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Operation: Packinghouse Final Report (Certified) Audit Report Summary	CB Registration No. PA-PGFS-2012-1 PrimusGFS ID #88234 – Cert:5 Audited by Primus Auditing Operations	PrimusGFS Version 2.1-2
Organization:	Rancho el Golfo S.A. de C.V.	
	Contact(s): Nereida Molina, Mike Fox	
	Address: VENUS 33 RESIDENCIAL HIPICO MEXICALI B.C. MEXICO 21219	
	Location: Mexicali, Baja California, Mexico	
	Phone: (52)658 51 68434	
Packinghouse:	Rancho El Golfo s.a. de c.v.	
	Contact: Nereida Molina	
	Location: Carretera Estatal Pescaderos Km 4.5 cruceo Ejido Toluca Mexicali, Baja California 21820, Mexico	
Shipper:	Coastline Produce, Church Brothers	
Operation Type:	Packinghouse	
	Review of the implementation of the food safety program at this operation packing iced and iceless products, grown in house in fields located in proximity to the facility. Products are received, inspected, washed, packed, cold storage and shipping. The operation has an implemented HACCP program with a CCP, for the control of chlorination of the product wash. The day of this audit Green Onions, Brussels Sprouts, Kale, Celery, Cauliflower) were present and ninety employees were working in the packing facility.	
Audit Scope:		
Date FSMS Started:	26 Feb 2016 13:30	
Date FSMS Finished:	26 Feb 2016 16:30	
Date Operation Started:	26 Feb 2016 09:14	
Date Operation Finished:	26 Feb 2016 20:50	
Product(s) Observed During Audit:	Celery, Kale, Cauliflower, Brussels Sprouts, Green Onions/Salad Onions/Scallions	
Similar Product(s) Not Observed:	Asparagus, Leeks, Watermelons	
Product(s) Applied for but Not Observed:	None Specified	
Auditor:	Isaac Santos (Primus Auditing Operations)	
Preliminary Audit Score:	96%	
Final Audit Score:	99%	
GPS Coordinates:	Latitude:	Longitude:
	32° 25' 0"	115° 3' 0"
Certificate Link:	View Certificate	

Audit Scoring Summary	Pre-Corrective Action Review	Post-Corrective Action Review
Food Safety Management System Requirements	Score: 204 Possible Points: 204 Percent Score: 100%	Score: 204 Possible Points: 204 Percent Score: 100%
Good Manufacturing Practices Requirements	Score: 1018 Possible Points: 1066 Percent Score: 95%	Score: 1054 Possible Points: 1066 Percent Score: 98%
HACCP System Requirements	Score: 260 Possible Points: 260 Percent Score: 100%	Score: 260 Possible Points: 260 Percent Score: 100%
Total:	Score: 1482 Possible Points: 1530 Percent Score: 96%	Score: 1518 Possible Points: 1530 Percent Score: 99%

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	0	0
Good Manufacturing Practices Requirements	9	2
HACCP System Requirements	0	0
Total:	9	2

Sections:

Food Safety Management System Requirements

[Management System](#)
[Control of Documents and Records](#)
[Procedures and Corrective Actions](#)
[Internal and external inspections](#)
[Rejection and release of product](#)
[Supplier Control](#)
[Traceability and Recall](#)
[Food Defense](#)

Good Manufacturing Practices Requirements

[General GMP](#)
[Pest Control](#)
[Storage Areas & Packaging Materials](#)
[Operational Practices](#)
[Worker Practices](#)
[Equipment](#)
[Equipment Cleaning](#)
[General Cleaning](#)
[Buildings and Grounds](#)
[Chemical Files](#)
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[Worker Documentation](#)
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[Temperature Controlled Storage & Distribution Logs](#)
[Allergen Control](#)

HACCP System Requirements

[Preliminary Steps](#)
[Development of the HACCP Plan](#)
[Execution of the HACCP plan on the Plant Floor](#)

FSMS – Management System

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.01.01	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 operation has developed a Food Safety Manual, covering the scope of business of this audit, which includes SOPs/work instructions for all processes, policies, risk assessments, flow diagrams, analysis of resources, product descriptions, food safety management review, etc.	
1.01.02	Is there a documented food safety policy detailing the company's commitment to food safety?	Total Compliance	5	5	Yes, the food safety policy is outlined on Doc. PLT#1 Politicas Para La Inocuidad Alimentaria, including Doc. CCI#1 Compromiso de la Compañia con la Inocuidad, detailing the company's commitment to food safety, signed off on 1/18/15 by the Company's General Manager Mr. Michael R. Fox and the food safety coordinator Nereida Molina, kept posted very visible at the main office and workers entrance.	
1.01.03	Is there an organizational chart of all workers who have food safety related activities?	Total Compliance	3	3	Yes, the organizational chart of all workers involved in food safety related activities is outlined on Doc. Org#2 Organigrama de Inocuidad Empaque, revised on 3/19/2015, detailing names and positions of all employees involved in food safety, including job functions, responsibilities, reporting structure and alternates.	
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, there is a food safety committee outlined on Doc. EIH#1 Equipo de Inocuidad/HACCP, coordinated by Elsa Nereida Molina Corral, which includes a list of eight members, and documented meetings conducted and recorded on a quarterly basis during the year round season, the most recent is dated on 2/8/16, showing topics covered (e.g. hygiene training, field audits, CAs, introduction new nurse, internal audit review, etc.), signed	

1.01.05	Is there documented management verification of the entire food safety management system at least every 12 months?	Total Compliance	5	5	off by attendees. Previous ones are dated on 1/5/16, 10/26/15. Yes, the annual documented management verification of the entire food safety management system is outlined on POES#25 Verificacion del Sistema de Administration de Inocuidad, verified on 12/29/15, signed off by the Food Safety Committee/HACCP, reporting no changes performed to the program.
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 management to provide these resources?	Total Compliance	5	5	Yes, the documented analysis of resources for maintain and improve the food safety management system is outlined on Doc. Gusto Inocuidad, reviewed and approved with commitment to provide them by the Company's General Manager on 12/21/2015.

FSMS – Control of Documents and Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.02.01	Is there a written document control procedure describing how documents will be maintained, updated and replaced?	Total Compliance	3	3	Yes, there is a written document control procedure, outlined on POES#1 Control de Documentos y Registros, stating that all documents are revised annually, if updates are performed, the previous version is considered obsolete and destroyed, no changes were performed during the last year. The persons responsible of the document control are the General Manager and the Food Safety Coordinator.	
1.02.02	Are all records stored for a minimum period of 12 months or for at least the shelf life of product if greater than a year?	Total Compliance	5	5	Yes, as detailed on POES#1, all records are stored for a minimum period of five years.	
1.02.03	Are food safety related documents and records stored and handled in a secured manner?	Total Compliance	3	3	Yes, as detailed on POES#1 all food safety related documents and records are written in ink free from pencil and white out, electronic records are stored in computers with personal passwords kept in offices with controlled access within the facility, back ups are properly stored.	
1.02.04	Are the records maintained in an organized and retrievable manner?	Total Compliance	3	3	Yes, as detailed on POES#1, records are kept in three ring binders, legible, stored by date within the main office secured with controlled access.	

FSMS – Procedures and Corrective Actions

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.03.01	Are there documented instructions for the creation of Standard Operating Procedures?	Total Compliance	5	5	Yes, the creation of standard operating procedures is outlined on POES#2, Creation de Documentos de Operation Standard, detailing instructions for the creation of Standard Operating Procedures.	
1.03.02	Are the written procedures available to relevant users and is a master copy maintained in a central file?	Total Compliance	5	5	Yes, there is a copy of all POES kept in the food safety manager's office available for workers at working time.	
1.03.03	Is there a corrective action procedure that describes the requirements for handling deficiencies affecting food safety and prevention of future occurrences?	Total Compliance	5	5	Yes, there is a corrective action procedure, outlined on POES#3 Acciones Correctivas, describing the requirements for handling deficiencies affecting food safety and prevention of future occurrences.	
1.03.04	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Total Compliance	5	5	Yes, there is a log for unusual occurrence and corrective actions Forma NIAC, POES#1 and POES#7, with no incidents recorded.	

FSMS – Internal and external inspections

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.04.01	Is there documented program for internal audits to be performed at the operations, covering all processes impacting food safety and the related documents and records?	Total Compliance	3	3	Yes, there is a documented program for internal audits outlined on Doc. Programa Annual de Auditorias, stating quarterly internal audits for the packinghouse during the year round season. The most recent internal audit is dated on 2/13/16, previous ones are dated on 11/10/15, 7/15/15, 3/19/15, showing compliance with corrective actions.	
1.04.02	Are there written procedures for handling regulatory inspections?	Total	3	3	Yes, procedures for handling regulatory	

		Compliance			inspections are outlined on POES#4, Inspecciones Regulatorias, indicating rules and policies regarding that all inspectors are to be escorted during inspections and a policy for taking pictures and/or samples.
1.04.03	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5	Yes, there are records of the contracted inspection PrimusGFS# 69880 conducted on 3/24/15, showing company responses and corrective actions completed within the time frame for this purpose.
1.04.04	Are there documented calibration procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	Total Compliance	10	10	Yes, there are documented calibration procedures for thermometers, ORP/pH meter, outlined on POES#5 detailing procedures and frequencies (thermometers daily through the ice and water method, ORP/pH meter calibrated annually by the subcontractor Techmaster (approved by ANSI-ASQ, National Acc#AC-1342). Last calibration for the ORP/pH meter is valid to July 1, 2016.

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	5	5	Yes, the procedure for handling on hold or rejected products is outlined on POES#6 Producto en Retention o Rechazado, indicating that rejected or on hold products are segregated to ensure that affected product is not commingled with other goods, using tags indicating the date when the product was placed on hold or rejected, the reason for being on hold/rejected, the name of the person who put the product on hold and the person authorized to release the product.	
1.05.02	Are there records of the handling of on hold or rejected products kept on file?	N/A	0	0	N/A, the auditor was informed that they have not had products placed on hold or rejected.	
1.05.03	Is there a documented product release procedure available?	Total Compliance	5	5	Yes, the product release procedure is outlined on POES#24, Liberacion de Producto.	
1.05.04	Are there records of product releases kept on file?	Total Compliance	5	5	Yes, when products are released, the loading supervisor sign off the document Reporte de Carga.	
1.05.05	Is there a documented system for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Total Compliance	10	10	Yes, buyer food safety complaints and feedback are outlined on POES#10 Rastreabilidad y Manejo de Quejas, including the register form used is RGE/046 Registro de Quejas de Clientes, with no incidents recorded.	

FSMS – Supplier Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.06.01	Are there current written food safety related specifications for all raw products, ingredients, materials and services purchased?	Total Compliance	5	5	Yes, there are current written food safety related specifications for commodity, packaging material, chemicals, services, pest control, laboratories, etc., outlined on POES#8 Control de Proveedores, revised annually, the most recent on 12/21/15.	
1.06.02	Is there a written procedure detailing how suppliers are evaluated, approved and monitored?	Total Compliance	5	5	Yes, the procedure detailing how suppliers are evaluated, approved and monitored is outlined on POES#8 Control de Proveedores.	
1.06.03	Is there a list of approved suppliers?	Total Compliance	5	5	Yes, there is a list of approved suppliers outlined on Doc. Proveedores, for product, materials and services.	
1.06.04	Does the organization have documented evidence to ensure that all products, ingredients or materials and services suppliers comply with the approval requirements and that they are being monitored as defined in the procedure?	Total Compliance	15	15	Yes, the operation has third party audits for suppliers of product PGFS Certs. No.: 84716, 86134, 86136, 84712, 85528, 86881, 86137, 86882, 86135, letters of guarantee for packaging material suppliers, MSDS and labels of chemicals used, laboratory accreditations, licenses, insurance documents, etc.	
1.06.05	If the organization is outsourcing any processes that may affect food safety, are there control procedures over such processes?	Total Compliance	15	15	Yes, the organization is outsourcing the rodent and pest control with Protecín, current Sanitary License 03-02A023 valid to (indeterminate), trained personnel, insurance documents, valid to 2/22/2016.	
1.06.06	If tests and/or analysis within scope to food safety are performed by external laboratories, are they licensed/accredited (e.g. ISO 17025	Total Compliance	5	5	Yes, microbiological tests and analysis within scope to food safety are performed by	

or equivalent, National Regulations, State Department, etc.)?

Primus Laboratorios de Mexico, Biological Testing, Cert. No.: 3572.02, valid to July 31, 2017, issued by lilac-MRA.

FSMS – Traceability and Recall						
Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.07.01	Is there a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	Total Compliance	10	10	Yes, the organization has a documented product tracking system, outlined on POES#10 Rastreabilidad y Manejo de Quejas, in the writing form using an alphanumeric eight digit code, showing the grower id., pack date (julian date), lot code, and the week day, indicating how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue.	
1.07.02	Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings and explanation of different recall classes?	Total Compliance	15	15	Yes, the Recall Program is detailed on POES#11 Recuperacion de un Producto, and Comite de Rastreabilidad on Doc. CR#1, including procedures, recall team roles, contact details, external contact listings and explanation of different classes of recalls, revised on 1/10/2016.	
1.07.03	Is testing of recall procedures (including trace back) performed and documented at least every six months? Can the company identify where affected product was sent?	Total Compliance	10	10	Yes, two mock recalls were reviewed at this operation, one was conducted on 8/28/15, involving 3135 cases of green onions product code 14GO003110, totally accounted in 55 min., from 13:30 PM to 14:25 PM. Another one is dated on 11/19/15, involving 5040 cases of iced green onions, product code 16GO003102, 100% accounted in 1 hour and 50 minutes, from 7:55 AM to 9:45 AM. Documents supporting the exercises, including lessons learned and description of scenarios are on file.	

FSMS – Food Defense						
Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.08.01	Does the company have a documented food defense policy based on the risks associated with the operation?	Total Compliance	5	5	Yes, the company food defense policy based on the risks associated with the operation is outlined on PLT#3 Politica de Bioseguridad.	
1.08.02	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Total Compliance	3	3	Yes, the current list of emergency contact phone numbers is detailed on Doc. Telefonos de Emergencia, for management, law enforcement and appropriate regulatory agencies posted visible at the shipping office.	
1.08.03	Are visitors to the company operations required to adhere to food defense policies?	Total Compliance	3	3	Yes, visitors are required to adhere to food defense policies, hygiene and security signing a log at the facility entrance, a visitors badge is provided to all approved visitors.	

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, Nereida Molina is in charge of the food safety program at this operation.	
2.16.02	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Minor Deficiency	10	15	MI. A one gallon plastic sprayer with a liquid inside was observed by the product shipping/loading area, not labeled for the chemical used. The rest of chemicals were properly labeled, stored in a locked storage room and organized.	
2.16.03	Are "food grade" and "non-food grade" chemicals used, handled and stored in a controlled manner?	Total Compliance	10	10	Yes, food grade and non-food grade chemicals used, are handled and stored in a controlled manner.	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes, signs and pictograms supporting GMP's are posted at the sanitary check point and inside the facility production area, lunchroom, toilets, etc.	
2.16.05	Are the necessary food defense controls implemented in the operation?	Total Compliance	10	10	Yes, all operation activities are performed indoors, the facility property is all fenced with 24/7 guards with controlled access, the entrance doors to the facility remain closed, chemical	

storages are locked, production and product storage areas are enclosed and under supervision, the water source (own well) is secured, monitored and tested for E. coli on a monthly basis.

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 AN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes, there was no animal activity observed on products.	
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 AN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes, packaging supplies were free of animal activity.	
2.17.03	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	15	15	Yes, plant and storage areas were observed free of animal activity.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes, the area outside the facility was free of animal activity.	
2.17.05	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes, there is a pest control program is contracted to Protecin with sanitary license 03-02A023 with bi-weekly monitoring services contracted.	
2.17.06	Are pest control devices located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Total Compliance	10	10	Yes, pest control devices are located away from exposed food products, rodent bait traps are not used within the facility.	
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, pest control devices are maintained clean and intact, marked as monitored on a bi-weekly basis by the contractor.	
2.17.08	Are interior and exterior building perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes, internal and external pest control devices are adequate in number and location.	
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.	
2.17.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes, all pest control devices are properly installed and secured with corresponding numbers on the wall.	

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, products and packaging are stored to prevent cross contamination, in separated clean monitored areas.	
2.18.02	Is the storage area completely enclosed?	Major Deficiency	3	10	MJ. Food contact packaging is stored outdoors within the fenced property, protected with a plastic shroud and included within a pest controlled area.	
2.18.03	Is the facilities use restricted to the storage of food products?	Total Compliance	5	5	Yes, only food products and food contact packaging material are stored in the facility.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	N/A	0	0	N/A, there were no, on hold or rejected materials, present during the time of this inspection.	
2.18.05	Are raw products, 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 AN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes, raw products, work in progress, finished goods 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, all storage areas were observed 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, commodities and packaging 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, commodities and packaging are rotated using the FIFO policy.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes, products were stored at 36 – 38 F. degrees.	

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, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	Total Compliance	15	15	Yes.	
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 issues observed regarding to the overhead area.	
2.19.03	Are packing and/or processing areas completely enclosed?	Total Compliance	15	15	Yes, packing activities are performed within the completely enclosed facility.	
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, production areas are clean and well maintained.	
2.19.05	Is all re-work/re-packaging handled correctly?	N/A	0	0	N/A, re-work/re-packaging is not performed at this facility.	
2.19.06	Are raw ingredients examined before use?	Total Compliance	5	5	Yes, product is examined during production/sorting.	
2.19.07	Are finished products coded (carton and unit packaging) for the day of production and displaying information to enable proper storage and use of the product within the food supply chain?	Total Compliance	10	10	Yes, finished products are coded for the day of production, displaying information to enable proper storage and use of the product within the food supply chain (storage temperature, etc.).	
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, foreign material is controlled by visual inspection.	
2.19.09	Does the facility use 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, test strips are used for verifying the concentrations of free chlorine and an ORP/pH meter on the product washing water.	
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, hand washing stations are situated visible, operated by foot pedal, adequately stocked with disposable towels, soap, trash cans, including warm water.	
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, there are 7 toilets for 50 women and 5 for men and urinals for 40 men, adequate in location, properly stocked with toilet paper, disposable towels, soap, etc.	
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, alcohol based hand gel and alpet dispensers are available as secondary hand sanitizers.	
2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	Total Compliance	3	3	Yes, there is a foot dip station at the packing area.	
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, single service containers were being used only for product.	
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, re-usable containers are clearly designated for trash, field totes, and iceless product.	
2.19.16	Are food safety measuring devices working properly?	Total Compliance	3	3	Yes, thermometers are working properly, verified daily.	

GMP – Worker Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.20.01	Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15	Yes, all employees were observed washing and sanitizing their hands after the 10:00 AM break, the day of this audit, this discipline is monitored by the packing supervisor.	
2.20.02	Are workers' fingernails clean, short and free of nail polish?	Total Compliance	5	5	Yes, employees fingernails are clean, short and free of nail polish.	
2.20.03	Is there no sign of any workers with boils, sores, open wounds or exhibiting signs of foodborne illness working in direct and indirect food contact?	Total Compliance	10	10	Yes, there were no employees showing such signs during working the day of this audit.	
2.20.04	Are workers wearing effective hair restraints?	Total Compliance	5	5	Yes, all employees were wearing hairnets and mouth covers during working.	
2.20.05	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes, there were no employees observed wearing exposed jewelry during packing.	
2.20.06	Are all workers wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves, non-latex gloves)	Total Compliance	5	5	Yes, all employees were wearing smocks, aprons and nitrile hand gloves.	
2.20.07	Do workers 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, employee's protective outer garments are removed when on breaks, before using the toilets and at the end of their shift.	
2.20.08	Is there a designated area for workers to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	Total Compliance	5	5	Yes, there are hooks for the outer garments hanging on a wall by the sanitary check point.	
2.20.09	Workers personal items are not being stored in the production and material storage areas?	Total Compliance	5	5	Yes, employees personal items are not being stored in the production and material storage areas.	
2.20.10	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes.	

2.20.11	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3	Yes.
2.20.12	Is there a first aid kit(s) readily available in the facility and adequately stocked?	Total Compliance	5	5	Yes.

GMP – Equipment

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.21.01	Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15	Yes, the food contact equipment surfaces are made of stainless steel and non porous rubber were observed clean and free from such materials.	
2.21.02	Are non–food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Major Deficiency	3	10	MJ. There are numerous instances of rust on metal parts of the facility metal structure and flaking paint on puerta de verdes metallic door.	
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, the equipment design and condition facilitate effective cleaning and maintenance.	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes, plastic thermometers are present in all cold storage areas.	
2.21.05	Are all thermometers non–glass and non–mercury?	Total Compliance	10	10	Yes, all thermometers used are free from glass and mercury.	

GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact equipment surfaces clean?	Total Compliance	15	15	Yes, the food contact surfaces of the equipment were observed clean.	
2.22.02	Are non–food contact equipment surfaces clean?	Total Compliance	10	10	Yes, non–food contact equipment surfaces were clean.	
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	Total Compliance	10	10	Yes, all plastic totes used to hold product were clean.	
2.22.04	During cleaning are foods and packaging protected from contamination?	N/A	0	0	N/A, cleaning was not observed at the time of this audit.	
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 were 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, no dust observed on fan guards and the ceiling in front of the fans was free of black deposits.	
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, all equipment was being used the day of this audit.	
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, unused items (e.g. hoses and other items), were stored clean and coiled 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?	Total Compliance	3	3	Yes, maintenance tools used in the facility, were clean, sanitary and chrome plated.	
2.22.10	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes, there was no excess lubricants and grease observed on the equipment.	

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, spills did not occur during the time of this inspection.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes, packing and storage areas were clean, waste and garbage is frequently removed from the packing and storage areas.	
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, floor drains are covered, clean, free from odors and well maintained.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes, high level areas appear 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?	Minor Deficiency	3	5	MI. The plastic strip curtain situated on puerta de verdes was touching the floor.	
2.23.06	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Total Compliance	3	3	Yes, safety equipment for the sanitation crew is adequate, in good condition and properly stored to prevent cross contamination.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes, cleaning equipment was properly stored on hangers, out of the floor.	
2.23.08	Is cleaning equipment identified in order to prevent potential cross	Total Compliance	10	10	Yes, the cleaning equipment is identified by	

	contamination issues e.g. production, maintenance, outside, restroom equipment?	Compliance			a code of colors.
2.23.09	Are all items used for sanitation appropriate for their designated purpose (e.g. no steel wool, metal bristles, etc.)?	Total Compliance	5	5	Yes, all items used for sanitation were free of steel wool, metal bristles, etc.
2.23.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes, toilets and hand-wash stations were observed clean.
2.23.11	Are worker break facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes, break facilities including microwaves and refrigerators were clean, free from rotting foodstuffs.
2.23.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	Total Compliance	5	5	Yes, the maintenance shop was clean and organized.
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, all forklifts and pallet jacks were being used in a sanitary manner, free from toxic fumes.
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 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?	Major Deficiency	5	15	MJ. There were ten glass light tubes in the storage of materials not shielded.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Minor Deficiency	10	15	MI. Forklift #8 was observed with two unprotected glass lights.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes, no wooden items or surfaces observed in the facility.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes, lighting is adequate in the packing and storage areas.	
2.24.05	Is ventilation adequate to control dust, condensation, odors and vapors?	Total Compliance	10	10	Yes, ventilation is adequate.	
2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Total Compliance	10	10	Yes, floor surfaces were observed in good condition, clean, with no standing water and easy to clean.	
2.24.07	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes, floor drains are properly situated for drainage and cleanup.	
2.24.08	Are doors to the outside pest proof?	Minor Deficiency	3	5	MI. The door used for field boxes facing to the facility outside has a gap greater than 1" on its lower part.	
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes, all dock doors are fitted with buffers to seal against trucks.	
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	Total Compliance	3	3	Yes, dock load levelers and shelters are maintained in a good condition, pest proof and free from debris.	
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 walls were observed free of holes.	
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, all interior walls and ceilings were free of cracks and crevices.	
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	N/A	0	0	N/A, no false ceiling areas present in the facility.	
2.24.14	Is an 18" (46cm) 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, the internal wall perimeter is adequate for inspection and cleaning.	
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5	Yes, the exterior area immediately outside the facility was free of litter, weeds and standing water.	
2.24.16	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)?	Total Compliance	5	5	Yes, pallets are kept within the fenced property in a paved clean and dry area.	
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes, dirty or broken pallets are discarded.	
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes, the area around the dumpster/cull truck/trash area was observed clean.	
2.24.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5	Yes, outside garbage receptacles are closed.	
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 Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Total Compliance	5	5	Yes, there were copies of SDS for Ala San, Sarrik, Acibel, Alpert, Saniti-Gel, Bold-DT, Citric Acid, Calcium Hypochlorite on file and fully accessible at all times with clear indexes.	
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, there are copies of specimen labels for chemicals used.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes, there is a chemical inventory, log Reporte Diario de Estrada y Salida de Sanitizantes (Almacen #5).	
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, Lavado de Producto (POES#12) CCP#1, indicating a water change every four hours.	

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?	Minor Deficiency	10	15	MI. The insurance policy of the pest control service provider Protecín sanitary license 03-02A023 was due on 2/22/16. There is a documented pest control program, with bi-weekly monitoring services contracted, copy of the contract and documented training for their technicians (e.g. Felipe Garcia Felix training on food safety on 3/25/15).	
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 54 numbered non bait traps inside the facility, 22 bait traps by the external building perimeter and 23 by the fence line.	
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, reports are available for inspections conducted every two weeks inside and outside the facility. The most recent is dated on 2/25/16.	

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 (raw products, ingredients and packing materials) inspection data?	Total Compliance	5	5	Yes, incoming material is inspected and documented on Doc. Forma de Registro Para La Inspeccion de Materia Prima (POES#9).	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Total Compliance	10	10	Yes, inspection on incoming trailers is recorded on log RGE/011A.	
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?	Total Compliance	10	10	Yes, wash water temperature is monitored every 30 minutes, recorded on log REG/003A (< 41 Fahrenheit degrees).	
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 monitoring/recording is detailed on log RGE/003A.	
2.27.05	Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations? Are there stock check and replenishment records for gel and spray stations?	Total Compliance	3	3	Yes, foot dip station monitoring is recorded on log RGE/026 (Quat 800 – 1000 ppm, 3 times per shift), and stock check and replenishment of hand gel and spray stations is recorded on log REG/074.	
2.27.06	Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	N/A	0	0	N/A, hand tools are not used in the production area.	
2.27.07	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes, the daily pre-operation inspection is recorded on Log RGE/002 (POES#7).	
2.27.08	Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?	Total Compliance	10	10	Yes, there is a documented risk assessment for the facility location and adjacent land, outlined on Doc. Evaluacion De Las Instalaciones, fecha de elaboracion Abril 20, 2015 (POES#22).	
2.27.09	Is there a current certificate of inspection for backflow prevention assemblies on water lines into the facility?	Total Compliance	3	3	Yes, there is a current certificate of inspection for backflow prevention assemblies on water lines conducted on 3/21/15, performed by Chemical Creative de Mexico S. de RL de CV, certifying 2 check valves 2", 1 valve 4" @ 30 PSI for 15 minutes, reporting no pressure change during those fifteen minutes.	
2.27.10	Is there documented evidence of the internal audits performed to the audited operations, detailing findings and corrective actions?	Total Compliance	10	10	Yes, quarterly internal audits are performed and documented, the most recent is dated on	

2/13/16 conducted by the food safety coordinator. Corrective actions are documented for this one and the previous ones.

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 a documented schedule?	Total Compliance	10	10	Yes, there is a scheduled preventative maintenance program outlined on Doc. Programa de Mantenimiento Anual, for daily, weekly and monthly maintenance activities of the facility and equipment.	
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, maintenance work and repair is logged on RGE/018 (POES#018).	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Total Compliance	5	5	Yes, post-maintenance sanitation is recorded on log RGE/019 (POES#7).	
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, the master sanitation schedule is outlined on Doc. Programa Maestro de Limpieza y Sanitization, showing duties and frequencies.	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10	Yes, cleaning procedures (SSOPs) for the facility and all equipment are detailed on POES#16, indicating the chemicals used, dilution, procedures, persons assigned, 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, there are sanitation logs available for review, indicating what cleaning was done, when, and who carried out the cleaning (e.g. RGE/047 Registro Diario De Limpieza).	
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, hydrocoolers, ice makers, etc.)?	Total Compliance	5	5	Yes, clean-in-place activities are included on Log RGE/047 (POES#12).	
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using rapid post sanitation checks, e.g., ATP measurements?	Non-Compliance	0	5	NC. ATP nor other rapid post sanitation checks are not used to validate sanitation effectiveness.	
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, floor drains are cleaned daily, recorded on Doc. RGE/047 Registro Diario De Limpieza.	
2.28.10	Are there records showing cooling units are serviced and cleaned at least every 12 months or more frequently as required?	Total Compliance	10	10	Yes, there are records of coil cleaning performed in-house dated on 3/5/15 and 2/25/16.	
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 and Brittle/Hard Plastic Control and Breakage is outlined on PLT#4 Politica Vidrio Empaque and glass register is monitored on a weekly basis, recorded on Doc. RGE/071. Last monitoring is dated on 2/20/16.	

GMP – Worker Documentation						
Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.29.01	Are there records of new worker food safety (GMP) orientation training (with topics covered and attendees) and are all workers required to sign the company's food safety hygiene and health policy?	Total Compliance	10	10	Yes, new employee food safety (GMP) orientation training (with topics covered and attendees) is required for all workers who sign the company's food safety hygiene and health policy, including a document stating their compromise to observe them.	
2.29.02	Are there logs of ongoing worker food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes, ongoing employee food safety education is performed at least on a monthly basis, there are records dated on 12/1/15, 1/11/16, 1/13/16, 2/22/16, indicating the topics (GMP, Disinfection, Biosecurity, HACCP, Color Codes, etc).	
2.29.03	Is there a documented training program with training logs for the sanitation workers including best practices and chemical use details?	Total Compliance	5	5	Yes, sanitation employees were trained on 12/30/15 and 2/22/16, by the food safety coordinator.	
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, documented procedures are available kept on Doc. Reglamento Para El Personal De Empaque, index #8.	
2.29.05	Are there written sickness reporting and return to work procedures?	Total Compliance	3	3	Yes, Dr. release is required.	
2.29.06	Is there a worker non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes, worker non-compliance/disciplinary action procedure is logged on REG/010 (POES#1).	

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, visitors and contractors sign this requirement.
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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, equipment microbiological testing is performed monthly by PrimusLabs for FC (AFNOR3M01/02–09/89C) and TC (AOAC 991.14). Last test report is dated on 1/28/16 showing < 1 est CFU/50 Cm2, on food contact surfaces of green onions belt #1 and #2 (USM 16.010425 & USM 16.010426).	
2.30.02	Are there records of routine environmental microbiological testing?	Total Compliance	5	5	Yes, environmental microbiological testing is performed twice per year by PrimusLabs, last test is dated on 1/8/16 for TPC (CMMEF 3.71 4th Ed.), reporting < 1 est CFU/15 minutes (USM 16.001778) in cold room #1.	
2.30.03	Are there routine microbiological tests on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes, microbiological tests on water used in the facility, sampled within the facility is performed monthly by PrimusLabs, the most recent available is dated on 1/28/16 for EC (SM9223) reporting < 1 MPN/100 ml. (USM 16.010250).	
2.30.04	Are there routine microbiological tests on ice used in the facility (either produced in-house or purchased)?	Total Compliance	5	5	Yes, a microbiological test is dated on 12/3/15 performed by PrimusLabs for Listeria (AOAC–RI 011201, reporting Negative (USM 15.114102), and another one dated on 1/28/16 for FC (MPN) < 1 MPN/100 ml., and TC (SM9223) 2 MPN/100 ml. (USM 16.010429).	
2.30.05	Are routine tests (e.g., microbiological, moisture, etc.) performed on compressed air that is used directly on food and food contact surfaces?	N/A	0	0	N/A, compressed air is not used directly on food and/or food contact surfaces.	

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, final product temperature is documented on Doc. RGE/006.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	N/A	0	0	N/A, the packing room is not refrigerated.	
2.31.03	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes, temperature logs for storage rooms is recorded on Doc. RGE/005.	
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, temperature checks of shipping truck are recorded on Doc. RGE/015.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes, sanitary condition for shipping trucks are recorded on Doc. RGE/015, (sanitized prior to loading with Quat @200 ppm).	

GMP – Allergen Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.32.01	There are no allergen risks handled or stored within production and storage areas?	Yes	0	0	Yes, there are no allergens, handled or stored within production and/or storage areas.	
2.32.02	Has a documented allergen management plan been developed?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.03	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other materials?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.04	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.05	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.06	Does re-work handling take into account the issues associated with allergen containing products?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.07	Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?	N/A	0	0	N/A, please refer to question 2.32.01.	
2.32.08	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0	N/A, please refer to question 2.32.01.	

HACCP – Preliminary Steps

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.01.01	Is there a team responsible for the HACCP program at the operation, with a leader assigned and if applicable, for the development, implementation and on-going maintenance of the HACCP system?	Total Compliance	10	10	Yes, the leader of the team responsible for the HACCP program development, implementation and on-going maintenance at this operation is Nereida Molina with a formal training of 16 hours by Ser-KA on September 2 – 3, 2010.	
3.01.02	Is there documented evidence that the HACCP team members have been trained on HACCP principles?	Total Compliance	10	10	Yes, All members of the HACCP team including all employees are trained in-house monthly on HACCP principles by Nereida Molina, last trainings are dated 1/5/16 and 2/8/16.	
3.01.03	Does a product description exist for the products produced?	Total Compliance	10	10	Yes, there is a product description for Green Onions (DFE#1 Iced); Green Onions (DFE#2 Iceless); Leek (DFE#3); Kale (DFE#4); Celery (DFE#5); Brussel Sprouts (DFE#6), indicating the product name, intended use, product characteristics, types of packaging, length of shelf life, intended consumer, labeling instructions, special distribution, etc.	
3.01.04	Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps and has the flow chart(s) been verified?	Total Compliance	15	15	Yes, there is a Process Flow Chart from receiving to distribution, in sufficient detail to completely describe the product handling/processing steps. The day of this audit during the packing process, flow chart was verified.	

HACCP – Development of the HACCP Plan

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.02.01	Has a documented hazard analysis for the process been conducted, showing the various types of hazard, their likelihood of occurrence and their associated severity? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT	Total Compliance	15	15	Yes, there is a documented hazard analysis for the product process, showing the various types of hazard, their likelihood of occurrence and their associated severity (e.g. Green Onions Iced APE#1; Green Onions Iceless APE#2; Leek APE#3; Kale APE#4; Celery APE#5; Brussels Sprouts APE#6.	
3.02.02	Have CCPs been developed? If answer is YES, continue with next question. If answer is NO, the rest of "Module 3 HACCP" is not applicable. If the auditor detects that one or more CCPs have been omitted, then the auditor should score down a Zero Point, Non-Compliance under 3.02.01. If the auditor thinks that CCPs have been added that should be omitted, then the auditor should note the issue under 3.02.03.	Yes	0	0	Yes, There was a CCP developed, CCP#1–Lavado de Producto.	
3.02.03	Have CCP decisions been made with documented justification and where CCPs are noted have they been developed to control the hazards identified in the hazard analysis step?	Total Compliance	15	15	Yes.	
3.02.04	Have CCP critical control limits been established with the support of relevant sources of information or by validation documentation?	Total Compliance	15	15	Yes, CCP#1 critical control limits have been established with the support of the publication 8003 Post Harvest Chlorination by Trevor Suslow U of CA Davis.	
3.02.05	Have monitoring requirements and frequencies been determined for the CCPs?	Total Compliance	15	15	Yes, monitoring requirements and frequencies of the CCP#1, are 150 – 200 ppm free chlorine, pH 6.5 – 7.5, water temperature < 41 F. degrees, ORP > 650 – 850 mV, monitored twice every hour and recorded once per hour.	
3.02.06	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	Total Compliance	10	10	Yes, Laura Lopez Ledesma is the operator of the CCP#1.	
3.02.07	Have standard operating procedures (SOPs) been created for the monitoring process of the CCPs, which would include how to carry out the monitoring activities?.	Total Compliance	5	5	Yes, POES#12 was created for the monitoring process of the CCP#1, detailing how to carry out the monitoring activities.	
3.02.08	Have Corrective Action procedures for the CCPs been established, including a detailed action plan for operators to follow if the limits are not met and plans to adjust the process back into control?	Total Compliance	15	15	Yes, there are corrective action procedures for operators to follow when deviations of the CCP occur, including a detailed action plan to adjust the process back into control. Records show chlorine addition, citric acid addition).	
3.02.09	Have recording templates (recording forms) been developed for monitoring the CCPs?	Total Compliance	15	15	Yes, the recording template REG/003A was developed for monitoring the CCP.	
3.02.10	Have verification plans and schedules been developed for each CCP?	Total Compliance	10	10	Yes, Verification activities related to the CCP on the HACCP chart is clearly detailed on the HACCP plan revision, (POES#12), detailing at least three verifications during the shift by a supervisor.	
3.02.11	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	N/A, changes have not been made.	

3.02.12	Is there evidence recorded for HACCP training to all plant workers, including training for CCP operators?	Total Compliance	10	10	Yes, all plant employees including CCP operators were trained on 10/27/15 by the food safety manager, recorded on Log REG/001.
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HACCP – Execution of the HACCP plan on the Plant Floor

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.03.01	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	Total Compliance	15	15	Yes.	
3.03.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	Total Compliance	15	15	Yes, CCP monitoring activities and frequencies are in compliance with the plan.	
3.03.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs? (Interview operators to verify).	Total Compliance	10	10	Yes, Laura Lopez Ledesma, operator of the CCP#1 was interviewed, verifying that she understand basic HACCP principles and her role in the CCPs monitoring.	
3.03.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	Total Compliance	15	15	Yes, CCP monitoring records are signed off by Laura Lopez Ledesma who is carrying out and recording the CCP checks.	
3.03.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	Total Compliance	15	15	Yes, corrective actions are detailed in writing by the operator when CCP failures occurs.	
3.03.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	Total Compliance	10	10	Yes, CCP records are reviewed and signed off daily by the food safety coordinator Nereida Molina, but a supervisor checks the documents three to four times during the shift.	
3.03.07	Is any other CCP verification performed (apart from daily record verification) according to the HACCP Plan?	Total Compliance	10	10	Yes, besides the FSC verification (last on 1/13/16 recorded on Doc RPHACCP#1), monthly microbiological tests are performed on finished product (e.g. USM 16. 010437 dated on 1/29/16 for Iced Green Onions EC AOAC 991.14 Negative; ECO157:H7 AOAC-RI 011401 Negative; Salmonella AOAC-RI 041303 Negative; Iceless Green Onions (USM 16.010438); Leek (USM 16.010440); Celery (USM 16.010441); Cauliflower (USM 16.010442); Brussel Sprouts (USM 16.010443); Kale (USM 16.001831), all with the same results on all determina	