



Primus Standard Audits | Primus Standard Packaging v14.09

Auditing Company: Primus Auditing Ops
 Audit ID: 18493 | 2
 Application ID: 10509



Final Audit Report

| | | | |
|---|--|------------------------------------|-----|
| Organization: | JS Ag Packaging, Inc. | | |
| | Contacts: | Taylor Smith, Debora Langston | |
| | Address: | 6850 New Kapittel Ct. | |
| | Location: | Shafter, California, United States | |
| | Phone: | (661) 833-9383 | |
| | Coordinates: | | |
| Packaging: | JS AG Packaging, Inc | | |
| | Contacts: | Taylor Smith | |
| | Address: | 6850 New Kapittel Ct. | |
| | Location: | Shafter, California, United States | |
| | Phone: | (661) 833-9383 | |
| Announced Audit: | Yes | | |
| Preassessment Audit: | No | | |
| Audit Scope: | This is 70000 sqft packaging facility with one production area where workers put labels on clamshells using machines for it. There are 10 workers and this is a year round operation. The steps of the operation are: receiving packaging material from different vendors , storing, labelling and shipping. | | |
| Date Started: | Apr 29, 2020 9:00 | | |
| Date Finished: | Apr 29, 2020 12:30 | | |
| Total Amount of Time: | 3:30:00 | | |
| Observed on day of audit: | Packaging Material | | |
| Not Observed and not of a similar risk type to what was observed: | | | |
| Not Observed but of a Similar risk type to what was observed: | | | |
| Auditor: | Rodny Salinas | | |
| Final Audit Score: | 99% | | |
| GPS Coordinates: | Latitude | Longitude | Map |
| | 35° 29' 33" N | 119° 9' 28" W | |
| | Show All | | |

QUESTION RESPONSE SUMMARY

| # of Question Responses | N/A | Total Conformance | Minor Deficiency | Major Deficiency | Non-Conformance |
|-------------------------|-----|-------------------|------------------|------------------|-----------------|
| 160 | 23 | 135 | 1 | 1 | 0 |

Audit Score Summary

| AUDIT SCORE SUMMARY | | |
|-------------------------------|------------------|------|
| Good Manufacturing Practices | Possible Points: | 573 |
| | Score: | 571 |
| | Percent Score: | 99% |
| Food Safety File Requirements | Possible Points: | 341 |
| | Score: | 334 |
| | Percent Score: | 97% |
| Food Defense | Possible Points: | 72 |
| | Score: | 72 |
| | Percent Score: | 100% |
| TOTAL | Possible Points: | 986 |
| | Score: | 977 |
| | Percent Score: | 99% |

Sections

Good Manufacturing Practices

Food Safety File Requirements

Food Defense

Additional Questions (Not part of overall Food Safety percentage)

Questions

Good Manufacturing Practices |

1.1.1 | There was no significant threat to the safety of the product that may be considered critical and warrants an automatic failure? Explain. ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.

Auditor Comments: Yes. During the inspection there was not any food safety issue that could have lead to an automatic failure.

Possible Points: 15
Score: 15
Answer: Total Conformance

1.2.1 | Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?

Auditor Comments: Yes. All chemicals were securely stored in a designated area with a lock and restricted access.

Possible Points: 15
Score: 15
Answer: Total Conformance

1.2.2 | Are "food grade" and "non-food grade" chemicals used appropriately, according to label and stored in a controlled manner?

Auditor Comments: Yes. Food grade and non food grade chemical were stored correctly.

Possible Points: 10
Score: 10
Answer: Total Conformance

1.2.3 | Is packaging stored to prevent cross contamination?

Auditor Comments: Yes. All packaging material is stored on pallets.

Possible Points: 15
Score: 15
Answer: Total Conformance

1.2.4 | Is the storage area completely enclosed?

Auditor Comments: Yes.

Possible Points: 10
Score: 10
Answer: Total Conformance

1.2.5 | Is the facility's use restricted to the storage of packaging materials?

Auditor Comments: Yes.

Possible Points: 5
Score: 5
Answer: Total Conformance

1.2.6 | Are rejected or on hold materials clearly identified and separated from other materials?

Auditor Comments: N/A. On hold or rejected material were not observed during the audit.

Possible Points: N/A
Score: N/A
Answer: N/A

1.2.7 | Is food contact packaging within accepted tolerances and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.

Auditor Comments: Yes,

Possible Points: 15
Score: 15
Answer: Total Conformance

1.2.8 | Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?

| | |
|--|--|
| Auditor Comments: Yes. Storage areas were clean where viewed during the time of inspection. | Possible Points: 10 Score: 10 Answer: Total Conformance |
|--|--|

1.2.9 | Are packaging materials properly marked with rotation codes (receipt dates, manufacture dates, etc.)?

| | |
|--|--|
| Auditor Comments: Yes. Product is placed into carton boxes which have the pack date, lot number and other traceability information. | Possible Points: 5 Score: 5 Answer: Total Conformance |
|--|--|

1.2.10 | Are packaging materials rotated using FIFO policy?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
|-------------------------------|--|

1.3.1 | Does the process flow, facility layout, employee control, utensil, internal vehicle use, etc., ensure that packaging material is not contaminated during storage?

| | |
|---|--|
| Auditor Comments: Yes. No contamination issues were observed during the audit. | Possible Points: 15 Score: 15 Answer: Total Conformance |
|---|--|

1.3.2 | Are all exposed packaging materials protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 15 Score: 15 Answer: Total Conformance |
|-------------------------------|--|

1.3.3 | Is all re-work handled correctly?

| | |
|--|--|
| Auditor Comments: N/A. Re work was not observed during this inspection. | Possible Points: N/A Score: N/A Answer: N/A |
|--|--|

1.3.4 | Are packaging materials examined before use?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.3.5 | Does product coding clearly link to supplier(s) of incoming materials?(Auditor performs a live traceback test to verify documentation reviewed for 2.4.1.)

| | |
|---|--|
| Auditor Comments: Yes. Client was successfully able to explain the company's traceability system to the auditor. | Possible Points: 10 Score: 10 Answer: Total Conformance |
|---|--|

1.3.6 | Are hand washing stations adequate in number, appropriate in location, in working order, have warm water, adequately stocked (e.g. disposable towels, soap, etc.) and restricted to hand washing purposes only?

| | |
|--|--|
| Auditor Comments: Yes. HWS are properly stocked they have paper towels and trash can. | Possible Points: 15 Score: 15 Answer: Total Conformance |
|--|--|

1.3.7 | Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?

| | |
|---|---|
| <p>Auditor Comments: Yes. Restrooms were clean and well stocked as viewed during the time of inspection. There is also an adequate number of restroom facilities based on the number of personnel working during the time of inspection.</p> | <p>Possible Points: 15 Score: 15 Answer: Total Conformance</p> |
| <p>1.3.8 Are secondary hand sanitation stations e.g. touch-free dispensers adequate in number and location? Are the stations maintained properly?</p> | |
| <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>1.3.9 Are single service containers used for their intended purpose only so that potential cross contamination is prevented?</p> | |
| <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>1.3.10 Are all re-usable containers clean and clearly designated for the specific purpose such that cross contamination is prevented?</p> | |
| <p>Auditor Comments: Yes.</p> | <p>Possible Points: 10 Score: 10 Answer: Total Conformance</p> |
| <p>1.4.1 Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?</p> | |
| <p>Auditor Comments: N/A. This activity was not observed by the auditor.</p> | <p>Possible Points: N/A Score: N/A Answer: N/A</p> |
| <p>1.4.2 Are employees' fingernails clean, short and free of nail polish?</p> | |
| <p>Auditor Comments: Yes.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>1.4.3 Is there no sign of any employees with boils, sores, open wounds or exhibiting signs of foodborne illness working in indirect or direct contact with food?</p> | |
| <p>Auditor Comments: Yes. There was not any signs of employees with boils, wounds, or etc., where viewed during the time of inspection.</p> | <p>Possible Points: 10 Score: 10 Answer: Total Conformance</p> |
| <p>1.4.4 Are first aid kits adequately stocked and readily available? Are band aids used?</p> | |
| <p>Auditor Comments: Yes. The first aid kit is available, adequately stocked including with blue bandages.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>1.4.5 Are employees wearing effective hair restraints?</p> | |
| <p>Auditor Comments: Yes. All workers were wearing hair nets.</p> | <p>Possible Points: 10 Score: 10 Answer: Total Conformance</p> |
| <p>1.4.6 Is jewelry confined to a plain wedding band and watches are not worn?</p> | |

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

1.4.7 | Do employees remove protective outer garments e.g. gloves when on break, before using the toilets and when going home at the end of their shift?

| | |
|--|-----------------------------|
| Auditor Comments: N/A. Workers are not required to wear protective clothing, this is a storage and distribution center. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

1.4.8 | Is there a designated area for employees to leave protective outer garments e.g. gloves when on break and before using the toilets?

| | |
|--|-----------------------------|
| Auditor Comments: N/A. Workers are not required to wear protective clothing, this is a storage and distribution center. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

1.4.9 | Employees personal items are not being stored in the material storage areas?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

1.4.10 | Is smoking, eating, chewing and drinking confined to designated areas; spitting is prohibited in all areas?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

1.4.11 | Are all items removed from garment (shirt, blouse, etc.) top pockets?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. No items were observed on shirts to blouse top pockets during the audit. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

1.5.1 | Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?

| | |
|--|-----------------------------|
| Auditor Comments: N/A, There are not any food contact surfaces in this operation. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

1.5.2 | Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

1.5.3 | Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood, or other absorbant materials) facilitate effective cleaning and maintenance?

| | |
|---|-----------------------------|
| Auditor Comments: N/A. There are no equipment in this operation. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

1.6.1 | Are food contact equipment surfaces clean?

| | |
|---|--|
| Auditor Comments: N/A. There are no equipment in this operation. | Possible Points: N/A Score: N/A Answer: N/A |
|---|--|

1.6.2 | Are non-food contact equipment surfaces clean?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.6.3 | During cleaning, is packaging protected from contamination?

| | |
|---|--|
| Auditor Comments: N/A. Cleaning did not occur during the time of inspection where it could be properly verified. Score not affected. | Possible Points: N/A Score: N/A Answer: N/A |
|---|--|

1.6.4 | Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?

| | |
|--|--|
| Auditor Comments: N/A. There are no cooling units in this facility. | Possible Points: N/A Score: N/A Answer: N/A |
|--|--|

1.6.5 | 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?

| | |
|---|--|
| Auditor Comments: Yes.. Stored equipment was observed covered. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.6.6 | Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.6.7 | Are maintenance tools that are used in the storage areas of the facility clean, sanitary and corrosion free?

| | |
|---|--|
| Auditor Comments: Yes. Maintenance tools were clean, sanitary, corrosion free and being properly stored in the maintenance shop inside of toolboxes. | Possible Points: 3 Score: 3 Answer: Total Conformance |
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1.6.8 | Are excess lubricants removed from the equipment and are lubricant catch pans fitted where needed?

| | |
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| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.1 | Are spills cleaned up immediately?

| | |
|---|--|
| Auditor Comments: N/A. There was not any spills during the time of inspection where this could be properly verified. Score not affected. | Possible Points: N/A Score: N/A Answer: N/A |
|---|--|

1.7.2 | Are waste and garbage frequently removed from storage areas?

| | |
|---|--|
| Auditor Comments: Yes. There was not any evidence to indicate that waste and garbage is not being frequently removed from the storage areas. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.3 | Do floor drains appear clean, free from odors and well maintained?

| | |
|--|--|
| Auditor Comments: N/A. There are no floor drains. | Possible Points: N/A Score: N/A Answer: N/A |
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1.7.4 | Do high level areas including overhead pipes, ducts, fans, etc. appear clean?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.7.5 | Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?

| | |
|--|--|
| Auditor Comments: N/A. There are no elastic curtains. | Possible Points: N/A Score: N/A Answer: N/A |
|--|--|

1.7.6 | Does personal protection equipment (PPE) for the sanitation crew meet label requirements of chemicals used; is it in good condition and stored to prevent cross contamination to packaging?

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|---|--|
| Auditor Comments: Yes. PPE is issued to sanitation personnel and kept in their designated lockers. | Possible Points: 3 Score: 3 Answer: Total Conformance |
|---|--|

1.7.7 | Is cleaning equipment maintained clean and stored properly?

| | |
|--|--|
| Auditor Comments: Yes. All cleaning equipment are stored off the floor. | Possible Points: 10 Score: 10 Answer: Total Conformance |
|--|--|

1.7.8 | Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. handling, maintenance, outside, restroom equipment?

| | |
|--|--|
| Auditor Comments: Yes. color coded. | Possible Points: 10 Score: 10 Answer: Total Conformance |
|--|--|

1.7.9 | Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)

| | |
|---|--|
| Auditor Comments: Yes. Cleaning utensils are appropriate for their specific purpose, per example: brooms are made of vinyl bristles. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.10 | Are toilet facilities and hand-wash stations clean?

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| Auditor Comments: Yes. Facility toilets and hand washing stations were clean, well maintained, and properly stocked. | Possible Points: 15 Score: 15 Answer: Total Conformance |
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1.7.11 | Are employee break facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?

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|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.12 | Is the maintenance shop organized - i.e. equipment and spares stored in a neat and tidy fashion?

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| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.13 | 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?

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| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
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1.7.14 | Are shipping trucks clean and in good condition?

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|--|--|
| Auditor Comments: N/A. Shipping trucks were not present at the time of the audit. | Possible Points: N/A Score: N/A Answer: N/A |
|--|--|

1.8.1 | 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.

| | |
|--|--|
| Auditor Comments: Yes. Packaging was free from insects, rodents, etc., and any evidence of pests where viewed during the time of inspection | Possible Points: 15 Score: 15 Answer: Total Conformance |
|--|--|

1.8.2 | Are facility and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 15 Score: 15 Answer: Total Conformance |
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1.8.3 | Is the area outside the facility free of evidence of pest activity?

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|---|--|
| Auditor Comments: Yes. The exterior grounds of the facility were free of evidence of pest activity where viewed during the time of inspection. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.8.4 | Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.

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|---|--|
| Auditor Comments: Yes. The company has a documented pest control program and services are contracted through Jaime and Sons. | Possible Points: 15 Score: 15 Answer: Total Conformance |
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1.8.5 | Are pest control devices (inc. rodent traps and insect light traps) located away from all packaging? Poisonous rodent bait traps are not used within the facility?

| | |
|-------------------------------|--|
| Auditor Comments: Yes. | Possible Points: 10 Score: 10 Answer: Total Conformance |
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1.8.6 | Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?

| | |
|---|--|
| Auditor Comments: Yes. Rodent control devices and tin cats were in good condition and there was not any unsecured rodenticide where viewed during the time of inspection. inspections are done every week. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 1.8.7 Are interior and exterior building perimeter pest control devices adequate in number and location? | |
| Auditor Comments: MN. There were devices missing on both sides of two exit/entry doors. | Possible Points: 5 Score: 3 Answer: Minor Deficiency |
| 1.8.8 Are all pest control devices identified by a number or other code (e.g. barcode) ? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 1.8.9 Are all pest control devices properly installed and secured? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 1.9.1 Are signs supporting GMPs posted appropriately? | |
| Auditor Comments: Yes. GMP signs were observed in different areas of this facility. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 1.9.2 Are all lights in the facility that could potentially contaminate packaging shielded, coated or otherwise shatter resistant to protect packaging from contamination in the event of breakage? | |
| Auditor Comments: Yes. | Possible Points: 15 Score: 15 Answer: Total Conformance |
| 1.9.3 Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues? | |
| Auditor Comments: Yes. There was no potential issues observed during the inspection. | Possible Points: 15 Score: 15 Answer: Total Conformance |
| 1.9.4 Has the facility eliminated the use of wooden items or surfaces? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 1.9.5 Is there adequate lighting in the storage areas? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 1.9.6 Are ventilation systems properly designed and functioning to prevent packaging from condensation, mold, dust, odors and vapors? | |

| | | | |
|---|--|-------------------------|-------------------|
| Auditor Comments: Yes. There was not any condensation, odors or vapors. Score is not affected. | | Possible Points: | 10 |
| | | Score: | 10 |
| | | Answer: | Total Conformance |

1.9.7 | Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?

| | | | |
|-------------------------------|--|-------------------------|-------------------|
| Auditor Comments: Yes. | | Possible Points: | 10 |
| | | Score: | 10 |
| | | Answer: | Total Conformance |

1.9.8 | Are the floor drains where they are needed for drainage and cleanup?

| | | | |
|--|--|-------------------------|-----|
| Auditor Comments: N/A. There are no floor drains. | | Possible Points: | N/A |
| | | Score: | N/A |
| | | Answer: | N/A |

1.9.9 | Are doors to the outside pest proof?

| | | | |
|--|--|-------------------------|-------------------|
| Auditor Comments: Yes, All doors tot he outside are pest proof. | | Possible Points: | 5 |
| | | Score: | 5 |
| | | Answer: | Total Conformance |

1.9.10 | Are dock doors fitted with buffers to seal against trucks?

| | | | |
|-------------------------------|--|-------------------------|-------------------|
| Auditor Comments: Yes. | | Possible Points: | 5 |
| | | Score: | 5 |
| | | Answer: | Total Conformance |

1.9.11 | Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?

| | | | |
|-------------------------------|--|-------------------------|-------------------|
| Auditor Comments: Yes. | | Possible Points: | 3 |
| | | Score: | 3 |
| | | Answer: | Total Conformance |

1.9.12 | 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?

| | | | |
|--|--|-------------------------|-------------------|
| Auditor Comments: Yes. Walls on the outside presented no holes. | | Possible Points: | 5 |
| | | Score: | 5 |
| | | Answer: | Total Conformance |

1.9.13 | Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?

| | | | |
|-------------------------------|--|-------------------------|-------------------|
| Auditor Comments: Yes. | | Possible Points: | 5 |
| | | Score: | 5 |
| | | Answer: | Total Conformance |

1.9.14 | Where used in handling, storage or supporting areas, do false ceiling areas have adequate access to allow for inspection and cleaning?

| | | | |
|--|--|-------------------------|-----|
| Auditor Comments: N/A. False ceiling areas were not observed. | | Possible Points: | N/A |
| | | Score: | N/A |
| | | Answer: | N/A |

1.9.15 | Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?

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|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

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| 1.9.16 Is the exterior area immediately outside the facility free of litter, weeds and standing water? | |
| Auditor Comments: Yes. During the tour outside the facility there was no litter, weeds or standing water | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

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| 1.9.17 Are control measures being implemented for the storage of pallets, equipment, tires, etc. (e.g. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from building perimeter)? | |
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

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|--|-----------------------------|
| 1.9.18 Are pallets inspected to separate and replace dirty or broken pallets? | |
| Auditor Comments: N/A. Inspection of pallets was not observed during this audit. Score is not affected. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

| | |
|---|----------------------------------|
| 1.9.19 Is the area around the dumpster/cull truck/trash area clean? | |
| Auditor Comments: Yes. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

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|--|----------------------------------|
| 1.9.20 Are outside garbage receptacles and dumpsters kept covered or closed? | |
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

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|--|-----------------------------|
| 1.9.21 Are all water lines protected against back siphonage? | |
| Auditor Comments: N/A. Only potable water is used in this facility. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

Food Safety File Requirements |

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|--|----------------------------------|
| 2.1.1 Is there a documented food safety policy reflecting the organization's ongoing commitment to providing a safe product? | |
| Auditor Comments: Yes. There is a food safety policy describing the company's commitment to food safety. signed on 3/11/2020 by Jeff Smith, president | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

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|--|----------------------------------|
| 2.1.2 Is there an organizational chart showing who has food safety responsibilities and to whom they report? | |
| Auditor Comments: Yes. There is an organizational chart and it job titles and alternates. MS 2.2. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

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| 2.1.3 Is there a designated person responsible for the food safety program? | |
|---|--|

| | |
|--|--|
| Auditor Comments: Yes. Taylor Smith is the food safety responsible. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.1.4 Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees? | |
| Auditor Comments: Yes. There is a food safety committee conformed by Taylor Smith and Jeff Smith among others. Logs of quarterly meeting are on file. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.2.1 Is there a written document control procedure describing how documents will be maintained, updated and replaced? | |
| Auditor Comments: Yes. There is a document control SOP 12.1 for how documents will be maintained, stored, updated and replaced. | Possible Points: 3 Score: 3 Answer: Total Conformance |
| 2.2.2 Are all records stored for a minimum period of 24 months? | |
| Auditor Comments: Yes. All food safety records are kept for a minimum of 2 years | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.2.3 Are food safety related documents and records stored and handled in a secured manner? Records recorded in permanent ink, not pencil; errors single-lined through and initialed? | |
| Auditor Comments: Yes. All hard copies will be retained in binders, along with being in the company computer system. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.3.1 Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.3.2 Is there a documented glass and brittle plastic management policy and procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)? | |
| Auditor Comments: Yes. There is a glass policy SOP 6.4 called Glass and hard plastic brittle policy, it includes glass breakage and monthly glass register. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.3.3 Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.4.1 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? | |
| Auditor Comments: Yes. . Traceability system is an example that is for a produce operation not a packaging material storage operation., SOP 9.6. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.4.2 Does the facility have a documented recall program including: procedures, recall team roles, their contact details, external contact listings and (in the USA) an explanation of different recall classes? | |

| | |
|--|---|
| <p>Auditor Comments: Yes. There is a documented recall program that includes all aspects of a recall. The document includes recall team roles, contact details and explanation of different recall classes.</p> | <p>Possible Points: 15 Score: 15 Answer: Total Conformance</p> |
| <p>2.4.3 Is testing of recall procedures (including trace back) performed and documented at least once every six months? Can the company identify where affected product was sent?</p> | |
| <p>Auditor Comments: MJ. Last mock recall was done on 4/18/2019, it includes traceability information, lot ID, time frame (8 minutes) and all supporting information. two mocks recall are available.</p> | <p>Possible Points: 10 Score: 3 Answer: Major Deficiency</p> |
| <p>2.4.4 Is there a written procedure for handling on hold and rejected materials?</p> | |
| <p>Auditor Comments: Yes, An on hold procedure SOP 9.8 is available for review.</p> | <p>Possible Points: 10 Score: 10 Answer: Total Conformance</p> |
| <p>2.4.5 Is there a documented system for dealing with food safety complaints/feedback from consumers and buyers along with records and company responses, including corrective actions?</p> | |
| <p>Auditor Comments: Yes. A customer complaint SOP 9.7 is kept on file.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>2.5.1 Are there written specifications for packaging materials and sanitation chemicals?</p> | |
| <p>Auditor Comments: Yes.</p> | <p>Possible Points: 3 Score: 3 Answer: Total Conformance</p> |
| <p>2.5.2 Are there written specifications for finished goods?</p> | |
| <p>Auditor Comments: Yes. Finish goods specifications are kept on file.</p> | <p>Possible Points: 3 Score: 3 Answer: Total Conformance</p> |
| <p>2.5.3 Is there a list of approved suppliers of packaging materials and sanitation chemicals?</p> | |
| <p>Auditor Comments: Yes. There is a list of approved suppliers available for review, it includes:s, Typac, Shonbang, Lanxess.</p> | <p>Possible Points: 5 Score: 5 Answer: Total Conformance</p> |
| <p>2.5.4 Is there a written procedure for approval and continued monitoring of suppliers of packaging materials and sanitation chemicals?</p> | |
| <p>Auditor Comments: Yes. A written procedure SOP #14.1 for approved supplier is kept on file.</p> | <p>Possible Points: 3 Score: 3 Answer: Total Conformance</p> |
| <p>2.5.5 Does the facility have relevant third party audit reports, supplier third party audit certifications and/or supplier letters of guarantee for packaging items?</p> | |
| <p>Auditor Comments: Yes. Third party packaging audits are on file for the packaging suppliers.</p> | <p>Possible Points: 10 Score: 10 Answer: Total Conformance</p> |
| <p>2.6.1 Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?</p> | |

| | |
|--|----------------------------------|
| Auditor Comments: Yes. There is a SDS binder on file. with a clear index. i.e Clorox, Zep, Rely-on. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.6.2 | Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?

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|------------------------------|----------------------------------|
| Auditor Comments: Yes | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.6.3 | Is there a chemical inventory and/or usage log?

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| Auditor Comments: Yes. Chemical inventory is on file done on a monthly basis. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

2.7.1 | Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. There is a documented pest control program from Jaimes and Sons Pest Control, including a copy of the contract with the extermination company, Pest Control Operator license and insurance documents, valid until 3/19/2021. | Possible Points: 15 |
| | Score: 15 |
| | Answer: Total Conformance |

2.7.2 | Is there a schematic drawing of the facility showing numbered locations of all traps and bait stations, both inside and outside the facility?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. A map with the distribution of the pest control devices is available for review. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.7.3 | Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Service reports are available for review the day of the audit. service is done every week. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.8.1 | Are there written procedures for handling regulatory inspections?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Regulatory inspection procedure is available for review, SOP 6.9 | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

2.8.2 | Are there records of regulatory inspections and/or contracted third party inspections, company responses and corrective actions, if any?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. Primuslabs packaging audit was done on 4/30/2019. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.8.3 | Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. Quarterly Internal audits on file latest done on 3/832020 using the primuslabs checklist. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.8.4 | Is there a program for periodic inspections of food safety system records e.g. pest control records, sanitation records, maintenance records, etc.?

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|---|--|
| Auditor Comments: Yes. All logs are reviewed by a supervisor. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.8.5 Is there a daily pre-operation inspection log? | |
| Auditor Comments: Yes. There is a daily pre operation inspections log available for review. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.8.6 Does the facility have incoming packaging material inspection data? | |
| Auditor Comments: Yes. Container detail records is the form to log inspection data . | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.8.7 Are there inspection logs on incoming trailers for rodents and insects, cleanliness and holes? | |
| Auditor Comments: Yes. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.8.8 Is there an incidents report (sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA)) used for recording infrequent and/or unusual events? | |
| Auditor Comments: Yes. There is a NUOCA log on file. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 2.8.9 Is there a current certificate of inspection for backflow prevention assemblies on water lines entering the facility? | |
| Auditor Comments: Yes. There is a back flow certificate done by RLH fire prevention , date 12/23/2019. | Possible Points: 3 Score: 3 Answer: Total Conformance |
| 2.9.1 Are there stock check and replenishment records for gel and spray stations? | |
| Auditor Comments: Yes. Stock checks for hand sanitizers are included in the daily pre op inspection checklist. | Possible Points: 3 Score: 3 Answer: Total Conformance |
| 2.10.1 Does the facility have a preventative maintenance program and with a documented schedule? | |
| Auditor Comments: Yes. There is a preventative maintenance program on file. SOP 4.1 | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.10.2 Is there a log of maintenance work or repairs ordered and is it signed off on work completed? | |
| Auditor Comments: Yes. Logs of maintenance are kept on file. | Possible Points: 10 Score: 10 Answer: Total Conformance |
| 2.10.3 Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed? | |

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: YES. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.10.4 | Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. There is a master sanitation schedule and the schedule coincides with other documents reviewed e.g., toilets, wall, etc. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.10.5 | Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. SSOP's are available for review. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.10.6 | Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?

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|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.10.7 | Are there records showing verification of cleaning chemical concentrations?

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|---|----------------------------------|
| Auditor Comments: Yes. Records showing the clorox concentration are on file. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.10.8 | Is there a log indicating that floor drains are cleaned on a regular basis?

| | |
|--|-----------------------------|
| Auditor Comments: N/A. There are no floor drains. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

2.11.1 | Are there records of new employee food safety (GMP) orientation training (with topics covered and attendees) and are new employees required to sign the company's food safety hygiene and health policy?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Orientation trainings are on file. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.11.2 | Are there logs of ongoing employee food safety education training with topics covered and attendees?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. Ongoing food safety trainings are available for review, per example for: Carla Smith was trained on 4/4/2020. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.11.3 | Are there written procedures in place that require packaging handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (Verbal confirmation accepted.)

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Written procedure for illness and wounds describes how to report cuts, grazes and if a worker is sick or becomes sick while working. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

2.11.4 | Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. Sanitation training was done on 4/15/2020 for David Martinez. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

2.11.5 | Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health policies?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

2.11.6 | Is there an employee non-conformance/disciplinary action procedure? (Verbal confirmation accepted.)

| | |
|---|----------------------------------|
| Auditor Comments: Yes. There is a procedure for disciplinary actions, i.e. first warning: verbal, second warning: written and third: disciplinary. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

2.12.1 | Are there routine microbiological tests on water used in the facility (sampled from within the facility)?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. Water tests, done every year are available for review. Test done by BSK dated on 3/10/2020, result: E. coli : < 1.1 MPN/100 ml. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

2.13.1 | Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. It is included in the pick tickets. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

Food Defense |

3.1.1 | Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

3.1.2 | Is access to the facility controlled by locks, swipe cards, alarms or other devices?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. This facility has locks on all doors and security cameras. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

3.1.3 | Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

3.1.4 | Are packaging material (cartons, wrap film, fruit cups, etc.) storage areas secure, i.e. within the secure compound?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

3.2.1 | Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)?

| | |
|--|--|
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 3.2.2 Employee personal items are not being stored in the material storage areas? | |
| Auditor Comments: Yes. No personal items were observed in the packaging material storage area during the inspection. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 3.2.3 Are employees issued non-reproducible identification e.g. badges, company ID cards, etc.? | |
| Auditor Comments: N/A. This is a company with less than 20 workers. | Possible Points: N/A Score: N/A Answer: N/A |
| 3.2.4 Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 3.2.5 Are visitors (including contractors) required to "sign in" and "sign out" in a visitors logbook? | |
| Auditor Comments: Yes. | Possible Points: 5 Score: 5 Answer: Total Conformance |
| 3.3.1 Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)? | |
| Auditor Comments: Yes. | Possible Points: 3 Score: 3 Answer: Total Conformance |
| 3.3.2 Does the company make use of sealed and/or locked trailers on outbound loads? | |
| Auditor Comments: N/A. Product is transported in flatbed trucks. | Possible Points: N/A Score: N/A Answer: N/A |
| 3.4.1 Are potable and non-potable water supplies clearly identified? | |
| Auditor Comments: N/A. Only potable water is used in this operation. | Possible Points: N/A Score: N/A Answer: N/A |
| 3.4.2 Are tamper evident/tamper resistant systems (e.g. tamper tags) in place where appropriate? | |
| Auditor Comments: Yes. | Possible Points: 3 Score: 3 Answer: Total Conformance |
| 3.5.1 Does the company have a documented food defense policy based on the risks associated with the operation? | |

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Food defense polices are available for review SOP 13.1 | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

3.5.2 | Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?

| | |
|-------------------------------|----------------------------------|
| Auditor Comments: Yes. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

3.5.3 | Are all personnel required to undergo training on food defense issues and are training records kept?

| | |
|--|----------------------------------|
| Auditor Comments: Yes. Food security trainings are kept on file last done on 3/18/2020. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

3.5.4 | Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. There is an accessible key log. | Possible Points: 3 |
| | Score: 3 |
| | Answer: Total Conformance |

Additional Questions (Not part of overall Food Safety percentage) |

4.1.1 | Is there a written procedure requiring transportation vehicles be dedicated to produce and related packaging material, and that animals, animal products or other materials that may be a source of contamination are not allowed to be transported?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. There is a procedure for transportation SOP 11.3 vehicles available for review. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

4.1.2 | Is there a documented food safety plan covering site and facility?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. There is a food safety plan on file SOP 13.3 section 3. | Possible Points: 10 |
| | Score: 10 |
| | Answer: Total Conformance |

4.1.3 | Is there a documented business continuity and disaster recovery plan?

| | |
|---|----------------------------------|
| Auditor Comments: Yes. There is a business continuity and disaster recovery plan available for review SOP 13.18. | Possible Points: 5 |
| | Score: 5 |
| | Answer: Total Conformance |

4.1.4 | 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?

| | |
|--|-----------------------------|
| Auditor Comments: N/A. This operation does not use water in any step of the process. Score is not affected. | Possible Points: N/A |
| | Score: N/A |
| | Answer: N/A |

Points system for individual questions

| Question Point | Total Conformance | Minor Deficiency | Major Deficiency | Non-Conformance |
|----------------|-------------------|------------------|------------------|-----------------|
| 15 | 15 | 10 | 5 | 0 |
| 10 | 10 | 7 | 3 | 0 |
| 5 | 5 | 3 | 1 | 0 |
| 3 | 3 | 3 | 1 | 0 |
| 3 | 3 | 2 | 1 | 0 |