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Operation: Cooling/Cold Storage CB Registration No. PLc-PGFS-2358-1 PrimusGFS
Final Report (Certified) PrimusGFS ID #51553 – Cert:3 Version 1.6
 Audit Report Summary Audited by PrimusLabs

Organization: American Cooling Inc.
Contact(s): Bill Lipham
Address: 121 Spreckles Blvd. Bldg.1 93962
Location: Spreckels, California, United States
Phone: 831-424-1282

Cooling/Cold Storage: Coast American Cooling
Contact: Bill Lipham
Location: 11200 Commercial Parkway 95012 Castroville, California, United States

Shipper: Coastline Produce
Operation Type: Cooling/Cold Storage
 A 42,000 sqft. facility. Receive, cool and ship. Products observed during the inspection: Bok Choy, Broccoli, Cabbage, Cauliflower, Celery, Cilantro, Green Leaf, Green Onions, Leeks, Lettuce, Lettuce, Head Romaine, Parsley, Red Leaf, Kale, Parsley, endive, spinach. Facility operates from April – November. About 17 employees total. 3 Cold rooms, 2 vacuum tubes, 1 ice injector, 1 hydro-chillers. Scope of the audit includes a walkthrough of the facility and revision of the food safety documentation.

Audit Scope:

Date Audit Started: 05/15/2014 10:30
Date Audit Finished: 05/15/2014 15:00

Product(s): Lettuce, Broccoli, Celery, Cabbage, Cauliflower, Parsley, Cilantro, Bok Choy, Leeks, Green Onions, Head Romaine Lettuce, Green Leaf, Red Leaf

Auditor: [Javier Zegarra](#) (PrimusLabs)
Audit Percentage Score: 96.01%
Score after acceptance of corrective actions: 99.33% [Click here to see Corrective Action Activity](#)

GPS Coordinates: **Latitude:** 36° 45' 11" **Longitude:** -121° 44' 29"

Certificate Link: [View Certificate](#)

Audit Scoring Summary	Pre-Corrective Action Review	Post-Corrective Action Review
Food Safety Management System Requirements	Score: 160 Possible Points: 167 Percent Score: 95.81%	Score: 165 Possible Points: 167 Percent Score: 98.80%
Good Manufacturing Practices Requirements	Score: 835 Possible Points: 870 Percent Score: 95.98%	Score: 865 Possible Points: 870 Percent Score: 99.43%
HACCP System Requirements	Score: 15 Possible Points: 15 Percent Score: 100.00%	Score: 15 Possible Points: 15 Percent Score: 100.00%
Total:	Score: 1010 Possible Points: 1052 Percent Score: 96.01%	Score: 1045 Possible Points: 1052 Percent Score: 99.33%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances (NC's without completed CA's)
Food Safety Management System Requirements	2	0
Good Manufacturing Practices Requirements	5	1
HACCP System Requirements	0	0
Total:	7	1

Sections:

Food Safety Management System Requirements

[Management System](#)

[Records Requirements](#)

[Procedures and Corrective Actions](#)

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HACCP System Requirements

[Applicability of HACCP](#)

[Management Support of HACCP](#)

[Review of the Written HACCP plan](#)

[Execution of the HACCP plan on the Plant Floor](#)

[Verification of the HACCP plan](#)

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, the company has a documented food safety policy with a clear statement and objectives of the commitment to meet the food safety needs of its products. Policy approved and signed by Mike McGrath and Bill Lipham on 4-14-2014	
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 company has a food safety manual covering the scope of business of this audit, including procedures or instructions for all food safety processes.	
1.01.03	Is there a detailed organizational structure chart of all employees whose activities affect food safety?	Total Compliance	3	3	Yes, there is a detailed organizational structure chart of the food safety employees, including job functions, responsibilities and reporting structure.	
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. The food safety committee consists of six members from within the Organization. Food safety meetings are every three months. Last meeting was on 2-18-2014.	
1.01.05	Is there documented management verification of the entire food safety management system on at least an annual basis?	Total Compliance	5	5	Yes. A management verification of the entire food safety management system was available for review.	
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. A documented analysis detailing resources required to implement and improve the food safety program was on file. Dated on 11-12-13.	

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. There was no evidence of hand written records were altered.	
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. Food safety related records are stored for a minimum of two years or longer depending on the sensitivity of the record.	
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. Master copy of procedures and SOP's are maintained in the Main office. Individual procedures and SOP's have been provided to all facility areas.	

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 operations are not part of the audit.	
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. SOPs are on file. A set of 21 SOPs were available for review.	
1.03.03	Is there a corrective action procedure that describes the requirements for follow up and prevention of future occurrences?	Total Compliance	5	5	Yes. Procedures for corrective actions are available.	

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 operations not included.	
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.	Total Compliance	10	10	Yes, self inspections are conducted, including review of the food safety records. Findings and corrective actions are documented. Weekly and monthly.	
1.04.03	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3	Yes, there is a written protocol for handling regulatory inspections and third party audits.	
1.04.04	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5	Yes, copies of previous third party audits, along with company responses and corrective actions, are on file. PGFS-2358 on 5/13/13.	
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 operations are not included.	
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	Total Compliance	10	10	Yes, there are documented procedures for the calibration of thermometers and ORP.	

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?	Total Compliance	10	10	Yes, written procedures for handling rejected or on-hold products, including the product release procedures, have been developed.	
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?	Total Compliance	5	5	Yes. Procedures available.	
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. Third party cooler only.	

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?	Total Compliance	5	5	Yes, specifications for materials, ingredients and services purchased or contracted, that relate to food safety, have been created. They are reviewed annually.	
1.06.02	Is there a list of approved suppliers?	Minor Deficiency	3	5	Airtech (refrigeration company) and back flow company are not listed in the approved suppliers list.	
1.06.03	Is there a written procedure detailing the selection, evaluation, approval and monitoring process of approved suppliers?	Non-Compliance	0	5	Procedures detailing the selection, evaluation, approval and monitoring of approved suppliers not available.	
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?	N/A	0	0	N/A. Third party cooler only.	
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?	Total Compliance	15	15	Yes. Company keep letters of guarantee from chemical company and janitorial services.	
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. Third party cooler only.	

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?	Total Compliance	10	10	Yes. A written account details how company tracking system operates.	
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?	Total Compliance	15	15	Yes, fully documented Product Trace Back and Recall Program has been developed. Basic duties and responsibilities have been assigned within recall team members. Contact listing details and explanation of different types of recall procedures, are included.	
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. Exercise was done on 5/15/14. Starting 12:15PM – 1:30PM. 13 pallets were identified using Famous software. All product was 100% accounted for.	
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. NUOCA log available.	

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. Third party cooler only.	
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. Third party cooler only.	
1.08.03	Are testing and analysis performed by licensed/accredited laboratories (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	Total Compliance	5	5	Yes. Primus Labs certificate 1954 – Expires 03–31–16. ISO 17025:2005 #3572.01	

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, the person responsible for the food safety program at this operation is Bill Lipham	
2.16.02	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15	Yes, chemicals are stored in a controlled access area, safely and properly labeled.	
2.16.03	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	Total Compliance	10	10	Yes.	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes, signs supporting GMPs are posted at the facility entrance, and other relevant areas.	

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, products were observed free of pest.	
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 issues observed.	
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 noted.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes.	
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, the pest control program is contracted to Casner Pest Control.	
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.	
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?	Non-Compliance	0	5	Pest Control devices (Tin Cats) # 24 and # 26 were found dirty inside and located "out of position"	
2.17.08	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes.	
2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Yes. All pest control devices are identified by a number and barcode.	
2.17.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes. All traps are properly installed and secured.	

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 any allergen cross contamination issues)?	Total Compliance	15	15	Yes. No issues were observed during the inspection.	
2.18.02	Is the storage area completely enclosed?	N/A	0	0	N/A. Third party cooler only.	
2.18.03	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5	Yes. Only food related products were observed inside storage areas.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	Total Compliance	10	10	Yes.	
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, products and food contact packaging are within accepted tolerances for spoilage or adulteration.	
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. No issues observed.	
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, materials are marked with receipt dates.	
2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Total Compliance	5	5	Yes, materials are rotated according FIFO policy.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes.	

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, straight process flow and facility layout are adequate. No cross contamination issues noted.	
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.)?	Total Compliance	15	15	Yes, no overhead contamination issues seen.	
2.19.03	Are packing and/or processing areas completely enclosed?	N/A	0	0	N/A. Third party cooler only.	
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.	
2.19.05	Is all re-work/re-packaging handled correctly?	N/A	0	0	N/A Cold storage only.	
2.19.06	Are raw ingredients examined before use?	N/A	0	0	N/A. Pre-packed product from field.	
2.19.07	Are finished products coded (carton and unit packaging) for the day of production?	N/A	0	0	N/A	
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. Visual Inspection.	

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?	Total Compliance	10	10	Yes.
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.
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.
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.
2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	N/A	0	0	N/A Cold storage only.
2.19.14	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	N/A	0	0	N/A Cold storage only.
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, trash cans are labeled.
2.19.16	Are food safety measuring devices working properly?	Total Compliance	3	3	Yes. Thermometers and ORP meters.

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. Activity was not observed.	
2.20.02	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	Total Compliance	5	5	Yes.	
2.20.03	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	N/A	0	0	N/A cooler only.	
2.20.04	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	Total Compliance	5	5	Yes.	
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	
2.20.06	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	N/A	0	0	N/A cooler only.	
2.20.07	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes.	
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.	
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?	N/A	0	0	Yes.	
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.	
2.20.11	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5	Yes. No issues observed during the audit.	
2.20.12	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes. No issues observed.	
2.20.13	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3	Yes. There were no items observed in shirt/blouse top pockets.	

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.)?	N/A	0	0	N/A. No food contact surfaces to maintain, product arrives in final form for cold storage.	
2.21.02	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Non-Compliance	0	10	Sings of corrosion/ rust noticed in some metal racks.	
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?	N/A	0	0	N/A. No equipment used at this facility.	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes, thermometers are present in all coolers.	
2.21.05	Are all thermometers non-glass and non-mercury?	Total Compliance	10	10	Yes.	

GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact surfaces clean?	N/A	0	0	N/A. No food contact surfaces to maintain, product arrives in final form for cold storage. Yes. No issues observed.	
2.22.02	Are non–food contact surfaces clean?	Total Compliance	10	10		
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	Total Compliance	10	10	Yes.	
2.22.04	During cleaning are foods and packaging protected?	N/A	0	0	N/A. Activity was not observed.	
2.22.05	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes, cooling units and coils in coolers are clean and free of ice.	
2.22.06	Are all fan guards dust–free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5	Yes, all fan guards were free of dust and free of black deposits on the ceiling in front of the fans.	
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. Third party cooler only.	
2.22.08	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Total Compliance	10	10	Yes, hoses were rolled out of the floor.	
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. No tools were observed.	
2.22.10	Are excess lubricants and grease removed from the equipment?	N/A	0	0	N/A. Third party cooler only.	

GMP – General Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.01	Are spills cleaned up immediately?	Total Compliance	10	10	Yes. No issues observed during the audit.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes, there are persons designated for the removal of waste and garbage.	
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, the floor drains are properly designed, maintained clean and covered.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes.	
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.	
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?	Total Compliance	3	3	Yes.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes, the cleaning equipment is stored 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, the cleaning equipment is identified by a code of colors.	
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.	
2.23.10	Are toilet facilities and hand–wash stations clean?	Total Compliance	15	15	Yes, toilets and hand–wash stations are 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, employee microwaves, refrigerators and lunchroom are 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	
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. No issues observed.	
2.23.14	Are shipping trucks clean and in good condition?	Total Compliance	5	5	Yes.	

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. All lights were protected during the audit.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	Yes. No issues found.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes.	
2.24.05	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3	Yes.	

2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Non-Compliance	0	10	Floor surfaces observed with few cracks.
2.24.07	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes.
2.24.08	Are doors to the outside pest proof?	Total Compliance	5	5	Yes.
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes.
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	Total Compliance	3	3	Yes. No issues observed.
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. No issues observed.
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.
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	N/A	0	0	N/A
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. Adequate space maintained for inspection and cleaning.
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Non-Compliance	0	5	Standing water observed by the ice house (only in one side of the building)
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. Pallets stored outside away from facility walls.
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes. Dirty and broken pallets are not allowed inside the production areas.
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes, no litter, standing water or foul odors Dumpster were covered.
2.24.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5	Yes, Dumpster were covered.
2.24.20	Are all water lines protected against back siphonage?	Total Compliance	5	5	Yes.
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 laboratory.

GMP – Chemical 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. MSDS on file.	
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?	Total Compliance	5	5	Yes.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes, there was a chemical usage 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?	Total Compliance	10	10	Yes. SSOP #2 show the changing and testing of the water was available for review.	

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, the pest control program is contracted to Casner Pest Control. All documentation required by the audit on file.	
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, there is a schematic drawing of the plant showing numbered locations of all traps, inside and outside of the plant.	
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, weekly reports are created by the contractor for pest control checks, detailing activities conducted and corrective actions.	

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. Product is inspected upon arrival.	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	N/A	0	0	N/A. Open trailers.	
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. Cooler only.	
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?	Total Compliance	10	10	Yes. ORP reading are done twice a day.	
2.27.05	Is there a hand/foot/tool dip station log?	N/A	0	0	N/A. There is not activities (on these categories) performed at this facility. Score will not be affected.	
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 is not activities (on these categories) performed at this facility. Score will not be affected.	
2.27.07	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes, a daily pre-operation inspection log covering all areas of the operation was available.	
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, the site is 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. No waste water treatment at this location.	
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. Done by Castroville Community Service on 12/05/13. Results: Passed.	

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, maintenance program and schedule is documented.	
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, logs of maintenance work and repairs were on file, signed off when work completed.	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Total Compliance	5	5	Yes. Logs available for review.	
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, there was a written sanitation schedule for daily, weekly and seasonally activities.	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10	Yes. SSOPs are available for this operation.	
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 on file and available for review.	
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.)?	Non-Compliance	0	5	Clean in place (CIP) procedures and completion records were not available.	
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	Total Compliance	5	5	Yes. ATP is used for validation of sanitation activities.	
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.	
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. Records available.	
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, documented glass management policy, breakage and cleaning procedures were available.	

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, there are records of new employee food safety (GMP) orientation training showing topics covered and attendees. Last records on 1-02-2014.	
2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes. Training are done quarterly last records on 5/5/14.	
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. Sanitation training records were available dated on 12-21-2013.	

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. Food handlers are provided with procedures on cuts, grazes and illnesses in detail during first hire orientation and refresher training.
2.29.05	Are there written sickness reporting and return to work procedures?	Total Compliance	3	3	Yes. Return to work procedures included in company policy provided to all employees during first hire orientation training.
2.29.06	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes. Verbal confirmation.
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. Company personal hygiene and health policy was provided to auditor at the office prior to signing in.

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. Done by Primus Labs. Equipment is tested for TC/EC. Results negative. Hydro Vac Tube was on 5-30-2013. Ice Bunker 10-7-2013.	
2.30.02	Are there records of routine environmental microbiological testing?	Total Compliance	5	5	Yes. Done by Primus Lab. – Listeria spp. in the wall, drains, racks and floors. Results negative on 4-14-14.	
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. Water sampled from an on site source is tested yearly. Primus Labs is used. Last records for TC/EC on 4-3-14 No adverse results detected.	
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?	Total Compliance	5	5	Yes. Water sampled from an on site source is tested monthly Primus Labs is used. Last records for TC/EC on 4-10-2014. No adverse results detected.	

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?	Total Compliance	10	10	Yes.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	N/A	0	0	N/A Cold storage only.	
2.31.03	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes. Cold room temperatures are checked daily and recorded.	
2.31.04	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5	Yes. Shipping truck temperature are recorded on a forklift operator checklist.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes. Shipping trucks are inspected prior to loading for overall cleanliness, sanitary condition and presence of off odors.	

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. A full HACCP program is not needed for the operation.	
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. The HACCP team performed a hazard analysis for the operation and listed all identified risks/hazards. Based on the review, all identified risks could be controlled with implemented pre-requisite requirements. There were no identified Critical Control Points requiring a full HACCP program.	

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		

