanitizers, dip stations, etc.) being used, are they in operational condition and are they being used correctly?</p> <p>Auditor Comments: Yes. Total and free chlorine test strips are used to monitor anti microbial in the product wash step and in bin washing machine. These were not expired or damaged, used at the time of the audit.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.04.10 | <p>Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?</p> <p>Auditor Comments: Yes. There is a hand washing stations located in the packing area and outside the restrooms by break area. Hand wash stations also available inside the restrooms.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.04.11 | <p>Question: Are hand washing stations in working order, have water of suitable temperature and pressure, adequately stocked (e.g. disposable towels, unscented soap, etc.) and restricted to hand washing purposes only?</p> <p>Auditor Comments: Yes. The hand washing stations were stocked with warm water, perfume free soap and disposable paper towels.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.04.12 | <p>Question: Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?</p> <p>Auditor Comments: Yes. The toilet facilities are adequate in number and locations, properly stocked with hand washing stations.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.04.13 | <p>Question: Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations maintained properly?</p> <p>Auditor Comments: Yes. There are dispenser with foam sanitizer in several areas of the facility, Purell.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.04.14 | <p>Question: Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?</p> <p>Auditor Comments: N/A. Not applicable for this type of operation.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.04.15 | <p>Question: Are single service containers used for their intended purpose only so that potential cross contamination is prevented?</p> <p>Auditor Comments: Yes. Single service containers were used for that purpose only.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.04.16 | <p>Question: Are re-usable containers cleanable or used with a liner and clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?</p> <p>Auditor Comments: Yes. Reusable containers are limited to trash cans and were used for those purpose only.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.04.17 | <p>Question: Are devices used to measure, regulate or control temperature, pH, acidity, water activity, and other conditions that affect food safety, working properly and adequately maintained?</p> <p>Auditor Comments: Yes. Wall thermometers were working properly.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |
| <p>GMP Worker Practices</p> | | |

| | | | | | | | | | | | |
|--|---|--|--|--|--|--|--------------|--|--|-----------|--|
| 5.05.01 | <p>Question: Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?</p> <p>Auditor Comments: N/A. Activity was not observed during the audit.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | | | | |
| 5.05.02 | <p>Question: Are workers' fingernails clean, short and free of nail polish?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.03 | <p>Question: Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?</p> <p>Auditor Comments: Yes. There were no signs of ill employees.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.04 | <p>Question: Are workers wearing effective hair nets that contain all hair?</p> <p>Auditor Comments: Yes. Hair restraints are provided to workers and visitors.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.05 | <p>Question: Is jewelry confined to a plain wedding band and watches are not worn?</p> <p>Auditor Comments: Yes. Workers were free of exposed jewelry at the time of the audit.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.06 | <p>Question: Are all workers wearing outer garments suitable for the operation (e.g., appropriate clothes, smocks, aprons, sleeves, non-latex gloves)?</p> <p>Auditor Comments: Minor. Workers bring their own apron and wash them. One packer wearing different gloves as the ones provided by the Company. Nitrile gloves are provided.</p> | <p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p> | | | | | | | | | |
| <table border="1" style="width: 100%;"> <tr> <td colspan="3">Auditee Comments: We do not have a plan for company supplied and laundered aprons at this time. Lady was retrained on only wearing company supplied gloves.</td> </tr> <tr> <td style="width: 60%;"></td> <td style="width: 10%; text-align: center;">CA Accepted?</td> <td style="width: 30%;"></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td style="text-align: center;">No</td> <td> <p>Possible Points: 5 Points Scored: 3</p> </td> </tr> </table> | | | Auditee Comments: We do not have a plan for company supplied and laundered aprons at this time. Lady was retrained on only wearing company supplied gloves. | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No | <p>Possible Points: 5 Points Scored: 3</p> |
| Auditee Comments: We do not have a plan for company supplied and laundered aprons at this time. Lady was retrained on only wearing company supplied gloves. | | | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | <p>Possible Points: 5 Points Scored: 3</p> | | | | | | | | | |
| 5.05.07 | <p>Question: Do workers remove protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break, before using the toilets and when going home at the end of their shift?</p> <p>Auditor Comments: Yes. Workers remove the garments when leaving the production areas.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.08 | <p>Question: Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilets?</p> <p>Auditor Comments: Yes. There are designated areas to keep the garments.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.09 | <p>Question: Worker personal items are not being stored in the production or material storage area(s)?</p> <p>Auditor Comments: Yes. All personal belongings were observed in the break area only.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.10 | <p>Question: Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?</p> <p>Auditor Comments: Yes. There are designated areas for these activities.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.11 | <p>Question: Is fresh potable drinking water readily accessible to workers?</p> <p>Auditor Comments: Yes. Fresh potable water is provided to workers.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.12 | <p>Question: Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of head, Bluetooth devices, etc.)?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.13 | <p>Question: Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)?</p> <p>Auditor Comments: Yes. Photo ID/badges are provided to workers.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |
| 5.05.14 | <p>Question: Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?</p> <p>Auditor Comments: Yes. The first aid kit was well stocked with metal detectable band aids.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | | | | |

| | | | | | | | | |
|---|--|---|--|--------------|--|--|-----------|--|
| 5.06.01 | <p>Question: Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> | | | | | | |
| | <p>Auditor Comments: Minor. Sizer observed with excess of PLU stickers.</p> | | | | | | | |
| <p>Auditee Comments: We completely removed all stickers from sizer.</p> | | | | | | | | |
| <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td>No</td> <td>Possible Points: 15 Points Scored: 10</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 | | | | | | |
| 5.06.02 | <p>Question: Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. Non food contact surfaces were free of unhygienic materials.</p> | | | | | | | |
| 5.06.03 | <p>Question: Does food contact equipment design, placement, and condition (e.g., smooth surfaces, smooth weld seams, non-toxic materials, corrosion-resistant, no wood or other absorbent materials) facilitate effective cleaning and maintenance?</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> | | | | | | |
| | <p>Auditor Comments: Minor. Porous material observed in the packing tables.</p> | | | | | | | |
| <p>Auditee Comments: This will be repaired prior to kiwi season.</p> | | | | | | | | |
| <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td>No</td> <td>Possible Points: 15 Points Scored: 10</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 15 Points Scored: 10 | | | | | | |
| 5.06.04 | <p>Question: Are thermometers (independent of thermostat probes) present in all coolers and freezers?</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. There are wall independent thermometers in the rooms.</p> | | | | | | | |
| 5.06.05 | <p>Question: Are all thermometers non-glass and non-mercury?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. Only non-glass and non-mercury thermometer is used.</p> | | | | | | | |
| <p>GMP Equipment Cleaning</p> | | | | | | | | |
| 5.07.01 | <p>Question: Are food contact equipment surfaces clean?</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. Food contact equipment was observed in good condition and clean.</p> | | | | | | | |
| 5.07.02 | <p>Question: Are non-food contact equipment surfaces clean?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. Non food contact equipment was observed in good condition and clean.</p> | | | | | | | |
| 5.07.03 | <p>Question: Are items (totes, bins, etc.) that are used to hold or store product clean?</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| | <p>Auditor Comments: N/A. None used.</p> | | | | | | | |
| 5.07.04 | <p>Question: During cleaning, are food products and packaging materials protected from contamination?</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| | <p>Auditor Comments: N/A. Cleaning activities were not observed at the time of the audit.</p> | | | | | | | |
| 5.07.05 | <p>Question: Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| | <p>Auditor Comments: Yes. The cooling units including coils were visibly clean and without ice accumulation.</p> | | | | | | | |
| 5.07.06 | <p>Question: Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?</p> | <p>Possible Points: 5 Points Scored: 1 Score: Major Deficiency</p> | | | | | | |
| | <p>Auditor Comments: Major. Black stains observed in ceilings in north cold rooms.</p> | | | | | | | |
| <p>Auditee Comments: Due to the type of material on the ceiling, no attempts of cleaning black residue has worked.</p> | | | | | | | | |
| <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td>No</td> <td>Possible Points: 5 Points Scored: 1</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 5 Points Scored: 1 |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 5 Points Scored: 1 | | | | | | |

| | | | | | | | | |
|---|---|--|--|--------------|--|--|-----------|--|
| 5.07.07 | <p>Question: Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?</p> <p>Auditor Comments: Yes. Equipment in the repack room was visibly clean.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.07.08 | <p>Question: Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.07.09 | <p>Question: Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?</p> <p>Auditor Comments: N/A. Maintenance tools were not observed at the time of the audit.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| 5.07.10 | <p>Question: Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?</p> <p>Auditor Comments: Yes. Equipment was free of excess lubrication.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| GMP | | | | | | | | |
| General Cleaning | | | | | | | | |
| 5.08.01 | <p>Question: Are spills cleaned up immediately?</p> <p>Auditor Comments: N/A. Spills not observed on the day of the audit.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| 5.08.02 | <p>Question: Are waste and garbage frequently removed from production and storage areas?</p> <p>Auditor Comments: Yes. Productions and storage areas were clean, no waste accumulation.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.08.03 | <p>Question: Do floor drains flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and are well maintained?</p> <p>Auditor Comments: Minor. There are drains throughout the facility, properly covered. However, standing water found in external drain by dock in south building.</p> | <p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p> | | | | | | |
| <p>Auditee Comments: One of our pumps that carries water to the holding pond went out prior to the day of audit. Pump has since been replaced and drain emptied and cleaned.</p> <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected, CA not submitted.</td> <td>No</td> <td>Possible Points: 5 Points Scored: 3</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected, CA not submitted. | No | Possible Points: 5 Points Scored: 3 |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected, CA not submitted. | No | Possible Points: 5 Points Scored: 3 | | | | | | |
| 5.08.04 | <p>Question: Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?</p> <p>Auditor Comments: Yes. Overhead areas observed clean at the time of the audit.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.08.05 | <p>Question: Are plastic strip curtains maintained in good condition, kept clean and mounted so that the tips are not touching the floor?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.08.06 | <p>Question: Does personal protection equipment (PPE) for the sanitation crew meet label requirements of chemicals used, and is it in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?</p> <p>Auditor Comments: Yes. The personal protective equipment for the cleaning crew was available.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | |
| 5.08.07 | <p>Question: Is cleaning equipment maintained clean and stored properly?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.08.08 | <p>Question: Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?</p> <p>Auditor Comments: Yes. There is a color code implemented to prevent cross contamination issues.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.08.09 | <p>Question: Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.08.10 | <p>Question: Are toilet facilities and hand washing stations clean?</p> <p>Auditor Comments: Yes. The sanitary facilities and hand washing stations were clean during the audit.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |

| | | | | | | | |
|---|---|--|---|--------------|--|--|----|
| 5.08.11 | Question: Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. The break area was observed clean. | | | | | | |
| 5.08.12 | Question: Is the maintenance shop organized, with equipment and spares stored in a neat and tidy fashion? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. The maintenance shop was organized and clean. | | | | | | |
| 5.08.13 | Question: Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. Internal vehicles were clean and used in a sanitary manner, and only for products. | | | | | | |
| 5.08.14 | Question: Are shipping trucks clean and in good condition? | Possible Points: 0 Points Score: 0 Score: N/A | | | | | |
| | Auditor Comments: N/A. No shipping trucks present during the audit. | | | | | | |
| GMP Site | | | | | | | |
| 5.09.01 | Question: Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, waste water and other relevant features? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. There is an aerial map indicating the neighbor operations, water source, water distribution lines from the source, septic tanks and drainage line. | | | | | | |
| 5.09.02 | Question: Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. There is a map indicating the storage area, layout of the equipment and flow of people and product. | | | | | | |
| GMP Buildings and Grounds | | | | | | | |
| 5.10.01 | Question: Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of breakage? | Possible Points: 15 Points Score: 15 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. The lights in the facility were in good conditions, no cracks observed and protected. | | | | | | |
| 5.10.02 | Question: Has the operation eliminated or adequately controlled any potential metal, glass or hard plastic contamination issues? | Possible Points: 10 Points Score: 10 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. | | | | | | |
| 5.10.03 | Question: Has the facility eliminated the use of wooden items or surfaces? | Possible Points: 5 Points Score: 1 Score: Major Deficiency | | | | | |
| | Auditor Comments: Major. Wooden surfaces observed throughout the buildings. | <table border="1"> <tr> <td>Auditee Comments: We have a cold storage made out of redwood and other cold storages have wood also.</td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected. CA not submitted.</td> <td>No</td> <td>Possible Points: 5 Points Score: 1</td> </tr> </table> | Auditee Comments: We have a cold storage made out of redwood and other cold storages have wood also. | CA Accepted? | | CB/Auditor Review Comments: Rejected. CA not submitted. | No |
| Auditee Comments: We have a cold storage made out of redwood and other cold storages have wood also. | CA Accepted? | | | | | | |
| CB/Auditor Review Comments: Rejected. CA not submitted. | No | Possible Points: 5 Points Score: 1 | | | | | |
| 5.10.04 | Question: Is there adequate lighting in the production and storage areas? | Possible Points: 5 Points Score: 5 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. There is adequate lighting in the facility to facilitate inspection, maintenance and cleaning. | | | | | | |
| 5.10.05 | Question: Is ventilation adequate to control dust, condensation, odors and vapors? | Possible Points: 10 Points Score: 10 Score: Total Compliance | | | | | |
| | Auditor Comments: Yes. Ventilation issues not observed in the facility. | | | | | | |
| 5.10.06 | Question: Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean? | Possible Points: 10 Points Score: 7 Score: Minor Deficiency | | | | | |
| | Auditor Comments: Minor. Floor cracking observed in some areas of the facility. | <table border="1"> <tr> <td>Auditee Comments: Some of our cement is very old and will not hold a patch.</td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected, CA not submitted.</td> <td>No</td> <td>Possible Points: 10 Points Score: 7</td> </tr> </table> | Auditee Comments: Some of our cement is very old and will not hold a patch. | CA Accepted? | | CB/Auditor Review Comments: Rejected, CA not submitted. | No |
| Auditee Comments: Some of our cement is very old and will not hold a patch. | CA Accepted? | | | | | | |
| CB/Auditor Review Comments: Rejected, CA not submitted. | No | Possible Points: 10 Points Score: 7 | | | | | |

| 5.10.07 | <p>Question: Are the floor drains where they are needed for drainage and cleanup?</p> <p>Auditor Comments: Yes. There are floor drains in several areas of the facility.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
|--|--|---|--------------|--|--|----|--|--|
| 5.10.08 | <p>Question: Are all entry points to the production and storage areas protected to prevent entry of rodents and birds?</p> <p>Auditor Comments: Minor. Door leading to set off line is not pest proof, kept open during production.</p> <p><i>Auditee Comments: Door must remain open during production to take pallets in and out.</i></p> <table border="1"> <thead> <tr> <th></th> <th>CA Accepted?</th> <th></th> </tr> </thead> <tbody> <tr> <td>CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted.</td> <td>No</td> <td>Possible Points: 10 Points Score: 7</td> </tr> </tbody> </table> | | CA Accepted? | | CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | No | Possible Points: 10 Points Score: 7 | <p>Possible Points: 10 Points Score: 7 Score: Minor Deficiency</p> |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | No | Possible Points: 10 Points Score: 7 | | | | | | |
| 5.10.09 | <p>Question: Are dock doors fitted with buffers/shelters to seal against trucks in temperature controlled environments?</p> <p>Auditor Comments: Yes. Dock doors are fitted with buffers, and these were in good condition.</p> | <p>Possible Points: 3 Points Score: 3 Score: Total Compliance</p> | | | | | | |
| 5.10.10 | <p>Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?</p> <p>Auditor Comments: Yes. Dock levelers and shelters were well maintained.</p> | <p>Possible Points: 3 Points Score: 3 Score: Total Compliance</p> | | | | | | |
| 5.10.11 | <p>Question: Are exterior walls free of holes to exclude pests, and are pipes, vents, and air ducts designed and protected in order to prevent pest entry (e.g., by using fine mesh)?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.12 | <p>Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?</p> <p>Auditor Comments: Minor. Foam insulation in some cold rooms, surface not allowing proper sanitation.</p> <p><i>Auditee Comments: Cannot fix</i></p> <table border="1"> <thead> <tr> <th></th> <th>CA Accepted?</th> <th></th> </tr> </thead> <tbody> <tr> <td>CB/Auditor Review Comments: Rejected, CA was not submitted.</td> <td>No</td> <td>Possible Points: 5 Points Score: 3</td> </tr> </tbody> </table> | | CA Accepted? | | CB/Auditor Review Comments: Rejected, CA was not submitted. | No | Possible Points: 5 Points Score: 3 | <p>Possible Points: 5 Points Score: 3 Score: Minor Deficiency</p> |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected, CA was not submitted. | No | Possible Points: 5 Points Score: 3 | | | | | | |
| 5.10.13 | <p>Question: Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters, thereby allowing inspection and cleaning?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.14 | <p>Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?</p> <p>Auditor Comments: Yes. Issues not observed at the time of the audit.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.15 | <p>Question: Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the building perimeter)?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.16 | <p>Question: Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?</p> <p>Auditor Comments: Yes. The pallets in poor conditions are segregated and replaced.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.17 | <p>Question: Is the area around the dumpster/cull truck/trash area clean?</p> <p>Auditor Comments: Yes.</p> | <p>Possible Points: 3 Points Score: 3 Score: Total Compliance</p> | | | | | | |
| 5.10.18 | <p>Question: Are outside garbage receptacles and dumpsters kept covered or closed?</p> <p>Auditor Comments: Yes. Exterior trash cans and dumpster covered with tarp.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |
| 5.10.19 | <p>Question: Are all water lines protected against back siphonage?</p> <p>Auditor Comments: Yes. There are backflow prevention device installed in the facility.</p> | <p>Possible Points: 5 Points Score: 5 Score: Total Compliance</p> | | | | | | |

| | | | | | | | | |
|---|--|--|--|--------------|--|--|------------|---|
| 5.10.20 | <p>Question: Is the on-site laboratory completely enclosed and separated from production and storage areas?</p> <p>Auditor Comments: N/A. There is no laboratory on site.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| GMP Chemical Files | | | | | | | | |
| 5.11.01 | <p>Question: Are copies of all Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?</p> <p>Auditor Comments: Yes. There are two indexed binder containing Safety Data Sheets for bait, process and sanitation chemicals. For example: EpiClean, Prima Fresh, PacChlor 12.5% and Biocatch.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.11.02 | <p>Question: Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?</p> <p>Auditor Comments: Yes. The chemical labels were observed in the original containers.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> | | | | | | |
| 5.11.03 | <p>Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?</p> <p>Auditor Comments: Yes, there are monthly records of chemical usage for process materials created by Pace International and inventory logs for sanitation chemicals indicating amount in stock.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | |
| 5.11.04 | <p>Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring/testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.) and testing of single pass water systems?</p> <p>Auditor Comments: Yes. PACE-003 Controlling and monitoring soap and chlorine spray bar and DOC 2.06 Anti-microbial testing SOP. Soap and chlorine are mixed in spray bar - single pass, total chlorine range is 50 to 200 ppm and pH 6 to 11. tested at start up and every hour. Rinse with fresh potable water single use.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| GMP Pest Control Documentation | | | | | | | | |
| 5.12.01 | <p>Question: Is there a documented pest control program, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?</p> <p>Auditor Comments: There is a pest control program implemented and service is provided by San Joaquin Pest Control. Tin cats with glue boards used inside and baited stations in the exterior. Jeff A. Moore FR 50886 VALID TO 06/30/2021. Annual service agreement signed on 8/1/19. Liability insurance certificate valid to 7/1/19.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| 5.12.02 | <p>Question: Is there a schematic drawing/plan of the facility showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?</p> <p>Auditor Comments: Yes. There is one map labeling tin cats and bait stations, reviewed on 08/01/2019.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 5.12.03 | <p>Question: Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?</p> <p>Auditor Comments: Major. There are no records of weekly inspection conducted by in house personnel (verbally confirmed). There are completed pesticide usage logs. Rodent control monitoring logs indicating station and facility conditions and activity. Applying Demo Max and First Strike Soft Bait.</p> | <p>Possible Points: 10 Points Scored: 3 Score: Major Deficiency</p> | | | | | | |
| <p>Auditee Comments: A Tin Cat monitoring log has been made and a back-up person is being trained on checking and cleaning Tin Cats. View Files</p> <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Rejected, completed forms will be reviewed during next audit.</td> <td>No</td> <td>Possible Points: 10 Points Scored: 3</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Rejected, completed forms will be reviewed during next audit. | No | Possible Points: 10 Points Scored: 3 |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Rejected, completed forms will be reviewed during next audit. | No | Possible Points: 10 Points Scored: 3 | | | | | | |
| GMP Operation Monitoring Records | | | | | | | | |
| 5.13.01 | <p>Question: Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?</p> <p>Auditor Comments: NC. There are no record of inspections for incoming raw product. There are delivery records and inspections for packaging.</p> | <p>Possible Points: 5 Points Scored: 0 Score: Non-Compliance</p> | | | | | | |
| <p>Auditee Comments: The Raw Product inspection was that last minute record I showed you. I have attached a picture of the page. I have also attached a picture of the labels I am now using for the material receiving inspections. View Files</p> <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Accepted.</td> <td>Yes</td> <td>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</td> </tr> </table> | | | | CA Accepted? | | CB/Auditor Review Comments: Accepted. | Yes | Possible Points: 5 Points Scored: 5 New Score: Total Compliance |
| | CA Accepted? | | | | | | | |
| CB/Auditor Review Comments: Accepted. | Yes | Possible Points: 5 Points Scored: 5 New Score: Total Compliance | | | | | | |
| 5.13.02 | <p>Question: Are there inspection logs on incoming trailers (and other forms of transport) for rodents and insects, cleanliness, holes and temperature control of the trailer (for food requiring temperature control for safety and/or as required per buyer specifications)?</p> <p>Auditor Comments: Yes. There are records of incoming trucks delivering packaging.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |

| | | | | | | | | | | |
|--|--|--|--|--------------|--|--|--|----|--|--|
| 5.13.03 | <p>Question: Are there records for the necessary process monitoring activities (e.g., pH, water temperature vs. product temperature, metal detection, X-ray, labeling, heating processes, reduction/kill step processes, postharvest pesticides, waxing, control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?</p> <p>Auditor Comments: Yes. There are completed Anti-microbial monitoring logs, washer: 6 -11.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |
| 5.13.04 | <p>Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?</p> <p>Auditor Comments: Yes. There are completed Anti-microbial monitoring logs, washer: total chlorine 50 -200 ppm, bin washer: free chlorine 10- 100 ppm and cull flume: free chlorine 5 - 15 ppm.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |
| 5.13.05 | <p>Question: Are there records of visual monitoring and/or testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.), for build-up of organic material (turbidity)?</p> <p>Auditor Comments: N/A. There are no recirculated water systems for product washing.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | | | |
| 5.13.06 | <p>Question: Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations, and are there stock check and replenishment records for gel and spray stations?</p> <p>Auditor Comments: Yes. There are records of daily inspections of the hand sanitizer dispensers, Bathroom cleaning logs.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> | | | | | | | | |
| 5.13.07 | <p>Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?</p> <p>Auditor Comments: N/A. Tools are not used in the process.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | | | |
| 5.13.08 | <p>Question: Is there a pre-operation inspection log?</p> <p>Auditor Comments: Yes. Pre-operational inspections are completed and documented on the Packinghouse sanitation and pre-operation inspection log.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |
| 5.13.09 | <p>Question: Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?</p> <p>Auditor Comments: Yes. A site risk assessment was conducted on 2019 indicating the adjacent land uses and risks associated. The facility is surrounded by agricultural land.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |
| 5.13.10 | <p>Question: Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?</p> <p>Auditor Comments: NC. There is no certificate inspection for the backflow prevention device.</p> <table border="1" data-bbox="423 1066 1297 1213"> <tr> <td colspan="2">Auditee Comments: Will not correct at this time.</td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td colspan="2">CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted.</td> <td>No</td> <td> <p>Possible Points: 3 Points Scored: 0</p> </td> </tr> </table> | Auditee Comments: Will not correct at this time. | | CA Accepted? | | CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | | No | <p>Possible Points: 3 Points Scored: 0</p> | <p>Possible Points: 3 Points Scored: 0 Score: Non-Compliance</p> |
| Auditee Comments: Will not correct at this time. | | CA Accepted? | | | | | | | | |
| CB/Auditor Review Comments: Rejected. Evidence of CA was not submitted. | | No | <p>Possible Points: 3 Points Scored: 0</p> | | | | | | | |
| 5.13.11 | <p>Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?</p> <p>Auditor Comments: Yes. There are records of the self-audits conducted and documented. See module 1.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | | | |
| GMP Maintenance & Sanitation Files | | | | | | | | | | |
| 5.14.01 | <p>Question: Does the facility have a preventative maintenance program and a documented schedule?</p> <p>Auditor Comments: Yes. There is a documented preventative maintenance SOP DOC 2-09 and Maintenance SOP DOC 2-10 schedule which include work done pre-season, annually and emergency repairs.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |
| 5.14.02 | <p>Question: Are there a logs of maintenance work and repairs and are they signed off when work is completed?</p> <p>Auditor Comments: Yes. The completed activities are recorded on the 2019 annual preventative maintenance schedule/log.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | |

| | | | | | | | | | | | |
|---|---|---|---|--|----------------------------|--|--------------|--|---|------------|---|
| 5.14.03 | <p>Question: Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?</p> | <p>Possible Points: 5 Points Scored: 0 Score: Non-Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: NC. There is no log to report post-maintenance activities.</p> | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: Added a column "Cleaned and Sanitized" to the maintenance log.</td> <td>View Files</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Accepted.</td> <td>Yes</td> <td> <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> </td> </tr> </table> | | | Auditee Comments: Added a column "Cleaned and Sanitized" to the maintenance log. | | View Files | | CA Accepted? | | CB/Auditor Review Comments: Accepted. | Yes | <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> |
| Auditee Comments: Added a column "Cleaned and Sanitized" to the maintenance log. | | View Files | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Accepted. | Yes | <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> | | | | | | | | | |
| 5.14.04 | <p>Question: Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. The sanitation program is part of the DOC 2-11 Packinghouse cleaning SSOP, indicating areas to be cleaned and sanitized and the required frequency (daily, weekly, monthly, bi-monthly and annual).</p> | | | | | | | | | | |
| 5.14.05 | <p>Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. The sanitation program is part of the DOC 2-11 Packinghouse cleaning SSOP. Indicating steps of the process, chemicals to be used, dilution, tools, color code and PPE. Using Biocatch as sanitizer.</p> | | | | | | | | | | |
| 5.14.06 | <p>Question: Are cleaning and sanitation logs on file that show what was done, when and by who?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Daily activities are recorded on the Packinghouse sanitation and pre-operation inspection log, cold storage cleaning log, bi-annual cold storage sanitation log and annual packinghouse sanitation log.</p> | | | | | | | | | | |
| 5.14.07 | <p>Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?</p> | <p>Possible Points: 5 Points Scored: 0 Score: Non-Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: NC. There are no records of sanitizer concentration verification. Using BioCatch - QUAT.</p> | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: At first started writing check on the bottom of the chemical check log, but then added a column for the sanitizer check.</td> <td>View Files</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Accepted</td> <td>Yes</td> <td> <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> </td> </tr> </table> | | | Auditee Comments: At first started writing check on the bottom of the chemical check log, but then added a column for the sanitizer check. | | View Files | | CA Accepted? | | CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> |
| Auditee Comments: At first started writing check on the bottom of the chemical check log, but then added a column for the sanitizer check. | | View Files | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> | | | | | | | | | |
| 5.14.08 | <p>Question: Are there documented procedures and completion records for clean-in-place (CIP) activities (e.g., cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, ice makers, etc.), where applicable?</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | | | | |
| | <p>Auditor Comments: N/A. There are no CIP activities in the process. Bin washer and cull flume are cleaned monthly.</p> | | | | | | | | | | |
| 5.14.09 | <p>Question: Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?</p> | <p>Possible Points: 15 Points Scored: 5 Score: Major Deficiency</p> | | | | | | | | | |
| | <p>Auditor Comments: Major. ATP testing is done only monthly, weekly testing is required per guidelines. DOC 2-13 ATP Swab Testing SOP.</p> | | | | | | | | | | |
| <table border="1"> <tr> <td colspan="2">Auditee Comments: Changed the SOP to read weekly atp swab testing and started swabbing weekly.</td> <td>View Files</td> </tr> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Minor. Records of three months of weekly testing will be reviewed in next audit.</td> <td>Yes</td> <td> <p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p> </td> </tr> </table> | | | Auditee Comments: Changed the SOP to read weekly atp swab testing and started swabbing weekly. | | View Files | | CA Accepted? | | CB/Auditor Review Comments: Minor. Records of three months of weekly testing will be reviewed in next audit. | Yes | <p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p> |
| Auditee Comments: Changed the SOP to read weekly atp swab testing and started swabbing weekly. | | View Files | | | | | | | | | |
| | CA Accepted? | | | | | | | | | | |
| CB/Auditor Review Comments: Minor. Records of three months of weekly testing will be reviewed in next audit. | Yes | <p>Possible Points: 15 Points Scored: 10 New Score: Minor Deficiency</p> | | | | | | | | | |
| 5.14.10 | <p>Question: Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | | | | |
| | <p>Auditor Comments: Yes. Floor drains are cleaned and sanitized weekly and recorded on the Packinghouse sanitation and pre-operation inspection log.</p> | | | | | | | | | | |
| 5.14.11 | <p>Question: Are there records showing filters in air conditioning, ventilation and air filtration units are regularly cleaned and replaced?</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | | | | |
| | <p>Auditor Comments: N/A. None used in the facility.</p> | | | | | | | | | | |

| | | |
|---------------------------------|---|--|
| 5.14.12 | <p>Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?</p> <p>Auditor Comments: Yes. In house personnel is responsible for the bi-annual cooling unit cleaning, last done on 04/19 and 05/19. There are records of frequent service done by Cold Storage Technologies.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.14.13 | <p>Question: Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?</p> <p>Auditor Comments: Yes. Glass/brittle plastic control and breakage procedure. Items are inspected monthly.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| GMP Worker Documentation | | |
| 5.15.01 | <p>Question: Are there records of new worker food safety (GMP) orientation training (with topics covered and attendees) and are all workers required to sign the company's food safety hygiene and health policy?</p> <p>Auditor Comments: Yes. There is a written training and education program. Orientation is done annually and upon hire. Records were available for review.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.15.02 | <p>Question: Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?</p> <p>Auditor Comments: Yes, Workers receive training annually and mid season. Records were available for review. Last training session occurred on 05/14/19.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.15.03 | <p>Question: Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?</p> <p>Auditor Comments: Yes, the cleaning and sanitation crew received training annually. Last training done on 10/01/2018 reviewing SSOPs.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.15.04 | <p>Question: Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).</p> <p>Auditor Comments: Yes. Procedure indicated on the Food Safety Rules.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.15.05 | <p>Question: Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?</p> <p>Auditor Comments: N/A. None have been required.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.15.06 | <p>Question: Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?</p> <p>Auditor Comments: Yes. Visitors are required to read the Company policies and agree to follow before accessing the premises.</p> | <p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p> |
| GMP Testing | | |
| 5.16.01 | <p>Question: Is there a written risk-based, scientifically valid microbiological testing program that may include pathogen testing, and details program design (zonal approach, food contact/non-food contact surfaces, spent sprout irrigation water, test & hold, water, ice, etc.), rationale for organisms tested for, procedures for sampling and testing (surfaces, water, product, ingredients, etc.), timing and frequency of testing, the testing methodology, the lab that performs the tests, and acceptable results/threshold levels for each organism?</p> <p>Auditor Comments: Yes. There is a documented program named Microbiological swabbing/water testing SOP. Environment testing monthly for Listeria results should be negative. Equipment testing to be done monthly for tpc with target < 250 CFU/ml. Water to be tested three times per season.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.16.02 | <p>Question: Are there records of environmental microbiological test results and does testing meet the program requirements?</p> <p>Auditor Comments: Major. There is one report for environment and equipment for 2019. 5/22/19 Listeria was negative in room 1 racks. 5/22/19 - five food contact surfaces were tested for APC, all results were below set limit.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.16.03 | <p>Question: Are there records of microbiological tests on water used in the facility (sampled from within the facility) and does the testing meet the program requirements?</p> <p>Auditor Comments: Yes. Water microbiological test was conducted on 05/29/19, TC and EC were absent.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.16.04 | <p>Question: Are there records of microbiological tests on ice used in the facility (either produced in-house or purchased) and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. Ice is not used.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 5.16.05 | <p>Question: Are there records of tests performed on compressed air or other mechanically introduced gases that is used directly on food and food contact surfaces and does testing meet the program requirements?</p> <p>Auditor Comments: N/A. Compressed air is not used in the facility.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |

| | | |
|---------|---|--|
| 5.16.06 | <p>Question: Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?</p> <p>Auditor Comments: N/A. None required.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.16.07 | <p>Question: Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?</p> <p>Auditor Comments: Yes. The description of corrective actions are indicated on the Microbiological swabbing/water testing SOP</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> |
| 5.16.08 | <p>Question: Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?</p> <p>Auditor Comments: N/A. There have not been any abnormal results.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.16.09 | <p>Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with validated testing methods and protocols, evidence of training related to sample collection and testing protocols, and relevant records of results?</p> <p>Auditor Comments: N/A. All testing is done by the contracted accredited laboratory, see module 1.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |

GMP Temperature Controlled Storage & Distribution Logs

| | | |
|---------|---|--|
| 5.17.01 | <p>Question: Are there records of final product temperature checks for temperature sensitive product?</p> <p>Auditor Comments: N/A. Not a fresh cut facility.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.17.02 | <p>Question: Are there temperature logs for the production area (if refrigerated)?</p> <p>Auditor Comments: N/A. Area not refrigerated.</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.17.03 | <p>Question: Are there temperature logs for storage rooms?</p> <p>Auditor Comments: Yes. Room temperatures are monitored daily and recorded on Daily room/pulp temperature/safety check log.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.17.04 | <p>Question: Is there a documented procedure for checking truck trailer temperature prior to shipping?</p> <p>Auditor Comments: Yes. The procedure is outlined on the DOC 2-08 Incoming trailer check and loading produce in refrigerated trailers or containers SOP.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.17.05 | <p>Question: Are there records of shipping truck trailer (or other transportation systems) temperature checks, indicating the truck trailer temperature settings and that the truck trailer was pre-cooled prior to loading?</p> <p>Auditor Comments: Yes. The shipping truck temperature is verified before each loading activity and recorded on the Truck driver check in sheet.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.17.06 | <p>Question: Is there a documented procedure for reviewing the sanitary condition of truck trailers that will transport the product?</p> <p>Auditor Comments: Yes. The procedure is outlined on DOC 2-08 Incoming trailer check and loading produce in refrigerated trailers or containers SOP.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |
| 5.17.07 | <p>Question: Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?</p> <p>Auditor Comments: Yes. The shipping truck conditions are verified before each loading activity and observations are recorded on the Truck driver check in sheet.</p> | <p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p> |

GMP Allergen Control

| | | |
|---------|--|---|
| 5.18.01 | <p>Question: Are there no allergen risks handled or stored within production and storage areas?</p> <p>Auditor Comments: Allergens are not handled in the operation.</p> | <p>Possible Points: 0 Points Scored: 0 Score: Yes</p> |
| 5.18.02 | <p>Question: Has a documented allergen management plan been developed?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.03 | <p>Question: Are there adequate storage controls (e.g., separation, identification, etc.) that ensure that allergens are not contaminating other materials?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |

| | | |
|---------|---|---|
| 5.18.04 | <p>Question: Is there a dedicated allergen production line or adequate clean down and production procedures that prevent allergen cross contamination?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.05 | <p>Question: Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.06 | <p>Question: Does re-work handling take into account the issues associated with allergen containing products?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.07 | <p>Question: Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.08 | <p>Question: Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 5.18.09 | <p>Question: Are all products manufactured on site labeled correctly with respect to allergens?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |

HACCP Preliminary Steps

| 6.01.01 | <p>Question: Is there a team responsible for the HACCP program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the HACCP system?</p> <p>Auditor Comments: Yes. There is a team conformed by 10 individuals. Tammy Rodgers is the Team Leader. Program was reviewed on 06/04/2019.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | |
|--------------|--|--|--|------------|--|--|
| 6.01.02 | <p>Question: Is there documented evidence that the HACCP team members have been trained on HACCP principles?</p> <p>Auditor Comments: Minor. The Team Coordinator received formal HACCP training on 01/22-23/2019 and PCQI on 2/21/19. There are no records of training records for other team members.</p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p>Auditee Comments: Have trained entire team on HACCP using YouTube video, our HACCP plan and our HACCP Risk Assessment. https://www.bing.com/videos/search?q=7+Steps+of+HACCP&view=detail&mid=AEE870C4B6BC90612DAEE870C4B6BC90612D&FORM=VRDGAR</p> <p style="text-align: right;">View Files</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">CA Accepted?</th> <th style="width: 40%;"></th> </tr> </thead> <tbody> <tr> <td style="text-align: center; vertical-align: middle;">Yes</td> <td style="text-align: center;"> <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> </td> </tr> </tbody> </table> <p>CB/Auditor Review Comments: Accepted</p> </div> | CA Accepted? | | Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> |
| CA Accepted? | | | | | | |
| Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> | | | | | |
| 6.01.03 | <p>Question: Does a product description exist for the products produced?</p> <p>Auditor Comments: Yes. There is a product description for all products handled in the facility indicating storage conditions, shelf life, intended use, storage conditions, packaging and target consumer.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | |
| 6.01.04 | <p>Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?</p> <p>Auditor Comments: Yes. There is a process flow chart that covers all process (wet/dry) for different commodities.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | |
| 6.01.05 | <p>Question: Is there documented evidence that the flow chart(s) been verified on-site?</p> <p>Auditor Comments: Yes. The process flow chart was verified on 04/15/2019 by the Team Leader.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | |

HACCP Development of the HACCP Plan

| | | |
|---------|--|--|
| 6.02.01 | <p>Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</p> <p>Auditor Comments: Yes. There is a documented hazard analysis indicating each step of the process, potential hazards, likelihood, severity and preventative measures implemented to control identified hazards.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
|---------|--|--|

| | | |
|---|---|--|
| 6.02.02 | <p>Question: Have CCP decisions been made with documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?</p> <p>Auditor Comments: Yes. CCP decisions were justified with the hazard analysis risk matrix.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> |
| 6.02.03 | <p>Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 6 HACCP" is not applicable.</p> <p>Auditor Comments: No. CCPs were not identified in the process.</p> | <p>Possible Points: 0 Points Scored: 0 Score: No</p> |
| 6.02.04 | <p>Question: Have CCP critical control limits been established and supported by relevant validation documentation?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.05 | <p>Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.06 | <p>Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.07 | <p>Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.08 | <p>Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limit(s) of a CCP are not met (loss of control/deviation) and plans to adjust the process back into control?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.09 | <p>Question: Have recording templates (recording forms) been developed for monitoring the CCPs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.10 | <p>Question: Have verification plans and schedules been developed for each CCP?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.11 | <p>Question: Is the HACCP system verified when operational changes are made and at least once every 12 months?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.02.12 | <p>Question: Is there documented evidence that all plant workers have attended a HACCP training, including training for CCP operators?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| HACCP Execution of the HACCP Plan on the Plant Floor | | |
| 6.03.01 | <p>Question: Do all of the documents noted in the HACCP Plan accurately reflect plan requirements for the CCPs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.03.02 | <p>Question: Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.03.03 | <p>Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 6.03.04 | <p>Question: Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |

| | | | | | | | | |
|--|--|--|--------------|----------------------------|---|-----|--|--|
| 6.03.05 | <p>Question: Is there a deviation record detailing documented corrective actions when a deviation/loss of control of a CCP occurs (a critical control limit is exceeded)?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| 6.03.06 | <p>Question: Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |
| PC Preliminary Steps | | | | | | | | |
| 7.01.01 | <p>Question: Is there a team responsible for the preventive control program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the preventive control program?</p> <p>Auditor Comments: Yes. There is a team conformed by 10 individuals. Tammy Rodgers is the Team Leader.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 7.01.02 | <p>Question: Is there documented evidence that the preventive control team members have been trained on preventive control program development?</p> <p>Auditor Comments: Minor. The Team Coordinator received formal PCQI on 2/21/19. However, There are no records of training for the rest of the team on preventive control program.</p> <p>Auditee Comments: All team members trained on Preventive Controls using YouTube video; reviewing our Preventive Action Plan; Hazard Analysis; questions and answers https://www.bing.com/videx?q=Youtube+FSMA+preventive+controls&qpv=Youtube+FSMA+preventive+controls&view=detail&mid=C32D98E67FB8AEFDF528C32D98E67FB8AEFDF528&vsmid=05BDB0DB5D0F78BE7A3B05BC</p> <p>CB/Auditor Review Comments: Accepted</p> | | | | | | | |
| 7.01.03 | <p>Question: Does a product description exist for the products produced?</p> <p>Auditor Comments: Yes. There is a product description for all products handled in the facility indicating storage conditions, shelf life, intended use, storage conditions, packaging and target consumer.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 7.01.04 | <p>Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?</p> <p>Auditor Comments: Yes. There is a process flow chart that covers all process (wet/dry) for different commodities.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| 7.01.05 | <p>Question: Is there documented evidence that the flow chart(s) been verified on-site?</p> <p>Auditor Comments: Yes. The process flow chart was verified on 04/15/2019 by the Team Leader.</p> | <p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p> | | | | | | |
| PC Development of the Preventive Controls Program | | | | | | | | |
| 7.02.01 | <p>Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures?</p> <p>Auditor Comments: Minor. The hazard analysis only uses HACCP terminology such CCP. The analysis presented covered all steps of the process, associated risks and control measures.</p> <p>Auditee Comments: Terminology changed on Preventive Controls Analysis.</p> <table border="1"> <tr> <td></td> <td>CA Accepted?</td> <td>View Files</td> </tr> <tr> <td>CB/Auditor Review Comments: Accepted</td> <td>Yes</td> <td> <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> </td> </tr> </table> | | CA Accepted? | View Files | CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> | <p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p> |
| | CA Accepted? | View Files | | | | | | |
| CB/Auditor Review Comments: Accepted | Yes | <p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p> | | | | | | |
| 7.02.02 | <p>Question: Have process preventive control decisions been made with documented relevant validation justifications and where preventive control(s) are implemented in a specific processing step, have they been developed using plans and/or procedures to control the identified hazard(s)?</p> <p>Auditor Comments: Yes. Process preventive control decisions were justified with a hazard analysis risk matrix.</p> | <p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p> | | | | | | |
| 7.02.03 | <p>Question: Have processing steps that are deemed preventive controls been identified i.e. steps that significantly minimize or prevent food safety hazards? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 7 Preventive Controls" is not applicable.</p> <p>Auditor Comments: No. None were identified in the process.</p> | <p>Possible Points: 0 Points Scored: 0 Score: No</p> | | | | | | |
| 7.02.04 | <p>Question: Do the process preventive controls have critical limits, and other preventive controls have parameters, values and targets (where relevant) supported by relevant validation documentation?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> | | | | | | |

| | | |
|--|---|---|
| 7.02.05 | <p>Question: Have monitoring requirements and frequencies been determined and documented for the preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.06 | <p>Question: Are there documents that show validation work for the process preventive controls and was this validation work performed by or overseen by a Preventive Control Qualified Individual?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.07 | <p>Question: Do the preventive control plans, charts and/or procedures indicate that specific responsibilities have been assigned for the monitoring, recording and corrective action implementation?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.08 | <p>Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the preventive controls, including those in plan or chart format (e.g., process preventive controls)?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.09 | <p>Question: Have corrective action procedures been established for the preventive controls, including a detailed action plan for operators to follow if out of specification situations are observed (loss of control/deviation) and plans to adjust process back into control?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.10 | <p>Question: Have recording templates (recording forms) been developed for monitoring the preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.11 | <p>Question: Have verification procedures and schedules been developed for the preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.12 | <p>Question: Are the preventive controls (as part of the Food Safety Plan re-analysis) reviewed when operational changes are made (facility, process, equipment, ingredients, packaging etc.) and at least once every 3 years?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.02.13 | <p>Question: Is there documented evidence that all plant workers have attended a preventive control training, including training for workers directly involved with preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| PC Execution of the Preventive Controls Program | | |
| 7.03.01 | <p>Question: Do all of the documents noted in the preventive control plan accurately reflect plan requirements for the preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.03.02 | <p>Question: Are the preventive control monitoring activities and frequencies in compliance with the preventive control plans, charts, and procedures?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.03.03 | <p>Question: Do workers directly involved with preventive control operations understand basic preventive control principles and their role in monitoring preventive controls?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.03.04 | <p>Question: Are preventive control associated records signed off (or initialed) by the workers who are carrying out and recording the preventive control activities?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.03.05 | <p>Question: Is there a deviation record detailing documented corrective actions when a deviation or deficiency of a preventive control occurs?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |
| 7.03.06 | <p>Question: Are the records associated with preventive controls reviewed and signed off by the quality control supervisor and/or management (second signatory)?</p> <p>Auditor Comments:</p> | <p>Possible Points: 0 Points Scored: 0 Score: N/A</p> |