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Version 1.0 Sep 23, 2014

## PrimusLabs Audit (261225) Storage & Distribution Center v11.04

**Facility(s)**

**Veggies, Inc.**

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**Customer(s)**

**Veggies Inc.**

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**Audit Type:**

Storage & Distribution Center

**Foreman or Contact Person (and email):**

Lupe Martinez ([gmartinez@veggiesinc.com](mailto:gmartinez@veggiesinc.com))

**Location/City:**

Rio Rico

**State:**

Arizona

**Country:**

United States

**Date Audit Started:**

09/22/2014 10:00

**Date Audit Finished:**

09/22/2014 17:10

**Audit Duration:**

7 hours, 10 minutes

**Audited Commodity(ies):**

Lemons

**Observed Commodity(ies):**

Lemons

**Auditor:**

[Isaac Santos](#) (Santos, Isaac – Sub Contractor)

**Audit Percentage Score:**

93%

**Question Response Summary:**

# of Question Responses	Not Applicable	Full Points	Minor Deficiency	Major Deficiency	Non Conformance
142	14	114	<u>4</u>	<u>2</u>	<u>8</u>

**Announced Audit?**

Yes

**Audit Scope:**

Review of the implementation of the food safety program at this storage and distribution center of 26000

square feet operating ten months of the year with eight employees in the plant, three cold storage rooms (A, B and C), where fresh product is stored. At the time of this audit only Lemons were stored in place.

**Audit Entered By:** Isaac Santos.  
**Other Auditing Personnel And Role:** N/A.  
**GPS Coordinates:** **Latitude:** 31° 26' 15" **Length:** -111° 2' 11"

**Additional Report Links**

- [Report and Corrective Action Summary](#)
- [See The Result Comparison](#)
- [See The Audited Entity History](#)

[Corrective Actions Response](#)

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

**Sections:**

- [Good Manufacturing Practices](#)
- [Food Safety File Requirements](#)
- [Food Security](#)
- [Miscellaneous Survey Questions](#)
- [New Questions \( Not part of overall Food Safety percentage\)](#)

Good Manufacturing Practices							
Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
1.1.1	Is there a designated person responsible for the food safety program?	<b>Total Conformance</b>	10	10		<b>Yes, Mr. Lupe Martinez is the Warehouse Manager and person responsible for the food safety program at this operation.</b>	
1.1.2	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	<b>Total Conformance</b>	15	15		<b>Yes, all chemicals are stored in a locked room.</b>	
1.1.3	Are "food grade" and "non-food grade" chemicals used and stored in a controlled manner?	<b>Total Conformance</b>	10	10		<b>Yes, however no food grade chemicals are used in place.</b>	
1.1.4	Are signs supporting GMPs posted appropriately?	<b>Total Conformance</b>	10	10		<b>Yes, signs supporting GMPs are posted appropriately.</b>	
1.1.5	Are blue metal detectable waterproof band aids used? Are first aid kits adequately stocked and readily available?	<b>Total Conformance</b>	5	5		<b>Yes, waterproof detectable blue band aids with metal strips are available and first</b>	

					<b>aid kits are adequately stocked.</b>
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.	<b>Total Conformance</b>	15	15	<b>Yes, products are free of animal activity.</b>
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.	N/A	0	0	<b>N/A, Packaging supplies are not stored nor used at this facility.</b>
1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	<b>Total Conformance</b>	15	15	<b>Yes, plant and storage areas are free of animal activity.</b>
1.2.4	Is the area outside the facility free of evidence of pest activity?	<b>Total Conformance</b>	10	10	<b>Yes.</b>
1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Conformance</b>	15	15	<b>Yes, the operation has a pest control program contracted to Aztech Pest Control, with business license #5763 valid to May 2016, and PCO license #080473 of Mr. Moises A. Fonseca.</b>
1.2.6	Are pest control devices (inc. rodent traps and insect light traps) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	<b>Total Conformance</b>	10	10	<b>Yes, pest control devices are located away from exposed food products, only glue traps are used within the facility and bait traps are used by the outside building perimeter.</b>
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?	<b>Total Conformance</b>	5	5	<b>Yes, Internal pest control devices were clean and marked monthly when monitored by the contractor and weekly in-house.</b>
1.2.8	Are interior and exterior building perimeter pest control devices adequate in number and location?	<b>Total Conformance</b>	5	5	<b>Yes.</b>
1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	<b>Total Conformance</b>	5	5	<b>Yes, all pest control devices are identified by a number.</b>
1.2.10	Are all pest control devices properly installed and secured?	<b>Total Conformance</b>	5	5	<b>Yes.</b>
1.3.1			15	15	

	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)?	<b>Total Conformance</b>				<b>Yes, products are stored to prevent cross contamination. Ingredients and packaging are not used nor stored in place.</b>
1.3.2	Is the storage area completely enclosed?	<b>Total Conformance</b>	10	10		<b>Yes, all storage area is completely enclosed.</b>
1.3.3	Is the facilities use restricted to the storage of food products?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	<b>N/A</b>	0	0		<b>N/A, there were not on hold materials present during the tome of this audit.</b>
1.3.5	Are raw materials, work in progress, ingredients (including ice), finished goods and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	<b>Total Conformance</b>	15	15		<b>Yes, product is free from spoilage or adulteration.</b>
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?	<b>Total Conformance</b>	10	10		<b>Yes, all storage areas were very clean.</b>
1.3.7	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	<b>Total Conformance</b>	5	5		<b>Yes, product is marked with receipt dates.</b>
1.3.8	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	<b>Total Conformance</b>	5	5		<b>Yes, products are rotated using FIFO policy.</b>
1.3.9	Are storage areas at the appropriate temperatures for the specific products being stored?	<b>Total Conformance</b>	10	10		<b>Yes, only cold storage A was running with Lemons at 48 F.</b>
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.)?	<b>Total Conformance</b>	15	15		<b>Yes, all exposed materials are protected from overhead contamination.</b>
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.)?	<b>Minor Deficiency</b>	10	15	Enough stations, in working order should be provided to ensure efficient staff flow (1 per 10 people on site). Hands free is an optimum system for food establishments. Stations should have warm water, soap and paper towels.	<b>The hand soap is scented, no other issues seen regarding this question.</b>

1.4.3	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	<b>Total Conformance</b>	15	15	<b>Yes, toilets are adequate in number, location and adequately stocked.</b>
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?	<b>Total Conformance</b>	5	5	<b>Yes, re-usable containers are only used for trash.</b>
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?	<b>Total Conformance</b>	15	15	<b>Yes.</b>
1.5.2	Is there no sign of any employees with boils, sores, open wounds or exhibiting signs of foodborne illness working in indirect or direct food contact?	<b>Total Conformance</b>	10	10	<b>Yes, there were not employees observed with boils, sores, open wounds or exhibiting signs of foodborne illness working in the facility.</b>
1.5.3	Is jewelry confined to a plain wedding band?	<b>Total Conformance</b>	3	3	<b>Yes, there were not employees wearing exposed jewelry.</b>
1.5.4	Employees personal items are not being stored in the production or material storage areas?	<b>Total Conformance</b>	5	5	<b>Yes, employees personal items are stored in lockers within the lunchroom.</b>
1.5.5	Is smoking, eating, chewing and drinking confined to designated areas?	<b>Total Conformance</b>	10	10	<b>Yes, all these activities are confined to designated areas.</b>
1.6.1	Are equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	<b>N/A</b>	0	0	<b>N/A, this is a storage and distribution center facility without equipment for products manipulation, with exception of stainless steel inspection tables. NOTE: The operation has a room for re-packing which is audit separately with HACCP, so it is excluded from this audit. Previous Packinghouse audit is #239340 dated on February 10, 2014.</b>
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?	<b>N/A</b>	0	0	<b>N/A, please refer to question 1.6.1</b>
1.6.3	Are thermometers (independent of thermostat probes) present in all coolers and	<b>Total Conformance</b>	5	5	<b>Yes. Digital thermometers are</b>

	freezers?				present in all cold rooms.
1.6.4	Are all thermometers non-glass and non-mercury?	<b>Total Conformance</b>	10	10	Yes, digital thermometers non-glass and non-mercury are used.
1.7.1	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	<b>Total Conformance</b>	5	5	Yes, the cooling units and coils in coolers are clean and free of ice.
1.7.2	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	<b>Total Conformance</b>	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, the facility does not have any stored equipment.
1.7.4	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	<b>Total Conformance</b>	10	10	Yes.
1.7.5	Are excess lubricants and grease removed from the equipment?	N/A	0	0	N/A, the facility does not have any equipment.
1.8.1	Are spills cleaned up immediately?	<b>Total Conformance</b>	10	10	Yes, during the time of this audit spills did not occur.
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	<b>Total Conformance</b>	5	5	Yes, storage areas are clean.
1.8.3	Do floor drains appear clean, free from odors and well maintained?	<b>Total Conformance</b>	5	5	Yes, floor drains are clean and well maintained.
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	<b>Total Conformance</b>	10	10	Yes. High leveled areas were clean.
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?	<b>Total Conformance</b>	5	5	Yes, plastic strip curtains are in good condition, kept clean and not touching the floor.
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to raw materials, work in progress, ingredients, finished goods or packaging?	<b>Total Conformance</b>	3	3	Yes.
1.8.7	Is cleaning equipment available and stored properly?	<b>Total Conformance</b>	5	5	Yes.
1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	<b>Total Conformance</b>	10	10	Yes, cleaning equipment is labeled and color coded for area of use.
1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool,	<b>Total Conformance</b>	5	5	Yes.

	metal bristles, etc.)					
1.8.10	Are toilet facilities and hand-wash stations clean?	<b>Total Conformance</b>	15	15		<b>Yes, toilets and hand-wash stations were clean.</b>
1.8.11	Are employee break facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	<b>Total Conformance</b>	5	5		<b>Yes, the lunchroom is clean, including microwaves.</b>
1.8.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	<b>N/A</b>	0	0		<b>N/A, there is not a maintenance shop in place.</b>
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?	<b>Total Conformance</b>	5	5		<b>Yes, internal transport vehicles used inside the facility are electric (forklifts and pallet jacks) all being used in a sanitary manner.</b>
1.8.14	Are shipping trucks clean and in good condition?	<b>N/A</b>	0	0		<b>N/A, shipping trucks were not present during the time of this audit.</b>
1.9.1	Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded to protect product from contamination in the event of breakage?	<b>Total Conformance</b>	15	15		<b>Yes. All lights in the facility are clean and protected.</b>
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	<b>Total Conformance</b>	15	15		<b>Yes.</b>
1.9.3	Has the facility eliminated the use of wooden items or surfaces?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
1.9.4	Is there adequate lighting in the packing and storage areas?	<b>Total Conformance</b>	5	5		<b>Yes, lighting in the packing and storage area was adequate.</b>
1.9.5	Is ventilation adequate to control dust, condensation, odors and vapors?	<b>Total Conformance</b>	10	10		<b>Yes.</b>
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	<b>Minor Deficiency</b>	7	10	Building materials should be impervious to water, clean easily and resist wear and corrosion. Exposed aggregate is hard to clean and will get progressively worse. Floors should be free of wide and/or deep cracks.	<b>Few cracks were observed on floors, but kept clean with no debris trapping.</b>
1.9.7	Are the floor drains where they are needed for drainage and cleanup?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
1.9.8	Are doors to the outside pest proof?	<b>Total Conformance</b>	5	5		<b>Yes, doors to the outside were pest proof.</b>

1.9.9	Are dock doors fitted with buffers to seal against trucks?	<b>Total Conformance</b>	3	3		Yes.
1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	<b>Total Conformance</b>	3	3		Yes, dock load shelters are in a good condition, free from debris and pest proof.
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?	<b>Total Conformance</b>	5	5		Yes.
1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	<b>Total Conformance</b>	5	5		Yes, interior walls and ceilings are free of cracks and crevices.
1.9.13	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 ?	<b>Total Conformance</b>	5	5		Yes, the internal wall perimeter is adequate allowing inspection and cleaning.
1.9.14	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	<b>Total Conformance</b>	5	5		Yes.
1.9.15	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from building perimeter)?	<b>Total Conformance</b>	5	5		Yes.
1.9.16	Are pallets inspected to separate and replace dirty or broken pallets?	<b>Total Conformance</b>	5	5		Yes, dirty or broken pallets are segregated and replaced.
1.9.17	Is the area around the dumpster/cull truck/trash area clean?	<b>Total Conformance</b>	3	3		Yes, the area around the dumpster was clean.
1.9.18	Are outside garbage receptacles and dumpsters kept covered or closed?	<b>Total Conformance</b>	5	5		Yes, outside garbage receptacles were closed.
1.9.19	Are all water lines protected against back siphonage?	<b>Total Conformance</b>	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?	<b>Total Conformance</b>	3	3		Yes, guidelines for handling regulatory and independent inspections were available, which include rules for always accompanying inspections and rules on taking samples.	
2.1.2	Is there a documented glass management policy and procedure (including company glass policy, glass breakage	<b>Minor Deficiency</b>	3	5	Document should include site glass policy, breakage procedure and glass register if necessary (a no glass	<b>There are not documented inspections of the complete glass register, but in the daily</b>	



	procedure and where necessary glass register)?				policy should be the target). If certain glass items are allowed, a glass register should describe each item, location and quantity; items should be checked on a routine basis. Clean-up procedure after glass breakage should indicate what equipment to use and include boot and tool checks/decontamination procedures to ensure broken glass is not unintentionally transported out of the area.	<b>pre-operation inspections lights are included.</b>
2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	<b>Total Conformance</b>	5	5		<b>Yes, SOPs that detail work instructions for activities ensuring food safety and Good Manufacturing Practices are kept in the food safety manual.</b>
2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	<b>Total Conformance</b>	5	5		<b>Yes, SOPs are available to users and there is a master copy in the food safety manual.</b>
2.1.5	If records are changed after initial recording/entry are changes clearly legible (errors marked through and initialed); recorded in ink, not pencil?	<b>N/A</b>	0	0		<b>N/A, there were not records observed changed after initial recording entry.</b>
2.1.6	Is there a current certificate of inspection for backflow prevention assemblies on water lines entering the facility?	<b>Non-Conformance</b>	0	3	There should be a backflow prevention device on main water lines entering the facility. A trained inspector should verify the principle backflow prevention system every 12 months (unless there is a stated expiration on the certificate).	<b>No, the certificate of inspection for backflow prevention assemblies on water lines was due on 2/21/2012.</b>
2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	<b>Total Conformance</b>	10	10		<b>Yes, products are purchased locally in Nogales or Rio Rico and coded by the auditee with pallet tags numbers that contains information of their suppliers.</b>
2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details and external contact listings and an explanation of different	<b>Total Conformance</b>	15	15		<b>Yes.</b>

2.2.3	recall classes (USA only)? Is testing of recall procedures (including trace back) performed and documented at least once every six months? Can the company identify where affected product was sent?	<b>Total Conformance</b>	10	10		<b>The most recent mock recall took more than two hours (2 hours and 19 minutes, from 2:11 PM to 4:30 PM.) and was conducted on 5/26/14, involving 240 cartons of Roma Tomatoes. There is another one conducted on 12/28/2013 involving 160 cartons of Persian Pickles, product code 12.15.14, totally accounted in one hour and thirty minutes, from 4:00 PM to 5:30 PM. Documents supporting the exercises are kept on file including scenario and lessons learned.</b>
2.2.4	Is there a written procedure for handling on hold or rejected materials?	<b>Total Conformance</b>	10	10		<b>Yes, there is a documented Material On-Hold And Rejected SOP available, Doc. PTK FA011.</b>
2.2.5	Is there a list of approved suppliers of raw materials, ingredients and packaging items?	<b>Minor Deficiency</b>	3	5	There should be a list of approved suppliers of commodities and ingredients. All products and ingredients are ideally purchased from approved suppliers; where exceptions are made (e.g. market conditions) approval from management should be documented.	<b>Few providers of services are missing.</b>
2.2.6	Does the facility have relevant third party audit reports, supplier third party audit certifications and/or letters of guarantee for product raw material, processing aids and other ingredients?	<b>Major Deficiency</b>	5	15	The supplier audit reports/certifications or letters of guarantee should ensure that the supplier is complying with regulatory requirements and best practice guidelines.	<b>The auditee buys products locally in Nogales and Rio Rico AZ., however numerous certifications and/or supplier letters of guarantee were not available for review at the time of this audit.</b>
2.2.7	Where the auditee buys product or packaging does the facility have relevant third party audit reports, supplier third party audit certifications and/or supplier letters of guarantee for packaging items?	<b>N/A</b>	0	0		<b>N/A, the auditee does not purchase any packaging material.</b>

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?	<b>Total Conformance</b>	5	5		<b>Yes, Copies of all Materials Safety Data Sheets are on file.</b>
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?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
2.3.3	Is there a chemical inventory and/ or usage log?	<b>Non-Conformance</b>	0	3	Logs of use and/or inventory of sanitizers (product and cleaning) are required in order to confirm that procedures are being followed.	<b>No, there was not a chemical inventory available for review.</b>
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?	<b>Total Conformance</b>	15	15		<b>Yes, the operation has a pest control program contracted to Aztech Pest Control, with business license #5763 valid to May 2016, and PCO license #080473 of Mr. Moises A. Fonseca and insurance documents valid to 8/15/2015.</b>
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?	<b>Total Conformance</b>	10	10		<b>Yes. There is a schematic drawing of the plant showing 41 internal glue traps and 9 bait stations outside the facility.</b>
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)?	<b>Total Conformance</b>	10	10		<b>Yes, service reports created for pest control checks once a month, last one done is dated on 9/10/2014.</b>
2.5.1	Where the auditee sells product to the customers, is there a documented system for dealing with food safety complaints/feedback from consumers and buyers along with records and company responses, including corrective actions?	<b>Total Conformance</b>	5	5		<b>Yes, there is a documented system for dealing with food safety complaints/feedback, Doc. PTK FA012.</b>
2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	<b>Non-Conformance</b>	0	5	It is important to keep these records on file to show that the company fixed deficiencies and it also verifies good practices.	<b>No, corrective actions were not submitted the previous year for the third party contracted inspection PLC #210923,</b>

					Corrective actions should be recorded.	<b>dated on August 9, 2013.</b>
2.5.3	Is there a daily pre-operation inspection log?	<b>Total Conformance</b>	5	5		<b>Yes, there is a daily pre-operation inspection log.</b>
2.5.4	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?	<b>Non-Conformance</b>	0	10	In depth internal verifications should be performed and recorded in order to proactively ensure safe food production. Records should show corrective actions and/or action verifications should be shown on the next verification report.	<b>No, there is not a program for the facility/GMP internal self inspections available for review.</b>
2.5.5	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?	<b>Non-Conformance</b>	0	5	Recording systems for food safety related topics should be audited on a routine basis to ensure that they are being completed properly e.g. using the right log, right frequencies, recording results correctly, recording actions, etc.	<b>No, there is not a program for periodic inspections of food safety system records available for review.</b>
2.5.6	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the food safety of the product?	<b>Total Conformance</b>	10	10		<b>Yes, there are calibration procedures for thermometers stating weekly calibrations, and records of calibration for all thermometers in compliance with the SOP.</b>
2.5.7	Where the auditee buys product or packaging does the facility have incoming goods (raw materials, ingredients and packing materials) inspection data?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
2.5.8	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	<b>Total Conformance</b>	10	10		<b>Yes.</b>
2.5.9	Is there an incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) used for recording infrequent and/or unusual events?	<b>Total Conformance</b>	5	5		<b>Yes, there is a NUOCA log available.</b>
2.6.1	Does the facility have a preventative maintenance program and with a documented schedule?	<b>Total Conformance</b>	10	10		<b>Yes.</b>

2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	<b>Total Conformance</b>	10	10		<b>Yes, there is a log of maintenance work and repairs ordered, signed off when work is completed.</b>
2.6.3	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	<b>Total Conformance</b>	10	10		<b>Yes, there is a master sanitation schedule showing duties and frequencies.</b>
2.6.4	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	<b>Total Conformance</b>	10	10		<b>Yes.</b>
2.6.5	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
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)?	<b>N/A</b>	0	0		<b>N/A, floor drains are not present in the storage and distribution center.</b>
2.6.7	Are there records showing cooling units are serviced and cleaned at least every 12 months or more frequently as required?	<b>Total Conformance</b>	10	10		<b>Yes, there are records showing that cooling units are cleaned in house semi-annual. Records are dated on January 2014 and August 2014.</b>
2.7.1	Are there records of new employee food safety (GMP) orientation training (with topics covered and attendees) and are new employees required to sign the company's food safety hygiene and health policy?	<b>Total Conformance</b>	10	10		<b>Yes, there are records of new employee food safety (GMP) orientation training, showing topics covered and attendees and new employees are required to sign the company's food safety hygiene and health policy.</b>
2.7.2	Are there logs of ongoing employee food safety education training with topics covered and attendees?	<b>Major Deficiency</b>	3	10	Documentation of training verifies that the company is committed to ongoing employee training and education to identify and promote good manufacturing and sanitary practices.	<b>Ongoing employee food safety education training with topics covered and attendees are not conducted at least quarterly, there is only a training at the beginning of the season 10/4/12 and 10/1/2013. The company season is from October to June.</b>
2.7.3	Are there written procedures in place that require food	<b>Total Conformance</b>	3	3		<b>Yes.</b>

	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? (Verbal confirmation accepted).					
2.7.4	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	<b>Non-Conformance</b>	0	5	Sanitation training should ensure that the staff understand the importance of proper sanitation, how to use the cleaning chemicals and how to understand Sanitation Standard Operating Procedures.	<b>No, there is not a documented training for the sanitation employee Mr. Marcos Ramirez.</b>
2.7.5	Are visitors and contractors required to sign a log stating that they will comply with the operations? personal hygiene and health policies?	<b>Total Conformance</b>	3	3		<b>Yes, visitors are required to sign in the visitors sign in sheet log that they will comply with the operations' personal hygiene and health policies.</b>
2.7.6	Is there an employee non-compliance/disciplinary action procedure? (verbal confirmation accepted).	<b>Total Conformance</b>	3	3		<b>Yes.</b>
2.8.1	Are there records of routine environmental microbiological testing?	<b>Total Conformance</b>	10	10		<b>Yes, environmental microbiological testing was conducted on Aug. 29, 2014 sponges on cooler east and west walls for Listeria (AOAC-RI 011201), reporting Negative on all determinations (USM 14.074732, 14.074734, 14.074735, 14.074737, 14.074738, 14.074739.</b>
2.8.2	Are there routine microbiological test on water used in the facility (sampled from within the facility)?	<b>Total Conformance</b>	10	10		<b>Yes, There is an annual microbiological testing of the city water used in the W/H facility conducted by PrimusLabs on Aug. 29, 2014, for E. coli, reporting &lt; 1 est MPN/100 ml (SM9223), USM 14.074748.</b>
2.9.1	Are there temperature logs for storage rooms?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
2.9.2	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	<b>Total Conformance</b>	5	5		<b>Yes, shipping truck temperature checks are documented.</b>

2.9.3	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	<b>Total Conformance</b>	10	10		<b>Yes, sanitary condition logs for shipping trucks are available.</b>
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### 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?	<b>Total Conformance</b>	5	5		<b>Yes, all entry points are monitored during business hours and locked after work hours.</b>	
3.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	<b>Total Conformance</b>	10	10		<b>Yes, access to the facility is controlled by locks and surveillance cameras inside and outside the facility building.</b>	
3.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound?	<b>Total Conformance</b>	5	5		<b>Yes. Food product storage areas are secured.</b>	
3.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	<b>Total Conformance</b>	5	5		<b>Yes, chemicals are stored in a locked room.</b>	
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)?	<b>Total Conformance</b>	5	5		<b>Yes.</b>	
3.2.2	Employees personal items are not being stored in the production and material storage areas?	<b>Total Conformance</b>	5	5		<b>Yes.</b>	
3.2.3	Are employees issued non-reproducible identification badges?	<b>Total Conformance</b>	5	5		<b>Yes, employees issued identification badges with company name, employee photo and name.</b>	
3.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	<b>Total Conformance</b>	5	5		<b>Yes, visitors are required to be issued with a visitors badge.</b>	
3.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors	<b>Total Conformance</b>	5	5		<b>Yes. Visitors are required to sign in and out in a visitors log</b>	

	log book?					book.
3.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	N/A	0	0		N/A, products are purchased locally in Rio Rico or Nogales and transported to this facility in own trucks.
3.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	<b>Total Conformance</b>	3	3		Yes, by customer requested.
3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio?	<b>Total Conformance</b>	3	3		Yes, transportation vehicles are equipped with cell phones or radios.
3.4.1	Are potable and non-potable water supply clearly identified?	N/A	0	0		N/A. Only potable water is used at this facility.
3.4.2	Are tamper evident/tamper resistant systems (e.g. tamper tags) in place where appropriate?	<b>Total Conformance</b>	3	3		Yes.
3.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	N/A	0	0		N/A, this is a dry operation without water systems.
3.5.1	Does the company have a documented food security policy based on the risks associated with the operation?	<b>Total Conformance</b>	10	10		Yes.
3.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	<b>Total Conformance</b>	3	3		Yes, there is a current list of emergency contact phone numbers for management, law enforcement and regulatory agencies.
3.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	<b>Non-Conformance</b>	0	5	Staff should attend either external or in-house training regarding food security requirements. Records should be kept (showing topics and attendance).	No, there are no training records on food security issues for employees.
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?	<b>Total Conformance</b>	3	3		Yes, key holders log is available including five employees.
3.5.5	Is there a system to protect the security of food safety documentation and computer systems (including a back-up	<b>Total Conformance</b>	3	3		Yes, food safety documentation is kept in a secured office with controlled access.



system for computer food safety data)?

3.5.6	Is there a chemical inventory and/or usage log?	<b>Non-Conformance</b>	0	3	Chemical usage logs or chemical inventories should be on file. Chemicals include cleaners and sanitizers, and chemical such as chlorine for water flumes, hydrocoolers, etc.	<b>No, there is not a chemical inventory and/or usage log.</b>
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### Miscellaneous Survey Questions


Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
4.1.1	There are no allergen risks handled or stored within production and storage areas? If N, then complete Allergens Section (next 6 questions).	<b>Yes</b>	0	0		<b>Yes, there are not allergen risks handled or stored within the storage areas.</b>	
4.1.2	Has a documented allergen management plan been developed?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	
4.1.3	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	
4.1.4	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1.</b>	
4.1.5	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	
4.1.6	Does re-work handling take into account the issue associated with allergen containing products?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	
4.1.7	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?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	
4.1.8	Are all products manufactured on site, labeled correctly with respect to allergens?	<b>N/A</b>	0	0		<b>N/A, please refer to question 4.1.1</b>	



### 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	Do laboratory test results indicate test procedures meet accepted standards?	<b>Total Conformance</b>	5	5		<b>Yes.</b>	
5.1.2	Is there an organizational chart showing who has food safety responsibilities and to whom they report?	<b>Non-Conformance</b>	0	3	An organizational chart is a visual representation of who is in charge of different groups within an organization illustrating to whom employees report.	<b>No, there is no an organizational chart showing who has food safety responsibilities and to whom they report.</b>	

5.1.3	Is there a documented food safety plan?	<b>Total Conformance</b>	5	5		<b>Yes. There is a documented food safety plan.</b>
5.1.4	Is there a documented food safety policy?	<b>Total Conformance</b>	3	3		<b>Yes. there is a documented food safety policy.</b>
5.1.5	Are there written specifications for purchased goods (raw materials, ingredients and packing materials)?	<b>Total Conformance</b>	3	3		<b>Yes.</b>
5.1.6	Are there written specifications for finished goods?	<b>N/A</b>	0	0		<b>N/A, this is a storage and distribution center facility operation.</b>
5.1.7	Is there a written procedure for approval and continued monitoring of suppliers of raw materials, ingredients, finished goods and packaging materials?	<b>Total Conformance</b>	5	5		<b>Yes.</b>
5.1.8	Is there a written document control procedure describing how documents will be maintained, updated and replaced?	<b>Non-Conformance</b>	0	3	Document control procedures ensure a better flow of information, smoother operations and timely work.	<b>No, there is no written document control procedure describing how documents will be maintained, updated and replaced.</b>
5.1.9	Does finished product coding clearly link to supplier(s) of incoming materials? (Auditor performs a live traceback test to verify the 2.2.1 documentation).	<b>N/A</b>	0	0		<b>N/A, storage and distribution center.</b>
5.1.10	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?	<b>N/A</b>	0	0		<b>N/A, there are no waste water treatments in place.</b>

<b>Audit Scoring Summary</b>			
	Good Manufacturing Practices	Score	532
		Possible Points	540
		Percent Score	<b>99%</b>
	Food Safety File Requirements	Score	271
		Possible Points	323
		Percent Score	<b>84%</b>
	Miscellaneous Survey Questions	Score	0
		Possible Points	0

	<b>Total</b>	Percent Score	0%
		Score	803
		Possible Points	863
		Percent Score	93%

Food Security Scoring Summary			
	Food Security	Score	78
		Possible Points	86
		Percent Score	91%
	<b>Total</b>	Score	78
		Possible Points	86
		Percent Score	91%
		Percent Score	91%

New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage)			
	New Questions ( Not part of overall Food Safety percentage)	Score	21
		Possible Points	27
		Percent Score	78%
	<b>Total</b>	Score	21
		Possible Points	27
		Percent Score	78%
		Percent Score	78%

Point System For Individual Questions				
Question Points	Total Conformance	Minor Deficiency	Major Deficiency	Non Conformance
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

Conformance Categories	
Full Conformance:	To meet the question and/or conformance criteria in full.
Minor Deficiency:	To have minor deficiencies against the question and/or conformance criteria. To have single or isolated non-severe deficiencies (usually up to three) against the question and/or conformance criteria. To have covered most of the question conformance criteria, but not all.
Major Deficiency:	To have major deficiencies against the question and/or conformance criteria.

	<p>To have numerous non–severe deficiencies (usually more than three) against the question and/or conformance criteria.</p> <p>To have single or isolated severe deficiencies against the question and/or conformance criteria.</p> <p>To have covered some of the question conformance criteria, but not most of it.</p>
Non–Conformance:	<p>To have not met the question and/or compliance conformance requirements at all.</p> <p>Having systematic deficiencies against the question and/or conformance criteria (severe or non–severe issues).</p>