

PrimusLabs.com Audit (110974) Cooling and Cold Storage v08.06

Facility(s)	Channel Islands Cooling Contact: <u>Michael Thompson</u> Address: P.O. Box 1711 Oxnard California 93031 United States Phone Number: 805-487-5538 Ext: NA Fax Number: 805-483-4577 Email(s): <u>mrt@wpsox.com</u>
Customer(s)	Channel Islands Cooling/Cal-West Contact: <u>Michael Thompson</u> Address: 761 Commercial Ave. Oxnard California 93031 United States Phone Number: 805-487-5538 Fax Number: 805-483-4577 Email(s): <u>mrt@wpsox.com</u>
Audit Type:	Cooling/Cold Storage
Foreman or Contact Person (and email):	Mr. Mike Thompson, <u>mrt@wpsox.com</u>
Location/City:	Oxnard
State:	California
Country:	United States
Date Audit Started:	10/27/2009 08:30
Date Audit Finished:	10/27/2009 11:45
Commodity(ies):	Vegetables
Auditor:	<u>Susan Kleine</u> (Kleine, Susan – Sub Contractor)
Audit Percentage Score:	99%
Scoring Category:	95-100 Superior
Announced Audit?	Yes
FDA Registration Number:	XXXXXXXX2618 Older faciity which has under gone remodeling and up-dating for more storage space efficiency. Only domestic product grown in area handled. No repacking or re-working of product. Hydro-vac cooling systems in use with a chlorine rinse.
Audit Scope:	
Audit Entered By:	Susan kleine

Other Auditing Personnel And Role: None

Additional Report Links

- [See Severity Answers & Recommendations](#)
- [See The Result Comparison](#)
- [See The Audited Entity History](#)

Corrective Actions Response

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

Sections:

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

Good Manufacturing Practices

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
1.1.1	Is there a designated person responsible for the food safety program?	Total Compliance	10	10		Yes. Mr. Mike Thompson, Operations Manager and Safety Coordinator.	
1.1.2	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15		Yes. All chemicals stored securely, safe manner and labeled correctly.	
1.1.3	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	N/A	0	0		N/A, score not affected, food contact equipment not in use, no handling or packing of product. All field packed product in final form and ready for cooling and storage.	
1.1.4	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10		Yes. GMP signage posted appropriately in key areas throughout the facility.	
1.2.1	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes.	
1.2.2	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or	N/A	0	0		N/A, score not affected, packing	

	any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.				supplies are not handled or stored by or at facility.
1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	10	10	Yes. No evidence of pest or pest activity observed during walk through of facility and storage areas.
1.2.4	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes. No evidence of pest or pest activity observed during walk around of building and yard.
1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Pest control program contracted to Western Exterminator Pest Control with use of bait traps for exterior control and tin-cats for interior protection.
1.2.6	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Total Compliance	10	10	Yes.
1.2.7	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Total Compliance	5	5	Yes. All traps inspected clean and check card marked as inspected. Please note, company uses the bar-code scanning system to report finding and the bar code sticker is inside the traps.
1.2.8	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes.
1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Yes. Pest control devices identified by printed number with matching wall location tag and bar code.
1.2.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes.
1.3.1	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. Facility does receive and store "ice" packed and wet product from hydro cooling system. They also receive and store

1.3.2	Is the storage area completely enclosed?	Total Compliance	10	10	product which is managed under "dry" environment. They manage both environments to control any possible cross contamination to product. Yes. Storage area maintained completely enclosed, no evidence of gaps or daylight observed.
1.3.3	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5	Yes.
1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	Total Compliance	10	10	Yes. Damaged product is not excepted, if necessary to hold a product facility "hold" policy states to separate, identify as "hold" and maintain all tracking information.
1.3.5	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes.
1.3.6	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Total Compliance	10	10	Yes. Four cold storage rooms managed at facility. Facility has under gone remodeling and up-grading. Some use of racks, and some areas open floor space. All areas inspected found clean, good condition and well maintained.
1.3.7	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. All product arrives at facility with necessary information for tracking and identification. Please note, facility is contracted for cooling/cold storage and shipping as to their customers requests.
1.3.8			5	5	

	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Total Compliance			Yes. As per customers request, please note, 1.3.7.
1.3.9	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes.
1.4.1	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Total Compliance	15	15	Yes. No overhead contamination issues observed during facility visit and inspection.
1.4.2	If occurring, e.g. because of damaged product from the field, is all re-work/re-packaging handled correctly?	N/A	0	0	N/A, score not affected, no re-packing or re-working of product received. Damaged product not accepted and would be returned to grower.
1.4.3	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	Total Compliance	10	10	Yes. Use of test probes for hydro-vac systems and test strips for chlorine spray use for cleaning.
1.4.4	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.
1.4.5	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.
1.4.6	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Total Compliance	5	5	Yes. Only single service container in use is for trash. No food contact container in use.
1.4.7	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice etc.) such that cross contamination is prevented?	Total Compliance	5	5	Yes. Trash container clearly labeled for use.
1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15	Yes.
1.5.2	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	Total Compliance	10	10	Yes.
1.5.3	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes.

1.5.4	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes. Facility posted as a "smoke" free facility. Controlled areas for smoking, eating and drinking posted.
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	N/A	0	0	N/A, score not affected, facility does not use, store or maintain food contact equipment.
1.6.2	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	10	10	Yes. Unhygienic materials not observed in use during walk through of facility and storage.
1.6.3	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	N/A	0	0	N/A, refer to 1.6.1.
1.6.4	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes.
1.6.5	Are all thermometers non-glass and non-mercury?	Total Compliance	10	10	Yes.
1.7.1	Are food contact surfaces clean?	N/A	0	0	N/A, no food contact surfaces to maintain, refer to 1.6.1. All product arrives field packed in final form.
1.7.2	Are non-food contact surfaces clean?	Total Compliance	10	10	Yes. Facility clean and well maintained.
1.7.3	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes. All cooling units observed clean and maintained.
1.7.4	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5	Yes.
1.7.5	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?	N/A	0	0	N/A, score not affected, no food contact equipment used or stored.
1.7.6	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Total Compliance	10	10	Yes.
1.7.7	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes. Only equipment in use are fork lifts which are clean and maintained.
1.8.1	Are spills cleaned up immediately?	Total Compliance	10	10	Yes.
1.8.2			5	5	Yes.

	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance			
1.8.3	Do floor drains appear clean, free from odors and well maintained?	Total Compliance	5	5	Yes. Floor drains clean and free of odor and appeared well maintained.
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes. No issues observed during inspection.
1.8.5	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Total Compliance	5	5	Yes. Plastic strip curtains in good condition and properly trimmed.
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	Total Compliance	3	3	Yes.
1.8.7	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes.
1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Total Compliance	5	5	Yes. Use of color code system for area of use.
1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5	Yes. Cleaning items mainly brooms, floor brushes, mops, squeegee and floor machine when available.
1.8.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes.
1.8.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes.
1.8.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	N/A	0	0	N/A, score not affected, facility does not maintain a maintenance shop on site. Please note, all repairs and maintenance is under to management of Cal West and WPC systems.
1.8.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	Total Compliance	5	5	Yes.
1.8.14	Are shipping trucks clean and in good condition?	N/A	0	0	N/A, score not affected, no shipping trucks being loaded at time of audit visit.

1.9.1	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	Total Compliance	15	15		Yes.
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15		Yes. Potential metal, glass or plastic contamination issues not observed during inspection of facility.
1.9.3	Has the facility eliminated the use of wooden items or surfaces?	Minor Deficiency	3	5	Wood is a porous material and can harbor bacteria. It cannot be cleaned or sanitized effectively. Wooden materials can also splinter and pose a risk of physical contamination.	Minor issues of some cleaning tools with wooden handles. Some items replaced with metal or plastic handles.
1.9.4	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5		Yes.
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3		Yes.
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Minor Deficiency	7	10	Building materials should be impervious to water, clean easily and resist wear and corrosion. Exposed aggregate is hard to clean and will get progressively worse. Floors should be free of wide and/or deep cracks.	Minor issues of floor seams in older cold storage rooms with chipping and holes large enough to trap debris and soiled water.
1.9.7	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5		Yes.
1.9.8	Are doors to the outside pest proof?	Total Compliance	5	5		Yes. No issues of door gaps observed.
1.9.9	Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)?	N/A	0	0		N/A, score not affected, facility has an open dock system with "swing" type doors. No buffer or sealing system on dock.
1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)?	Total Compliance	3	3		Yes. Dock system does have levelers, they were in good condition and free of debris. Pest control program available in dock area.
1.9.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry	Total Compliance	5	5		Yes. No issues observed during walk around of building.

	e.g. by using fine mesh?					
1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Total Compliance	5	5		Yes. Interior walls in good condition and maintained, no issues observed.
1.9.13	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes. Employee personal items stored in break room or personal cars.
1.9.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Total Compliance	5	5		Yes. Perimeter space adequate in all rooms for access to walls and allowing for inspection and cleaning.
1.9.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5		Yes.
1.9.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	Total Compliance	5	5		Yes. Please note, facility general does not use their yard area for storage of these type of items. Their yard areas are clean, organized and controlled for ease of access.
1.9.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5		Yes. Any broken pallets are discarded, facility does not furnish pallets.
1.9.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3		Yes.
1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5		Yes. Trash container are maintained with liners and lids, dumpster is covered on transport.
1.9.20	Are all water lines protected against back siphonage?	Total Compliance	5	5		Yes.

Food Safety File Requirements

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
2.1.1	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3		Yes. Written procedures for handling regulatory inspections noted in GMP manual.	
2.1.2	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. Complete documented glass policy with management procedures and a glass register on file and reviewed.	

2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	Total Compliance	5	5	Yes.
2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	Total Compliance	5	5	Yes. SOPs and complete GMP manual available to staff at all times.
2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	Total Compliance	10	10	Yes. Please note, this facility is a contracted cooling/cold storage and shipping facility and has not part of product production or sales. On file is a documented program on how they handle their customers products and maintain the complete and necessary data for tracking and trace back for all items in custodial care. This information is available at all times.
2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	Total Compliance	15	15	Yes. Facility has a documented program stating their responsibilities with all necessary listings and persons responsible.
2.2.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	Total Compliance	10	10	Yes. They performed a test to a request from one of their customers for a documented history of product they received and shipped. The information on 3 orders of Choy shipped under one label to different locations, produced by one grower. 52 cartons shipped and no inventory in storage. To retrieve all information requested, 8 minutes total.
2.2.4	Is there a written procedure for handling on hold or rejected products?	Total Compliance	10	10	Yes.
2.3.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Total Compliance	5	5	Yes. MSDS files available and reviewed. Complete file fully accessible to staff.
2.3.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	Total Compliance	5	5	Yes.
2.3.3	Is there a chemical inventory and/ or usage log?	Total Compliance	3	3	Yes. Limited use of chemicals, mainly chlorine tablets for

2.3.4	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	hydro-vac cooling systems. Minor use of chemicals for cleaning and sanitation. Inventory on file and available. Yes. Hydro-vac system used, specific SOPs on file and reviewed.
2.4.1	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	Total Compliance	15	15	Yes. Documented pest control program contracted to Western Pest Control/Exterminators, with all necessary documentation and licenses on file and up to date.
2.4.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	Total Compliance	10	10	Yes.
2.4.3	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Total Compliance	10	10	Yes. Both use of checks cards and a bar code scanning system for recording finding.
2.5.1	Where the auditee sells product to the customers is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective actions?	N/A	0	0	N/A, score not affected, auditee does not sell product to customers.
2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5	Yes. Primus annual GMP audit on file and reviewed.
2.5.3	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. Records of hydro-vac temperature, concentration levels of wash on file and reviewed.
2.5.4	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes.
2.5.5	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?	Total Compliance	10	10	Yes. Monthly self-inspections performed with records maintained and reviewed.
2.5.6			7	10	

	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product?	Minor Deficiency			Records of calibration demonstrate the accuracy of equipment used.	Minor issue of file missing calibration for thermometers, ORP units calibration on file.
2.5.7	Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc?	Total Compliance	5	5		Yes. Periodic inspections and meeting held by managing staff on all food safety operations and systems. Records maintains and available for review.
2.5.8	Where the auditee buys product or packaging, does the facility have incoming goods (products, ingredients and packing materials) inspection data?	N/A	0	0		N/A, score not affected, auditee does not buy product or packing supplies.
2.5.9	Where the auditee buys product or packaging, does the facility have relevant supplier third party audit certifications, third party audit reports and/or supplier letters of guarantee for products and packaging items?	N/A	0	0		N/A, score not affected, please refer to 2.5.8.
2.5.10	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	N/A	0	0		N/A, score not affected, product arrives field packed on flat bed trucks.
2.6.1	Does the facility have a preventative maintenance program and schedule?	Total Compliance	10	10		Yes. Preventative maintenance/repairs are performed by the Head Maintenance Department of Western Pre-Cooling Systems and not the operational facility staff. Records of all maintenance and repairs are on file at the central office and available on request.
2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10		Yes. When necessary, a work order is written for the request of maintenance or repair. This documents work done and sign off by supervisor, plus over-all work performed at facility is also available from central office and the maintenance department in charge.
2.6.3	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.
2.6.4	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10		Yes.

2.6.5	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Total Compliance	5	5	Yes. Main cleaning and sanitation is performed by outside crew. The daily/weekly check off log is used a check off on the cleaning performed prior to operation start up. In house staff will do general sweeping and clean up during operation, which is also checked on the pre-operational log.
2.6.6	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	Total Compliance	5	5	Yes. Drains are monitored, cleaned and documented on the logs available.
2.6.7	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	Total Compliance	10	10	Yes. Cooling systems under the management and service of Western Pre-Cooling Systems. Records available at central office through the Maintenance Department.
2.7.1	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	Total Compliance	5	5	Yes.
2.7.2	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes.
2.7.3	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	Total Compliance	5	5	Yes. All employees are trained in sanitation, food safety, food security and chemical use.
2.7.4	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3	Yes.
2.8.1	Are there records of routine equipment microbiological testing?	Total Compliance	5	5	Yes. Monthly microbial testing of hydro-vac tubes performed, record/results on file and reviewed.
2.8.2	Are there records of routine environmental microbiological testing?	Total Compliance	5	5	Yes. Quarterly environmental testing performed with records/results on file and reviewed.
2.8.3	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes. Annual water test performed February 2009, results on file and reviewed.
2.8.4	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	N/A	0	0	N/A, score not affected, facility does not use ice or do they re-pack ice packed items they receive.
2.9.1	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes.

2.9.2	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5		Yes. Complete inspection log for pre-loading shipping trucks for sanitation and temperature check and settings on file and reviewed.
2.9.3	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10		Yes. Please refer to 2.9.2.

Food Security

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
3.1.1	Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?	Total Compliance	5	5		Yes. Facility and storage completely fenced with controlled traffic pattern.	
3.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	Total Compliance	10	10		Yes. Locks, alarms, automatic gates and cameras.	
3.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure i.e. within the secure compound?	Total Compliance	5	5		Yes.	
3.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	Total Compliance	5	5		Yes. Limited use of chemicals, chlorine pellets for hydro-vac cooling systems and general sanitation/cleaning materials. No processing chemicals or treatments.	
3.1.5	Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound?	N/A	0	0		N/A, score not affected, facility does not store or supply packing materials.	
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)?	Total Compliance	5	5		Yes.	
3.2.2	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes.	
3.2.3	Are employees issued non-reproducible identification badges?	Total Compliance	5	5		Yes. Employees issues identification badges and safety vests.	
3.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility	Total Compliance	5	5		Yes. Visitors must wear high visibility vest label "VISITOR" at all times.	

	visitor apparel, etc?				
3.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	Total Compliance	5	5	Yes.
3.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	N/A	0	0	N/A, score not affected, product arrives on flat bed trucks.
3.3.2	Does the company make use of sealed and/or locked trailers on outbound loads?	Total Compliance	3	3	Yes.
NEW 3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio?	Total Compliance	3	3	Yes.
3.4.1	Are potable and non-potable water supply clearly identified?	N/A	0	0	N/A, score not affected, city water in use, all potable.
3.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	Total Compliance	3	3	Yes.
3.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	Total Compliance	3	3	Yes.
3.5.1	Does the company have documented food security policies based on the risks associated with the operation?	Total Compliance	10	10	Yes. Food security policy on file and reviewed.
NEW 3.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Total Compliance	3	3	Yes.
3.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	Total Compliance	10	10	Yes. Food security issues are addressed routinely during regular training and tail-gate meetings which are documented.
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?	Total Compliance	3	3	Yes.
3.5.5	Is there an implemented and documented system to protect the security of food safety	Minor Deficiency	2	3	Documentation that is viewed as important to the food safety should be stored Written or documented program not available at facility for the program which

	documentation and computer systems (including a back-up system for computer food safety data)?				securely e.g. testing results, traceability records etc.. Computer data should be secure and backed up.	is in place. A security system and program is in place at central office, verbal discussion Mr. Thompson.
3.5.6	Is there a chemical inventory and/or usage log?	Total Compliance	3	3		Yes.

Miscellaneous Survey Questions




Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
4.1.1	Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)?	Yes	0	0		Yes. Facility does not employ minors, minimum age is 18 years.	
4.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	N/A	0	0		N/A, refer to 4.1.1.	
4.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	N/A	0	0		N/A, refer to 4.1.1.	
4.2.1	There are no allergen risks handled or stored on site?	Yes	0	0		Yes. Allergenic risks not handled or stored on site.	
4.2.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	N/A	0	0		N/A, refer to 4.2.1.	
4.2.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	N/A	0	0		N/A, refer to 4.2.1.	
4.2.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	N/A	0	0		N/A, refer to 4.2.1.	
4.2.5	Does re-work handling take into account the issue associated with allergen containing products?	N/A	0	0		N/A, refer to 4.2.1.	
4.2.6	Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records?	N/A	0	0		N/A, refer to 4.2.1.	
4.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0		N/A, refer to 4.2.1.	

New Questions (Not part of overall Food Safety percentage)

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
5.1.1	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	Total Compliance	5	5		Yes. Documented procedures for clean in place activities of Hydro-vac tubes on file.	
5.1.2	Is there an annual certificate of inspection for	Total	3	3		Yes. Annual inspection	

	the backflow prevention systems on water lines into and within the facility?	Compliance			performed by City Of Oxnard, certificated on file at central office for facilities and available on request.
5.1.3	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	N/A	0	0	N/A, score not affected, no handling of fresh field packed product, gloves not required.
5.1.4	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Total Compliance	5	5	Yes.
5.1.5	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Total Compliance	3	3	Yes.
5.1.6	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.
5.1.7	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	Total Compliance	5	5	Yes. First aid kits supplied with waterproof detectable blue bandages.
5.1.8	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?	N/A	0	0	N/A, score not affected, facility does not maintain a waste water treatment system.
5.1.9	Are all records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry?	Total Compliance	3	3	Yes. No evidence of "correction fluid" observed on records or any data information sheets reviewed.

Audit Scoring Summary

	Good Manufacturing Practices	Score	550
		Possible Points	555
		Percent Score	99%
	Food Safety File Requirements	Score	286
		Possible Points	289
		Percent Score	99%
	Miscellaneous Survey Questions	Score	0
		Possible Points	0
		Percent Score	0%

	Total	Score	836
		Possible Points	844
		Percent Score	99%

Food Security Scoring Summary			
	Food Security	Score	93
		Possible Points	94
		Percent Score	99%
	Total	Score	93
		Possible Points	94
		Percent Score	99%

New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage)			
	New Questions (Not part of overall Food Safety percentage)	Score	27
		Possible Points	27
		Percent Score	100%
	Total	Score	27
		Possible Points	27
		Percent Score	100%

Score System For Entire Audit
Percentage/Category
95–100 Superior
90–94 Excellent
85–89 Good
80–84 Standard
<80 Unsatisfactory

Point System For Individual Questions				
Question Points	Total Compliance	Minor Deficiency	Major Deficiency	Non Compliance
15 Point Question	15 points	10 points	5 points	0 points
10 Point Question	10 points	7 points	3 points	0 points
5 Point Question	5 points	3 points	1 point	0 points
3 Point Question	3 points	2 points	1 point	0 points

Compliance Categories	
Full Compliance:	To meet the question and/or compliance criteria in full.
Minor Deficiency:	To have minor deficiencies against the question and/or compliance criteria. To have single or isolated non–severe deficiencies (usually up to three) against the question and/or compliance criteria.

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