

PrimusLabs.com Audit (130830) Storage & Distribution Center v08.06

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| Facility(s) | Pacific Coast Fruit Company Contact: Ted Hendryx Address: 201 NE 2nd Ave Portland Oregon 97232 United States Phone Number: 503-731-9629 Fax Number: 503-963-5429 Email(s): thendryx@pcfruit.com |
| Customer(s) | Pacific Coast Fruit Co. Contact: Ted Hendryx Address: 201 NE 2nd. Avenue Portland Oregon 97232 United States Phone Number: 503-731-9629 Fax Number: 503-963-5429 Email(s): thendryx@pcfruit.com |
| Audit Type: | Storage & Distribution Center |
| Foreman or Contact Person (and email): | Ted Hendryx thendryx@pcfruit.com |
| Location/City: | Portland |
| State: | Oregon |
| Country: | United States |
| Date Audit Started: | 09/21/2010 09:00 |
| Date Audit Finished: | 09/21/2010 13:10 |
| Commodity(ies): | Fruit, Vegetables |
| Auditor: | Jim MacKenzie (Sub-Contract Auditors) |
| Audit Percentage Score: | 98% |
| Scoring Category: | 95-100 Superior |
| Announced Audit? | Yes |
| FDA Registration Number: | XXXXXXXX8750 |
| Audit Scope: | Receiving packed conventional and organic fruits and vegetables for storage and distribution to wholesale, retail, and foodservice customers. The scope includes the broken table area and incidental repacking. The scope does not include raw product staging, chemical storage, and packaging storage for |

the separate processing operation.

Audit Entered By: James MacKenzie

Other Auditing Personnel And Role: N/A

Additional Report Links

[See Severity Answers & Recommendations](#)

[See The Result Comparison](#)

[See The Audited Entity History](#)

Corrective Actions Response

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

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Good Manufacturing Practices

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|--|-------------------------|-------------|----------------|--|--|----------------|
| 1.1.1 | Is there a designated person responsible for the food safety program? | Total Compliance | 10 | 10 | | Yes. Erik Opsahl, Quality Assurance Technical Manager, is responsible for coordinating the food safety program. | |
| 1.1.2 | Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly? | Total Compliance | 15 | 15 | | Yes. There is a locked chemical storage area for the storage and distribution facility. Chemicals are stored in this area when not in use. Containers are closed and labeled. | |
| 1.1.3 | Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner? | Total Compliance | 10 | 10 | | Yes. There is separate storage for these items. | |
| 1.1.4 | Are signs supporting GMP's posted appropriately? | Minor Deficiency | 7 | 10 | Highly visible and understood signs supporting appropriate Good Manufacturing Practices (GMP's) e.g. no eating, chewing, drinking or smoking, hand | Hand washing reminder sign not posted at the exit from the break area. Appropriate GMP signs posted in restrooms and | |

washing, any specific clothing requirements etc. should be posted to remind workers of proper practices. Signs should especially be located at the entrance(s) to the production/storage areas, restrooms and break areas. **around the facility.**

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| 1.2.1 | Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | Yes. There were not any contamination issues noted at the time of the facility walk-through. |
| 1.2.2 | Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | Yes. There were not any contamination issues noted at the time of the facility walk-through. |
| 1.2.3 | Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them? | Total Compliance | 10 | 10 | Yes. There were not any pest issues noted at the time of the facility walk-through. |
| 1.2.4 | Is the area outside the facility free of evidence of pest activity? | Total Compliance | 10 | 10 | Yes. There were not any issues noted at the time of the facility walk-through. |
| 1.2.5 | Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | Yes. There is a service agreement with Liberty Pest Control. |
| 1.2.6 | Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility? | Total Compliance | 10 | 10 | Yes. Pest control devices containing glue boards are used inside the facility. |
| 1.2.7 | Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis? | Total Compliance | 5 | 5 | Yes. The servicing date is marked on the wall placard for each pest control device. |
| 1.2.8 | Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location? | Total Compliance | 5 | 5 | Yes. |
| 1.2.9 | Are all pest control devices identified by a number or other code (e.g. barcode) ? | Total Compliance | 5 | 5 | Yes. Numbered wall placards are used for the pest control devices. |
| 1.2.10 | Are all pest control devices properly installed and secured? | Total Compliance | 5 | 5 | Yes. |

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| 1.3.1 | Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)? | Minor Deficiency | 10 | 15 | Raw materials should be stored separately from finished product. Product and packaging should be stored off the ground, protected if necessary, away from chemicals, battery chargers etc. in order to prevent contamination. Special attention should be given to ice storage and where relevant allergen storage. | In the product storage rack, a pallet of iced broccoli located over another pallet of iced broccoli with melted ice dripping from the pallet overhead to the one below. |
| 1.3.2 | Is the storage area completely enclosed? | Total Compliance | 10 | 10 | | Yes. |
| 1.3.3 | Is the facility's use restricted to the storage of food products? | Total Compliance | 5 | 5 | | Yes. |
| 1.3.4 | Are rejected or on hold materials clearly identified and separated from other materials? | N/A | 0 | 0 | | N/A There was no rejected or on hold product or material at the time of the facility walk-through. |
| 1.3.5 | Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT. | Total Compliance | 15 | 15 | | Yes. There were not any contamination issues noted at the time of the facility walk-through. |
| 1.3.6 | Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas? | Total Compliance | 10 | 10 | | Yes. Including floors and racks, the storage areas and utilities inside them are clean. |
| 1.3.7 | Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)? | Total Compliance | 5 | 5 | | Yes. All product is marked using a numbering system that is tied to the purchase order for the product. All products have barcodes assigned. This information is tracked in the computer system by date and location inside the facility and is used for rotation. |
| 1.3.8 | Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy? | Total Compliance | 5 | 5 | | Yes. |
| 1.3.9 | Are storage areas at the appropriate temperatures for the specific products being | Total Compliance | 10 | 10 | | Yes. Depending on the storage |

stored?

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| 1.4.1 | Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)? | Total Compliance | 15 | 15 | | requirements of each product, there are different rooms with varying temperature and relative humidity. |
| 1.4.2 | Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)? | Total Compliance | 15 | 15 | | Yes. |
| 1.4.3 | Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)? | Total Compliance | 15 | 15 | | Yes. Hand washing stations are centrally located inside the facility and inside the restrooms and breakroom. Motion activated devices for water, soap, and papertowel dispensers were functional. |
| 1.4.4 | Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice etc.) such that cross contamination is prevented? | Total Compliance | 5 | 5 | | Yes. |
| 1.5.1 | Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated? | Total Compliance | 15 | 15 | | Yes. Although not directly observed, there were used towels in the trash indicating that employees had washed their hands. |
| 1.5.2 | Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact? | Total Compliance | 10 | 10 | | Yes. There were not any issues noted at the time of the facility walk-through. |
| 1.5.3 | Is jewelry confined to a plain wedding band? | Total Compliance | 3 | 3 | | Yes. There were not any issues noted at the time of the facility walk-through. |
| 1.5.4 | Is smoking, eating, chewing and drinking confined to designated areas? | Total Compliance | 10 | 10 | | Yes. There are separate designated smoking and eating areas. |
| 1.6.1 | Are surfaces free of flaking paint, | Major | 3 | 10 | Flaking paint, corrosion, | The racking system |

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| | corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)? | Deficiency | | | rust and/or unhygienic materials should not be present on any surfaces. | inside the high humidity rooms has numerous instances of rust. The new racking system is constructed of galvanized steel. |
| 1.6.2 | Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance? | Total Compliance | 15 | 15 | | Yes. |
| 1.6.3 | Are thermometers (independent of thermostat probes) present in all coolers and freezers? | Total Compliance | 5 | 5 | | Yes. |
| 1.6.4 | Are all thermometers non-glass and non-mercury? | Total Compliance | 10 | 10 | | Yes. |
| 1.7.1 | Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice? | Total Compliance | 5 | 5 | | Yes. There was no condensation or defrosting ice issues from overhead refrigeration units noted at the time of the facility walk-through. |
| 1.7.2 | Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits? | Total Compliance | 5 | 5 | | Yes. |
| 1.7.3 | 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? | N/A | 0 | 0 | | N/A All equipment is in use. |
| 1.7.4 | Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination? | Total Compliance | 10 | 10 | | Yes. Cleaning equipment is organized and stored in each area it is used. Brooms for the facility are racked. |
| 1.7.5 | Are excess lubricants and grease removed from the equipment? | Total Compliance | 5 | 5 | | Yes. |
| 1.8.1 | Are spills cleaned up immediately? | Total Compliance | 10 | 10 | | Yes. |
| 1.8.2 | Are waste and garbage frequently removed from packing and storage areas? | Total Compliance | 5 | 5 | | Yes. |
| 1.8.3 | Do floor drains appear clean, free from odors and well maintained? | Total Compliance | 5 | 5 | | Yes. The floor drains appear clean and there were not any off-odors from them. |
| 1.8.4 | Do high level areas including overhead pipes, ducts, fans, etc. appear clean? | Total Compliance | 10 | 10 | | Yes. |

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| 1.8.5 | Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor? | Total Compliance | 5 | 5 | | Yes. The strip curtains are clean and in good condition. |
| 1.8.6 | Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product? | Total Compliance | 3 | 3 | | Yes. |
| 1.8.7 | Is cleaning equipment available and stored properly? | Total Compliance | 5 | 5 | | Yes. Refer to 1.7.4. |
| 1.8.8 | Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment? | Total Compliance | 5 | 5 | | Yes. Cleaning equipment for the restrooms is stored separately from other equipment. There is separate cleaning equipment that is used for cleaning up glass breakage incidents. |
| 1.8.9 | Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.) | Total Compliance | 5 | 5 | | Yes. |
| 1.8.10 | Are toilet facilities and hand-wash stations clean? | Total Compliance | 15 | 15 | | Yes. The restroom and hand wash facilities are clean and free from off-odors. |
| 1.8.11 | Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs? | Minor Deficiency | 3 | 5 | All employee locker and lunchroom facilities should be clean to prevent the attraction of pests. Temperature sensitive foods should be stored in cold boxes or provided refrigerators. Tops of lockers should be clear of items and debris. See through wire lockers are the ideal design. | The turntable inside one microwave was dirty. The chill boxes for employee's personal items and vending machines are clean. |
| 1.8.12 | Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion? | Total Compliance | 5 | 5 | | Yes. This area is clean and well organized. |
| 1.8.13 | Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner? | Total Compliance | 5 | 5 | | Yes. |
| 1.8.14 | Are shipping trucks clean and in good condition? | Total Compliance | 5 | 5 | | Yes. The shipping truck being loaded was clean and free from off-odors. |
| 1.9.1 | Are all lights in the production, product storage areas, packaging storage areas and | Total Compliance | 15 | 15 | | Yes. |

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| | maintenance shops intact and protected? | | | | |
| 1.9.2 | Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues? | Total Compliance | 15 | 15 | Yes. There were not any issues noted at the time of the facility walk-through. |
| 1.9.3 | Has the facility eliminated the use of wooden items or surfaces? | Total Compliance | 5 | 5 | Yes. |
| 1.9.4 | Is there adequate lighting in the packing and storage areas? | Total Compliance | 5 | 5 | Yes. |
| 1.9.5 | Is ventilation adequate to remove dust, steam, and odors? | Total Compliance | 3 | 3 | Yes. There were no off-odors inside the facility. |
| 1.9.6 | Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean? | Total Compliance | 10 | 10 | Yes. |
| 1.9.7 | Are the floor drains where they are needed for drainage and cleanup? | Total Compliance | 5 | 5 | Yes. |
| 1.9.8 | Are doors to the outside pest proof? | Total Compliance | 5 | 5 | Yes. There is an adequate seal for overhead doors to the outside. |
| 1.9.9 | Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)? | Total Compliance | 3 | 3 | Yes. |
| 1.9.10 | Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)? | Total Compliance | 3 | 3 | Yes. |
| 1.9.11 | Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh? | Total Compliance | 5 | 5 | Yes. |
| 1.9.12 | Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation? | Total Compliance | 5 | 5 | Yes. |
| 1.9.13 | Employees personal items are not being stored in the production and material storage areas? | Total Compliance | 5 | 5 | Yes. Personal items are stored in the breakroom or in lockers that are provided. |
| 1.9.14 | Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ? | Total Compliance | 5 | 5 | Yes. There is clearance for inspecting around wall perimeters. |
| 1.9.15 | Is the exterior area immediately outside the facility free of litter, weeds and standing water? | Total Compliance | 5 | 5 | Yes. |
| 1.9.16 | Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building | Total Compliance | 5 | 5 | Yes. This area is well organized. Items for recycling are stored as pallet |

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| | perimeter)? | | | | | units that are easily moved. |
| 1.9.17 | Are pallets inspected to separate and replace dirty or broken pallets? | Total Compliance | 5 | 5 | | Yes. Broken pallets are sent to Oregon Pallet for recycling. |
| 1.9.18 | Is the area around the dumpster/cull truck/trash area clean? | Major Deficiency | 1 | 3 | Dumpster areas that are not maintained attract pests to the vicinity. These areas should be free of odor and liquid leaking from the dumpsters. Dumpsters should be cleaned from time to time. | The rolloff dumpster used for culls has leakage resulting in residue accumulation onto the pavement and around the sump drain. Off-odor in the street gutter next to the rolloff used for recycling fiberboard. |
| 1.9.19 | Are outside garbage receptacles and dumpsters kept covered or closed? | Total Compliance | 5 | 5 | | Yes. |
| 1.9.20 | Are all water lines protected against back siphonage? | Total Compliance | 5 | 5 | | Yes. |

Food Safety File Requirements

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|---|-------------------------|-------------|----------------|----------------|---|----------------|
| 2.1.1 | Are there written procedures for handling regulatory inspections? | Total Compliance | 3 | 3 | | Yes. This policy was updated August 2010 and details management responsibilities, accompanying the inspector, duplicate sample taking and photos, and post visit follow-up. | |
| 2.1.2 | Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)? | Total Compliance | 5 | 5 | | Yes. Glass issues are included in the monthly internal inspection. Since some packaged product is in glass, there is designated equipment for cleaning up glass breakage. | |
| 2.1.3 | Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices? | Total Compliance | 5 | 5 | | Yes. All areas of the operation are included. There is a SOP to address glass, brittle plastics, and ceramics. The SOP for handling nonconforming product was updated July 2010. | |
| 2.1.4 | Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)? | Total Compliance | 5 | 5 | | Yes. There is a central file. For employee access, sanitation SOPs are located at the chemical storage cage. | |
| 2.2.1 | Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential | Total Compliance | 10 | 10 | | Yes. This is detailed and includes information on creation of the lot tracking number system. | |

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| | recall issue? | | | | |
| 2.2.2 | Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls? | Total Compliance | 15 | 15 | Yes. The different types of recalls are described. This program identifies the recall team, their contacts, and related responsibilities. |
| 2.2.3 | Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent? | Total Compliance | 10 | 10 | Yes. The mock recall completed 9/16/10 was reviewed. The scenario was described. 100% of the product was accounted for within 1 hour 5 minutes. Support documentation for this mock recall included the receiving, shipping, and residual inventory counts for the lot. Shipments detailed individual customers, contact information, and quantities shipped. |
| 2.2.4 | Is there a written procedure for handling on hold or rejected products? | Total Compliance | 10 | 10 | Yes. Procedures for handling non-conforming product are described. QA takes the lead when putting product on-hold. |
| 2.3.1 | Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes? | Total Compliance | 5 | 5 | Yes. The MSDS for sanitation are located at the chemical storage cage. |
| 2.3.2 | Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers? | Total Compliance | 5 | 5 | Yes. This is available for rodent control. There were no sanitation chemicals decanted. |
| 2.4.1 | Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents? | Total Compliance | 15 | 15 | Yes. The current service agreement with Liberty Pest Control was reviewed. Licenses for the pest control company and service technicians are current. Company liability insurance is valid through 9/27/10. |
| 2.4.2 | Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant? | Total Compliance | 10 | 10 | Yes. |
| 2.4.3 | Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)? | Total Compliance | 10 | 10 | Yes. Corrective actions are recorded and there a pest activity trend analysis. |
| 2.5.1 | Where the auditee sells product to the customers is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective | Total Compliance | 5 | 5 | Yes. Complaints are handled by the buyers and salesmen. Independent inspections are used when needed. |

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| | actions? | | | | |
| 2.5.2 | Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any? | Total Compliance | 5 | 5 | Yes. The operation is audited periodically by some of their customers and there is an organic handling inspection. |
| 2.5.3 | Is there a daily pre-operation inspection log? | Total Compliance | 5 | 5 | Yes. This includes a transfer on information at the end of each shift. |
| 2.5.4 | "Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions? " | Total Compliance | 10 | 10 | Yes. Monthly internal inspections are completed and follow-up assignments are given to correct problems or deficiencies. Completion dates or project carryover are noted. |
| 2.5.5 | Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product? | Total Compliance | 10 | 10 | Yes. Scales are checked. The accuracy of internal probe thermometers is checked according to the SOP. Thermometers are replaced if they do not read correctly. |
| 2.5.6 | Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc? | Total Compliance | 5 | 5 | Yes. |
| 2.5.7 | Where the auditee buys product or packaging, does the facility have incoming goods (products, ingredients and packing materials) inspection data? | Total Compliance | 5 | 5 | Yes. This information is noted when the product is received. |
| 2.5.8 | Where the auditee buys product or packaging, does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for products and packaging items? | Total Compliance | 15 | 15 | Yes. The operation uses a third party database system for handling this information. |
| 2.5.9 | Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control? | Total Compliance | 10 | 10 | Yes. |
| 2.6.1 | Does the facility have a preventative maintenance program and schedule? | Total Compliance | 10 | 10 | Yes. |
| 2.6.2 | Is there a log of maintenance work or repairs ordered and is it signed off on work completed? | Total Compliance | 10 | 10 | Yes. Items requiring a purchase order are tracked in the computer system. |
| 2.6.3 | Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often? | Total Compliance | 10 | 10 | Yes. Each area is detailed to include the type of cleaning and frequency. |
| 2.6.4 | Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment? | Total Compliance | 10 | 10 | Yes. These include all areas of the facility and the truck trailers. |

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| 2.6.5 | Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning? | Total Compliance | 5 | 5 | Yes. |
| 2.6.6 | Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)? | Total Compliance | 5 | 5 | Yes. |
| 2.6.7 | Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required? | Total Compliance | 10 | 10 | Yes. The maintenance department cleans the cooling units and evaporators. |
| 2.7.1 | Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees? | Total Compliance | 5 | 5 | Yes. Logs are detailed to include the date, GMP topics covered, and name of employee. |
| 2.7.2 | Are there logs of ongoing employee food safety education training with topics covered and attendees? | Total Compliance | 10 | 10 | Yes. |
| 2.7.3 | Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details? | Total Compliance | 5 | 5 | Yes. Internal training is followed with training provided by Hillard Chemical. |
| 2.7.4 | Is there an employee non-compliance/disciplinary action procedure? (verbal confirmation accepted). | Total Compliance | 3 | 3 | Yes. This policy is explained in the company handbook. |
| 2.8.1 | Are there records of routine environmental microbiological testing? | Total Compliance | 5 | 5 | Yes. There is an established rotation. Swabbing is completed twice a month and sent to Purity Labs for analysis. No issues were reported. |
| 2.8.2 | Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)? | Total Compliance | 10 | 10 | Yes. Alexin Analytical Labs performs a potability test twice a year on the municipal water used at this facility. The report for 5/22/10 indicated the absence of microbial contamination. |
| 2.9.1 | Are there temperature logs for storage rooms? | Total Compliance | 5 | 5 | Yes. |
| 2.9.2 | Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading? | Total Compliance | 5 | 5 | Yes. Information is noted to include the procedure for precooling trailers for loading. |
| 2.9.3 | Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)? | Total Compliance | 10 | 10 | Yes. |

Food Security

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/Picture |
|--------------|--|-------------------------|-------------|----------------|----------------|------------------|---------------|
| 3.1.1 | Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing? | Total Compliance | 5 | 5 | | Yes. | |

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| 3.1.2 | Is access to the facility controlled by, locks, swipe cards, alarms or other devices? | Total Compliance | 10 | 10 | | Yes. |
| 3.1.3 | Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound? | Total Compliance | 5 | 5 | | Yes. All storage areas are inside the enclosed facility. |
| 3.1.4 | Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access? | Total Compliance | 5 | 5 | | Yes. Sanitation chemicals are stored inside a locked caged area. |
| 3.2.1 | Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)? | Total Compliance | 5 | 5 | | Yes. Including drivers, employees are subjected to criminal and drug screen checks. |
| 3.2.2 | Employees personal items are not being stored in the production and material storage areas? | Total Compliance | 5 | 5 | | Yes. |
| 3.2.3 | Are employees issued non-reproducible identification badges? | Minor Deficiency | 3 | 5 | Staff should have personal identifications that link them to the company. The IDâ€™s should have the employeeâ€™s number, photo and position within the organization. | Identification is issued, but does not include photos. |
| 3.2.4 | Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc? | Total Compliance | 5 | 5 | | Yes. Visitors are issued identification badges that are returned at the end of the visit. |
| 3.2.5 | Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book? | Total Compliance | 5 | 5 | | Yes. |
| 3.3.1 | Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)? | Total Compliance | 3 | 3 | | Yes. Loads are multiple pickups and trailers have locks provided. |
| 3.3.2 | Does the company make use of sealed and/or locked trailers on outbound loads? | Total Compliance | 3 | 3 | | Yes. Loads are multiple drops and trailers have locks provided. |
| NEW 3.3.3 | Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio? | Total Compliance | 3 | 3 | | Yes. GPS may be used to track trucks and cell phones are used for communication. |
| 3.4.1 | Are potable and non-potable water supply clearly identified? | N/A | 0 | 0 | | N/A Only potable municipal water is used at this facility. |

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| 3.4.2 | Are tamper evident systems (e.g. tamper tags) in place where appropriate? | N/A | 0 | 0 | N/A Refer to 3.4.1. |
| 3.4.3 | Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems? | N/A | 0 | 0 | N/A These systems are not used in this operation. |
| 3.5.1 | Does the company have documented food security policies based on the risks associated with the operation? | Total Compliance | 10 | 10 | Yes. |
| NEW 3.5.2 | Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies? | Total Compliance | 3 | 3 | Yes. |
| 3.5.3 | Are all personnel required to undergo training on food security issues and are training records kept? | Total Compliance | 10 | 10 | Yes. This included in the employee training program. |
| 3.5.4 | Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage? | Total Compliance | 3 | 3 | Yes. Key stock may not be duplicated. |
| 3.5.5 | Is there an implemented and documented system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)? | Total Compliance | 3 | 3 | Yes. Computer systems are password protected and backed up daily with off-site data storage. |
| 3.5.6 | Is there a chemical inventory and/or usage log? | Total Compliance | 3 | 3 | Yes. This inventory is maintained at the locked chemical storage cage. |

Miscellaneous Survey Questions

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|---|--------------|-------------|----------------|----------------|--|----------------|
| 4.1.1 | Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)? | Yes | 0 | 0 | | Yes. Employees are required to be 16 years or older. | |
| 4.1.2 | If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)? | Yes | 0 | 0 | | Yes. All processes are followed. | |
| 4.1.3 | If Minors are employed, are they prohibited from doing certain jobs | Yes | 0 | 0 | | Yes. | |

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| | which are restricted by law? | | | | | |
| 4.2.1 | There are no allergen risks handled or stored on site? | No | 0 | 0 | If an allergen risk is identified, then the facility should have storage, production, equipment and personnel controls. Product must also be labeled correctly. | No. Tree nuts are stored inside closed containers. |
| 4.2.2 | Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ? | Yes | 0 | 0 | | Yes. The nuts are inside closed containers stored in separate bins that are labeled and spearated from other products. |
| 4.2.3 | Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination? | N/A | 0 | 0 | | N/A The containers are not opened and there is no handling or processing in this operation. |
| 4.2.4 | Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination? | Yes | 0 | 0 | | Yes. Bins holding closed containers are labeled. |
| 4.2.5 | Does re–work handling take into account the issue associated with allergen containing products? | N/A | 0 | 0 | | N/A The containers are not opened and there is no rework in this operation. |
| 4.2.6 | Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records? | Yes | 0 | 0 | | Yes. Drivers and supervisors are allergen trained. |
| 4.2.7 | Are all products manufactured on site, labeled correctly with respect to allergens? | Yes | 0 | 0 | | Yes. Containers holding allergen products are labeled. |

New Questions (Not part of overall Food Safety percentage)

| Question No. | Audit Question | Given Answer | Given Score | Possible Score | Recommendation | Auditor Comments | Audio/ Picture |
|--------------|---|-------------------------|-------------|----------------|----------------|---------------------------------|----------------|
| 5.1.1 | Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility? | Total Compliance | 3 | 3 | | Yes. | |
| 5.1.2 | Where gloves are used, are they latex–free (e.g. vinyl, nitrile) or powder–free latex? | Total Compliance | 3 | 3 | | Yes. | |
| 5.1.3 | Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies? | Total Compliance | 5 | 5 | | Yes. This is completed at hire. | |
| 5.1.4 | Are visitors and contractors required to sign a log stating that they will comply with the operation's personal | Total Compliance | 3 | 3 | | Yes. | |

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|-------|--|-------------------------|---|---|---|---|
| | hygiene, health and occupational safety policies? | | | | | |
| 5.1.5 | Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records). | Total Compliance | 3 | 3 | | Yes. |
| 5.1.6 | Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip? | Non-Compliance | 0 | 5 | Bandages used in food facilities should be waterproof and blue in color for easy visual detection, with a metal strip behind the wound pad for detection on lines with metal detectors. | No. Waterproof blue bandages are not being used. |
| 5.1.7 | Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled? | N/A | 0 | 0 | | N/A These systems are not in use at this facility. |
| 5.1.8 | Are all records free of correction fluid (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry? | Total Compliance | 3 | 3 | | Yes. |

Audit Scoring Summary

| | | | |
|--|--------------------------------|------------------------|------------|
| | Good Manufacturing Practices | Score | 554 |
| | | Possible Points | 573 |
| | | Percent Score | 97% |
| | Food Safety File Requirements | Score | 296 |
| | | Possible Points | 296 |
| | | Percent Score | 100% |
| | Miscellaneous Survey Questions | Score | 0 |
| | | Possible Points | 0 |
| | | Percent Score | 0% |
| | Total | Score | 850 |
| | | Possible Points | 869 |
| | | Percent Score | 98% |

Food Security Scoring Summary

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|--|---------------|-----------------|----|
| | Food Security | Score | 89 |
| | | Possible Points | 91 |

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| | Total | Percent Score | 98% |
| | | Score | 89 |
| | | Possible Points | 91 |
| | | Percent Score | 98% |

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

| | | | |
|--|---|-----------------|------------|
| | New Questions (Not part of overall Food Safety percentage) | Score | 20 |
| | | Possible Points | 25 |
| | | Percent Score | 80% |
| | Total | Score | 20 |
| | | Possible Points | 25 |
| | | Percent Score | 80% |

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

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

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

To have not met the question and/or compliance criteria requirements at all.
Having systematic deficiencies against the question and/or compliance criteria (severe or non-severe issues).