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Operation: Cooling/Cold Storage CB Registration No. PLc-PGFS-1590-1 PrimusGFS
Final Report (Certified) PrimusGFS ID #63518 – Cert:4 Version 2.1
 Audit Report Summary Audited by PrimusLabs

Organization:	Hinton Farms Produce Inc. Contact(s): George Coleman, Audra Maxwell Address: 1839 N Dover Rd 33527 Location: Dover, Florida, United States Phone: (813) 659-2160
Cooling/Cold Storage:	Hinton Farms Produce Inc. Contact: Audra Maxwell Location: 1839 N Dover Rd 33527 Dover, Florida, United States
Shipper:	Westlake Produce Company, Florida Elite Produce, Inc., California Giant, Inc., Hinton Farms Produce Inc.
Operation Type:	Cooling/Cold Storage This cold storage facility located on 1839 N Dover Road, Dover, FL. is a dry cooling operation. Apart from pre cool tunnels and two rooms there is no other cooling equipment. The facility is operates approximately 7-8 months out of the year and has less than 10 employees with less than 5 employees during the slower months of the year. Eric Valenzuela and Brian Deese, of California Giant (a sales and marketer for the organization) were present during the audit. Peter Germishuizen, shadowed the audit as a potential third party training experience. Facility tour took place followed by the farm PGFS GAP audits. Documentation review took place in the Hinton Farms office for the rest of the afternoon. Low volume of product observed in storage. Strawberries were a local product, all other products (listed on application) had been received from other facilities.
Audit Scope:	
Date Audit Started:	12/18/2014 08:30
Date Audit Finished:	12/18/2014 17:00
Product(s) Observed During Audit:	Strawberries, Squash, Blueberries, Peppers, Zucchini (Courgette)
Similar Product(s) Not Observed:	Bell Peppers, Cucumber English, Eggplant / Aubergine
Product(s) Applied for but Not Observed:	None Specified
Auditor:	Tina Price (PrimusLabs)
Audit Percentage Score:	96%
Score after acceptance of corrective actions:	99% Click here to see Corrective Action Activity
GPS Coordinates:	Latitude: 27° 58' 11" Longitude: 82° 13' 8"
Certificate Link:	View Certificate

Audit Scoring Summary	Pre-Corrective Action Review	Post-Corrective Action Review
Food Safety Management System Requirements	Score: 192 Possible Points: 204 Percent Score: 94%	Score: 204 Possible Points: 204 Percent Score: 100%
Good Manufacturing Practices Requirements	Score: 961 Possible Points: 988 Percent Score: 97%	Score: 976 Possible Points: 988 Percent Score: 98%
HACCP System Requirements	Score: 60 Possible Points: 60 Percent Score: 100%	Score: 60 Possible Points: 60 Percent Score: 100%
Total:	Score: 1213 Possible Points: 1252 Percent Score: 96%	Score: 1240 Possible Points: 1252 Percent Score: 99%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances (NC's without completed CA's)
Food Safety Management System Requirements	4	0
Good Manufacturing Practices Requirements	6	2
HACCP System Requirements	0	0
Total:	10	2

Sections:

Food Safety Management System Requirements

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

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[Operational Practices](#)
[Employee Practices](#)
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[Equipment Cleaning](#)
[General Cleaning](#)
[Buildings and Grounds](#)
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HACCP System Requirements

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FSMS – Management System

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.01.01	Is there a Food Safety Manual or other documented food safety management system covering the scope of business included in this audit and procedures/instructions for all food safety processes?	Total Compliance	5	5	Yes. Food Safety Management Systems Manual which included policies and procedures as required by the PGFS V 2.1 Module 1 FSMS. Supporting documentation e.g., blank logs, policies, and procedures are held by the organization and also maintained in manuals at the farm.	
1.01.02	Is there a documented food safety policy detailing the company's commitment to food safety?	Total Compliance	5	5	Yes, there was a signed and dated food safety policy detailing the company's commitment to food safety. The statement was located in a visible location at the employee's break area posting board. The policy outlined the dynamics of the organization and the scope of business.	
1.01.03	Is there an organizational chart of all employees who have food safety related activities?	Total Compliance	3	3	Yes, for Hinton Farms Produce, Inc. This is a company with less than 10 full time year round workers.	
1.01.04	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Minor Deficiency	3	5	There is a team however the team members were not literally listed. There are monthly meetings. Food safety, safety, and food defense topics are raised and recorded in the meetings.	
1.01.05	Is there documented management verification of the entire food safety management system at least every 12 months?	Total Compliance	5	5	Yes, team listed as well as the monthly manager food safety meetings. Food safety topics are raised and recorded in the meetings.	
1.01.06	Is there a documented analysis detailing resources required to implement and improve the food safety management system processes with documented commitment from management to provide these resources?	Total Compliance	5	5	Yes. The titled document: Food Safety Resource Analysis, 12/10/2014 outlined resources required to implement and improve food safety. Examples included continuing education to meet food safety and state requirements (continuing hours for maintaining pesticide certification). Analysis form in place to show the resources required. Examples include HACCP training, infrastructure, service providers, and testing- microbial analysis at the farm and at the facility.	

FSMS – Control of Documents and Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.02.01	Is there a written document control procedure describing how documents will be maintained, updated and replaced?	Total Compliance	3	3	Yes. This procedure was outlined in the titled document: Document Control Procedure.	
1.02.02	Are all records stored for a minimum period of 12 months or for at least the shelf life of product if greater than a year?	Total Compliance	5	5	Yes. This element was outlined in the titled document: The Document Control Procedure which stated that the minimum time requirement for the storage of records is one year.	
1.02.03	Are food safety related documents and records stored and handled in a secured manner?	Minor Deficiency	2	3	The Document Control Procedure stated the requirements for storage and record maintenance however auditor noted a pencil text entry at the farm level on fertilizer logging reports.	
1.02.04	Are the records maintained in an organized and retrievable manner?	Total Compliance	3	3	Yes. This element was outlined in the titled document: Document Control Procedure.	

FSMS – Procedures and Corrective Actions

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.03.01	Are there documented instructions for the creation of Standard Operating Procedures?	Total Compliance	5	5	Yes. This element was outlined in the titled document: SOP Creation Procedure, 11/13/2014.	
1.03.02	Are the written procedures available to relevant users and is a master copy maintained in a central file?	Total Compliance	5	5	Yes. SOPs, blank logs, policies, and procedures are held by the organization and also maintained in manuals at the farm for the appropriate employees to review and use.	
1.03.03	Is there a corrective action procedure that describes the requirements for handling deficiencies affecting food safety and prevention of future occurrences?	Total Compliance	5	5	Yes. This element was outlined in the titled document: Corrective Action Procedure, 12/1/2014.	
1.03.04	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Total Compliance	5	5	Yes.	

FSMS – Internal and external inspections

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.04.01	Is there documented program for internal audits to be performed at the operations, covering all processes impacting food safety and the related documents and records?	Total Compliance	3	3	Yes. This element was outlined in the titled document: Internal Audit SOP, Doc HFP-125, revised 10/12/2014. The program detailed the frequency (quarterly minimum) responsible employee(s), and checklists to use. The auditee is subject to their sales and marketer's internal audits.	
1.04.02	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3	Yes. There was a procedure for handling regulatory inspections. Auditor did not record the name or the title information of this document however did note that the procedure listed all of the PrimusGFS scheme's minimum requirements.	
1.04.03	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5	Yes. Auditee is subject to PGFS re-certification audits. A 2013 PrimusGFS certification audit report, certificate, and corrective actions available for review.	
1.04.04	Are there documented calibration procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	Major Deficiency	3	10	The procedure was outlined in an SOP with an accompanying form (Form CAL-001). The frequency showed the pulp thermometers to be calibrated bi-annually. Bi-annually is too infrequent.	

FSMS – Rejection and release of product

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.05.01	Is there a written procedure for handling on hold or rejected products?	Total Compliance	5	5	Yes. This procedure was outlined in the document title: Material On Hold Rejected SOP. Doc HFP-108, 11/05/2014	
1.05.02	Are there records of the handling of on hold or rejected products kept on file?	N/A	0	0	N/A. Verbally told there have not been any on hold or rejected items either products returned back or held in storage.	
1.05.03	Is there a documented product release procedure available?	Total Compliance	5	5	Yes. This procedure was outlined in the document title: Loading SOP.	

1.05.04	Are there records of product releases kept on file?	Total Compliance	5	5	Yes, support documentation to 1.05.03 is Pick Tickets and Bill of Ladings (BOLs).
1.05.05	Is there a documented system for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Total Compliance	10	10	Yes. This procedure was outlined in the document title: Buyer Rejection and Customer Complaint Form Rej-200. In the records there were no food safety issues noted only quality issues such as decay. Sales and marketing is done by other entities from the organization.

FSMS – Supplier Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.06.01	Are there current written food safety related specifications for all raw products, ingredients, materials and services purchased?	Total Compliance	5	5	Yes. Specifications were made available for Strawberries, packaging, as well as the organization's shipper's specifications e.g., California Giant Berry Farms.	
1.06.02	Is there a written procedure detailing how suppliers are evaluated, approved and monitored?	Total Compliance	5	5	Yes. This procedure was outlined in the document title: Sam-100, 1/16/2012.	
1.06.03	Is there a list of approved suppliers?	Minor Deficiency	3	5	There was a listing of approved product and service providers however lacking Southern Analytical Laboratories, Inc. the laboratory currently used for the farm's water testing.	
1.06.04	Does the organization have documented evidence to ensure that all products, ingredients or materials and services suppliers comply with the approval requirements and that they are being monitored as defined in the procedure?	Total Compliance	15	15	Yes. Examples of documented evidence included packaging letters of guarantee, audit certificates, and reports (clamshells, corrugated). Also for product in storage there were letters of guarantee and/audit certificates.	
1.06.05	If the organization is outsourcing any processes that may affect food safety, are there control procedures over such processes?	Total Compliance	15	15	Yes. Examples of outsourced activities included the portable toilet service, refrigeration, forklifts, and pest control service.	
1.06.06	If tests and/or analysis within scope to food safety are performed by external laboratories, are they licensed/accredited (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	Total Compliance	5	5	Yes. Southern Analytical Laboratories, Inc. is the laboratory used for the water testing at the farm level. There was proof of valid certification to NELAP Cert E84129, Drinking Water Standards. Certification was issued by Florida Department of Health. Certificate expiry: June 30, 2015. There was current certification (AOAC, A2LA) for Thornton Laboratories who is responsible for environmental testing in the facility.	

FSMS – Traceability and Recall

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.07.01	Is there a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	Total Compliance	10	10	Yes. This procedure was outlined in the titled document: Traceability System SOP BC-117, 10/06/2013.	
1.07.02	Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings and explanation of different recall classes?	Total Compliance	15	15	Yes. This procedure was outlined in the titled document: Traceability System SOP BC-117, 10/06/2013. The traceability system to the customer from the cooler and back to the grower is achieved through Famous software, a tracking and inventory system.	
1.07.03	Is testing of recall procedures (including trace back) performed and documented at least every six months? Can the company identify where affected product was sent?	Total Compliance	10	10	Yes. The drill was last conducted on 11/12/2014. The drill last from 9:15am-10:25am. The drill involved shipping code 6001314, tag # H30193, 69 flats of unlabeled clamshells of strawberries, a class 3 recall. The product was still in the cooler and had not been shipped. Receiving and inventory information was available as well as a overall mock recall summary sheet and "lessons learned."	

FSMS – Food Defense

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
1.08.01	Does the company have a documented food defense policy based on the risks associated with the operation?	Total Compliance	5	5	Yes. This element was outlined in the titled document: Food Defense Plan.	
1.08.02	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Total Compliance	3	3	Yes. Emergency listing detailed company supervisors, 911, Police, Fire, Poison Control, and FDA.	
1.08.03	Are visitors to the company operations required to adhere to food defense policies?	Total Compliance	3	3	Yes. There was an overview of the food defense policies and a Visitor's log at the	

GMP – General GMP

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.16.01	Is there a designated person responsible for the food safety program?	Total Compliance	10	10	Yes. Audra Maxwell heads the food safety program and is the HACCP coordinator. The operation is seasonal and has less than 10 full time employees.	
2.16.02	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Total Compliance	15	15	Yes, all cleaners and sanitizers were located and locked and labeled cabinet outside the cooling facility. Few materials in use.	
2.16.03	Are "food grade" and "non-food grade" chemicals used, handled and stored in a controlled manner?	Total Compliance	10	10	Yes.	
2.16.04	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes, reminder postings made available in key areas of the facility – hand washing station, outside break area, restroom, and entrance to the facility.	
2.16.05	Are the necessary food defense controls implemented in the operation?	Total Compliance	10	10	Yes. Examples included minimized access into the facility areas and grounds. Locked facility doors, designated truck driver area, authorized areas of the facility only where visitors must be escorted by management. Trucks must be locked and seals are used upon customer request.	

GMP – Pest Control

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.17.01	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Products and packaging was found free of pests or any evidence of pests during the time of the audit.	
2.17.02	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Products and packaging was found free of pests or any evidence of pests during the time of the audit.	
2.17.03	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	15	15	Yes. Storage areas were found free of pests or any evidence of pests during the time of the audit.	
2.17.04	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes. Exterior grounds were found free of pests or any evidence of pests during the time of the audit.	
2.17.05	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Steritech is currently used to manage and monitor the traps on a monthly basis while internal trap checking is done under the pre inspection verification activities and logged as such.	
2.17.06	Are pest control devices located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Total Compliance	10	10	Yes.	
2.17.07	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Total Compliance	5	5	Yes, servicing of traps is done all year round by Steritech who is used to manage and monitor the traps. Traps were in clean condition and marked as monitored (punch cards placed inside each device).	
2.17.08	Are interior and exterior building perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes. Traps were placed in correct intervals inside and outside the facility per scoring guidelines. Catch traps are used inside the facility while baited traps were secured to the ground outside the facility.	
2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Yes. Each trap is numbered with a corresponding wall sign (exterior and interior).	
2.17.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes, baited traps were secured to the ground outside the facility.	

GMP – Storage Areas &Packaging Materials

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.18.01	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)?	Total Compliance	15	15	Yes, no issues found during the tour of the audit. See audit scope the facility is limited to forced air and coolers. No wet systems in use.	
2.18.02	Is the storage area completely enclosed?	Total Compliance	10	10	Yes. During the audit, all doors were closed including the box storage room.	
2.18.03	Is the facilities use restricted to the storage of food products?	Total Compliance	5	5	Yes, only vegetables or strawberries observed at the facility. There was a box making room where packaging was stored.	
2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	N/A	0	0	N/A. An area is in place for rejected or on hold materials and product but no on hold items were observed. Tagging system is also in place to identify such items.	
2.18.05	Are raw products, work in progress, ingredients (including ice), finished goods and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. No issues observed during the audit.	
2.18.06	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Total Compliance	10	10	Yes, all areas including the box making building appeared to be under an on going maintenance, housekeeping, and sanitation program.	
2.18.07	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	Total Compliance	5	5	Yes, at incoming, product is coded physically and in the system to achieve the tracking system. Packaging is also coded as it arrives to the facility and is stored so that FIFO can be employed.	
2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Total Compliance	5	5	Yes.	
2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	Total Compliance	10	10	Yes, appropriate for product in the pre cool (forced air) / storage rooms. Box making room is not under refrigerated conditions.	

GMP – Operational Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.19.01	Does the process flow, facility layout, employee control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	Total Compliance	15	15	Yes, this facility employees no more than 10 employees. There are no more than 5 employees during the slow or off season months. No issues noted with traffic control which could threaten product safety. Product is received, sent to the forced air or cooler, and shipped.	
2.19.02	Are all exposed materials (product, packaging etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Total Compliance	15	15	Yes.	
2.19.03	Are packing and/or processing areas completely enclosed?	N/A	0	0	N/A. The facility does not have a packing room.	
2.19.04	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	Total Compliance	15	15	Yes. During the audit, all production areas were evident of a cleaning program in place.	
2.19.05	Is all re-work/re-packaging handled correctly?	N/A	0	0	N/A. No re-work/re-packaging activities handled under the scope of this audit. See 2.19.03.	
2.19.06	Are raw ingredients examined before use?	N/A	0	0	N/A. No re-work/re-packaging activities handled under the scope of this audit. See 2.19.03. For strawberries, the QA program begins at the farm. Product is received, cooled, stored and shipped. Product is not taken out of the cartons for inspection and re-handling.	
2.19.07	Are finished products coded (carton and unit packaging) for the day of production and displaying information to enable proper storage and use of the product within the food supply chain?	Total Compliance	10	10	Yes. Product is pre packaged before arriving to the facility. Pallet tagging system is provided. As mentioned, the facility's scope of audit was the cooler audit.	
2.19.08	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	Total Compliance	10	10	Yes.	
2.19.09	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	N/A	0	0	N/A. No use of these test strips or kits.	
2.19.10	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	Total Compliance	15	15	Yes, apart from the hand washing stations within the restroom there was a visible hand washing station just outside the receiving office.	
2.19.11	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	Total Compliance	15	15	Yes.	
2.19.12	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations	Total Compliance	3	3	Yes. The secondary sanitizers were located next to the hand washing station. The units are	

	maintained properly?				stocked on a documented check program to make sure there is sufficient stocking.
2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	N/A	0	0	N/A. Not in use at this facility.
2.19.14	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Total Compliance	5	5	Yes.
2.19.15	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	Total Compliance	5	5	Yes. Re-usable containers were clearly marked and designated for the specific purpose (trash).
2.19.16	Are food safety measuring devices working properly?	Total Compliance	3	3	Yes, with regard to the temperature monitoring instruments e.g., pulp thermometers, wall thermometers.

GMP – Employee Practices

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.20.01	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15	Yes. At least one employee was observed washing hands. The product volume was low during the timing of the audit.	
2.20.02	Are employees fingernails clean, short and free of nail polish?	Total Compliance	5	5	Yes.	
2.20.03	Is there no sign of any employees with boils,sores, open wounds or exhibiting signs of foodborne illness working in direct and indirect food contact?	Total Compliance	10	10	Yes.	
2.20.04	Are employees wearing effective hair restraints?	Total Compliance	5	5	Yes. Ball caps (issued by the organization) are required in the production/cooler rooms.	
2.20.05	Is jewelry confined to a plain wedding band?	Total Compliance	3	3	Yes.	
2.20.06	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves, non-latex gloves)?	N/A	0	0	N/A. Outer garments are not used. No packing activities included in the scope of this audit.	
2.20.07	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	N/A	0	0	N/A. Outer garments are not used. No packing activities included in the scope of this audit.	
2.20.08	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	N/A	0	0	N/A. Outer garments are not used. No packing activities included in the scope of this audit.	
2.20.09	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5	Yes.	
2.20.10	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10	Yes. Employee break area in place outside the cooler entrance. The area was clean and neat with trash containers and GMP postings nearby.	
2.20.11	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3	Yes.	
2.20.12	Is there a first aid kit(s) readily available in the facility and adequately stocked?	Total Compliance	5	5	Yes. There was a stocked first aid kit with blue bandages, disposable, non latex gloves, and no expired contents. The kit was in an accessible location for the employees.	

GMP – Equipment

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.21.01	Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15	Yes, Food contact (packaging contract) equipment would only include the tarps used in the forced air rooms to cover product as product is cooled. Also, the box making machine. Other than these two machines, very little equipment (forklift, refrigeration) in place.	
2.21.02	Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Minor Deficiency	7	10	Examples of non-food contact equipment surfaces were forklift, refrigeration equipment, walls and doors. Noted a chipped pull down door at pre-cool forced air room 1.	
2.21.03	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	Total Compliance	15	15	Yes.	
2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Total Compliance	5	5	Yes.	
2.21.05	Are all thermometers non-glass and non-mercury?	Total Compliance	10	10	Yes.	

GMP – Equipment Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.22.01	Are food contact equipment surfaces clean?	Total Compliance	15	15	Yes, Food contact (packaging contract) equipment would only include the tarps used in the forced air rooms to cover product as product is cooled. Also, the box making machine. Other than these two machines, very little equipment (forklift, refrigeration) in place.	
2.22.02	Are non-food contact equipment surfaces clean?	Total Compliance	10	10	Yes.	
2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	Total Compliance	10	10	Yes.	
2.22.04	During cleaning are foods and packaging protected from contamination?	Total Compliance	15	15	Yes, no splashing from floor cleaning activities noted.	
2.22.05	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	Total Compliance	5	5	Yes. During the audit these appeared clean and without leak issues.	
2.22.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5	Yes.	
2.22.07	Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	N/A	0	0	N/A. No stored equipment noted.	
2.22.08	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Total Compliance	10	10	Yes.	
2.22.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Total Compliance	3	3	Yes.	
2.22.10	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5	Yes, regarding the box machine and the forklifts.	

GMP – General Cleaning

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.23.01	Are spills cleaned up immediately?	Total Compliance	10	10	Yes, no evidence of any spills inside or outside the facility.	
2.23.02	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5	Yes, evident of an on going cleaning program. No packing in place. Storage rooms did not have any signs of issues with trash build up. The facility appeared to be under a regular cleaning/sanitation program.	
2.23.03	Do floor drains flow in a manner that prevents contamination (e.g. from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and well maintained?	Total Compliance	5	5	Yes. Dry cooler facility where only refrigeration is used for cooling. The area audited was the cooler and box making building.	
2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10	Yes.	
2.23.05	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Total Compliance	5	5	Yes.	
2.23.06	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Total Compliance	3	3	Yes, safety equipment was available and is issued per label requirements.	
2.23.07	Is cleaning equipment available and stored properly?	Total Compliance	5	5	Yes. Cleaning equipment was stored in a locked storage room which was clean.	
2.23.08	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Total Compliance	10	10	Yes. Cleaning equipment was specified to avoid cross contamination issues. The restroom was also clean and separated from the rest of the buildings.	
2.23.09	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5	Yes.	
2.23.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15	Yes. Evident of an on going janitorial program.	
2.23.11	Are employee break facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5	Yes. As mentioned the break area was neat and tidy and evident of an on going janitorial program.	
2.23.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	N/A	0	0	N/A. There is no "shop" on site. Maintenance is contracted out as needed e.g., box maker, forklifts, and refrigeration. Any tools used for light duty projects are stored in tool kits in the office.	
2.23.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	Total Compliance	5	5	Yes. With regard to the forklifts/hand trucks.	
2.23.14	Are shipping trucks clean and in good condition?	Total Compliance	5	5	Yes.	

GMP – Buildings and Grounds

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.24.01	Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded to protect product from contamination in the event of breakage?	Total Compliance	15	15	Yes, all lights observed in and around the facility including the box making building were protected and/or covered.	
2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Total Compliance	15	15	Yes.	
2.24.03	Has the facility eliminated the use of wooden items or surfaces?	Total Compliance	5	5	Yes.	
2.24.04	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5	Yes, lighting was sufficient to verify cleaning activities.	
2.24.05	Is ventilation adequate to control dust, condensation, odors and vapors?	Total Compliance	10	10	Yes.	
2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Minor Deficiency	7	10	Noted slight cracking on flooring of the older cooler room.	
2.24.07	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5	Yes.	
2.24.08	Are doors to the outside pest proof?	Total Compliance	5	5	Yes. Doors were equipped with protection (weather strip) to prevent pest intrusion.	
2.24.09	Are dock doors fitted with buffers to seal against trucks?	Total Compliance	3	3	Yes. The facility is equipped with dock doors fitted with buffers to seal against trucks. The seals were in good shape and are on the continuing maintenance program.	
2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	Total Compliance	3	3	Yes.	
2.24.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	Total Compliance	5	5	Yes.	
2.24.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Minor Deficiency	3	5	The older cooler has walls that are the foam type of insulation which appeared clean during the audit but due to the non –smooth construction may not allow for complete sanitation.	
2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	Total Compliance	5	5	Yes.	
2.24.14	Is an 18" (46cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Total Compliance	5	5	Yes, the 18" internal wall perimeter was respected inside all coolers and the box storing area. When the audit took place the product volume was low.	
2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Total Compliance	5	5	Yes. The facility was free of litter, weeds and standing water.	
2.24.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from building perimeter)?	Total Compliance	5	5	Yes.	
2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5	Yes.	
2.24.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3	Yes.	
2.24.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5	Yes.	
2.24.20	Are all water lines protected against back siphonage?	Non-Compliance	0	5	No. Didn't note fittings on the hose bibs. Please see PGFS Interpretation Guidelines.	
2.24.21	Is the on-site laboratory (where appropriate) completely enclosed and separated from production and storage areas?	N/A	0	0	N/A. The facility does not have an on-site laboratory.	

GMP – Chemical Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.25.01	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Total Compliance	5	5	Yes, filed indexed MSDS book with all MSDSs.	
2.25.02	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	Total Compliance	5	5	Yes. Specimen labels available for the cleaning products used.	
2.25.03	Is there a chemical inventory and/or usage log?	Total Compliance	3	3	Yes. The operation is under a monthly chemical inventory system.	
2.25.04	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	N/A	0	0	N/A. See audit scope, dry storage facility with no wash water systems.	

GMP – Pest Control Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.26.01	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	Total Compliance	15	15	Yes. Steritech is currently used as the hired pest control service. Three is currently monthly service of the traps. All other information was available e.g., insurance, licenses.	
2.26.02	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	Total Compliance	10	10	Yes.	
2.26.03	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Total Compliance	10	10	Yes. Steritech's records showed accountability was recorded for each of the interior and exterior traps each time there is a service. As for internal traps which are checked under the pre inspection activities, these are recorded daily.	

GMP – Operation Monitoring Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.27.01	Does the facility have incoming goods (raw products, ingredients and packing materials) inspection data?	Total Compliance	5	5	Yes. System in place to ensure product is formally received and entered into the inventory control system. Product is checked for product product ID, amount, variety, grower.	
2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Non-Compliance	0	10	Strawberry product arrives directly from the field in field trucks but for the other products arriving from other facilities and where enclosed trucks are used, there were no inspection logs. See PGFS Interpretation Guidelines.	
2.27.03	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	N/A	0	0	N/A. No monitoring activities as listed for this question –pH, water temperature, metal detection, labeling, heating processes.	
2.27.04	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	N/A	0	0	N/A. No product washing takes place.	
2.27.05	Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations? Are there stock check and replenishment records for gel and spray stations?	Total Compliance	3	3	Yes. Using a hand gel station. Checks are done to ensure there is sanitizer stocking occurring (pre operation log task).	
2.27.06	Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	N/A	0	0	N/A. No tools are used.	
2.27.07	Is there a daily pre-operation inspection log?	Total Compliance	5	5	Yes, a daily inspection/ logs available to show when the tasks were completed and by whom they were completed.	
2.27.08	Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?	Total Compliance	10	10	Yes. The assessment was dated 11/12/2014. The risk assessment did not show any potential risks which could affect the facility.	
2.27.09	Is there a current certificate of inspection for backflow prevention assemblies on water lines into the facility?	Total Compliance	3	3	Yes. The facility is on a well. There was a plumber's inspection report (November 2014, Wayne Conyers plumbing) to show the system "passed" the test.	
2.27.10	Is there documented evidence of the internal audits performed to the audited operations, detailing findings and corrective actions?	Total Compliance	10	10	Yes. GMP audit reports and where needed corrective actions were available to support the plan as outlined in 1.04.01.	

GMP – Maintenance & Sanitation Files

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.28.01	Does the facility have a preventative maintenance program and a documented schedule?	Total Compliance	10	10	Yes. Daily, weekly, quarterly, and annual PM program in place.	
2.28.02	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10	Yes, various invoices and logs to reflect the activities within the PM have been carried out.	
2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	N/A	0	0	N/A. No equipment other than the cooling equipment.	
2.28.04	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Total Compliance	10	10	Yes, for example daily, weekly, monthly cleaning schedule in place.	
2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10	Yes, SSOPs have been developed for the various areas and equipment. Noted Simple Green as one of the cleaning products.	
2.28.06			5	5		

	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Total Compliance			Yes, logs in place which showed that activities and accountability matched the schedule.
2.28.07	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, ice makers, etc.)?	N/A	0	0	N/A. Not applicable for this type of facility not using CIP.
2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	N/A	0	0	N/A. Per scoring guidelines this question is applicable for facilities with food contact surfaces.
2.28.09	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	Major Deficiency	1	5	The large drain on the far east side of the cooler (dry) wasn't reflected on the cleaning schedule. Told that the drain is cleaned out at least once per year.
2.28.10	Are there records showing cooling units are serviced and cleaned at least every 12 months or more frequently as required?	Total Compliance	10	10	Yes. Contracted service (Summer's Air) is used for the cleaning and servicing of the refrigeration units. A recent visit for repair was done on 12/12/14.
2.28.11	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	Total Compliance	5	5	Yes. Glass policy glass breakage SOP in place. External lights (outside the facility at the shipping doors and no threat to product in the event of a breakage) was included on the glass register.

GMP – Employee Documentation

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.29.01	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?	Total Compliance	10	10	Yes. All new hires will undergo a formal training program with sign off of acknowledgement. A copy of the training overview was available.	
2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10	Yes. Apart from the new hires training program there are refresher trainings through the season on a quarterly basis. The facility is not in operation 12 months of out the year but averages 8 months. The last training was dated 12/15/14 and included food defense, hygiene, safety, and allergen awareness (no allergens).	
2.29.03	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	Total Compliance	5	5	Yes. Training was last done on 10/6/14 to include the SSOPs and label instructions.	
2.29.04	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records).	Total Compliance	3	3	Yes, the employee handbook outlined written procedures that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses.	
2.29.05	Are there written sickness reporting and return to work procedures?	Total Compliance	3	3	Yes, sickness reporting and return to work procedures were outlined in the employee handbook.	
2.29.06	Is there an employee non-compliance/disciplinary action procedure? (verbal confirmation accepted).	Total Compliance	3	3	Yes.	
2.29.07	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene and health policies?	Total Compliance	3	3	Yes. All visitors are required to check in at the front office upon arrival, read and acknowledge the safety, food defense, and GMP rules by signing. A badge is issued and the visitor is escorted with Hinton Farms Produce management.	

GMP – Testing/Analyses Records

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.30.01	Are there records of routine equipment microbiological testing?	N/A	0	0	N/A. Testing is not done. There is no equipment e.g., hydrocoolers. This is a dry storage facility. Testing is not mandated per PGFS Interpretation Guidelines v 2.1 Applicability Chart. See next question.	
2.30.02	Are there records of routine environmental microbiological testing?	Total Compliance	5	5	Yes. Although testing is not mandated per PGFS Interpretation Guidelines v 2.1 Applicability Chart, facility is carrying out testing within the facility once per year. Target organisms are E. coli, Salmonella, Listeria monocytogenes, Aerobic Plate Count, and Total Coliform. Analyses is done by Thornton Laboratories See 1.06.06. Testing records showed that specifications have been met. NOTE: auditor is not deducting points for this	

2.30.03	Are there routine microbiological tests on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	question since testing is not required, however the frequency is too low. Yes. The well is tested to ensure the water is potable (microbial Drinking Water Standards). December 8, 2014 was the last test available.
2.30.04	Are there routine microbiological tests on ice used in the facility (either produced in-house or purchased)?	N/A	0	0	N/A. Ice is not used at the facility.

GMP – Temperature Controlled Storage & Distribution Logs

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
2.31.01	Are there records of final product temperature checks for temperature sensitive product?	Total Compliance	10	10	Yes, pulp temperature readings are recorded on the pre load shipping log.	
2.31.02	Are there temperature logs for the packing room (if refrigerated)?	N/A	0	0	N/A. No packing room included.	
2.31.03	Are there temperature logs for storage rooms?	Total Compliance	5	5	Yes. Temperature checks are done daily and recorded as such.	
2.31.04	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5	Yes. Trailers are to be cooled within 34–36 degree F range.	
2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes. Carriers are checked prior to loading and logged as such.	

GMP – Allergen Control

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

HACCP – Preliminary steps

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.01.01	Is there a team responsible for the HACCP program at the operation, with a leader assigned and if applicable, for the development, implementation and on-going maintenance of the HACCP system?	Total Compliance	10	10	Yes. There is a named team for the HACCP team members. The team leader is Audra Maxwell. This facility does not operated 12 months and has no more than 10 employees during the peak season.	
3.01.02	Is there documented evidence that the HACCP team members have been trained on HACCP principles?	Total Compliance	10	10	Yes. Audra Maxwell had proof of a training (Cert ID online, https://campus.cert-id.com/) certificate accredited by the International HACCP Alliance, issued date: 12/15/14. Training for the team members took place on 12/15/14.	
3.01.03	Does a product description exist for the products produced?	Total Compliance	10	10	Yes. A product description was available for the products listed on the application– Strawberries, Bell Peppers, Squash, Blueberries, Peppers, Zucchini (Courgette), Cucumber, English, Eggplant / Aubergin.	
3.01.04	Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps and has the flow chart(s) been verified?	Total Compliance	15	15	Yes. A flow chart showed the steps from product /pre-packed product receipt, storage, and shipping. All products are received, cooled, stored, and shipped (box in, box out). Packing does not take place.	

HACCP – Development of the HACCP Plan

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.02.01	Has a documented hazard analysis for the process been conducted, showing the various types of hazard, their Likelihood of occurrence and their associated severity? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Auditee has received formal HACCP training and performed 5 preliminary steps to HACCP. A flow chart showed the steps from receipt, storage, and shipping with the chemical, physical, and biological hazards and severity/likelihood at each step. Preventative measures were included to show how any potential hazards can be controlled. The outcome of the HA showed that potential chemical, physical, and biological hazards are controlled which are through prerequisite programs (GMPS).	
3.02.02	Have all CCPs been identified? If answer is YES, continue with next question. If answer is NO, the rest of "Module 3 HACCP" is not applicable. If the auditor detects that one or more CCP's have been omitted, then the auditor should score down under 3.02.01. If the auditor thinks that CCP's have been added that should be omitted then the auditor should note the issue under 3.02.03.	No	0	0	No CCPs identified as a result of the hazard analysis. The rest of the module is not applicable.	
3.02.03	Have CCP decisions been made with documented justification and where CCPs are noted have they been developed to control the hazards identified in the hazard analysis step?	N/A	0	0		
3.02.04	Have CCP critical control limits been established with the support of relevant sources of information or by validation documentation?	N/A	0	0		
3.02.05	Have monitoring requirements and frequencies been determined for the CCPs?	N/A	0	0		
3.02.06	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	N/A	0	0		
3.02.07	Have standard operating procedures (SOPs) been created for the monitoring process of the CCPs, which would include how to carry out the monitoring activities?.	N/A	0	0		
3.02.08	Have Corrective Action procedures for the CCPs been established, including a detailed action plan for operators to follow if the limits are not met and plans to adjust the process back into control?	N/A	0	0		
3.02.09	Have recording templates (recording forms) been developed for monitoring the CCPs?	N/A	0	0		
3.02.10	Have verification plans and schedules been developed for each CCP?	N/A	0	0		
3.02.11	Are changes in the process, equipment, ingredients etc., causing timely reviews of HACCP systems, including hazard analysis, CCP decisions, CCP records and staff training?	N/A	0	0		
3.02.12	Is there evidence recorded for HACCP training to all plant employees, including training for CCP operators?	N/A	0	0		

HACCP – Execution of the HACCP plan on the Plant Floor

Question No.	Question Name	Given Answer	Given Score	Possible Score	Auditor Comments	Files
3.03.01	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	N/A	0	0		
3.03.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	N/A	0	0		
3.03.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs? (Interview operators to verify).	N/A	0	0		
3.03.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	N/A	0	0		
3.03.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	N/A	0	0		
3.03.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	N/A	0	0		
3.03.07	Is any other CCP verification performed (apart from daily record verification) according to the HACCP Plan?	N/A	0	0		