



**Food Safety Management System Requirements**

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**FSMS – Management System**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.01.01	Is there a documented food safety policy detailing the company's commitment to food safety?	Total Compliance	5	5	Yes. Stated in the Management Commitment section.	
1.01.02	Is there a food safety manual or other documented food safety management system covering the scope of business included in this audit and procedures/instructions for all food safety processes?	Total Compliance	5	5	Yes. The Food Safety Manual covers the scope of procedures in separate binders.	
1.01.03	Is there a detailed organizational structure chart of all employees whose activities affect food safety?	Total Compliance	3	3	Yes. Organizational chart with reporting structure and responsibilities.	
1.01.04	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Total Compliance	5	5	Yes. Committee meets once per quarter with logs and attendants.	
1.01.05	Is there documented management verification of the entire food safety management system on at least an annual basis?	Major Deficiency	1	5	Have elements of management verification with Food Safety Committee meetings but need a formal Management Verification.	
1.01.06	Is there a documented analysis detailing resources required to implement and improve the food safety management system processes with documented commitment from senior management to provide these resources?	Total Compliance	5	5	Yes. Resource Analysis is done once per year. Very complete.	

**FSMS – Records Requirements**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.02.01	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. No correction fluid was observed to be used.	
1.02.02	Are all monitoring and process control records stored for a minimum period of a year or for at least the shelf life of product if greater than a year?	Total Compliance	3	3	Yes. Stated in Expectations.	
1.02.03	Are the written procedures available to relevant users and is a master copy maintained in a central file?	Total Compliance	5	5	Yes. Stored in Robert's office and locked and computerized.	

**FSMS – Procedures and Corrective Actions**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.03.01	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities performed in the field operations?	N/A	0	0	N/A Field related.	
1.03.02	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities in the facility operations?	Total Compliance	5	5	Yes. Available.	
1.03.03	Is there a corrective action procedure that describes the requirements for follow up and prevention of future occurrences?	Major Deficiency	1	5	Yes. Have corrective actions in the SOP but lack a procedure for corrective actions with requirements.	

**FSMS – Internal and external inspections**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.04.01	Is there a program for periodic self-inspections of the field operations covering any process impacting food safety and are records maintained detailing corrective actions? For Field (GAP option) this includes the growing and harvesting practices and all the relate documentation and records generated.	N/A	0	0	N/A Field related.	
1.04.02	Is there a program for periodic self-inspections of the facility operations covering any process impacting food safety and are records maintained detailing corrective actions? For Facility (GMP option) includes the observation of the facility practices and all the relate documentation and records generated.	<b>Total Compliance</b>	10	10	Yes. Internal audit, once per month and Daily Pre-op Inspections.	
1.04.03	Are there written procedures for handling regulatory inspections?	<b>Total Compliance</b>	3	3	Yes. Regulatory Inspections SOP	
1.04.04	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	<b>Total Compliance</b>	5	5	Yes. PrimusGFS Audit 7/26/13.	
1.04.05	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the field operations such as fertilizer and crop protection application equipment, and other equipment related to the safety of the product?	N/A	0	0	N/A Field related.	
1.04.06	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the facility operations such as chemical application equipment, thermometers, metal detectors, ORP meters, pH meters and other equipment related to the safety of the product	<b>Total Compliance</b>	10	10	Yes. Procedure for calibration of thermometers are described in the Pulp Temperature Calibration Log.	

**FSMS – Rejection and release of product**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.05.01	Is there a written procedure for handling on hold or rejected products?	<b>Total Compliance</b>	10	10	Yes. Material On–hold and Rejected SOP.	
1.05.02	Are product release procedures implemented (e.g. lot signed out, when a product lot sample is undergoing an analysis, etc.) and are records available for review?	<b>Total Compliance</b>	5	5	Yes. Sec. 2.7 in On–hold and Rejected Materials SOP.	
1.05.03	Is there a documented system for dealing with customer complaints and buyer food safety complaints and are those on file, along with company responses, including corrective actions?	N/A	0	0	N/A Customer complaints are not handled because they do not take ownership or possession.	

**FSMS – Supplier Monitoring**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.06.01	Are there current written specifications for all ingredients, materials, products and services purchased &/or provided that relate to product safety, are they easily accessed and there is a review process in place for the specifications?	N/A	0	0	N/A No written specification for the products because they have no ownership.	
1.06.02	Is there a list of approved suppliers?	<b>Total Compliance</b>	5	5	Yes. In List of Approved Suppliers.	
1.06.03	Is there a written procedure detailing the selection, evaluation, approval and monitoring process of approved suppliers?	<b>Total Compliance</b>	5	5	Yes. Supplier Approval and Monitoring SOP.	
1.06.04	Does the organization have documented evidence to ensure that raw material, processing aids and ingredients suppliers comply with specifications, regulatory requirements and best practice guidelines?	<b>Total Compliance</b>	15	15	Yes. Letters of Guarantee, Supplier Questionnaire.	
1.06.05	Does the organization have documented evidence to ensure that packaging, materials and services suppliers comply with specifications, regulatory requirements and best practice guidelines?	<b>Total Compliance</b>	15	15	Yes. Certificate of Insurance, Contract, etc.	
1.06.06	Are appropriate supplier controls in place (e.g. results of pesticide multi–residue analysis) to ensure product pesticide residues of raw material/ingredients do not exceed published MRLs?	N/A	0	0	N/A Products are not bought from a supplier.	

**FSMS – Traceability and Recall**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.07.01	Is there 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 Compliance</b>	10	10	Yes. Traceability SOP, Flow Diagram and Procedure and Traceability System for Repack.	
1.07.02	Does the organization have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	<b>Total Compliance</b>	15	15	Yes. Recall System with classification, procedures and flow chart.	

1.07.03	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. Last mock recall 6/24/13, given number was able to trace in 5 minutes.
1.07.04	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Total Compliance	5	5	Yes. Last record, 7/20/13 from leak from cooler.

### FSMS – Product testing

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.08.01	Based on risk assessment, is there scheduled testing program for raw materials, work in progress, packaging and finished goods?	N/A	0	0	N/A There is no need.	
1.08.02	If test are necessary from the risk assessment, is there evidence of the test results for raw materials, work in progress, packaging and finished goods, at the scheduled frequencies and with follow-up for identified deviations?	N/A	0	0	N/A There are no test results.	
1.08.03	Are testing and analysis performed by licensed/accredited laboratories (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	N/A	0	0	N/A No testing.	

### GMP – General GMP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.16.01	Is there a designated person responsible for the food safety program?	Total Compliance	10	10	Yes. Robert Petronglo	
2.16.02	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15	Yes. Stored in small room, safe, secure and labeled correctly.	
2.16.03	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	Total Compliance	10	10	Yes. Silicon food-grade labeled.	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes. Throughout the plant.	

### GMP – Pest Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.17.01	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. No evidence.	
2.17.02	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. No evidence.	
2.17.03	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	10	10	Yes. No evidence.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes. No evidence.	
2.17.05	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. Their pest control program is contracted to PCT.	
2.17.06	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. Bait traps are in the perimeter.	
2.17.07	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. Clean and intact and marked as monitored on cards.	
2.17.08	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes. Adequate.	
2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Yes. Numbered on trap and on the wall.	
2.17.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes. Secured to cinder blocks.	

### GMP – Storage Areas & Packaging Materials

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.18.01	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 as any allergen cross contamination issues)?	Total Compliance	15	15	Yes. No issues observed.	
2.18.02	Is the storage area completely enclosed?	Total Compliance	10	10	Yes. Enclosed.	
2.18.03	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5	Yes. Only food.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	Total Compliance	10	10	Yes. Marked with red tape.	
2.18.05	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. No contamination or spoilage observed.	
2.18.06	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. Clean.	
2.18.07	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. Date coded.	
2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Minor Deficiency	3	5	There is a FIFO policy but is not documented.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes Cooler temperatures depend upon the product type.	

### GMP – Operational Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.19.01	Does the process flow, facility layout, employee control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	Total Compliance	15	15	Yes. Contamination is not likely. There is repacking and cooling only.	
2.19.02	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Minor Deficiency	10	15	Some condensation is dripping from the underside of the cooling unit drip pan in E Cooler.	
2.19.03	Are packing and/or processing areas completely enclosed?	Total Compliance	15	15	Yes. Enclosed.	
2.19.04	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	Total Compliance	15	15	Yes. Well lit.	
2.19.05	Is all re-work/re-packaging handled correctly?	Total Compliance	10	10	Yes. Appear to be.	
2.19.06	Are raw ingredients examined before use?	N/A	0	0	N/A There is no raw ingredients.	
2.19.07	Are finished products coded (carton and unit packaging) for the day of production?	Total Compliance	10	10	Yes. Have lot numbers that can be traced.	
2.19.08	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	Total Compliance	10	10	Yes. By visual inspection during re-pack.	
2.19.09	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	N/A	0	0	N/A Not needed.	
2.19.10	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. In hallway not in the bathroom.	
2.19.11	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. Adequate, well stocked.	
2.19.12	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	Total Compliance	3	3	Yes. They are outside.	
2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	N/A	0	0	N/A Not required.	
2.19.14	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Total Compliance	5	5	Yes. No problems observed.	
2.19.15	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. No problems.	
2.19.16	Are food safety measuring devices working properly?	N/A	0	0	N/A Not required.	

### GMP – Employee Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.20.01	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	N/A	0	0	N/A Didn't observe.	
2.20.02	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	Total Compliance	5	5	Yes. They were okay.	
2.20.03	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	Total Compliance	3	3	Yes. They use nitrile.	
2.20.04	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	N/A	0	0	N/A Didn't observe having cuts or wounds.	
2.20.05	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	N/A	0	0	N/A Didn't observe.	
2.20.06	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	Total Compliance	5	5	Yes. Beard or hair nets.	
2.20.07	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes. GMP policy.	
2.20.08	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	Total Compliance	5	5	Yes. White jackets.	
2.20.09	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	Total Compliance	5	5	Yes. Placed on hooks in lunchroom.	
2.20.10	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	Total Compliance	5	5	Yes. Same.	
2.20.11	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5	Yes. Leave in their vehicles and the lunchroom.	
2.20.12	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes. Smoke outside at the "bus station"	
2.20.13	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3	Yes. GMP requirements.	

### GMP – Equipment

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.21.01	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15	Yes. No problems.	
2.21.02	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	10	10	Yes. No problems.	
2.21.03	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. No wood.	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes. Electronic displays.	
2.21.05	Are all thermometers non-glass and non-mercury?	Total Compliance	10	10	Yes. They are electronic.	

### GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact surfaces clean?	Total Compliance	15	15	Yes. Clean.	
2.22.02	Are non-food contact surfaces clean?	Total Compliance	10	10	Yes. Clean.	
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	Total Compliance	10	10	Yes. Clean.	
2.22.04	During cleaning are foods and packaging protected?	N/A	0	0	N/A Didn't observe.	
2.22.05	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes. No ice.	
2.22.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Minor Deficiency	3	5	B Cooler fan guard- black and grimy.	
2.22.07	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 No Stored equipment.	
2.22.08	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	N/A	0	0	N/A No utensils.	
2.22.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	N/A	0	0	N/A Maintenance is off-site.	
2.22.10	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes. No excess grease observed.	

## GMP – General Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.01	Are spills cleaned up immediately?	N/A	0	0	N/A Didn't observe.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes. Not overflowing.	
2.23.03	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 well maintained?	Total Compliance	5	5	Yes. Appeared to be okay.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes. Overhead is clean.	
2.23.05	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. Very good condition.	
2.23.06	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	N/A	0	0	N/A No safety equipment.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes. Cleaning equipment is hung properly.	
2.23.08	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Total Compliance	5	5	Yes. Color coded.	
2.23.09	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5	Yes. Appropriate.	
2.23.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes. Very clean.	
2.23.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes. Very clean.	
2.23.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	N/A	0	0	N/A Off-site.	
2.23.13	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. Propane and electric.	
2.23.14	Are shipping trucks clean and in good condition?	N/A	0	0	N/A Not available.	

## GMP – Buildings and Grounds

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.24.01	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	Total Compliance	15	15	Yes. Covered and intact.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	Yes. Controlled in the Glass Registry Form.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes. No use of wood observed.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes. Very adequate.	
2.24.05	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3	Yes. Well ventilated.	
2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Major Deficiency	3	10	Floor in the packing area is soiled.	
2.24.07	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes. They are adequate.	
2.24.08	Are doors to the outside pest proof?	Total Compliance	5	5	Yes. They are pest proof.	
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes. They are okay.	
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	Total Compliance	3	3	Yes. They are okay.	
2.24.11	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. Exterior metal walls are in good condition.	
2.24.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Total Compliance	5	5	Yes. Metal walls are in good condition.	
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	N/A	0	0	N/A No false ceilings.	
2.24.14	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. 18" wall perimeter is maintained.	
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5	Yes. No weeds or standing water.	
2.24.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	Total Compliance	5	5	Yes. Weekly Sanitation Check Log.	
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes. Broken pallets are segregated and shipped back to supplier for repair.	
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes. Clean.	
2.24.19			1	5	One dumpster is open.	

	Are outside garbage receptacles and dumpsters kept covered or closed?	Major Deficiency				
2.24.20	Are all water lines protected against back siphonage?	Total Compliance	5	5	Yes. There is back siphonage on the main line.	
2.24.21	Is the on-site laboratory (where appropriate) completely enclosed and separated from production and storage areas?	N/A	0	0	N/A There is no on-site lab.	

### GMP – Chemicals Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.25.01	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 is kept in the Primus office, indexed.	
2.25.02	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	N/A	0	0	N/A Not needed.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes. Chemical Inventory Log.	
2.25.04	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	N/A	0	0	N/A No ice or wash water in the process.	

### GMP – Pest Control Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.26.01	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. Service Agreement– interior service two times per month and the exterior service one time per month. Pest Control Applicator license, exp. 9/30/13 and up-to-date Certificate of Liability Insurance.	
2.26.02	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. Shows numbered location.	
2.26.03	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. Detailed with actions and recommendations.	

### GMP – Operation Monitoring Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.27.01	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	Total Compliance	5	5	Yes. Inbound Inspection Sheet.	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Total Compliance	10	10	Yes. Driver Sign-in Sheet.	
2.27.03	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	N/A	0	0	N/A No process monitoring.	
2.27.04	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	N/A	0	0	N/A No wash water.	
2.27.05	Is there a hand/foot/tool dip station log?	N/A	0	0	N/A No dip stations.	
2.27.06	Is there a tool accountability program for knives and similar hand tools used in the production area?	N/A	0	0	N/A There are no tools or knives.	
2.27.07	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes. Daily Pre-Op Logs.	
2.27.08	If the site is new, has the site been risk assessed for adjacent land use, flooding, environmental pollutants and other food safety issues?	N/A	0	0	N/A Not new.	
2.27.09	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 There is no waste water treatment.	
2.27.10	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. Inspected by Atlantic plumbing 7/17/13.	

### GMP – Maintenance & Sanitation Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.28.01	Does the facility have a preventative maintenance program and schedule?	Total Compliance	10	10	Yes. In Preventive Maintenance Log/Schedule.	
2.28.02	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10	Yes. Form Maintenance Log/Schedule, initialed.	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Total Compliance	5	5	Yes. On form Maintenance Log/Schedule.	
2.28.04	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. Master Sanitation with location and frequency.	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10	Yes. SSOP's for equipment, facility, forklifts, coolers, breakroom, etc.	
2.28.06	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Total Compliance	5	5	Yes. Sanitation logs show frequency and signed and initialed.	
2.28.07	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	N/A	0	0	N/A No CIP.	
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	Non-Compliance	0	5	There is no ATP program.	
2.28.09	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. Drains are inspected daily and cleaned when needed.	
2.28.10	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. Last serviced 7/12/13. Comes frequently. Simpson Refrigeration.	
2.28.11	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 Registry and GMP requirements.	

### GMP – Employee Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.29.01	Do employee records have logs of new employee food safety (GMP) orientation training (with topics covered and attendees), and a document signed by each employee stating they will comply with the operations personal hygiene and health policies?	Total Compliance	5	5	Yes. New hires have own training sessions.	
2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes. Recorded in the Training Log.	
2.29.03	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. Recorded in the Training Long, ongoing sanitation training and annual retrain.	
2.29.04	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. GMP requirements.	
2.29.05	Are there written sickness reporting and return to work procedures?	Total Compliance	3	3	Yes. GMP requirements.	
2.29.06	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes. In Personnel Food Safety Training SOP.	
2.29.07	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene and health policies?	Total Compliance	3	3	Yes. I signed in and read the GMP policy.	

### GMP – Testing/Analyses Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.30.01	Are there records of routine equipment microbiological testing?	Total Compliance	5	5	Yes. Packing table, machine 7/12.	
2.30.02	Are there records of routine environmental microbiological testing?	Total Compliance	5	5	Yes. Cooler floors, drain 7/12.	
2.30.03	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes. Kitchen sink 5/13.	
2.30.04	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	N/A	0	0	N/A No ice.	

### GMP – Temperature Controlled Storage & Distribution Logs

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.31.01	Are there records of final product temperature checks for temperature sensitive product?	<b>Total Compliance</b>	10	10	Yes. All trucks have temp tails going out.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	<b>Total Compliance</b>	5	5	Yes. Recorded in Storage Room Temperature Log for Room H.	
2.31.03	Are there temperature logs for storage rooms?	<b>Total Compliance</b>	5	5	Yes. Some for all other rooms which are coolers.	
2.31.04	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	<b>Total Compliance</b>	5	5	Yes. Sec C in Driver sign in Sheet.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	<b>Total Compliance</b>	10	10	Yes. Driver Sign in Sheet.	

### HACCP – Applicability of HACCP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.01.01	Is there need of a HACCP system to be developed and implemented in the operation? Only YES or NO answer is allowed. IF YES, go to 3.02.01	No	0	0	No. No need.	
3.01.02	If the company has determined that a HACCP system is not needed for the operation, is there a documented hazard analysis of all steps of each process showing that all hazards can be controlled through the implementation of prerequisite programs negating the need to develop and implement a complete HACCP system? If YES, the rest of the HACCP Module is not applicable.	Yes	15	15	Yes. Determined by the hazard analysis that there is no need for CCP.	

### HACCP – Management Support of HACCP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.02.01	Is there a team responsible for HACCP development, implementation and on-going maintenance which is chaired by the site HACCP coordinator?	N/A	0	0		
3.02.02	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	N/A	0	0		
3.02.03	Are changes in the process, equipment, ingredients, etc., causing timely reviews of HACCP systems including hazard analysis, CCP decisions, CCP records and staff training?	N/A	0	0		
3.02.04	Is the plant conducting self audits of the HACCP program?	N/A	0	0		
3.02.05	Have standard operating procedures (SOPs) been created for the monitoring process of the HACCP System, which would include how to carry out the monitoring activities?	N/A	0	0		
3.02.06	Is there a person or group responsible for all the records generated thru the monitoring activities of the HACCP plan?	N/A	0	0		
3.02.07	Are the records maintained in an organized and retrievable manner?	N/A	0	0		
3.02.08	Are there security measures to insure against HACCP monitoring activity record loss?	N/A	0	0		

### HACCP – Review of the Written HACCP plan

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.03.01	Does a product description exist for each product produced? Do they contain the products intended use, materials and raw ingredients, and who the intended consumer is?	N/A	0	0		
3.03.02	Has the process been flow charted? Is the flow chart in sufficient detail to completely describe the process or product manufacturing steps?	N/A	0	0		
3.03.03	Has a documented hazard analysis for the process been conducted, showing the various types of hazard and their associated severity?	N/A	0	0		
3.03.04	Have CCPs been developed to control the hazards identified in the hazard analysis step?	N/A	0	0		
3.03.05	Have monitoring requirements and frequencies been determined for the CCPs?	N/A	0	0		
3.03.06	Are identified CCP critical control limits supported by validation document?	N/A	0	0		
3.03.07	Is there a clear detailed action plan for operators to follow if the limits are exceeded? Does it describe plans to adjust the process back into control and withhold out of compliance products if necessary?	N/A	0	0		
3.03.08	Have recording templates (recording forms) been developed for monitoring the CCPs?	N/A	0	0		
3.03.09	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	N/A	0	0		
3.03.10	Have verification plans and schedules been developed for each CCP?	N/A	0	0		

**HACCP – Execution of the HACCP plan on the Plant Floor**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.04.01	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	N/A	0	0		
3.04.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	N/A	0	0		
3.04.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs ? (Interview operators to verify).	N/A	0	0		
3.04.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	N/A	0	0		
3.04.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	N/A	0	0		
3.04.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	N/A	0	0		

**HACCP – Verification of the HACCP plan**

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.05.01	Are monitoring and verification information reviewed and discussed at management level meetings?	N/A	0	0		
3.05.02	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least annually)?	N/A	0	0		