



Company Name: Woods Produce Co., Inc. dba. Quality House Produce
 Company Number: 9024
 Audit Number: 23920

SQFI Audit Report

I. Company Information					
Company Name	Woods Produce Co., Inc. dba. Quality House Produce			Company #	9024
Address 1	131 Cherry Creek Road				
Address 2	Click here to enter text.				
City	Meadows of Dan	State	VA	Zip Code	24120
Country	United States	Phone #	1-276-952-2978		
SQF Practitioner	Doug Turner	Email	infowoodspro@swva.net		
Food Sector Categories	4. Fresh Produce Packhouse Operations; 25. Fresh Produce Wholesaling and Distribution; 26. Food Wholesaling and Distribution				
Modules Audited	Module 2 (Level 2); Module 10; Module 12				
Certified Products	Fresh fruits and Vegetables; dried products; eggs;				



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II. Certification Body					
Certifying Body	WQS LLC			CB #	641159
Address 1	7301 Carmel Executive Park Suite 304				
Address 2	Click here to enter text.				
City	Charlotte	State	NC	Zip Code	28226
Country	United States	Phone #	980-218-9151		
Accreditation Body	ANSI	Accreditation Number	1226		

III. Audit Schedule			
Certification Type	Unannounced Audit	Level	Level 2
Start Date	5/9/2017	End Date	5/10/2017
Scope of Certification	Packhouse Operations, Storage and Distribution of Fresh Fruits and Vegetables.		



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IV. Audit Team			
First Name	Last Name	Person #	Role
Eardley	Barrett	1	Lead Auditor

Add Team Member

V. Audit Duration			
Actual Start Date	5/9/2017	Actual End Date	5/10/2017
Hours Spent at Facility	Twelve	Hours Spent Writing Report	Twelve

VI. Certification Decision			
Certificate Decision Date	6/29/2017	Certificate Issue Date	6/29/2017
Audit Score	93	Audit Rating	Good
Certification #	9024		
Re-certification Date	5/2/2018	Expiration Date	7/16/2018
Surveillance Audit Due Date	NA	Certification Decision	Certified

Calculate Dates

VII. Non-Conformities			
Element	Description	Primary Response	Evidence
2.5.7.2	2.5.7.2 Internal Audits (M)	Minor	There was no evidence of training for the other members of the team that was involved in the conducting of the internal audit.
2.8.2.2	2.8.2.2 Allergen Management	Minor	Eggs and Coconuts that were observed in the coolers were not identified with allergen signs as were Peanuts and peanut related products and the vending machine.
10.2.5.2	10.2.5.2 Lighting and Light Fittings	Minor	Loading dock lamps were fitted with glass bulbs that were not coated or shatter proof.
10.2.11.2	10.2.11.2 Management of Pests and Vermin	Minor	At the time of audit, 2 observations were made of bird nesting were observed on the exterior of the loading dock areas
10.2.13.1	10.2.13.1 Cleaning and Sanitation	Minor	The effectiveness of the cleaning of food contact surfaces – table tops used at the facility could not be verified.
10.3.3.1	10.3.3.1 Clothing	Minor	At the time of audit, it was observed that some personal effects were stored with produce.
10.5.3.1	10.5.3.1 Water Delivery	Minor	No back flow testing was presented for the audit.

VIII. Root Cause Analysis (To be completed by supplier)			
Element	Description	Primary Response	Root Cause
2.5.7.2	2.5.7.2 Internal Audits (M)	Minor	Practitioner failed to document internal auditor training to Brad Wood and Travis Hylton
2.8.2.2	2.8.2.2 Allergen Management	Minor	Practitioner failed to post signage identifying Eggs and Tree Nuts as Allergens. Practitioner was unaware that Egg signs had been removed during cleaning and not replaced. Practitioner was unaware that coconuts were classified as an Allergen
10.2.5.2	10.2.5.2 Lighting and Light Fittings	Minor	Practitioner was unaware that shatterproof dock lights were being used. Senior Management had purchased new lights to replace burnt out lights as needed. Dock lights are on the glass register and were checked quarterly for signs of breakage but Practitioner did not notice the lights were not coated
10.2.11.2	10.2.11.2 Management of Pests and Vermin	Minor	Wood`s Produce Company purchased cleaner and sanitizer from Ecolab. The Ecolab Rep assured the Practitioner that the chemicals were effective and would satisfy all SQF requirements. Practitioner failed to verify that this information was correct and that no further action was needed.

10.2.13.1	10.2.13.1 Cleaning and Sanitation	Minor	Wood's Produce Company purchased cleaner and sanitizer from Ecolab. The Ecolab Rep assured the Practitioner that the chemicals were effective and would satisfy all SQF requirements. Practitioner failed to verify that this information was correct and that no further action was needed.
10.3.3.1	10.3.3.1 Clothing	Minor	Staff had left their coats or sweatshirts on rack outside of coolers. They would take these off while they are working outside of coolers and put them back on when they went back in. Coat racks are provided in the breakroom but due to the distance it makes it inconvenient. Staff has been retrained on personal items in warehouse.
10.5.3.1	10.5.3.1 Water Delivery	Minor	In previous years Nelson Stanley (Certified Plumber) would visit yearly to test our back flow device. The month or so previous to the audit Mr Stanley visited our location for personal business not to test the back flow device. The Practitioner noticed Mr. Stanley on site and assumed he was here for that purpose. The Practitioner failed to verify that the back flow had been tested.

IX. Corrective Actions					
Clause	Primary Response	Corrective Action (Supplier)	Verification of Closeout (Certification Body)	Required Completion Date	Close Out (CB)
2.5.7.2	Minor	Formal Internal Audit training was provided to Travis Hylton and Brad Wood on May 18 2017.	Client provided evidence of training.	6/9/2017	6/14/2017
2.8.2.2	Minor	Allergen signs were installed in the areas of the coolers where Eggs and Tree Nuts are stored	Allergen warning signs were posted	6/9/2017	6/14/2017
10.2.5.2	Minor	High Impact LED dock lights are now installed in all dock lights	Loading dock lamps were replaced with LED lights.	6/9/2017	6/14/2017
10.2.11.2	Minor	19 gauge steel hardware cloth (wire mesh) was installed on the areas where nesting occurred to prevent recurring issues	Mesh was installed to prevent nesting	6/9/2017	6/14/2017
10.2.13.1	Minor	Wood's Produce Company has purchased a kit that measures protein residue left behind after cleaning. This kit will arrive next week and will include procedures of operation	ATP test kit was purchased to monitor cleaning effectiveness	6/9/2017	6/14/2017
10.3.3.1	Minor	Staff was provided refresher training on the importance of not having personal items in the food storage areas. Coat racks are being installed in an area away from food storage areas.	Workers were re-trained not having personal items in warehouse	6/9/2017	6/14/2017
10.5.3.1	Minor	On May 22 2017, Nelson Stanley tested our backflow device. The device was found to be in good working order and no issues were found	Backflow test was confirmed.	6/9/2017	6/14/2017



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Populate Stats From Sections

(Requires Enabled Macros)

Audit Statement		
Header	Item	Evidence
Opening Meeting	People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by comas)	Doug Turner – SQF Practitioner, Marcus Wood – Office Manager, Jonathan Wood – Vice President.
Closing Meeting	People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by comas)	Mark Wood – President, Doug Turner – SQF Practitioner, Jonathon Wood – Vice President.
Facility Description	Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details)	Woods Produce Company, dba Quality House Produce is a family operated business located in Meadows of Dan, Virginia. The company operates as a storage and distribution facility for a range of fruits and vegetables, dry goods, canned products and eggs. The company does business from a 38,000 sq. ft. facility with 9 coolers under climate control - monitored remotely for temperature deviations. Operating hours were between 06:00 to 20:00 hours for 6 days per week. There 33 workers including truck operators. The company maintained a fleet of trucks used for making deliveries to 5 States. Produce was sourced from companies that were under a third party certification program. The company made significant investments in an inventory software which has the capability for tracking produce through the supply chain.
Auditor Recommendation	Auditor Recommendation	Facility is recommended for re-certification following closure of the N/C. Management demonstrated their commitment towards food safety by making the required resources available to implement a sustainable food safety program.



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2.1.1 Management Policy			
Element	Description	Primary Response	Evidence
2.1.1.1 Management Policy (M)	Senior management shall prepare and implement a policy statement that outlines as a minimum: the organization's commitment to supply safe food; the methods used to comply with its customer and regulatory requirements and continually improve its food safety management system; the organization's commitment to establish and review food safety and quality objectives.	Compliant	Click here to enter text.
2.1.1.2 Management Policy (M)	The policy statement shall be: signed by senior management; made available in language understood by all staff; and displayed in a prominent position and effectively communicated to all staff	Compliant	Click here to enter text.
2.1.1 Management Policy Summary			
Policy statement was posted on the main notice board and the break area of the facility. Policy statement was signed off by Mark Wood President. Created in Doc # 006, Section #1 of the Policy Manual Titled Policy Statement.			

2.1.2 Management Responsibility			
Element	Description	Primary Response	Evidence
2.1.2.1 Management Responsibility (M)	The organizational reporting structure describing those who have responsibility for food safety and quality and their interrelationship shall be defined and communicated within the organization.	Compliant	Click here to enter text.
2.1.2.2 Management Responsibility (M)	The senior management shall make provision to ensure fundamental food safety and quality and quality practices are adopted and maintained.	Compliant	Click here to enter text.
2.1.2.3 Management Responsibility (M)	The senior management shall ensure adequate resources are available to achieve food safety and quality and quality objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System.	Compliant	Click here to enter text.
2.1.2.4 Management Responsibility (M)	The senior management shall designate an SQF practitioner for each site with responsibility and authority to oversee the development, implementation, review and maintenance of the SQF System, including food safety fundamentals outlined in 2.4.2, and the food safety plan outlined in 2.4.3, to take appropriate action to ensure the integrity of the SQF System, communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.	Compliant	Click here to enter text.

2.1.2 Management Responsibility			
Element	Description	Primary Response	Evidence
2.1.2.5 Management Responsibility (M)	The SQF practitioner shall be employed by the supplier as a company employee on a full-time basis, hold a position of responsibility in relation to the management of the supplier's SQF System, have completed a HACCP-based training course and be competent to implement and maintain HACCP-based food safety and quality plans, have an understanding of the SQF Code level 3 and the requirements to implement and maintain SQF Systems relevant to the supplier scope of certification.	Compliant	Click here to enter text.
2.1.2.6 Management Responsibility (M)	The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting products, legality, and safety shall be defined and documented.	Compliant	Click here to enter text.
2.1.2.7 Management Responsibility (M)	All staff shall be informed of their responsibility to report food safety and quality and quality problems to personnel with authority to initiate action.	Compliant	Click here to enter text.

2.1.2 Management Responsibility			
Element	Description	Primary Response	Evidence
2.1.2.8 Management Responsibility (M)	Job descriptions for those responsible for food safety and quality and quality shall be documented and include provision to cover for the absence of key personnel.	Compliant	Click here to enter text.
2.1.2.9 Management Responsibility (M)	The senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.	Compliant	Click here to enter text.
2.1.2 Management Responsibility Summary			
<p>The company was headed by Mark Wood – President, Jonathon Wood Vice President and SQF Practitioner Douglas Turner. Job descriptions seen for the President, Vice President, Practitioner, Grader and Inspector, Floor Shipping and Palletizer. Job descriptions were last updated on 3-14-16 and signed off by the SQF Practitioner. The SQF Practitioner was HACCP certified. The company has plans to meet the FSMA requirements through the training of the Practitioner with backups from Travis Hilton and Jonathon Woods. Workers interviewed in the repacking area and loading who expressed their knowledge of the food safety program and their roles. The workers received annual refresher training in food safety from the Practitioner.</p>			

2.1.3 Food Safety Management System			
Element	Description	Primary Response	Evidence
2.1.3.1 Food Safety Management System (M)	A food safety and quality manual shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the organization will use to meet the requirements of this standard, be made available to staff and include a summary of the organization's food safety and quality policies and the methods it will apply to meet the requirements of this standard, include the policy statement and organization chart, and the scope of the certification, and include a list of the products covered under the scope of certification.	Compliant	Click here to enter text.
2.1.3.2 Food Safety Management System (M)	A food safety manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, pre-requisite programs, food safety plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System.	Compliant	Click here to enter text.
2.1.3 Food Safety Management System Summary			
<p>The food safety manual was maintained by Douglas Turner and was kept in the main office. The manual consisted of the 3 modules Manual 2 comprised of a Table of Content which outlined the topics of the manual. Sections 0.1 – Table of Content; 0.2 Control Distribution List; .3 Amendment Record; .4 Co Background; ; .5 Org Chart; 1.0 Policy Statement; 1.1 Cert Details; 1.2 – Scope of Cert; 1.3 – Product Listed ; 2.0- Quality System Requirement; 2.1 Commitment; 2,2 Doc Ctrl & Records; 2.3 Specification ; 2.4 Attaining Food Safety; 2.5 Verification; 2.5 – Product ID & Recall; 2.7 – Site Security; 2.8 Allergen Mgt; ; 2.0 – Training.</p>			

2.1.4 Management Review			
Element	Description	Primary Response	Evidence
2.1.4.1 Management Review (M)	The senior management shall be responsible for reviewing the SQF System and documenting the review procedure. Reviews shall include the policy manual, internal and external audit findings, corrective actions and their investigations and resolution, customer complaints and their resolution and investigation.	Compliant	Click here to enter text.
2.1.4.2 Management Review (M)	The SQF System in its entirety shall be reviewed at least annually.	Compliant	Click here to enter text.
2.1.4.3 Management Review (M)	Food safety and quality fundamentals and food safety and quality plans shall be reviewed when any changes implemented have an impact on the supplier's ability to deliver safe food.	Compliant	Click here to enter text.

2.1.4 Management Review			
Element	Description	Primary Response	Evidence
2.1.4.4 Management Review (M)	Changes to food safety fundamentals and/or food safety/quality plans that have an impact on the supplier's ability to deliver safe food are to be validated.	Compliant	Click here to enter text.
2.1.4.5 Management Review (M)	Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.	Compliant	Click here to enter text.
2.1.4 Management Review Summary			
<p>Completed on March 6, 2017 by Mark Wood and Doug Turner. The review covered the HACCP plan, Policy Manual, Internal Audits, External Audits, Customer Complaints; Corrective Actions; Executive Summary. The company introduced a new warehouse management software for managing inventory and traceability – Sage Pro. The company also, introduced a new system of monitoring the coolers – electronically. The client confirmed that there were no major change to the documents used. No change on the HACCP plan.</p>			

2.1.5 Complaint Management			
Element	Description	Primary Response	Evidence
2.1.5.1 Complaint Management	The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.	Compliant	Click here to enter text.
2.1.5.2 Complaint Management	Trends of customer complaint data shall be investigated and analyzed by personnel knowledgeable about the incidents.	Compliant	Click here to enter text.
2.1.5.3 Complaint Management	Corrective action shall be implemented commensurate with the seriousness of the incident and as outlined under 2.5.5.	Compliant	Click here to enter text.

2.1.5 Complaint Management

Element	Description	Primary Response	Evidence
2.1.5.4 Complaint Management	Records of customer complaints and their investigations shall be maintained.	Compliant	Click here to enter text.

2.1.5 Complaint Management Summary

The inventory management software was used for recording complaints. Complaints were listed by customer, week days, reasons or credit code and by person at the facility responsible for handling the product leaving the facility. Complaints were documented as: Unreasonably Picky Customer, Poor Quality, Customer Ordering Error, and Picker Error. Complaints were logged and tracked by weeks. Record seen for 2016 from Wk. 1-52, translated into a monetary value for resolving the complaints. Complaints were reviewed by the Practitioner and discussed as part of the management review process. Trend reports were populated by different variables: cost, employee, customer and product.

2.1.6 Business Continuity Planning			
Element	Description	Primary Response	Evidence
2.1.6.1 Business Continuity Planning	A business continuity plan based on the understanding of known threats to a business shall be prepared by senior management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe, quality food.	Compliant	Click here to enter text.
2.1.6.2 Business Continuity Planning	The business continuity plan shall include as a minimum a senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident; the nomination and training of a crisis management team; controls implemented to ensure a response to a crisis does not compromise product safety; measures to isolate and identify product affected by a response to a crisis; the measures taken to verify the acceptability of food prior to release; the preparation and maintenance of a current crisis alert contact list; sources of legal and expert advice; the responsibility for internal communications and communicating with authorities, external organizations and media.	Compliant	Click here to enter text.

2.1.6 Business Continuity Planning

Element	Description	Primary Response	Evidence
2.1.6.3 Business Continuity Planning	The business continuity plan shall be reviewed, tested and verified at least annually.	Compliant	Click here to enter text.
2.1.6.4 Business Continuity Planning	Records of reviews and verification of the business continuity plan shall be maintained.	Compliant	Click here to enter text.

2.1.6 Business Continuity Planning Summary

The business continuity plan was documented on SOP Doc # QA-025, revised on 3-16-13. The Practitioner was responsible for the management of the plan. Other team members comprised of Mark Wood, President, Jonathan Wood – VP, Marcus Wood and Doug Turner; Consultant – Darryle – Guarino – Consultant and Legal – James Shortt. The plan was tested on 3-6-17 – scenario was outage of the hard line telephone system. The failure of the system has resulted in an online ordering system been considered for implementation. Customers and vendors would be contacted by mobile phones and electronic emails. A mass email system would be activated to alert customers and vendors of the problem. Customers and vendor’s emails and phone numbers were verified to be accurate and required no further action Management confirmed that the business continuity plan was effective and meets the required criteria. Resulting from the scenario, management plans to trial online purchasing in 2017.

2.2.1 Document Control			
Element	Description	Primary Response	Evidence
2.2.1.1 Document Control (M)	The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented.	Compliant	Click here to enter text.
2.2.1.2 Document Control (M)	A register of current SQF System documents and amendments to documents shall be maintained.	Compliant	Click here to enter text.
2.2.1.3 Document Control (M)	Documents shall be safely stored and readily accessible.	Compliant	Click here to enter text.
2.2.1 Document Control Summary			
<p>Documents were stored securely in the food safety manual to prevent loss and against fire and theft, tampering and damage. A document register was maintained that identifies the issue in used and the revisions. Records were maintained for 2 years. Senior management – Jonathan and Mark Wood has access to all electronic records. Other users were by their levels. A detailed register was maintained by the Practitioner– last revised on 3-6-17.</p>			

2.2.2 Records			
Element	Description	Primary Response	Evidence
2.2.2.1 Records (M)	The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.	Compliant	Click here to enter text.
2.2.2.2 Records (M)	All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.	Compliant	Click here to enter text.
2.2.2.3 Records (M)	Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.	Compliant	Click here to enter text.
2.2.2 Records Summary			
<p>The supplier has implemented its policy for verifying and retaining records in the document called Doc # QA-012. The supplier has documented procedures for recording production and quality monitoring as well as the proper correcting and initialing of errors. These are based on customer, company and regulatory requirements. Records were observed to be readily accessible, legibly filled out, securely stored to prevent damage and have documented retention times. Records are retained for two years, and then in secure storage in Practitioners Office and electronically. Records were backed up on servers and on computers of site and on the software service provider.</p>			

2.3.1 Specification and Product Development			
Element	Description	Primary Response	Evidence
2.3.1.1 Specification and Product Development	The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.	N/A	Products were not manufactured at the facility.
2.3.1.2 Specification and Product Development	Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.	N/A	Products were not manufactured at the facility.
2.3.1.3 Specification and Product Development	Shelf life trials where necessary shall be conducted to establish and validate a product's handling, storage requirements, including the establishment of "use by" or "best before" dates, microbiological criteria, consumer preparation, storage and handling requirements.	N/A	Shelf life testing was not required.

2.3.1 Specification and Product Development			
Element	Description	Primary Response	Evidence
2.3.1.4 Specification and Product Development	A food safety plan and food quality plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process, or packaging occurs that may impact food safety or quality.	Compliant	Click here to enter text.
2.3.1.5 Specification and Product Development	Records of all product design, process development, shelf life trials and approvals shall be maintained.	N/A	Products were not manufactured at the facility.
2.3.1 Specification and Product Development Summary			
<p>Covered in SOPDoc#QA-013. Specifications covered raw materials, packaging service providers. Produce was purchased based on USDA standards. Poly bags packaging was sourced from Universal Plastics – a 3rd party certified supplier – ISO9001:2008 certificate; LOG confirming that the poly bags complied with FDA Regulations 21CFR 175.320, 21 CFR177.10. Vendors were required to provide LOG. The product specification list was verified on 3-6-17 by Mark Wood and Doug Turner.</p> <p>N/A: Shelf life testing was not required. N/A: Products were not manufactured at the facility. N/A: Products were not manufactured at the facility.</p>			

2.3.2 Raw and Packaging Materials			
Element	Description	Primary Response	Evidence
2.3.2.1 Raw and Packaging Materials	Specifications for all raw and packaging materials, including, but not limited to ingredients, additives, hazardous chemicals and processing aids that impact on finished product safety and quality shall be documented and kept current.	Compliant	Click here to enter text.
2.3.2.2 Raw and Packaging Materials	All raw and packaging materials and ingredients shall comply with the relevant legislation.	Compliant	Click here to enter text.
2.3.2.3 Raw and Packaging Materials	The methods and responsibility for developing and approving detailed raw material, ingredient, and packaging specifications shall be documented.	Compliant	Click here to enter text.
2.3.2.4 Raw and Packaging Materials	Raw and packaging materials and ingredients shall be validated to ensure product safety and quality is not compromised and the material is fit for its intended purpose. Validation of raw materials and ingredients shall include certificate of conformance; or certificate of analysis; or sampling and testing.	Compliant	Click here to enter text.

2.3.2 Raw and Packaging Materials			
Element	Description	Primary Response	Evidence
2.3.2.5 Raw and Packaging Materials	Validation of packaging materials shall include certification that all packaging that comes into direct contact with food meets either regulatory acceptance or approval criteria. Documentation shall either be in the form of a declaration of continued guarantee of compliance, a certificate of conformance, or a certificate from the applicable regulatory agency. Absence of a certificate of conformance, certificate of analysis, or letter of guarantee, tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents shall be conducted and records maintained.	Compliant	Click here to enter text.
2.3.2.6 Raw and Packaging Materials	Product labels shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.	Compliant	Click here to enter text.
2.3.2.7 Raw and Packaging Materials	A register of raw and packaging material specifications and labels shall be maintained and kept current.	Compliant	Click here to enter text.
2.3.2 Raw and Packaging Materials Summary			
Covered in SOPDoc#QA-013. Specifications covered raw materials, packaging service providers. Produce was purchased based on USDA standards. Poly bags packaging was sourced from Universal Plastics – a 3 rd party certified supplier – ISO9001:2008 certificate; LOG confirming that the poly bags complied with FDA Regulations 21CFR 175.320, 21 CFR177.10. Vendors were required to provide LOG. The product specification list was verified on 3-6-17 by Mark Wood and Doug Turner. Third party audit was on file for packaging supplier of polybags used for the re-packing of some produce – seen for Universal Plastics – 3rd party certificate valid to 12-6-17. Suppliers included produce, packaging, pest control. Records of certificates seen for Crown Orchards Company LP – 7-12-16; Wonderful Citrus – GLOBALG.A.P – 1-7-17.			



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2.3.3 Contract Service Providers			
Element	Description	Primary Response	Evidence
2.3.3.1 Contract Service Providers	Specifications for contract services that have an impact on finished product safety and quality shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract personnel.	Compliant	Click here to enter text.
2.3.3.2 Contract Service Providers	A register of all contract service specifications shall be maintained.	Compliant	Click here to enter text.
2.3.3 Contract Service Providers Summary			
Contract service providers includes: pest control, refrigeration, servicing of equipment; Homes Refrigeration; Diebel Labs for Environmental testing, Blue Ridge for water testing.			

2.3.4 Contract Manufacturers			
Element	Description	Primary Response	Evidence
2.3.4.1 Contract Manufacturers	The methods and responsibility for ensuring all agreements relating food safety and quality, customer's product requirements and its realization and delivery are specified and agreed shall be documented and implemented.	N/A	The supplier does not use contract manufacturers.
2.3.4.2 Contract Manufacturers	The supplier shall: <ul style="list-style-type: none"> i. Verify compliance with the SQF Code and that all customer requirements are being met at all times. Products and/or processes of co-manufactures that are considered high risk shall be required to undergo an audit by the supplier or other third party agency to confirm compliance to the SQF code and agreed arrangements; and ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel 	N/A	The supplier does not use contract manufacturers.
2.3.4.3 Contract Manufacturers	Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.	N/A	The supplier does not use contract manufacturers.
2.3.4 Contract Manufacturers Summary			
N/A: The supplier does not use contract manufacturers. N/A: The supplier does not use contract manufacturers. N/A: The supplier does not use contract manufacturers.			

2.3.5 Finished Product			
Element	Description	Primary Response	Evidence
2.3.5.1 Finished Product	Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and may include microbiological and chemical limits, labeling and packaging requirements, and product quality attributes.	Compliant	Click here to enter text.
2.3.5.2 Finished Product	A register of finished product specifications shall be maintained.	Compliant	Click here to enter text.
2.3.5 Finished Product Summary			
<p>USDA Standards and 3rd party certificates were used for the specifications for fruits and vegetable products. Other manufactured products were covered with LOG from the suppliers. On file were GLOBALG.A.P certificates from Wonderful Citrus, USDA certificates Grade A</p>			

2.4.1 Food Legislation			
Element	Description	Primary Response	Evidence
2.4.1.1 Food Legislation (M)	The organization shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, trade weights and measures, packaging, product description, nutritional, allergen and additive labeling, and to relevant established Industry codes of practice.	Compliant	Click here to enter text.
2.4.1.2 Food Legislation (M)	The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented.	Compliant	Click here to enter text.
2.4.1.3 Food Legislation (M)	SQFI and the certification body shall be notified in writing within 24 hours upon identification of a food safety event that requires public notification (e.g. receipt of a regulatory warning letter).	Compliant	Click here to enter text.
2.4.1 Food Legislation Summary			
<p>The supplier has ensured that product delivered to their customers complies with regulatory requirements. Regulatory compliance for this operation includes FDA # 4436 as the last 4 digits, expiry date of 12-31-18. USDA certificates was on file. The company attended PMA meetings; a member of the Blue Book and Red Book; a member South East Produce Conference;</p>			

2.4.2 Food Safety Fundamentals			
Element	Description	Primary Response	Evidence
2.4.2.1 Food Safety Fundamentals (M)	The property, buildings and equipment shall be located, constructed, designed and maintained to facilitate the hygienic production, manufacture, handling, storage and/or delivery of safe food.	Compliant	Click here to enter text.
2.4.2.2 Food Safety Fundamentals (M)	The supplier shall ensure the food safety fundamentals described in the relevant subsequent modules of this Code (i.e. modules 3 – 15) are applied or exempted according to a detailed risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety and quality are not compromised.	Compliant	Click here to enter text.
2.4.2.3 Food Safety Fundamentals (M)	Those pre-requisite programs applicable to the scope of certification that outline the means by which food safety is controlled and assured shall be documented and implemented.	Compliant	Click here to enter text.

2.4.2 Food Safety Fundamentals			
Element	Description	Primary Response	Evidence
2.4.2.4 Food Safety Fundamentals (M)	The effectiveness of the pre-requisite programs shall be verified as described in 2.5.4.	Compliant	Click here to enter text.
2.4.2 Food Safety Fundamentals Summary			
<p>Covered in the Doc-QA041 and detailed coverage of Allergen management in the facility –covered in allergen SOP, calibration program – program outlined proper training and schedule of calibration, supported by records, document control, customer complaints – monthly reports, food security plan – ensuring threat incoming products are not adulterated and in compliance with FDA Bioterrorism Act of 2001 preventive measures. It contained documentation, form and SOPs for compliance with HACCP, Hold and Release Program Internal Audit Program;, Pest Control Program, Management Responsibility - covered in the mission Statement, Preventative Maintenance Program; Recall Program – Mock Recall; Safety Program, Sanitation Program , Shipping ns Receiving, Specifications, Supplier Control, Traceability ad Product Identification, Supplier Control Training Program; Waste Management</p>			

2.4.3 Food Safety Plan			
Element	Description	Primary Response	Evidence
2.4.3.1 Food Safety Plan (M)	<p>A food safety plan shall be developed, effectively implemented, and maintained and outline the means by which the organization controls and assures food safety. The food safety plan shall:</p> <ul style="list-style-type: none"> i. Be prepared in accordance with the steps identified in the Codex Alimentarius Commission or NACMCF HACCP guidelines. Primary producers and feed manufacturers may utilize a HACCP-based reference food safety plan developed by a responsible authority. ii. Cover a product or product group and the associated processes. iii. Describe the methodology and results of a hazard analysis conducted to identify food safety hazards associated with all inputs and process steps including rework. Animal feed and pet food safety plans must include hazards associated with animal safety as well as the safety of consumers of animal products. iv. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety. v. Include process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make corrections to keep a process under control; and vi. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organization's scope of certification. 	Compliant	Click here to enter text.
2.4.3 Food Safety Plan Summary			
<p>Covered in Doc#QA-014. And covered HACCP. The HACCP program was last revised on 3-6-17 by Doug Turner. No CCP was identified. The HACCP plan covered Product Description, HACCP Team, Flow Diagram, Risk Analysis, Supportive Reference Documentation and Annual Verification.</p>			

2.4.5 Incoming Goods and Services			
Element	Description	Primary Response	Evidence
2.4.5.1 Incoming Goods and Services	Raw materials, ingredients, packaging materials and services that impact on finished product safety shall be supplied by an approved supplier.	Compliant	Click here to enter text.
2.4.5.2 Incoming Goods and Services	The receipt of raw materials, ingredients, and packaging materials received from non-approved supplier shall be acceptable in an emergency situation provided they are inspected or analyzed before use.	Compliant	Click here to enter text.
2.4.5.3 Incoming Goods and Services	The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented.	Compliant	Click here to enter text.

2.4.5 Incoming Goods and Services			
Element	Description	Primary Response	Evidence
2.4.5.4 Incoming Goods and Services	The approved supplier program shall be based on the prior performance of a supplier and the risk level of the raw materials ingredients, packaging materials, and services supplied, and shall contain as a minimum agreed specifications, reference to the rating of the level of risk applied to a raw material's ingredients, packaging materials and services and the approved supplier, a summary of the food safety and quality controls implemented by the approved supplier, methods for granting approved supplier status, methods and frequency of monitoring approved suppliers, details of the certificates of conformance if required, methods and frequency of reviewing approved supplier performance and status.	Compliant	Click here to enter text.
2.4.5.5 Incoming Goods and Services	A register of approved supplier and records of inspections and audits of approved suppliers shall be maintained.	Compliant	Click here to enter text.
2.4.5 Incoming Goods and Services Summary			
<p>The warehouse personnel were responsible for inspection all incoming products. Products are rotated on a FIFO basis – trucks were checked for temperatures, conditions. The BOL was used as the. Stamps were used for confirming the condition of the incoming trucks. BOL seen for 5-8-17 from Lancaster Foods for mixed consignment of F & Veg on invoice # 02066841 including Watermelons, Strawberries, Blackberries, Cantaloupes, Apples that were consigned to Woods Produce. The load was approved. BOL stamped as distressed product – 200 cases of Russet Potatoes from RPE on invoice # 00387465 dated 5-9-17. BOL # 256796 from L & M was identified as distressed load of Onions – truck arrived with 1100 cases of Onions covered with a tarpaulin. Product was placed into quarantine at the facility – off loaded with protection; wet ones below.</p>			

2.4.6 Non-conforming Product or Equipment			
Element	Description	Primary Response	Evidence
2.4.6.1 Non-conforming Product or Equipment	The responsibility and methods outlining how non-conforming product, raw material, ingredient, work-in-progress, packaging or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure: Non-conforming product is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and Non-conforming equipment is effectively repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; All relevant staff is aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status. For producers, the procedure must document the grower, field name, quantity and final disposition of the unacceptable materials when applicable.	Compliant	Click here to enter text.
2.4.6.2 Non-conforming Product or Equipment	Quarantine records, and records of the handling, corrective action, or disposal of non-conforming product or equipment shall be maintained.	Compliant	Click here to enter text.
2.4.6 Non-conforming Product or Equipment Summary			
Covered in SOP Doc# QA -014 Nonconforming Product. Products were obtained from approved supplier. Products not meeting specifications are isolated and segregated in the facility. Product could either be treated as Scrap, rework into the specs, salvaged, donated, accept with or without repair by the customer or returned to the supplier. Records of handling and disposal was maintained. Example: 5-8-17 for 2 pallets of 80 and 2 pallets of 90 counts Russet Potatoes for quality issues.			

2.4.7 Product Rework			
Element	Description	Primary Response	Evidence
2.4.7.1 Product Rework	<p>The responsibility and methods outlining how the product is reworked (recycled or recouped) shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Reworking operations are supervised by qualified personnel; ii. Reworked product is clearly identified and traceable; iii. Each batch of reworked product is inspected or analyzed as required before release; iv. Inspections and analyses shall conform to the requirements for verification outlined in element 2.5.6; and v. Release of reworked product shall conform to element 2.4.8. 	Compliant	Click here to enter text.
2.4.7.2 Product Rework	Records of all reworking operations shall be maintained.	Compliant	Click here to enter text.
2.4.7 Product Rework Summary			
<p>Covered in Doc #QA-014. Re-worked activities are supervised and is clearly identified with lot #, date and other identifications for traceability. A Return of Product Form was utilized to identify product returned to the facility – entered and monitored electronically. Example on 4-30-17 a consignment of Onions lot # 9724-2 with 38 bag was reworked into 28.75 bags, rest was dumped; on 4-28-17 a consignment of Navel Oranges lot # 9769-4 of 5.5 cases was re-worked to 5.25 cases; on 4-26-17 a consignment of Fancy Yellow Squash with Lot # 9836-5 starting total of 61 x 0.5 Bu, finished good was 10 x 0.5Bu.</p>			

2.4.8 Product Release			
Element	Description	Primary Response	Evidence
2.4.8.1 Product Release (M)	The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released by authorized personnel, once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met.	Compliant	Click here to enter text.
2.4.8.2 Product Release (M)	Records of all product release shall be maintained.	Compliant	Click here to enter text.
2.4.8 Product Release Summary			
<p>Each product was released for sale after loading into the produce software inventory. Each item was assigned a lot number bearing the generic PO# and the line item number. Individual items were applied with a sticker for the product identity. The BOL served as the document for the release of the product to the customer.</p>			

2.4.9 Stock Rotation			
Element	Description	Primary Response	Evidence
2.4.9.1 Stock Rotation	The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented.	Compliant	Click here to enter text.
2.4.9.2 Stock Rotation	Procedures are in place to ensure that all ingredients, materials, work-in-progress, and finished product are utilized within their designated shelf-life.	Compliant	Click here to enter text.
2.4.9 Stock Rotation Summary			
Covered as part of Doc#QA-014, bullet # 2.4.9 Products were rotated on a FIFO basis using the inventory management software for managing the products in stock.			

2.5.1 Responsibility Frequency and Methods			
Element	Description	Primary Response	Evidence
2.5.1.1 Responsibility Frequency and Methods	Validation and verification activities shall be conducted.	Compliant	Click here to enter text.
2.5.1.2 Responsibility Frequency and Methods	The frequency and methods used to validate and verify food safety and quality fundamentals, critical limits, and other food safety and quality controls identified in food safety and quality plans shall be documented and implemented and meet their intended purpose.	Compliant	Click here to enter text.
2.5.1.3 Responsibility Frequency and Methods	Records of all verification activities shall be maintained.	Compliant	Click here to enter text.
2.5.1 Responsibility Frequency and Methods Summary			
<p>Covered in SOP Doc # QA015. The practitioner was responsible for verifying food safety controls identified in the Pre-requisite Programs and Food Safety Plans in order to achieve their intended purpose. Verification included validation activities of monitoring, product sampling, inspection and analysis, internal audit. Calibration instruments used were temperature probes, scales, - done through 3rd party – VA Dept. of Ag – Weight & Measures and the Carlton Group.</p>			

2.5.2 Validation and Effectiveness			
Element	Description	Primary Response	Evidence
2.5.2.1 Validation and Effectiveness (M)	The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs, and validating critical food safety limits to ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that pre-requisite programs are confirmed to ensure they achieve the required result, critical limits are selected to achieve the designated level of control of the identified food safety hazard(s), all critical limits and control measures individually or in combination effectively provide the level of control required, changes to the processes or procedures are assessed to ensure controls are still effective, and critical food safety limits are re-validated at least annually.	Compliant	Click here to enter text.
2.5.2.2 Validation and Effectiveness (M)	Records of all validation activities shall be maintained.	Compliant	Click here to enter text.
2.5.2.1 Validation and Effectiveness Summary			
<p>HACCP was validated annually by the HACCP team – last validated on 3-6-17; Sanitation Program - done after change of product, start of operation – verify that all tasks are as per Master Cleaning Schedule was completed; documented in the pre-ops check and as reviewed daily, validated by the Environmental program; GMPs – frequency was on a daily/monthly basis, checks and verify that floor employees are in compliance to GMP programs verified through daily walk through, validated through monthly internal audits, 3rd party audits, Environmental program – done quarterly on randomly selected non-food contact surfaces, tested by a 3rd party lab for Salmonella and Listeria, documentation seen environmental records and daily pre-ops records, verification included review of micro results and from lab, monthly GMP audits, Sanitation, validation – done through swabs and validation of the program. Other verification activities covered pest Control, Glass Program, Monitoring of Water Food Quality Plan , Business Continuity, Calibration, Pre-requisite program, preventative maintenance, training</p>			



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2.5.3 Verification Schedule			
Element	Description	Primary Response	Evidence
2.5.3.1 Verification Schedule	A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.	Compliant	Click here to enter text.
2.5.3 Verification Schedule Summary			
HACCP – done quarterly, Sanitation – after change of product and before the start of the operation; GMPs daily /monthly; Internal Audit – Daily/Monthly; Environmental Program – annually, Pest Control – done weekly.			

2.5.4 Verification of Monitoring Activities			
Element	Description	Primary Response	Evidence
2.5.4.1 Verification of Monitoring Activities (M)	The methods, responsibility and criteria for verifying the effectiveness of monitoring pre-requisite programs, critical control points, critical quality points and other food safety and quality controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each record verified.	Compliant	Click here to enter text.
2.5.4.2 Verification of Monitoring Activities (M)	Records of the verification of monitoring activities shall be maintained.	Compliant	Click here to enter text.
2.5.4 Verification of Monitoring Activities Summary			
<p>The company has defined its process for verifying the effectiveness of monitoring pre-requisite programs and critical control points. Records for monitoring of Environmental – completed by Diebel Labs for 5-5-17 and 5-5-16 for microbiological testing of Listeria and Salmonella were reviewed and found to be properly verified, by the responsible person, the SQF Practitioner, who verifies each record and maintains the records of these activities. Allergen testing for contact surfaces were verified using a specific allergen detection test kit.</p>			

2.5.5 Corrective and Preventative Action			
Element	Description	Primary Response	Evidence
2.5.5.1 Corrective and Preventative Action (M)	The responsibility and methods outlining how corrections and corrective actions are investigated, resolved, managed and controlled, including the identification of the root cause and resolution of non-compliance of critical food safety and quality limits, and deviations from food safety and quality requirements, shall be documented and implemented.	Compliant	Click here to enter text.
2.5.5.2 Corrective and Preventative Action (M)	Records of all investigation and resolution of corrections and corrective action shall be maintained.	Compliant	Click here to enter text.
2.5.5 Corrective and Preventative Action Summary			
<p>This was covered in SOP Doc# QA-015 bullet 2.5.5 Corrective and Preventive Action as part of the supplier's Corrective and Preventative Action program. It describes the methods and responsibilities for investigating, resolving and managing corrective actions. The identification of root causes and resolutions to deviations of critical control limits are documented. Records of investigations and corrective actions were reviewed during the audit for 4-13-16 Wheel on pallet jack was loose and pallet tipped with produce causing product to get to the floor. These were found to have proper reviews, investigations, corrective and preventative actions and resolutions documented.</p>			

2.5.6 Product Sampling, Inspection and Analysis			
Element	Description	Primary Response	Evidence
2.5.6.1 Product Sampling, Inspection and Analysis	<p>The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress, and for analyzing and assessing product quality and sensory attributes shall be documented and implemented. The methods applied shall ensure: Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements; Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements, are true to label and comply with weights and measure requirements after shelf life trials are completed; and All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard. Sensory analysis and evaluations are completed after shelf life trials, as appropriate, and at intervals designed to demonstrate the products sensory characteristics are consistently being achieved; Sensory evaluations comply with the relevant product sensory attributes specified by the customer; and Sensory evaluations are conducted by trained personnel in accordance with established methods or as specified by the customer.</p>	Compliant	Click here to enter text.

2.5.6 Product Sampling, Inspection and Analysis			
Element	Description	Primary Response	Evidence
2.5.6.2 Product Sampling, Inspection and Analysis	Records of all inspections and analyses shall be maintained.	Compliant	Click here to enter text.
2.5.6 Product Sampling, Inspection and Analysis Summary			
<p>Covered in SOP Doc # QA-015: Product Sampling, Inspection and Analysis. Sampling was done annually for Environmental testing, water testing done annually – test results seen for 8-12-16, completed by Blue Ridge Water Testing Inc for E coli and total coliform – results was absent. Products were inspected on arrival at the facility for compliance with USDA product code.</p>			

2.5.7 Internal Audits			
Element	Description	Primary Response	Evidence
2.5.7.1 Internal Audits (M)	The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System including facility and equipment inspections, pre-requisite programs, food safety plans and legislative controls shall be documented and implemented. The methods applied shall ensure an internal audit schedule is prepared detailing the scope and frequency of internal audits, correction and corrective action of deficiencies identified during the internal audits are undertaken; audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; and Records of internal audits and any corrections and corrective action taken as a result of internal audits shall be maintained.	Compliant	Click here to enter text.
2.5.7.2 Internal Audits (M)	Staff conducting internal audits shall be trained in internal audit procedures.	Minor	There was no evidence of training for the other members of the team that was involved in the conducting of the internal audit.
2.5.7.3 Internal Audits (M)	Where possible staff conducting internal audits shall be independent of the function being audited.	Compliant	Click here to enter text.

2.5.7 Internal Audits Summary

Covered in Doc# QA – 015, bullet # 2.5.7 Internal Audits. The Practitioner was responsible for conducting internal audits and verify implantation of the effectiveness of the planned arrangements and stated objectives. The audits were completed as schedule and documented. Only trained and independent employees were responsible – records of training seen for Douglas Turner – competed on 5-17-13, presented by SAI Global. Record seen for 4-17-17 covering GMP, Program Conformance, SQF/HACCP, Production, Product Quality, Building and Grounds – score of 97 % and was completed by Doug, Travis palletizing and driving, Brad palletizing and driving. Minor: There was no evidence of training for the other members of the team that was involved in the conducting of the internal audit.



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2.6.1 Product Identification			
Element	Description	Primary Response	Evidence
2.6.1.1 Product Identification (M)	The methods and responsibility for identifying products during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure raw materials, work in progress and finished product are clearly identified during all stages of receipt, production, storage and dispatch, finished product is labeled to the customer specification and/or regulatory requirements.	Compliant	Click here to enter text.
2.6.1.2 Product Identification (M)	Product identification records shall be maintained.	Compliant	Click here to enter text.
2.6.1 Product Identification Summary			
Covered in Doc # QA-016: bullet point 2.6.1: Product Identification. Products were identified using lot numbers – comprising of part number and date code. The code on the product covered the facility, product name, date received, and PO #.			

2.6.2 Product Trace			
Element	Description	Primary Response	Evidence
2.6.2.1 Product Trace (M)	The responsibility and methods used to trace product shall be documented and implemented to ensure finished product is traceable to the customer (one up) and provides traceability through the process to the supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back),; traceability is maintained where product is reworked; the effectiveness of the product trace system shall be tested at least annually.	Compliant	Click here to enter text.
2.6.2.2 Product Trace (M)	Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.	Compliant	Click here to enter text.
2.6.2 Product Trace Summary			
<p>The product trace SOP was covered in Doc#QA-016. The product trace system contained the product description, identification of the facility and product, the date received and the PO#. The product label contained information that accurately describes the e product in accordance to customer specifications and regulatory requirements. Example: Item # 242, Lot#PO-99181-1; Received Date17127, Received 6173 –(code for person receiving product at Woods) Lettuce, Cello, 24 Ct.</p>			

2.6.3 Product Withdrawal and Recall			
Element	Description	Primary Response	Evidence
2.6.3.1 Product Withdrawal and Recall (M)	<p>The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:</p> <ul style="list-style-type: none"> i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall; ii. Describe the management procedures to be implemented including sources of legal and expert advice; and iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident. iv. SQFI and the certification body shall be listed as an essential body and notified in instances of a food safety incident of a public nature, or product recall for any reason. 	Compliant	Click here to enter text.
2.6.3.2 Product Withdrawal and Recall (M)	<p>Investigation shall be undertaken to determine the root cause of a withdrawal or recall and details of investigations and any action taken shall be documented.</p>	Compliant	Click here to enter text.

2.6.3 Product Withdrawal and Recall			
Element	Description	Primary Response	Evidence
2.6.3.3 Product Withdrawal and Recall (M)	The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually.	Compliant	Click here to enter text.
2.6.3.4 Product Withdrawal and Recall (M)	Records of all product withdrawals, recalls and mock exercises shall be maintained.	Compliant	Click here to enter text.
2.6.3 Product Withdrawal and Recall Summary			
<p>The Withdrawal Policy was documented as Recall Policy & Procedures and covered product recall classifications, initiating the recall process, communication, investigation, records, coordinating the recall, product removal team, product recall procedure. The President was the designated person for the removal of products. The food safety manager was responsible for stop the movements of affected product, provide needed product replacement. The procedure include the notification of customers, the CB, FDA . The company conducts at least one mock recall annually – the last was completed on 1-18-17 by the Practitioner. Scenario foreign material contamination of 216 cases of Strawberries that were shipped from Woods Produce to one customer. Product was tracked in 63 minutes. 130 cases was sold and 86 remained on hand at the customer facility. Product was shipped on invoice #249213 bill to Combs Wholesale Produce Co. Picker was Hylton Scott Lot # was 9109-1 arrived at 1-12-17 from Freedom Freight Logistics. The Strawberries were received from Mexico.</p>			

2.7.1 Food Defense			
Element	Description	Primary Response	Evidence
2.7.1.1 Food Defense (M)	The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained.	Compliant	Click here to enter text.
2.7.1.2 Food Defense (M)	A food defense protocol shall be prepared and include: The name of the senior management person responsible for food defense; The methods implemented to ensure only authorized personnel have access to crops, production equipment and vehicles, manufacturing and storage areas through designated access points; The methods implemented to protect sensitive processing points from intentional adulteration; The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals; The measures implemented to ensure harvested crop and/or finished product is held under secure storage and transportation conditions; and The methods implemented to record and control access to the premises by employees, contractors, and visitors.	Compliant	Click here to enter text.
2.7.1 Food Defense Summary			
<p>Covered in Doc # QA-038 and detailed buildings and Grounds – maintaining entrances and windows locked, 24 hours surveillance security system; ground was landscaped with no high bushes; surrounding was adequately lit; doors with alarms; employees and visitors, workers were required to clock in an out of the facility, raw materials and storage areas - inspection of all incoming materials and packaging, allergen risk management, proper rotation of products; separate storage areas for temperature sensitive products; transportation – covered trailer inspections, use of BOL verification for all inbound/outbound trailers, drivers were required to sign in and out; Training – all personnel were required to complete training in food defense. Food defense committee comprised of Dou, Brad and Travis and meets bi-annually. Meeting of 2-2-17 covered -updated on security cameras, FSMA, Overnight parking of trucks, 8-11-16 discussed FSMA, Updating of Contractor visits, Visitor escorts. The facility was inspected bi-annually. Access to the facility was recorded and continually evaluate the facility for threats to the product, its workers and visitors and property. Access to the facility was controlled – restricted storage areas, truck seals on incoming loads. SOP Doc # QA-017 was the procedures for ensuring property security, visitor Policy and Contractor Policy and detailed managing bomb threats, suspicious packages, an, computer security and bio-terrorism,</p>			



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2.8.2 Allergen Management			
Element	Description	Primary Response	Evidence
2.8.2.1 Allergen Management	The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include: A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain allergens; A register of allergens which is applicable in the country of manufacture and the country(ies) of destination; A list of allergens which is accessible by relevant staff; The hazards associated with allergens and their control incorporated into the food safety plan; Instructions on how to identify, handle, store and segregate raw materials containing allergens provided to staff responsible for receiving those target raw materials; Provision to clearly identify and segregate foods that contain allergens; Cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact; Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be effectively implemented; Separate handling and production equipment where satisfactory line hygiene and clean-up or segregation is not possible.	Compliant	Click here to enter text.
2.8.2.2 Allergen Management	The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured.	Minor	Eggs and Coconuts that were observed in the coolers were not identified with allergen signs as were Peanuts and peanut related products and the vending machine.

2.8.2 Allergen Management			
Element	Description	Primary Response	Evidence
2.8.2.3 Allergen Management	The product trace system shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full trace back of all ingredients used.	N/A	The facility did not manufacture any products at the facility.
2.8.2.4 Allergen Management	Re-working of product containing allergen causing agents shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.	N/A	There was no re-working of products that contained allergens.
2.8.2 Allergen Management Summary			
<p>Covered in Doc #QA-071 titled Allergen Control. The SOP detailed the cleaning procedure for limiting the transfer of allergens to other products in the facility. Swab testing using the Reveal 3-D Peanut Test Kit was conducted. Last test result on 4-4-17 with negative test results – tested where the products are stored. Other test results presented for 3-7-17, 2-9-17; 1-11-17 were negative.</p> <p>Minor: Eggs and Coconuts that were observed in the coolers were not identified with allergen signs as were Peanuts and peanut related products and the vending machine</p> <p>N/A: The facility did not manufacture any products at the facility</p> <p>N/A: There was no re-working of products that contained allergens.</p>			

2.9.1 Training Requirements			
Element	Description	Primary Response	Evidence
2.9.1.1 Training Requirements	Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF level 3 system and the maintenance of food safety and quality and regulatory requirements.	Compliant	Click here to enter text.
2.9.1 Training Requirements Summary			
<p>Covered in Doc# QA-050. The food safety manager was responsible for the training of all new employees and refresher training in food safety. Refresher training was completed on 1-4-17 for 20 workers who were involved in handling produce in the facility. Workers signed the training register – covered the SQF and food defense plan. Training was also covered specifically for hand washing – completed on 1-7-17.</p>			

2.9.2 Training Program			
Element	Description	Primary Response	Evidence
2.9.2.1 Training Program (M)	An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with: Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate). Applying food regulatory requirements; Steps identified by the hazard analysis and other instructions as critical to effective implementation of the food safety plan and the maintenance of food safety; Steps identified as critical to effective implementation of the food quality plan and the maintenance of food quality; and Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.	Compliant	Click here to enter text.
2.9.2 Training Program Summary			
The Training Program was covered in SOP Doc # QA-050. The Practitioner was responsible for documenting the training of workers in GMP, hygiene, food defense, allergen management. Evidence of training was seen for the 20 workers employed in the facility – completed on 1-4-17.			

2.9.3 Instructions			
Element	Description	Primary Response	Evidence
2.9.3.1 Instructions	Instructions shall be available explaining how all tasks critical to meeting regulatory compliance; the maintenance of food safety and quality and process efficiency are to be performed.	Compliant	Click here to enter text.
2.9.3 Instructions Summary			
<p>The instructions were available to the workers in written languages as was detailed in the job descriptions for the various positions. Job descriptions were seen for the president, the Practitioner, vice president- all signed off on 3-4-16. Other duties were presented for grader inspectors; floor shippers/palletizers.</p>			

2.9.4 HACCP Training Requirement			
Element	Description	Primary Response	Evidence
2.9.4.1 HACCP Training Requirement	HACCP training shall be provided for staff involved in developing and maintaining food safety and quality plans.	Compliant	Click here to enter text.
2.9.4 HACCP Training Requirement Summary			
Dough Turner was the responsible person for HACCP. He received HACCP training on 3-13-12, presented by the National Environmental Health Association – NEHA.			

2.9.5 Language			
Element	Description	Primary Response	Evidence
2.9.5.1 Language	Training materials and the delivery of training shall be provided in language understood by staff.	Compliant	Click here to enter text.
2.9.5 Language Summary			
Training was communicated in English. Most of the workers at the facility spoke English and communicated in English during the floor interviews.			

2.9.6 Refresher Training			
Element	Description	Primary Response	Evidence
2.9.6.1 Refresher Training	The training program shall include provision for identifying and implementing the refresher training needs of the organization.	Compliant	Click here to enter text.
2.9.6 Refresher Training Summary			
<p>Refresher training was completed annually for the workers. Record of training was presented for the 20 workers at the facility. Training was completed on 1-4-17 and for drivers on 9-13-16. Refresher training was done verbally and through practical demonstrations.</p>			

2.9.7 Training Skills Register

Element	Description	Primary Response	Evidence
2.9.7.1 Training Skills Register	A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the participant name, skills description, description of the training provided, date training completed, the trainer or training provider, and the supervisor’s verification the training was completed and that the trainee is competent to complete the required tasks.	Compliant	Click here to enter text.

2.9.7 Training Skills Register Summary

A detailed training register was maintained for each of the workers of the company. The training was administered by Doug Turner. Interviews conducted with Marcus Wood, Cathy confirmed workers knowledge of the areas covered in training.

10.1.1 Premises Location

Element	Description	Primary Response	Evidence
10.1.1.1 Premises Location	The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.	Compliant	Click here to enter text.

<p>10.1.1.2 Premises Location</p>	<p>Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.</p>	<p>Compliant</p>	<p>Click here to enter text.</p>
<p>10.1.1 Premises Location Summary</p>			
<p>The facility was located in an isolated area with surrounding lands owned by the holding company. There was no other activities in the immediate vicinity that could pose as a threat to the operation. The entire perimeter of the facility was under 24 hour surveillance security system as part of the company food defense strategy. The facility met all local regulations and operated with a valid business license.</p>			

10.1.2 Construction and Operational Approval			
Element	Description	Primary Response	Evidence
10.1.2.1 Construction and Operational Approval	The construction and on-going operation of the premises on the site shall be approved by the relevant authority.	Compliant	Click here to enter text.
10.1.2 Construction and Operational Approval Summary			
<p>The facility had a building permit for the expansion of the cooling facility which was signed off by the Patrick County of VA 3 years ago. Current business license. The facility was approved by the USDA under the Produce Perishable Act and was issued a licensed which expired in 2-24-18. License # was 19930733. The Facility was also issued a Meat Poultry Permit by the VA Department of Ag registered # 20-1995, expiry date 6-30-20. The facility was also registered with the FDA, last four digits of the registration number was 4436, expiry date 12-31-18.</p>			

10.2.1 Materials and Surfaces			
Element	Description	Primary Response	Evidence
10.2.1.1 Materials and Surfaces	Product contact surfaces and those surfaces not in direct contact with produce in produce handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.	Compliant	Click here to enter text.
10.2.1 Materials and Surfaces Summary			
The table tops observed in the warehouse were made from stainless steel surfaces which could be cleaned easily.			

10.2.2 Floors, Drains and Waste Traps			
Element	Description	Primary Response	Evidence
10.2.2.1 Floors, Drains and Waste Traps	Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.	Compliant	Click here to enter text.
10.2.2.2 Floors, Drains and Waste Traps	Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.	Compliant	Click here to enter text.
10.2.2.3 Floors, Drains and Waste Traps	Drains shall be constructed and located so they can be easily cleaned and not present a hazard.	Compliant	Click here to enter text.

10.2.2 Floors, Drains and Waste Traps			
Element	Description	Primary Response	Evidence
10.2.2.4 Floors, Drains and Waste Traps	Waste trap systems shall be located away from any food handling area or entrance to the premises.	Compliant	Click here to enter text.
10.2.2 Floors, Drains and Waste Traps Summary			
<p>Floor drains in the coolers were made of concrete – observed in the cooler for storing wet produce. Drains were cleaned monthly – Cooler # 9 was cleaned on 1-7-17, 2-5-17, 3-9-17, 4-4-17, 5-5-17 as per cleaning log. The drains were observed to be covered and clean. A trap was installed for trapping organic matter.</p>			

10.2.3 Walls, Partitions, Doors and Ceilings			
Element	Description	Primary Response	Evidence
10.2.3.1 Walls, Partitions, Doors and Ceilings	Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish, and shall be kept clean (refer to element 10.2.13.1).	Compliant	Click here to enter text.
10.2.3.2 Walls, Partitions, Doors and Ceilings	Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.	Compliant	Click here to enter text.
10.2.3.3 Walls, Partitions, Doors and Ceilings	Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.	Compliant	Click here to enter text.

10.2.3 Walls, Partitions, Doors and Ceilings			
Element	Description	Primary Response	Evidence
10.2.3.4 Walls, Partitions, Doors and Ceilings	Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions; doors and hatches shall be of solid construction, windows shall be made of shatterproof glass or similar material.	Compliant	Click here to enter text.
10.2.3.5 Walls, Partitions, Doors and Ceilings	Produce shall be handled and stored in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of product.	Compliant	Click here to enter text.
10.2.3.6 Walls, Partitions, Doors and Ceilings	Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.	N/A	Drop ceiling was not used.
Summary			
<p>Walls, ceilings, partitions were made of durable materials that could be cleaned easily.</p> <p>N/A: Drop ceiling was not used</p>			

10.2.4 Stairs, Catwalks and Platforms			
Element	Description	Primary Response	Evidence
10.2.4.1 Stairs, Catwalks and Platforms	Stairs, catwalks and platforms in produce storage and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 10.2.13.1)	N/A	There were no cat walks.
10.2.4 Stairs, Catwalks and Platforms Summary			
N/A: There were no cat walks			

10.2.5 Lighting and Light Fittings			
Element	Description	Primary Response	Evidence
10.2.5.1 Lighting and Light Fittings	Lighting in produce processing and packing, storage and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.	Compliant	Click here to enter text.
10.2.5.2 Lighting and Light Fittings	Light fittings in processing areas, inspection stations, and all areas where product is exposed, shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials and addressed in the cleaning and sanitation program.	Minor	Loading dock lamps were fitted with glass bulbs that were not coated or shatter proof.
10.2.5.3 Lighting and Light Fittings	Light fittings in warehouses and other areas where product is protected shall be designed such as to prevent breakage and product contamination.	Compliant	Click here to enter text.
10.2.5 Lighting and Light Fittings Summary			
<p>Lighting in the storage areas such as coolers were fitted with covers. The lighting was adequate to allow for the reading of labels and quality control activities.</p> <p>Minor: Loading dock lamps were fitted with glass bulbs that were not coated or shatter proof. One broken emergency light was observed on the exterior of the facility.</p>			

10.2.6 Inspection Area			
Element	Description	Primary Response	Evidence
10.2.6.1 Inspection Area	A suitable area within the processing and packing area shall be provided for the inspection of product if required.	N/A	There was no processing at the facility
10.2.6.2 Inspection Area	The inspection area shall be provided with facilities that are suitable for examination of the style of product being processed. The inspection area shall have easy access to hand washing facilities, sufficient lighting intensity to enable as thorough inspection of the product as required.	N/A	There was no processing at the facility
10.2.6 Inspection Area Summary			
N/A: There was no processing at the facility N/A: There was no processing at the facility.			

10.2.7 Dust, Fly and Vermin Proofing			
Element	Description	Primary Response	Evidence
10.2.7.1 Dust, Fly and Vermin Proofing	All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.	Compliant	Click here to enter text.
10.2.7.2 Dust, Fly and Vermin Proofing	Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.	Compliant	Click here to enter text.
10.2.7.3 Dust, Fly and Vermin Proofing	External doors, including overhead dock doors in food handling areas, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods: a self-closing device, an effective air curtain, a fly-proof screen, a fly-proof annex, adequate sealing around trucks in docking areas,	Compliant	Click here to enter text.

10.2.7 Dust, Fly and Vermin Proofing			
Element	Description	Primary Response	Evidence
10.2.7.4 Dust, Fly and Vermin Proofing	Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment. Poison bait shall not be used inside ingredient or food storage areas or processing areas.	Compliant	Click here to enter text.
10.2.7 Dust, Fly and Vermin Proofing Summary			
Windows and doors to the facility were sealed. Insect Light Traps observed were located away from the produce in storage.			

10.2.8 Ventilation			
Element	Description	Primary Response	Evidence
10.2.8.1 Ventilation	Adequate ventilation shall be provided in enclosed processing and product storage and handling areas.	Compliant	Click here to enter text.
10.2.8 Ventilation Summary			
Ventilation was considered to be adequate. There was no evidence of excessive dust or condensation observed in the facility.			

10.2.9 Premises and Equipment Maintenance			
Element	Description	Primary Response	Evidence
10.2.9.1 Premises and Equipment Maintenance	The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.	Compliant	Click here to enter text.
10.2.9.2 Premises and Equipment Maintenance	Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any product processing, packaging, handling or storage area: routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded, failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule, compliance with the personnel and process hygiene requirements (refer to elements 10.3.1, 10.3.2, 10.3.3, 10.3.4) by maintenance staff and contractors, ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any food handling area, inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times, remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.	Compliant	Click here to enter text.

10.2.9 Premises and Equipment Maintenance			
Element	Description	Primary Response	Evidence
10.2.9.3 Premises and Equipment Maintenance	The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance if product safety and quality.	Compliant	Click here to enter text.
10.2.9.4 Premises and Equipment Maintenance	Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.	Compliant	Click here to enter text.
10.2.9.5 Premises and Equipment Maintenance	Paint used in a product handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.	N/A	Paint was not used on the food contact surface.
10.2.9 Premises and Equipment Maintenance Summary			
<p>The PM schedule was documented for the following items/areas: Back Flow – annually; HAVAC – all equipment done 3 months; Fans-HVAC; Generator – monthly; Doors – Daily; Plumbing/Restrooms – weekly; Monthly for: ceiling, electrical outlets, trailer refers, trailers, dock pads, floor drains, walls. Maintenance work at the facility was handled internally and was covered in the document title: Premises and Equipment Maintenance. PM was scheduled as required by the listing of equipment that was used in the facility. The PM was tracked through an excel spreadsheet and followed up with work orders. Example: Work Order 17-2 for repairs to the concrete floor in cooler #7.Task was completed and signed off by Doug Turner on 5-1-17; W/O # 17-1 for Loading dock Door #3 – replacement of spring; W/O#16-4 for 7-4-16 to repair rack in cooler #9 was bent and was replaced W/O #16-3 on 4-27-16 for scrape and paint angle line, bottom of walls in cooler #5. Coolers were serviced by Holmes Refrigeration Inc. Service records seen for 10-26-16; Invoice # 11199. Units in cooler # 6, 7 – servicing of condenser fans motor; installed new crank case in cooler #6, replaced filter and installed new suction service valves; Cooler # 7 – replacement t of condenser fans motor. On 12-15-16 – service call for cooler #</p>			

4B – condensing unit tripped.

N/A: Paint was not used on the food contact surface

10.2.10 Calibration			
Element	Description	Primary Response	Evidence
10.2.10.1 Calibration	The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.	Compliant	Click here to enter text.
10.2.10.2 Calibration	Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.	Compliant	Click here to enter text.
10.2.10.3 Calibration	Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.	Compliant	Click here to enter text.

10.2.10 Calibration			
Element	Description	Primary Response	Evidence
10.2.10.4 Calibration	Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.	Compliant	Click here to enter text.
10.2.10.5 Calibration	Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.	Compliant	Click here to enter text.
10.2.10.6 Calibration	Calibration records shall be maintained.	Compliant	Click here to enter text.
10.2.10 Calibration Summary			
<p>Calibration was covered in SOP Doc # QA-019 to establish that the calibration to control the accuracy of measuring and test equipment used in the facility. Calibration was performed by in-house trained personnel. The company maintained an NIST thermometer that was calibrated. The newly installed NotifEye System installed for monitoring temperature deviations in the coolers was calibrated by the manufacturer at the time of purchase. The units were verified against the NIST thermometer to be accurate – completed on 4-5-17 by the Practitioner. Scales were calibrated by Carlton Scale – calibration report seen for 1-5-17. The scales were verified by the VA Dept. of Ag – 2-3-16 for scale # Mettler-Toledo, Panther Scale serial # 0054563-6FJ.</p>			

10.2.11 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
10.2.11.1 Management of Pests and Vermin	The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.	Compliant	Click here to enter text.
10.2.11.2 Management of Pests and Vermin	The pest and vermin management program shall describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program, identify the target pests for each pesticide application, outline the methods used to prevent pest problems, outline the pest elimination methods, outline the frequency with which pest status is to be checked, include on a site map the identification, location, number and type of bait stations set, list the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available), outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station, outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits, measure the effectiveness of the program to verify the elimination of applicable pests.	Minor	At the time of audit, 2 observations were made of bird nesting were observed on the exterior of the loading dock areas

10.2.11 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
10.2.11.3 Management of Pests and Vermin	Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.	Compliant	Click here to enter text.
10.2.11.4 Management of Pests and Vermin	Records of all pest control applications shall be maintained.	Compliant	Click here to enter text.
10.2.11.5 Management of Pests and Vermin	Pesticides and other toxic chemicals shall be clearly labeled and stored as described in 10.6.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.	N/A	Pesticide was not stored on premises.

10.2.11 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
10.2.11.6 Management of Pests and Vermin	Pest control contractors shall be licensed and approved by the local relevant authority, use only trained and qualified operators who comply with regulatory requirements, use only approved chemicals, provide a pest control management plan (see contract services in section 2.3.3) which will include a site map indicating the location of bait stations and traps, report to a responsible senior management person on entering the premises and after the completion of inspections or treatments, provide a written report of their findings and the inspections and treatments applied, dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that empty chemical containers are not reused.	Compliant	Click here to enter text.
10.2.11.7 Management of Pests and Vermin	The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that empty chemical containers are not reused, labeled, isolated and securely stored while awaiting collection, are stored under secure conditions while waiting authorized disposal by an approved vendor.	Compliant	Click here to enter text.
10.2.11 Management of Pests and Vermin Summary			
<p>The service provider for pest control was licensed in the State of VA, business license # 9428, valid to 3-31-18. Certificate of liability insurance was valid to 3-28-18. Serviceman was the holder of a pesticide applicators license # 76303-C issued by the VA Dept. of Agriculture and Consumer Services. There were 18 external devices and 36 internal and 12 ILTs. Service record was seen for 5-5-17; 4-7-17, 3-3-17. Activities were reported to be low. The pest control binder contained SDS, evidence of training for the providers.</p> <p>Minor: At the time of audit, 2 observations were made of bird nesting were observed on the exterior of the loading dock areas.</p> <p>N/A: Pesticides and toxic materials were not used inside of the facility.</p>			

10.2.12 Equipment, Utensils and Protective Clothing			
Element	Description	Primary Response	Evidence
10.2.12.1 Equipment, Utensils and Protective Clothing	Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to products.	N/A	Equipment and utensils were not used for handling produce.
10.2.12.2 Equipment, Utensils and Protective Clothing	Benches, tables, conveyors, graders, packers and other mechanical equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.	Compliant	Click here to enter text.
10.2.12.3 Equipment, Utensils and Protective Clothing	Product containers, tubs, bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.	Compliant	Click here to enter text.

10.2.12 Equipment, Utensils and Protective Clothing			
Element	Description	Primary Response	Evidence
10.2.12.4 Equipment, Utensils and Protective Clothing	Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.	N/A	Water was not used on the product.
10.2.12.5 Equipment, Utensils and Protective Clothing	Protective clothing shall be manufactured from material that is not liable to contaminate food and easily cleaned.	N/A	Protective clothing was not required.
10.2.12.6 Equipment, Utensils and Protective Clothing	Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing or packing areas and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.	N/A	Protective clothing was not required.
10.2.12 Equipment, Utensils and Protective Clothing Summary			
<p>The tables used for the re-packing or produce was made from stainless steel tops. These were cleaned daily, between products and at the end of the day. Cleaning records were documented as part of the pre-ops inspection record. The records were verified by the SQF Practitioner. Record seen for 5-10-17, confirming that tables tops were cleaned scales were free of debris and product residue, confirmation that sanitation chemical was of the correct concentration, surrounding area was clean, glass and brittle plastic items were intact. Waste bins were cleared monthly.</p> <p>N/A: Equipment and utensils were not used for handling produce. N/A: Water was not used on the product. N/A: Protective clothing was not required. N/A: Protective clothing was not required.</p>			



Company Name: Woods Produce Co., Inc. dba. Quality House Produce
Company Number: 9024
Audit Number: 23920

10.2.13 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
10.2.13.1 Cleaning and Sanitation	The methods and responsibility for the cleaning of the product handling equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to how it is to be cleaned, when it is to be cleaned, who is responsible for the cleaning, methods used to confirm the correct concentrations of detergents and sanitizers, responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.	Minor	The effectiveness of the cleaning of food contact surfaces – table tops used at the facility could not be verified.
10.2.13.2 Cleaning and Sanitation	Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.	N/A	Processing equipment, utensils and protective clothing were not used.
10.2.13.3 Cleaning and Sanitation	Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for protective clothing used by cleaning staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or products. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.	N/A	Containers, knives, cutting boards and equipment, utensils and protective clothing were not used.

10.2.13 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
10.2.13.4 Cleaning and Sanitation	Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.	Compliant	Click here to enter text.
10.2.13.5 Cleaning and Sanitation	The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.	Compliant	Click here to enter text.
10.2.13.6 Cleaning and Sanitation	Detergents and sanitizers shall be suitable for use in a food manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure an inventory of all chemicals purchased and used shall be maintained, detergents and sanitizers are stored as outlined in 10.6.4, Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased, only trained staff handles sanitizers and detergents, empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use.	Compliant	Click here to enter text.

10.2.13 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
10.2.13.7 Cleaning and Sanitation	The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use, labeled, isolated and securely stored while awaiting collection, that unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.	Compliant	Click here to enter text.
10.2.13.8 Cleaning and Sanitation	A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.	Compliant	Click here to enter text.
10.2.13 Cleaning and Sanitation Summary			
<p>Cleaning of the facility was done internally using approved cleaning products. The company maintained SDS for the cleaning chemicals used. Cleaning was verified by the Practitioner on a daily basis. Cleaning product was supplied by Eco-Lab – Oasis 146 Multi-Quat Sanitizer was used for cleaning table tops, Oasis Heavy Duty Alkaline Bathroom Cleaner used for bathrooms and Oasis Glass Cleaner for windows. Bathrooms, breakrooms were documented and serviced as cleaned on a cleaning log. Record of cleaning seen for the month of May, 2017. The workers received training on the use of the sanitizers and cleaning chemicals during annual refreshers.</p> <p>Minor: The effectiveness of the cleaning of food contact surfaces – table tops used at the facility could not be verified. N/A: Processing equipment, utensils and protective clothing were not used. N/A: Containers, knives, cutting boards and equipment, utensils and protective clothing were not used.</p>			

10.3.1 Personnel			
Element	Description	Primary Response	Evidence
10.3.1.1 Personnel	Personnel suffering from infectious diseases or are carriers of, any infectious disease shall not engage in product handling or processing operation.	Compliant	Click here to enter text.
10.3.1.2 Personnel	Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.	Compliant	Click here to enter text.
10.3.1.3 Personnel	Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas.	Compliant	Click here to enter text.
10.3.1 Personnel Summary			
Covered in Doc # QA-018: titled Personal Practices and Doc# QA-042. Workers were required to notify management of all incidents of injuries, cuts, illnesses. Workers were not allowed to work with open wounds or cuts or if they were suffering from illnesses or diseases. Blue bandages were provided for covering minor cuts. No eating, drinking, smoking and no spitting was also covered in the procedure to the workers – covered in annual refresher training and for new hires.			

10.3.2 Hand Washing			
Element	Description	Primary Response	Evidence
10.3.2.1 Hand Washing	Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout product handling, processing and packaging areas as required.	Compliant	Click here to enter text.
10.3.2.2 Hand Washing	Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with potable water supply at an appropriate temperature, liquid soap contained within a fixed dispenser, paper towels in a hands-free cleanable dispenser, means of containing used paper towels.	Compliant	Click here to enter text.
10.3.2.3 Hand Washing	The following additional facilities shall be provided in high risk areas: hands-free operated taps, hand-sanitizers,	N/A	This was not a high risk operation.

10.3.2 Hand Washing			
Element	Description	Primary Response	Evidence
10.3.2.4 Hand Washing	A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.	Compliant	Click here to enter text.
10.3.2.5 Hand Washing	Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors on entering food handling or processing areas, after each visit to the toilet, after using a handkerchief, after smoking, eating or drinking, handling wash down hoses, dropped products or contaminated materials.	Compliant	Click here to enter text.
10.3.2.6 Hand Washing	When gloves are used, personnel shall maintain the hand washing practices outlined above.	Compliant	Click here to enter text.
10.3.2 Hand Washing Summary			
<p>Covered in Doc# QA-018. Workers were required to wash their hands after toilet use, after breaks, eating, smoking or when they became dirty from touching the floor, sneezing or coughing. Hand wash signs were posted in written (English and Spanish) and pictorial forms. The hand wash stations were adequately stocked with hot running water, soap and hands free paper towel dispensers. Interviews with floor workers confirmed their knowledge of the company hand washing policy and practices.</p> <p>N/A: This was not a high risk operation.</p>			

10.3.3 Clothing			
Element	Description	Primary Response	Evidence
10.3.3.1 Clothing	Clothing worn by staff engaged in handling products shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.	Minor	At the time of audit, it was observed that some personal effects were stored with produce.
10.3.3.2 Clothing	Staff engaged in high risk areas shall change into clean clothing when entering high risk areas.	N/A	The facility was not considered to be high risk.
10.3.3.3 Clothing	Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.	Compliant	Click here to enter text.

10.3.3 Clothing			
Element	Description	Primary Response	Evidence
10.3.3.4 Clothing	Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on packaging, ingredients, products or equipment.	Compliant	Click here to enter text.
10.3.3 Clothing Summary			
<p>Workers wore their personal clothing. At the time of audit, clothing appeared to be clean.</p> <p>Minor: At the time of audit, it was observed that some personal effects were stored with produce.</p> <p>N/A: The facility was not considered to be high risk</p>			

10.3.4 Jewelry and Personal Effects			
Element	Description	Primary Response	Evidence
10.3.4.1 Jewelry and Personal Effects	Jewelry and other loose objects shall not be worn or taken into a product handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.	Compliant	Click here to enter text.
10.3.4 Jewelry and Personal Effects Summary			
This was covered in Doc# QA-018. The company prohibits the wearing of jewelry and loose items in the facility. Interview with production workers Cathy Beasley confirmed knowledge of the policy. At the time of audit, no violation was observed.			

10.3.5 Visitors			
Element	Description	Primary Response	Evidence
10.3.5.1 Visitors	All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area.	Compliant	Click here to enter text.
10.3.5.2 Visitors	All visitors shall be required to remove jewelry and other loose objects.	Compliant	Click here to enter text.
10.3.5.3 Visitors	Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed.	Compliant	Click here to enter text.

10.3.5 Visitors			
Element	Description	Primary Response	Evidence
10.3.5.4 Visitors	Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.	Compliant	Click here to enter text.
10.3.5 Visitors Summary			
As a policy Doc# QA-018 visitors to the facility were required to sign in and state the reason for their visit. The company maintained a sign in log at the front office. Visitors were required to comply with the company GMP rules and be accompanied at all times.			

10.3.6 Staff Amenities			
Element	Description	Primary Response	Evidence
10.3.6.1 Staff Amenities	Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.	Compliant	Click here to enter text.
10.3.6 Staff Amenities Summary			
<p>The workers breakrooms were observed to be appropriately lit and ventilated. The company provided refrigerator, microwaves, and coffee pots etc. as amenities to the workers. A vending machine with snacks was properly labeled as containing allergen based products.</p>			

10.3.7 Change Rooms			
Element	Description	Primary Response	Evidence
10.3.7.1 Change Rooms	Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.	N/A	Protective clothing was not required.
10.3.7.2 Change Rooms	Change rooms shall be provided for staff engaged in the processing or packaging of high risk foods or processing or packaging operations in which clothing can be soiled.	N/A	Protective clothing was not required. This was not a high risk operation, neither was there any processing.
10.3.7.3 Change Rooms	Provision shall be made for staff to store their street clothing and personal items separate from product contact zones and product and packaging storage areas.	N/A	Change room was not required.

10.3.7 Change Rooms			
Element	Description	Primary Response	Evidence
10.3.7.4 Change Rooms	Where required a sufficient number of showers shall be provided for use by staff.	N/A	Showers were not required.
10.3.7 Change Rooms Summary			
<p>N/A: Protective clothing was not required. N/A: Protective clothing was not required; this was not a high risk facility, neither was there any processing was done. N/A: Change room was not required. N/A: Showers were not required.</p>			

10.3.8 Laundry			
Element	Description	Primary Response	Evidence
10.3.8.1 Laundry	Provision shall be made for the laundering and storage of clothing worn by staff engaged in high risk processes and for staff engaged in processing operations in which clothing can be heavily soiled.	N/A	This was not a high risk facility
10.3.8 Laundry Summary			
N/A: This was not a high risk facility			

10.3.9 Sanitary Facilities			
Element	Description	Primary Response	Evidence
10.3.9.1 Sanitary Facilities	Toilet rooms shall be designed and constructed so that they are accessible to staff and separate from any processing and food handling operations, accessed from the processing area via an airlock vented to the exterior or through an adjoining room, sufficient in number for the maximum number of staff, constructed so that they can be easily cleaned and maintained, kept clean and tidy.	Compliant	Click here to enter text.
10.3.9.2 Sanitary Facilities	Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system.	Compliant	Click here to enter text.
10.3.9.3 Sanitary Facilities	Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 10.3.2.2.	Compliant	Click here to enter text.
10.3.9 Sanitary Facilities Summary			
Rest rooms were maintained separately room the storage and production areas. Toilets were easily accessible to the workers. There were 3 toilets for males and 1 for females. A total of 10 workers worked in the facility. The hand wash facilities were observed inside of the toilets. Spent water from hand wash sinks drained into soak away system.			

10.3.10 Lunch Rooms			
Element	Description	Primary Response	Evidence
10.3.10.1 Lunch Rooms	Separate lunch room facilities shall be provided away from a product contact/handling zone.	Compliant	Click here to enter text.
10.3.10.2 Lunch Rooms	Lunch room facilities shall be ventilated and well lit, provided with adequate tables and seating to cater for the maximum number of staff at one sitting, equipped with a sink serviced with hot and cold potable water for washing utensils, equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required, kept clean and free from waste materials and pests.	Compliant	Click here to enter text.
10.3.10.3 Lunch Rooms	Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in break rooms and at break room exits.	Compliant	Click here to enter text.
10.3.10 Lunch Rooms Summary			
The company provided separate area from product storage for eating and drinking. GMP signs were posted in the room reminding workers not to wash their hands before entering the production and storage areas. The signs were posted in Spanish and English - were written and in pictorials.			

10.3.11 First Aid			
Element	Description	Primary Response	Evidence
10.3.11.1 First Aid	First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.	Compliant	Click here to enter text.
10.3.11 First Aid Summary			
The company maintained first aid kits at different locations in the facility. These were fully stocked and included blue Band-Aids for treating minor cuts and bruises.			

10.4.1 Staff Engaged in Product Handling, Processing and Packaging Operations

Element	Description	Primary Response	Evidence
<p>10.4.1.1 Staff Engaged in Product Handling, Processing and Packaging Operations</p>	<p>All personnel engaged in any food handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They comply with the following processing practices: personnel entry to processing areas shall be through the personnel access doors only, all doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required, the wearing of false fingernails or fingernail polish is not permitted when handling food, packaging material, products, and ingredients shall be kept in appropriate containers as required and off the floor, waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate, staff shall not eat or taste any product being processed in the food handling/contact zone, except as noted in section 10.4.1.2.</p>	<p>Compliant</p>	<p>Click here to enter text.</p>
<p>10.4.1.2 Staff Engaged in Product Handling, Processing and Packaging Operations</p>	<p>In circumstances where it is necessary to undertake sensory evaluations in a product handling/contact zone, the supplier shall implement proper controls and procedures to ensure food safety is not compromised, sensory evaluations are conducted by authorized personnel, a high standard of personal hygiene is practiced by personnel conducting sensory evaluations, in areas equipped for the purpose, equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.</p>	<p>N/A</p>	<p>Sensory evaluations were not done at the facility.</p>

10.4.1 Staff Engaged in Product Handling, Processing and Packaging Operations			
Element	Description	Primary Response	Evidence
10.4.1.3 Staff Engaged in Product Handling, Processing and Packaging Operations	All wash down hoses shall be stored on hose racks after use and not left on the floor.	N/A	Wash down hose was not used in the facility.
10.4.1 Staff Engaged in Product Handling, Processing and Packaging Operations Summary			
<p>At the time of audit, entrance doors to the facility were maintained locked. The workers involved in the handling of produce were observed to be wearing gloves provided by the company. Rejected products were placed in designated receptacle for disposal. The bins used for trash were removed periodically from the facility. N/A: Sensory evaluations were not done at the facility. N/A: Wash down hose was not used in the facility.</p>			

10.5.1 Water Supply			
Element	Description	Primary Response	Evidence
10.5.1.1 Water Supply	Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.	Compliant	Click here to enter text.
10.5.1.2 Water Supply	Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.	Compliant	Click here to enter text.
10.5.1 Water Supply Summary			
Hot and cold water was provided for the workers to facilitate effective cleaning of hands. The company sourced water for the facility from an onsite well which was tested annually for potability.			

10.5.2 Monitoring Water Microbiology and Quality			
Element	Description	Primary Response	Evidence
10.5.2.1 Monitoring Water Microbiology and Quality	<p>Water used for:</p> <ul style="list-style-type: none"> i. Washing, thawing and treating food; ii. An ingredient or food processing aid; iii. Cleaning food contact surfaces; iv. The manufacture of ice; and v. The manufacture of steam that will come in contact with food or used to heat water that will come in contact with food <p>Shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.</p>	Compliant	Click here to enter text.
10.5.2 Monitoring Water Microbiology and Quality Summary			
<p>The client provided proof water testing – carried out annually by Blue Ridge Water Testing Inc. Testing was last carried out on 8-12-16 and the results were negative for E. coli and Total coliform.</p>			

10.5.3 Water Delivery			
Element	Description	Primary Response	Evidence
10.5.3.1 Water Delivery	The delivery of water within the premises shall ensure potable water is not contaminated.	Minor	No back flow testing was presented for the audit.
10.5.3.2 Water Delivery	The use of non-potable water shall be controlled such that there is no cross contamination between potable and non-potable water lines, non-potable water piping and outlets are clearly identified.	Compliant	Click here to enter text.
10.5.3 Water Delivery Summary			
<p>Water used for cleaning and sanitation, hand washing etc. was sourced from onsite well and was confirmed to be potable from the annual microbiological test that was carried out. The client provided proof water testing – carried out annually by Blue Ridge Water Testing Inc. Testing last carried out on 8-12-16.</p> <p>Minor: No back flow testing was presented for the audit.</p>			

10.5.4 Water Treatment			
Element	Description	Primary Response	Evidence
10.5.4.1 Water Treatment	Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.	N/A	There was no water treatment at the facility.
10.5.4.2 Water Treatment	Water treatment equipment shall be monitored regularly to ensure it remains serviceable.	N/A	There was no water treatment at the facility.
10.5.4.3 Water Treatment	Treated water shall be regularly monitored to ensure it meets the indicators specified.	N/A	There was no water treatment at the facility.
10.5.4 Water Treatment Summary			
N/A: There was no water treatment at the facility. N/A: There was no water treatment at the facility N/A: There was no water treatment at the facility			

10.5.5 Ice Supply			
Element	Description	Primary Response	Evidence
10.5.5.1 Ice Supply	Where ice is required, adequate supplies of ice derived from water that complies with element 10.5.2.1 shall be provided for use during processing operations or as a processing aid or an ingredient.	N/A	Ice was not used in the facility.
10.5.5.2 Ice Supply	Ice rooms and receptacles shall be constructed of materials as outlined in elements 10.2.1, 10.2.2, and 10.2.3, and designed to minimize contamination of the ice during storage and distribution.	N/A	Ice was not used in the facility.
10.5.5 Ice Supply Summary			
N/A: Ice was not used in the facility. N/A: Ice was not used in the facility.			

10.5.6 Analysis			
Element	Description	Primary Response	Evidence
10.5.6.1 Analysis	Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.	Compliant	Click here to enter text.
10.5.6.2 Analysis	Water and ice shall be analyzed using reference standards and methods.	Compliant	Click here to enter text.
10.5.6 Analysis Summary			
The client provided proof water testing – carried out annually by Blue Ridge Water Testing Inc. Testing was last carried out on 8-12-16 and the results were negative for E. coli and Total coliform.			

10.5.7 Air Quality			
Element	Description	Primary Response	Evidence
10.5.7.1 Air Quality	Compressed air that contacts food or food contact surfaces shall be clean and present no risk to food safety.	N/A	Compressed air was not used in the facility on products or food contact surfaces.
10.5.7.2 Air Quality	Compressed air systems used in the production process shall be maintained and regularly monitored for purity.	N/A	Compressed air was not used in the facility on products or food contact surfaces.
10.5.7 Air Quality Summary			
<p>N/A: Compressed air was not used in the facility on products or food contact surfaces. N/A: Compressed air was not used in the facility on products or food contact surfaces.</p>			

10.6.1 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods			
Element	Description	Primary Response	Evidence
10.6.1.1 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods	The supplier shall provide confirmation of the effective operational performance of coolers, controlled atmosphere facilities, and cool rooms. They shall be designed and constructed to allow for the hygienic and efficient refrigeration and storage of food, easily accessible for inspection and cleaning.	Compliant	Click here to enter text.
10.6.1.2 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods	Sufficient refrigeration and controlled atmosphere capacity shall be available to chill or store the maximum anticipated throughput of products with allowance for periodic cleaning of storage rooms.	Compliant	Click here to enter text.
10.6.1.3 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods	Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.	Compliant	Click here to enter text.

10.6.1 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods			
Element	Description	Primary Response	Evidence
10.6.1.4 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods	Cool and controlled atmosphere rooms shall be fitted with temperature and atmosphere monitoring equipment and located so as to monitor the warmest part of the room and be fitted with measurement devices that are easily readable and accessible.	Compliant	Click here to enter text.
10.6.1.5 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods	Loading and unloading docks shall be designed to protect products during loading and unloading.	Compliant	Click here to enter text.
10.6.1 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods Summary			
<p>The coolers were maintained in good condition – no signs of condensation, or dust build-up around the fans. Servicing was outsourced to a licensed refrigeration company. Coolers were constantly monitored. In March, 2017 the company installed electronic monitoring system in the coolers for alerting management in temperature deviations. Senior management were alerted through text messages for any major fluctuations in temperatures in the coolers. The loading docks were fitted with buffer seals for maintaining the cold chain. The buffers were in good condition.</p> <p>Coolers were cleaned annually and cooler # 9 with drain cleaned monthly. Cooler fans, condensers and air curtains were cleaned annually record seen for cooler # 8 & 9 on 1-11-16; #'s 1 & 2 on 2-13-16; # 6 on 3-9-16; #'s 4 & 5 on 5-14-16.</p>			

10.6.2 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods			
Element	Description	Primary Response	Evidence
10.6.2.1 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods	Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the products from contamination and deterioration.	Compliant	Click here to enter text.
10.6.2.2 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods	Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin.	Compliant	Click here to enter text.
10.6.2.3 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods	Vehicles used in food contact, handling or processing zones or in cool storage rooms shall be designed and operated so as not to present a food safety hazard.	Compliant	Click here to enter text.
10.6.2 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods Summary			
<p>Shelf-stable good such as bottled products, plastic or paper wrapper products were stored on pallets and on racks. A separate room was used for the storage of wet and dry products. Generally, the 18" perimeter was maintained in the storage areas allowing for inspections and cleaning and monitoring for pest activities. Fork lift trucks used in the facility appeared clean, free of smoke.</p>			

10.6.3 Storage of Equipment and Containers			
Element	Description	Primary Response	Evidence
10.6.3.1 Storage of Equipment and Containers	Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.	Compliant	Click here to enter text.
10.6.3 Storage of Equipment and Containers Summary			
<p>The storage rooms were designed for easy cleaning. Generally, the 18" perimeter was maintained; equipment used such as scales and tables were stored for easy cleaning and monitoring – away from packaging and products.</p>			

10.6.4 Storage of Hazardous Chemicals and Toxic Substances			
Element	Description	Primary Response	Evidence
10.6.4.1 Storage of Hazardous Chemicals and Toxic Substances	Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.	N/A	Hazardous chemicals was not stored at the facility.
10.6.4.2 Storage of Hazardous Chemicals and Toxic Substances	Utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.	N/A	Hazardous chemicals was not stored at the facility.
10.6.4.3 Storage of Hazardous Chemicals and Toxic Substances	Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of equipment or surfaces in product contact zones, may be stored within or in close proximity to a processing or packaging area provided access to the chemical storage facility is restricted to authorized personnel.	N/A	Hazardous chemicals was not stored at the facility.

10.6.4 Storage of Hazardous Chemicals and Toxic Substances			
Element	Description	Primary Response	Evidence
10.6.4.4 Storage of Hazardous Chemicals and Toxic Substances	Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.	N/A	Pesticides were not stored at the facility.
10.6.4.5 Storage of Hazardous Chemicals and Toxic Substances	Hazardous chemical and toxic substance storage facilities shall be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals, adequately ventilated, provided with appropriate signage indicating the area is a hazardous storage area, secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances, have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff, be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility, have suitable first aid equipment and protective clothing available in close proximity to the storage area, in the event of a hazardous spill, be designed such that spillage and drainage from the area is contained, be equipped with spillage kits and cleaning equipment.	N/A	Hazardous chemicals were not stored at the facility.
10.6.4 Storage of Hazardous Chemicals and Toxic Substances Summary			
N/A: Hazardous chemicals was not stored at the facility. N/A: Hazardous chemicals was not stored at the facility. N/A: Hazardous chemicals was not stored at the facility. N/A: Pesticides were not stored at the facility. N/A: Hazardous chemicals were not stored at the facility.			

10.6.5 Alternative Storage and Handling of Goods			
Element	Description	Primary Response	Evidence
10.6.5.1 Alternative Storage and Handling of Goods	Where goods described in 10.6.1 to 10.6.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.	N/A	Alternative storage was not used.
10.6.5 Alternative Storage and Handling of Goods Summary			
N/A: Alternative storage was not used.			

10.6.6 Loading, Transport and Unloading Practices			
Element	Description	Primary Response	Evidence
10.6.6.1 Loading, Transport and Unloading Practices	The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Products shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.	Compliant	Click here to enter text.
10.6.6 Loading, Transport and Unloading Practices Summary			
The company maintained a fleet of trucks for delivery of its own products by its own drivers. The drivers received training in food defense and were sensitized to the risk of cross contamination and acts of bio-terrorism. Where practical, trucks were sealed before leaving the facility for deliveries.			

10.6.7 Loading			
Element	Description	Primary Response	Evidence
10.6.7.1 Loading	Vehicles (trucks/vans/containers) used for transporting products shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.	Compliant	Click here to enter text.
10.6.7.2 Loading	Loading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product and package integrity.	Compliant	Click here to enter text.
10.6.7 Loading Summary			
<p>All trucks were inspected prior to loading and dispatching of products from the facility. The company manages a fleet of trucks that were cleaned on a scheduled basis before loading. The BOL was used as one of the document for releasing of the truck/products for trade. These were signed off by the loader and the receiving truck.</p>			

10.6.8 Transport			
Element	Description	Primary Response	Evidence
10.6.8.1 Transport	Refrigerated units shall maintain the product at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.	Compliant	Click here to enter text.
10.6.8.2 Transport	The refrigeration unit shall be operational at all times and the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.	Compliant	Click here to enter text.
10.6.8 Transport Summary			
<p>Refrigerated were inspected prior to the offloading of products. The BOL was stamped as compliant or distressed. Where the distressed stamp was applied, the product was isolated and management makes the final determination of the product. The trucks were checked for cleanliness, odors, condition, and temperature. Where the testing of pulp was required, this was done with a calibrated temperature probe.</p>			

10.6.9 Unloading			
Element	Description	Primary Response	Evidence
10.6.9.1 Unloading	Prior to opening the doors, the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.	Compliant	Click here to enter text.
10.6.9.2 Unloading	Unloading practices shall be designed to minimize unnecessary exposure of products to conditions detrimental to maintaining the product and package integrity.	Compliant	Click here to enter text.
10.6.9 Unloading Summary			
Refrigeration units are checked prior to the offloading of products. At the time of audit, it was observed that the refrigeration unit of one truck in the loading dock area was reading 41.1 degrees F. The facility has installed buffers on the loading docks for maintaining the cool chain while de-stuffing containers.			

10.7.1 Process Flow			
Element	Description	Primary Response	Evidence
10.7.1.1 Process Flow	The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the processing and packaging area. The flow of personnel shall be managed such that the potential for contamination is minimized.	Compliant	Click here to enter text.
10.7.1 Process Flow Summary			
There was no evidence to indicate that products could become contaminated from the flow of products through the facility. Products were received, then stored then sorted and packed. Frozen products were stored separately in designated storage areas. Allergen base products were stored separately.			

10.7.2 Receipt of Raw and Packaging Materials and Ingredients			
Element	Description	Primary Response	Evidence
10.7.2.1 Receipt of Raw and Packaging Materials and Ingredients	Dry ingredients and packaging shall be received and stored separately from field product or chilled materials to ensure there is no cross contamination. Unprocessed field product shall be received and segregated to ensure there is no cross contamination.	Compliant	Click here to enter text.
10.7.2 Receipt of Raw and Packaging Materials and Ingredients Summary			
<p>The company maintained separate coolers for the storage areas for dry and chilled products. Products received with ice were stored separately from other cold products. Dry products and packaging were maintained separately from other products kept at the facility.</p>			

10.7.3 High Risk Processes			
Element	Description	Primary Response	Evidence
10.7.3.1 High Risk Processes	The processing of high risk food shall be conducted under controlled conditions such that sensitive areas in which high risk food has undergone a "kill" step, a "food safety intervention or is subject to post process handling, are protected/segreated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized, areas in which high risk processes are conducted are only serviced by staff dedicated to that function, staff access points are located, designed and equipped to enable staff to wear distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination, product transfer points are located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination, environmental monitoring program shall be in place for high risk areas. As a minimum, a written procedure detailing the applicable pathogens or indicator organisms to test for (for that industry), the number of samples to be taken, and the frequency of sampling and corrective actions shall be documented. The responsibility and methods shall be documented and implemented. A sampling schedule shall be prepared.	N/A	This was not a high risk facility.
10.7.3 High Risk Processes Summary			
N/A: This was not a high risk facility.			

10.7.4 Control of Foreign Matter Contamination			
Element	Description	Primary Response	Evidence
10.7.4.1 Control of Foreign Matter Contamination	The responsibility and methods used to prevent foreign matter contamination of products shall be documented, implemented and communicated to all staff.	Compliant	Click here to enter text.
10.7.4.2 Control of Foreign Matter Contamination	Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.	Compliant	Click here to enter text.
10.7.4.3 Control of Foreign Matter Contamination	The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.	Compliant	Click here to enter text.

10.7.4 Control of Foreign Matter Contamination			
Element	Description	Primary Response	Evidence
10.7.4.4 Control of Foreign Matter Contamination	The following preventative measures shall be implemented where applicable to prevent glass contamination: all glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location, containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing/contact zones, conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register, inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.	Compliant	Click here to enter text.
10.7.4.5 Control of Foreign Matter Contamination	Wooden pallets, wooden field bins, and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose. Their condition is subject to regular inspection and shall be clean and maintained in good order.	Compliant	Click here to enter text.

10.7.4 Control of Foreign Matter Contamination			
Element	Description	Primary Response	Evidence
10.7.4.6 Control of Foreign Matter Contamination	Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.	Compliant	Click here to enter text.
10.7.4.7 Control of Foreign Matter Contamination	Knives and cutting instruments used in processing and packaging operations shall be controlled, kept clean and well maintained.	N/A	Knives and other cutting instruments were not used.
10.7.4 Control of Foreign Matter Contamination Summary			
<p>At the time of audit, there was no evidence of loose items in the facility. Wooden and plastic pallets were maintained in good condition. Glass/brittle plastic items were logged and monitored during the pre-operation inspections. The Practitioner was responsible for inspection the facility for signs for foreign matter contamination in the pre-operation inspections done daily.</p> <p>N/A: Knives and other cutting instruments were not used.</p>			

10.7.5 Detection of Foreign Objects			
Element	Description	Primary Response	Evidence
10.7.5.1 Detection of Foreign Objects	The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.	N/A	Metal detection devices were not used in the operation.
10.7.5.2 Detection of Foreign Objects	Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective products and indicate when it is rejected.	N/A	Metal detection devices were not used in the operation.
10.7.5.3 Detection of Foreign Objects	Records shall be maintained of the inspection by foreign object detection devices. These devices need verification.	N/A	Metal detection devices were not used in the operation.
10.7.5 Detection of Foreign Objects Summary			
<p>N/A: Metal detection devices were not used in the operation. N/A: Metal detection devices were not used in the operation N/A: Metal detection devices were not used in the operation</p>			

10.7.6 Managing Foreign Matter Contamination Incidents			
Element	Description	Primary Response	Evidence
10.7.6.1 Managing Foreign Matter Contamination Incidents	In all cases of foreign matter contamination, the affected batch or item shall be isolated, inspected, reworked or disposed.	Compliant	Click here to enter text.
10.7.6.2 Managing Foreign Matter Contamination Incidents	In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.	Compliant	Click here to enter text.
10.7.6 Managing Foreign Matter Contamination Incidents Summary			
Foreign matter contamination was covered in the glass brittle plastic policy which required the isolation and discarding of products contaminated with foreign matter such as glass and brittle plastics, and cleaning the affected area. The company carried out daily inspection of the storage areas for signs of glass breakages and contamination.			

10.8.1 Location			
Element	Description	Primary Response	Evidence
10.8.1.1 Location	On site laboratories shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.	N/A	There was no on-site laboratory.
10.8.1.2 Location	Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory waste water outlet shall (as a minimum) be down stream of drains that service food processing and handling areas.	N/A	There was no on-site laboratory.
10.8.1.3 Location	Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.	N/A	There was no on-site laboratory.
10.8.1 Location Summary			
N/A: There was no on-site laboratory. N/A: There was no on-site laboratory. N/A: There was no on-site laboratory.			

10.9.1 Dry and Liquid Waste Disposal			
Element	Description	Primary Response	Evidence
10.9.1.1 Dry and Liquid Waste Disposal	The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.	Compliant	Click here to enter text.
10.9.1.2 Dry and Liquid Waste Disposal	Waste shall be removed on a regular basis and not build up in product handling areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.	Compliant	Click here to enter text.
10.9.1.3 Dry and Liquid Waste Disposal	Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.	Compliant	Click here to enter text.

10.9.1 Dry and Liquid Waste Disposal			
Element	Description	Primary Response	Evidence
10.9.1.4 Dry and Liquid Waste Disposal	Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and used packaging. Waste held on site prior to disposal shall be stored in a separate storage facility and suitably fly proofed and contained so as not to present a hazard.	Compliant	Click here to enter text.
10.9.1.5 Dry and Liquid Waste Disposal	Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.	Compliant	Click here to enter text.
10.9.1.6 Dry and Liquid Waste Disposal	Reviews of the effectiveness of waste management shall form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.	Compliant	Click here to enter text.
10.9.1 Dry and Liquid Waste Disposal Summary			
Dry waste was removed from the facility daily and was documented as part of the pre-operation monitoring check. There was no evidence of waste scattered around the dumpster. Waste was removed from the facility through a contracted service provider twice per week. Waste bins were cleaned periodically as part of the pre-operations inspections.			

10.10.1 Grounds and Roadways			
Element	Description	Primary Response	Evidence
10.10.1.1 Grounds and Roadways	The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.	Compliant	Click here to enter text.
10.10.1.2 Grounds and Roadways	Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.	Compliant	Click here to enter text.
10.10.1.3 Grounds and Roadways	Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.	Compliant	Click here to enter text.

10.10.1 Grounds and Roadways			
Element	Description	Primary Response	Evidence
10.10.1.4 Grounds and Roadways	Paths from amenities leading to facility entrances are required to be effectively sealed.	Compliant	Click here to enter text.
10.10.1 Grounds and Roadways Summary			
<p>At the time of the audit, waste was observed to be removed on a scheduled. Waste containers appeared to be cleaned and the exterior of the facility was free of any evidence of waste products. Roadways were paved and the some areas of the grounds covered with gravel. The front of the building was manicured with grass lawn.</p>			

12.1.1 Premises Location			
Element	Description	Primary Response	Evidence
12.1.1.1 Premises Location	The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.	Compliant	Click here to enter text.
12.1.1 Premises Location Summary			
<p>The facility was located in an isolated area with surrounding land holding owned by the company. There was no other activities in the immediate vicinity that could pose as a threat to the operation. The entire perimeter of the facility was under 24 hour surveillance security system as part of the company food defense strategy.</p>			

12.1.2 Construction and Operational Approval			
Element	Description	Primary Response	Evidence
12.1.2 Construction and Operational Approval	The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.	Compliant	Click here to enter text.
12.1.2 Construction and Operational Approval Summary			
<p>The facility was approved by the USDA under the Produce Perishable Act and was issued a licensed which expired in 2-24-18. License # was 19930733. The Facility was also issued a Meat Poultry Permit by the VA Department of Ag registered # 20-1995, expiry date 6-30-20. The facility was also registered with the FDA, last four digits of the registration number was 4436, expiry date 12-31-18.</p>			

12.2.1 Materials and Surfaces			
Element	Description	Primary Response	Evidence
12.2.1 Materials and Surfaces	In warehouses where food products are recouped or exposed, product contact surfaces shall be constructed of materials that will not contribute a food safety risk.	Compliant	Click here to enter text.
12.2.1 Materials and Surfaces Summary			
The table tops observed in the warehouse were made from stainless steel surfaces which could be cleaned easily.			

12.2.2 Floors, Drains and Waste Traps			
Element	Description	Primary Response	Evidence
12.2.2.1 Floors, Drains and Waste Traps	Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.	Compliant	Click here to enter text.
12.2.2.2 Floors, Drains and Waste Traps	Drains shall be constructed and located so they can be easily cleaned and not present a hazard.	Compliant	Click here to enter text.
12.2.2 Floors, Drains and Waste Traps Summary			
Floor drains in the coolers were made of concrete. The drains were observed to be covered and clean.			

12.2.3 Walls, Partitions, Doors and Ceilings			
Element	Description	Primary Response	Evidence
12.2.3.1 Walls, Partitions, Doors and Ceilings	Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious, and shall be kept clean (refer 12.2.11.1).	Compliant	Click here to enter text.
12.2.3.2 Walls, Partitions, Doors and Ceilings	Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.	Compliant	Click here to enter text.
12.2.3.3 Walls, Partitions, Doors and Ceilings	Doors shall be of solid construction; and windows shall be made of shatterproof glass or similar material.	Compliant	Click here to enter text.
12.2.3 Walls, Partitions, Doors and Ceilings Summary			
Walls, ceilings, partitions were made of durable materials that could be cleaned easily			

12.2.4 Lighting and Light Fittings

Element	Description	Primary Response	Evidence
12.2.4.1 Lighting and Light Fittings	Lighting in warehouses where food product is recouped or exposed shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.	Compliant	Click here to enter text.
12.2.4.2 Lighting and Light Fittings	Light fittings in areas where food product is recouped or exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling.	N/A	See 10.2.5.2.
12.2.4.3 Lighting and Light Fittings	Light fittings in other areas where product is protected shall be designed such as to prevent breakage and product contamination.	Compliant	Click here to enter text.

12.2.4 Lighting and Light Fittings Summary

Lighting in the storage areas such as coolers were fitted with covers. The lighting was adequate to allow for the reading of labels and quality control activities.
N/A: See 10.2.5.2

12.2.5 Dust, Fly and Vermin Proofing			
Element	Description	Primary Response	Evidence
12.2.5.1 Dust, Fly and Vermin Proofing	All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.	Compliant	Click here to enter text.
12.2.5.2 Dust, Fly and Vermin Proofing	Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.	Compliant	Click here to enter text.
12.2.5.3 Dust, Fly and Vermin Proofing	External doors, including overhead dock doors, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods: a self-closing device, an effective air curtain, a fly-proof screen, a fly-proof annex, adequate sealing around trucks in docking areas.	Compliant	Click here to enter text.

12.2.5 Dust, Fly and Vermin Proofing			
Element	Description	Primary Response	Evidence
12.2.5.4 Dust, Fly and Vermin Proofing	Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment.	Compliant	Click here to enter text.
12.2.5 Dust, Fly and Vermin Proofing Summary			
Windows and doors to the facility were sealed. Insect Light Traps observed were located away from the produce in storage.			

12.2.6 Ventilation			
Element	Description	Primary Response	Evidence
12.2.6.1 Ventilation	Adequate ventilation shall be provided in enclosed storage and food handling areas.	Compliant	Click here to enter text.
12.2.6 Ventilation Summary			
Ventilation was considered to be adequate. There was no evidence of condensation, dust in the production and storage areas.			

12.2.7 Premises and Equipment Maintenance			
Element	Description	Primary Response	Evidence
12.2.7.1 Premises and Equipment Maintenance	The methods and responsibility for the maintenance and repair of food storage areas, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.	Compliant	Click here to enter text.
12.2.7.2 Premises and Equipment Maintenance	Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any handling or storage area: routine maintenance of food storage areas and equipment shall be performed according to a maintenance-control schedule and recorded, failures of facility and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule, compliance with the personnel and process hygiene requirements (refer 12.3.1, 12.3.2, 12.3.3, 12.3.4) by maintenance staff and contractors, ensure warehouse supervisors are notified when maintenance or repairs are to be undertaken in any food handling area, inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times, remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.	Compliant	Click here to enter text.

12.2.7 Premises and Equipment Maintenance			
Element	Description	Primary Response	Evidence
12.2.7.3 Premises and Equipment Maintenance	The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.	Compliant	Click here to enter text.
12.2.7.4 Premises and Equipment Maintenance	Equipment located over exposed product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.	Compliant	Click here to enter text.
12.2.7.5 Premises and Equipment Maintenance	Paint used in a food handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.	Compliant	Click here to enter text.
12.2.7 Premises and Equipment Maintenance Summary			
<p>The PM schedule was documented for the following items/areas: Back Flow – annually; HAVAC – all equipment done 3 months; Fans-HVAC; Generator – monthly; Doors – Daily; Plumbing/Restrooms – weekly; Monthly for: ceiling, electrical outlets, trailer refers, trailers, dock pads, floor drains, walls. Maintenance work at the facility was handled internally and was covered in the document title: Premises and Equipment Maintenance. PM was scheduled as required by the listing of equipment that was used in the facility. The PM was tracked through an excel spreadsheet and followed up with work orders. Example: Work Order 17-2 for repairs to the concrete floor in cooler #7.Task was completed and signed off by Doug Turner on 5-1-17; W/O # 17-1 for Loading dock Door #3 – replacement of spring; W/O#16-4 for 7-4-16 to repair rack in cooler #9 was bent and was replaced W/O #16-3 on 4-27-16 for scrape and paint angle line, bottom of walls in cooler #5. Coolers were serviced by Holmes Refrigeration Inc. Service records seen for 10-26-16; Invoice # 11199. Units in cooler # 6, 7 – servicing of condenser fans motor; installed new crank case in cooler #6, replaced filter and installed new suction service valves; Cooler # 7 – replacement t of condenser fans motor. On 12-15-16 – service call for cooler # 4B – condensing unit tripped.</p>			

N/A: Paint was not used on the food contact surface.

12.2.8 Calibration			
Element	Description	Primary Response	Evidence
12.2.8.1 Calibration	The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in the pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.	Compliant	Click here to enter text.
12.2.8.2 Calibration	Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.	Compliant	Click here to enter text.
12.2.8.3 Calibration	Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.	Compliant	Click here to enter text.

12.2.8 Calibration			
Element	Description	Primary Response	Evidence
12.2.8.4 Calibration	Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.	Compliant	Click here to enter text.
12.2.8.5 Calibration	Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.	Compliant	Click here to enter text.
12.2.8.6 Calibration	Calibration records shall be maintained.	Compliant	Click here to enter text.
12.2.8 Calibration Summary			
<p>Calibration was covered in SOP Doc # QA-019 to establish that the calibration to control the accuracy of measuring and test equipment used in the facility. Calibration was performed by in-house trained personnel. The company maintained an NIST thermometer that was calibrated. The newly installed NotifEye System installed for monitoring temperature deviations in the coolers was calibrated by the manufacturer at the time of purchase. The units were verified against the NIST thermometer to be accurate – completed on 4-5-17 by the Practitioner. Scales were calibrated by Carlton Scale – calibration report seen for 1-5-17. The scales were verified by the VA Dept. of Ag – 2-3-16 for scale # Mettler-Toledo, Panther Scale serial # 0054563-6FJ.</p>			

12.2.9 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
12.2.9.1 Management of Pests and Vermin	The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.	Compliant	Click here to enter text.
12.2.9.2 Management of Pests and Vermin	The pest and vermin management program shall describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program, identify the target pests for each pesticide application, outline the methods used to prevent pest problems, outline the pest elimination methods, outline the frequency with which pest status is to be checked, include on a site map the identification, location, number and type of bait stations set, list the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available), outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station, the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits, measure the effectiveness of the program to verify the elimination of applicable pests.	N/A	See 10.2.11.2

12.2.9 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
12.2.9.3 Management of Pests and Vermin	Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.	Compliant	Click here to enter text.
12.2.9.4 Management of Pests and Vermin	Records of all pest control applications shall be maintained.	Compliant	Click here to enter text.
12.2.9.5 Management of Pests and Vermin	Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 12.5.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.	N/A	Pesticides and toxic materials were not used inside of the facility.

12.2.9 Management of Pests and Vermin			
Element	Description	Primary Response	Evidence
12.2.9.6 Management of Pests and Vermin	Pest control contractors shall be licensed and approved by the local relevant authority, use only trained and qualified operators who comply with regulatory requirements, use only approved chemicals, provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps, report to a responsible senior management person on entering the premises and after the completion of inspections or treatments, provide a written report of their findings and the inspections and treatments applied.	Compliant	Click here to enter text.
12.2.9.7 Management of Pests and Vermin	The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that empty chemical containers are not reused, are labeled, isolated and securely stored while awaiting collection, are stored under secure conditions while waiting authorized disposal by an approved vendor.	Compliant	Click here to enter text.
12.2.9 Management of Pests and Vermin Summary			
<p>The service provider for pest control was licensed in the State of VA, business license # 9428, valid to 3-31-18. Certificate of liability insurance was valid to 3-28-18. Serviceman was the holder of a pesticide applicators license # 76303-C issued by the VA Dept. of Agriculture and Consumer Services. There were 18 external devices and 36 internal and 12 ILTs. Service record was seen for 5-5-17; 4-7-17, 3-3-17. Activities were reported to be low. The pest control binder contained SDS, evidence of training for the providers.</p> <p>N/A: See 10.2.11.2</p> <p>N/A: Pesticides and toxic materials were not used inside of the facility</p>			

12.2.10 Equipment, Utensils and Protective Clothing			
Element	Description	Primary Response	Evidence
12.2.10.1 Equipment, Utensils and Protective Clothing	Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to the product.	N/A	Equipment, utensils and protective clothing were not used.
12.2.10.2 Equipment, Utensils and Protective Clothing	Protective clothing in areas where food product is recouped or exposed shall be manufactured from material that is not liable to contaminate food and easily cleaned.	N/A	Equipment, utensils and protective clothing were not used.
12.2.10.3 Equipment, Utensils and Protective Clothing	In areas where food product is recouped or exposed, racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.	N/A	Equipment, utensils and protective clothing were not used.
12.2.10 Equipment, Utensils and Protective Clothing Summary			
N/A: Equipment, utensils and protective clothing were not used. N/A: Equipment, utensils and protective clothing were not used. N/A: Equipment, utensils and protective clothing were not used.			

12.2.11 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
12.2.11.1 Cleaning and Sanitation	The methods and responsibility for the cleaning of the food handling and storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to what is to be cleaned, how it is to be cleaned, when it is to be cleaned, who is responsible for the cleaning, the responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.	Compliant	Click here to enter text.
12.2.11.2 Cleaning and Sanitation	Provision shall be made for the effective cleaning of equipment, utensils and protective clothing.	Compliant	Click here to enter text.
12.2.11.3 Cleaning and Sanitation	Suitably equipped areas shall be designated for cleaning product containers, utensils and protective clothing that are used by cleaning staff in cleaning, sanitizing, and maintaining the facility. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.	Compliant	Click here to enter text.

12.2.11 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
12.2.11.4 Cleaning and Sanitation	Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food handling and storage areas, staff amenities and sanitary facilities and other essential areas are clean.	Compliant	Click here to enter text.
12.2.11.5 Cleaning and Sanitation	The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.	N/A	See 10.2.13.1
12.2.11.6 Cleaning and Sanitation	Detergents and sanitizers that are used to clean sanitize and maintain the facility shall be purchased in accordance with applicable legislation. The organization shall ensure an inventory of all chemicals purchased and used shall be maintained, detergents and chemicals are stored as outlined in 12.5.4, Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased, only trained staff handles sanitizers and detergents.	Compliant	Click here to enter text.

12.2.11 Cleaning and Sanitation			
Element	Description	Primary Response	Evidence
12.2.11.7 Cleaning and Sanitation	The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use, labeled, isolated and securely stored while awaiting collection, unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.	Compliant	Click here to enter text.
12.2.11.8 Cleaning and Sanitation	A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.	Compliant	Click here to enter text.
12.2.11 Cleaning and Sanitation Summary			
<p>Cleaning of the facility was done internally using approved cleaning products. The company maintained SDS for the cleaning chemicals used. Cleaning was verified by the Practitioner on a daily basis. Cleaning product was supplied by Eco-Lab – Oasis 146 Multi-Quat Sanitizer was used for cleaning table tops, Oasis Heavy Duty Alkaline Bathroom Cleaner used for bathrooms and Oasis Glass Cleaner for windows. Bathrooms, breakrooms were documented and serviced as cleaned on a cleaning log. Record of cleaning seen for the month of May, 2017. The workers received training on the use of the sanitizers and cleaning chemicals during annual refreshers. N/A: See 10.2.13.1</p>			

12.3.1 Personnel			
Element	Description	Primary Response	Evidence
12.3.1.1 Personnel	Personnel suffering from infectious diseases or are carriers of, any infectious disease are not permitted to work in the distribution center or in the transportation of food, and shall not engage in food handling operations, or be permitted access to storage areas where the product is exposed.	Compliant	Click here to enter text.
12.3.1.2 Personnel	Personnel with exposed cuts, sores or lesions shall not be engaged in handling exposed product or handling packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage, or an alternative suitable waterproof and colored dressing.	Compliant	Click here to enter text.
12.3.1.3 Personnel	Smoking, chewing, eating, drinking or spitting is not permitted in any food handling or storage areas where the product is exposed.	Compliant	Click here to enter text.
12.3.1 Personnel Summary			
<p>Covered in Doc # QA-018: titled Personal Practices and Doc# QA-042. Workers were required to notify management of all incidents of injuries, cuts, illnesses. Workers were not allowed to work with open wounds or cuts or if they were suffering from illnesses or diseases. Blue bandages were provided for covering minor cuts. No eating, drinking, smoking and no spitting was also covered in the procedure to the workers – covered in annual refresher training and for new hires.</p>			

12.3.2 Hand Washing			
Element	Description	Primary Response	Evidence
12.3.2.1 Hand Washing	Hand wash basins shall be provided, and in accessible locations throughout the facility as required.	Compliant	Click here to enter text.
12.3.2.2 Hand Washing	Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with a potable water supply at an appropriate temperature, supplied with liquid soap contained within a fixed dispenser, with paper towels or effective hand dryer, with a means of containing used paper towels.	Compliant	Click here to enter text.
12.3.2.3 Hand Washing	A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.	Compliant	Click here to enter text.

12.3.2 Hand Washing			
Element	Description	Primary Response	Evidence
12.3.2.4 Hand Washing	Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors after each visit to a toilet, after smoking, eating or drinking, handling wash down hoses or contaminated material.	Compliant	Click here to enter text.
12.3.2.5 Hand Washing	When gloves are used, personnel shall maintain the hand washing practices outlined above.	Compliant	Click here to enter text.
12.3.2 Hand Washing Summary			
Covered in Doc# QA-018. Workers were required to wash their hands after toilet use, after breaks, eating, smoking or when they became dirty from touching the floor, sneezing or coughing. Hand wash signs were posted in written (English and Spanish) and pictorial forms. The hand wash stations were adequately stocked with hot running water, soap and hands free paper towel dispensers. Interviews with floor workers confirmed their knowledge of the company hand washing policy and practices.			

12.3.3 Clothing			
Element	Description	Primary Response	Evidence
12.3.3.1 Clothing	Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to product.	N/A	See 10.3.3.1
12.3.3.2 Clothing	Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition.	Compliant	Click here to enter text.
12.3.3 Clothing Summary			
Workers wore their personal clothing which appeared clean at the time of audit. The company provided free laundry services N/A: See 10.3.3.1.			

12.3.4 Jewelry and Personal Effects			
Element	Description	Primary Response	Evidence
12.3.4.1 Jewelry and Personal Effects	Jewelry and other loose objects shall not be worn or taken into a food handling area or any area where food is recouped. The wearing of wedding rings and medical alert bracelets (plain bands with no stones) that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.	Compliant	Click here to enter text.
12.3.4 Jewelry and Personal Effects Summary			
This was covered in Doc# QA-018. The company prohibits the wearing of jewelry and loose items in the facility. Interview with production workers Cathy Beasley confirmed knowledge of the policy. At the time of audit, no violation was observed.			

12.3.5 Visitors			
Element	Description	Primary Response	Evidence
12.3.5.1 Visitors	All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food handling area.	Compliant	Click here to enter text.
12.3.5.2 Visitors	All visitors shall be required to remove jewelry and other loose objects.	Compliant	Click here to enter text.
12.3.5.3 Visitors	Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or exposed.	Compliant	Click here to enter text.

12.3.5 Visitors			
Element	Description	Primary Response	Evidence
12.3.5.4 Visitors	Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.	Compliant	Click here to enter text.
12.3.5 Visitors Summary			
As a policy, visitors to the facility were required to sign in and state the reason for their visit. The company maintained a sign in log at the front office. Visitors were required to comply with the company GMP rules and be accompanied at all times.			

12.3.6 Staff Amenities			
Element	Description	Primary Response	Evidence
12.3.6.1 Staff Amenities	Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.	Compliant	Click here to enter text.
12.3.6 Staff Amenities Summary			
<p>The workers breakrooms were observed to be appropriately lit and ventilated. The company provided refrigerator, microwaves, and coffee pots etc. as amenities to the workers. A vending machine with snacks was properly labeled as containing allergen based products.</p>			

12.3.7 Change Rooms			
Element	Description	Primary Response	Evidence
12.3.7.1 Change Rooms	Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.	N/A	Change room was not required for the operation
12.3.7.2 Change Rooms	Provision shall be made for staff to store their street clothing and personal items separate from food contact zones and food and packaging storage areas.	N/A	Change room was not required for the operation. This was a low risk operation.
12.3.7 Change Rooms Summary			
<p>N/A: Change room was not required for the operation. This was a low risk operation. N/A: Change room was not required for the operation. This was a low risk operation.</p>			

12.3.8 Sanitary Facilities

Element	Description	Primary Response	Evidence
12.3.8.1 Sanitary Facilities	Toilet rooms shall be designed and constructed so that they are accessible to staff and separate from any food handling operations, accessed from the warehouse or product handling area via an airlock vented to the exterior or through an adjoining room, sufficient in number for the maximum number of staff, constructed so that they can be easily cleaned and maintained, kept clean and tidy	Compliant	Click here to enter text.
12.3.8.2 Sanitary Facilities	Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system. Procedure shall be documented and implemented to properly manage sewage back-ups in order to minimize the potential for contamination.	Compliant	Click here to enter text.
12.3.8.4 Sanitary Facilities	Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 12.3.2.2.	Compliant	Click here to enter text.
12.3.8 Sanitary Facilities Summary			
Rest rooms were maintained separately room the storage and production areas. Toilets were easily accessible to the workers. There were 3 toilets for males and 1 for females for the total of 10 workers who worked in the facility. The hand wash facilities were observed inside of the toilets. Spent water from hand wash sinks drained into soak away system.			

12.3.9 Lunch Rooms			
Element	Description	Primary Response	Evidence
12.3.9.1 Lunch Rooms	Separate lunch room facilities shall be provided away from a food handling or storage areas. Lunch rooms shall be kept clean and tidy and free from waste materials and pests.	Compliant	Click here to enter text.
12.3.9.2 Lunch Rooms	Signage in appropriate languages advising people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.	Compliant	Click here to enter text.
12.3.9 Lunch Rooms Summary			
<p>The company provided separate area from product storage for eating and drinking. GMP signs were posted in the room reminding workers not to wash their hands before entering the production and storage areas. The signs were posted in Spanish and English - were written and in pictorials.</p>			

12.3.10 First Aid			
Element	Description	Primary Response	Evidence
12.3.10.1 First Aid	First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.	Compliant	Click here to enter text.
12.3.10 First Aid Summary			
A fully stocked first aid kit was maintained to treat minor injuries. Blue Band-Aids were observed.			

12.4.1 Staff Engaged in Food Handling Operations			
Element	Description	Primary Response	Evidence
12.4.1.1 Staff Engaged in Food Handling Operations	All personnel engaged in the direct handling of exposed food shall comply with the following practices: personnel entry to food handling areas shall be through the personnel access doors only; all doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or stock transfer, the wearing of false fingernails or fingernail polish is not permitted when handling food, packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor, waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate, staff shall not eat or taste any product being processed in the food handling/contact zone.	Compliant	Click here to enter text.
12.4.1.2 Staff Engaged in Food Handling Operations	All personnel engaged in storage, transport and handling of packaged products and materials shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination.	Compliant	Click here to enter text.
12.4.1 Staff Engaged in Food Handling Operations Summary			
At the time of audit, it was observed that workers were wearing gloves for handling the product. There was full compliance with the company jewelry policy. There was no evidence of eating, drinking or smoking in the storage or production areas. Products not meeting customer's specification were separated and dumped.			

12.5.1 Water supply			
Element	Description	Primary Response	Evidence
12.5.1.1 Water supply	Adequate supplies of water drawn from a known clean source shall be provided for use during holding or storage and for cleaning the premises and equipment	Compliant	Click here to enter text.
12.5.1.2 Water supply	Supplier of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment	Compliant	Click here to enter text.
12.5.1 Water supply Summary			
Hot and cold water was provided for the workers to facilitate effective cleaning of hands.			

12.5.2 Monitoring Water Microbiology and Quality			
Element	Description	Primary Response	Evidence
12.5.2.1 Monitoring Water Microbiology and Quality	<p>Water used for:</p> <ul style="list-style-type: none"> i. Washing, thawing and treating food; ii. An ingredient or food processing aid; iii. Cleaning food contact surfaces; iv. The manufacture of ice; and v. The manufacture of steam that will come in contact with food or used to heat water that will come in contact with food <p>Shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.</p>	Compliant	Click here to enter text.
12.5.2 Monitoring Water Microbiology and Quality Summary			
<p>Water was used for cleaning and sanitation of the facility. Water was not used for washing and thawing of products. The water used was sourced from on-site well which was tested annually and found to be free of E coli and Total coliform. Last test was conducted on 8-12-16, completed by Blue Ridge Water Testing Inc.</p>			

12.5.3 Water Delivery			
Element	Description	Primary Response	Evidence
12.5.3.1 Water Delivery	The delivery of water within the premises shall ensure potable water is not contaminated	N/A	See 10.5.3.1
12.5.3.2 Water Delivery	The use of non-potable water shall be controlled such that there is no cross contamination between potable and non-potable water lines, non-potable water piping and outlets are clearly identified.	Compliant	Click here to enter text.
12.5.3 Water Delivery Summary			
<p>Water used for cleaning and sanitation, hand washing etc. was sourced from onsite well and was confirmed to be potable from the annual microbiological test that was carried out. The client provided proof water testing – carried out annually by Blue Ridge Water Testing Inc. Testing last carried out on 8-12-16. N/A: See 10.5.3.1</p>			

12.5.4 Ice Supply			
Element	Description	Primary Response	Evidence
12.5.4.1 Ice Supply	Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 12.5.2.1.	N/A	Ice was not applied to the product at the facility.
12.5.4.2 Ice Supply	Ice rooms and receptacles shall be constructed of materials as outlined in elements 12.2.1, 12.2.2 and 12.2.3 and designed to minimize contamination of the ice during storage and distribution.	N/A	Ice was not applied to the product at the facility.
12.5.4 Ice Supply Summary			
<p>N/A: Ice was not applied to the product at the facility. Some products arrived with ice. N/A: Ice was not applied to the product at the facility. Some products arrived with ice.</p>			

12.5.5 Analysis			
Element	Description	Primary Response	Evidence
12.5.5.1 Analysis	Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.	Compliant	Click here to enter text.
12.5.5.2 Analysis	Water and ice shall be analyzed using reference standards and methods.	Compliant	Click here to enter text.
12.5.5 Analysis Summary			
<p>Water was analyzed annually for microbiological activities. The last test was conducted on 8-12-16, and test results were negative for E coli and Total coliform. Testing was done by an accredited lab.</p>			

12.5.6 Air Quality			
Element	Description	Primary Response	Evidence
12.5.6.1 Air Quality	Compressed air that contacts food or food contact surfaces shall be clean and present no risk to food safety.	N/A	Air was not used on the product or food contact surfaces.
12.5.6.2 Air Quality	Compressed air systems used in the production process shall be maintained and regularly monitored for purity.	N/A	Air was not used on the product or food contact surfaces.
12.5.6 Air Quality Summary			
<p>N/A: Air was not used on the product or food contact surfaces. N/A: Air was not used on the product or food contact surfaces.</p>			

12.6.1 Cold and Chilled Storage			
Element	Description	Primary Response	Evidence
12.6.1.1 Cold and Chilled Storage	The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be designed and constructed to allow for the hygienic and efficient refrigeration of food, easily accessible for inspection and cleaning.	Compliant	Click here to enter text.
12.6.1.2 Cold and Chilled Storage	Sufficient refrigeration capacity shall be available to store chilled or frozen food at the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.	Compliant	Click here to enter text.
12.6.1.3 Cold and Chilled Storage	Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.	Compliant	Click here to enter text.

12.6.1 Cold and Chilled Storage			
Element	Description	Primary Response	Evidence
12.6.1.4 Cold and Chilled Storage	Cold and chilled storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.	Compliant	Click here to enter text.
12.6.1.5 Cold and Chilled Storage	Loading and unloading docks shall be designed to protect product during loading and unloading.	Compliant	Click here to enter text.
12.6.1 Cold and Chilled Storage Summary			
<p>The coolers were maintained in good condition – no signs of condensation, or dust build-up around the fans. Servicing was outsourced to a licensed refrigeration company. Coolers were constantly monitored. In March, 2017 the company installed electronic monitoring system in the coolers for alerting management in temperature deviations. Senior management were alerted through text messages for any major fluctuations in temperatures in the coolers. The loading docks were fitted with buffer seals for maintaining the cold chain. The buffers were in good condition.</p>			

12.6.2 Storage of Shelf Stable Packaged Goods			
Element	Description	Primary Response	Evidence
12.6.2.1 Storage of Shelf Stable Packaged Goods	Rooms used for the storage of dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.	Compliant	Click here to enter text.
12.6.2.2 Storage of Shelf Stable Packaged Goods	Racks provided for the storage of food Products shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent food products becoming a harborage for pests or vermin.	Compliant	Click here to enter text.
12.6.2.3 Storage of Shelf Stable Packaged Goods	Vehicles used in storage rooms shall be designed and operated so as not to present a food safety hazard.	Compliant	Click here to enter text.
12.6.2 Storage of Shelf Stable Packaged Goods Summary			
Shelf-stable good such as bottled products, plastic or paper wrapper products were stored on pallets and on racks. A separate room was used for the storage of wet and dry products. Generally, the e18" perimeter was maintained in the storage areas allowing for inspections and cleaning and monitoring for pest activities. Fork lift trucks used in the facility appeared clean, free of smoke.			

12.6.3 Storage of Equipment and Containers

Element	Description	Primary Response	Evidence
12.6.3.1 Storage of Equipment and Containers	Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.	Compliant	Click here to enter text.

12.6.3 Storage of Equipment and Containers Summary

The storage rooms were designed for easy cleaning. Generally, the 18” perimeter was maintained; equipment used such as scales and tables were stored for easy cleaning and monitoring – away from packaging and products.

12.6.4 Storage of Hazardous Chemicals and Toxic Substances			
Element	Description	Primary Response	Evidence
12.6.4.1 Storage of Hazardous Chemicals and Toxic Substances	Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.	N/A	Hazardous chemicals and toxic chemicals were not stored in the facility or on the premises.
12.6.4 Storage of Hazardous Chemicals and Toxic Substances Summary			
N/A: Hazardous chemicals and toxic chemicals were not stored in the facility or on the premises.			

12.6.5 Alternative Storage and Handling of Goods			
Element	Description	Primary Response	Evidence
12.6.5.1 Alternative Storage and Handling of Goods	Where goods described in 12.5.1 to 12.5.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.	N/A	Alternative storage was not used.
12.6.5 Alternative Storage and Handling of Goods Summary			
N/A: Alternative storage was not used. Management wanted to ensure that the integrity of the products at Woods Produce was maintained by ensuring that all products with the Woods brand was under their control.			

12.6.6 Loading, Transport and Unloading Practices			
Element	Description	Primary Response	Evidence
12.6.6.1 Loading, Transport and Unloading Practices	The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.	Compliant	Click here to enter text.
12.6.6 Loading, Transport and Unloading Practices Summary			
<p>The company maintained a fleet of trucks for delivery of its own products by its own drivers. The drivers received training in food defense and were sensitized to the risk of cross contamination and acts of bio-terrorism. Where practical, trucks were sealed before leaving the facility for deliveries.</p>			

12.6.7 Loading			
Element	Description	Primary Response	Evidence
12.6.7.1 Loading	Vehicles (trucks/vans/containers) used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.	Compliant	Click here to enter text.
12.6.7.2 Loading	Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.	Compliant	Click here to enter text.
12.6.7 Loading Summary			
All trucks were inspected prior to loading and dispatching of products from the facility. The company manages a fleet of trucks that were cleaned on a scheduled basis before loading. The BOL was used as one of the document for releasing of the truck/products for trade. These were signed off by the loader and the receiving truck.			

12.6.8 Transport			
Element	Description	Primary Response	Evidence
12.6.8.1 Transport	Refrigerated units shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.	Compliant	Click here to enter text.
12.6.8.2 Transport	The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.	Compliant	Click here to enter text.
12.6.8.3 Transport	The refrigeration unit shall be monitored for environmental contaminants	Compliant	Click here to enter text.
12.6.8 Transport Summary			
<p>Refrigerated were inspected prior to the offloading of products. The BOL was stamped as compliant or distressed. Where the distressed stamp was applied, the product was isolated and management makes the final determination of the product. The trucks were checked for cleanliness, odors, condition, and temperature. Where the testing of pulp was required, this was done with a calibrated temperature probe.</p>			

12.6.9 Unloading			
Element	Description	Primary Response	Evidence
12.6.9.1 Unloading	Prior to opening the doors the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.	Compliant	Click here to enter text.
12.6.9.2 Unloading	Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.	Compliant	Click here to enter text.
12.6.9 Unloading Summary			
Refrigeration units are checked prior to the offloading of products. At the time of audit, it was observed that the refrigeration unit of one truck in the loading dock area was reading 41.1 degrees F. The facility has installed buffers on the loading docks for maintaining the cool chain while de-stuffing containers.			

12.7.1 Control of Foreign Matter			
Element	Description	Primary Response	Evidence
12.7.1.1 Control of Foreign Matter	The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.	Compliant	Click here to enter text.
12.7.1.2 Control of Foreign Matter	Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.	Compliant	Click here to enter text.
12.7.1.3 Control of Foreign Matter	The following preventative measures shall be implemented where applicable to prevent glass contamination: all glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location, containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing/contact zones, conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register, inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.	Compliant	Click here to enter text.

12.7.1 Control of Foreign Matter			
Element	Description	Primary Response	Evidence
12.7.1.4 Control of Foreign Matter	Wooden pallets and other wooden utensils used in food handling and storage shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.	Compliant	Click here to enter text.
12.7.1.5 Control of Foreign Matter	Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.	Compliant	Click here to enter text.
12.7.1 Control of Foreign Matter Summary			
<p>At the time of audit, there was no evidence of loose items in the facility. Wooden and plastic pallets were maintained in good condition. Glass items were monitored during the pre-operation inspections. The Practitioner was responsible for inspection the facility for signs for foreign matter contamination in the pre-operation inspections done daily.</p>			

12.7.2 Managing Foreign Matter Contamination Incidents			
Element	Description	Primary Response	Evidence
12.7.2.1 Managing Foreign Matter Contamination Incidents	In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.	Compliant	Click here to enter text.
12.7.2.2 Managing Foreign Matter Contamination Incidents	In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.	Compliant	Click here to enter text.
12.7.2 Managing Foreign Matter Contamination Incidents Summary			
Foreign matter contamination was covered in the glass brittle plastic policy which required the isolation and discarding of products contaminated with foreign matter such as glass and brittle plastics, and cleaning the affected area. The company carried out daily inspection of the storage areas for signs of glass breakages and contamination.			

12.8.1 Dry and Liquid Waste Disposal			
Element	Description	Primary Response	Evidence
12.8.1.1 Dry and Liquid Waste Disposal	The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.	Compliant	Click here to enter text.
12.8.1.2 Dry and Liquid Waste Disposal	Waste shall be removed on a regular basis and not build up in food handling or storage areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.	Compliant	Click here to enter text.
12.8.1.3 Dry and Liquid Waste Disposal	Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.	Compliant	Click here to enter text.

12.8.1 Dry and Liquid Waste Disposal			
Element	Description	Primary Response	Evidence
12.8.1.4 Dry and Liquid Waste Disposal	Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.	Compliant	Click here to enter text.
12.8.1 Dry and Liquid Waste Disposal Summary			
<p>Dry waste was removed from the facility daily and was documented as part of the pre-operation monitoring check. There was no evidence of waste scattered around the dumpster. Waste was removed from the facility through a contracted service provider twice per week. Waste bins were cleaned periodically as part of the pre-operations inspections.</p>			

12.9.1 Grounds and Roadways			
Element	Description	Primary Response	Evidence
12.9.1.1 Grounds and Roadways	The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.	Compliant	Click here to enter text.
12.9.1.2 Grounds and Roadways	Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.	Compliant	Click here to enter text.
12.9.1.3 Grounds and Roadways	Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.	Compliant	Click here to enter text.
12.9.1 Grounds and Roadways Summary			
At the time of the audit, waste was observed to be removed on a scheduled. Waste containers appeared to be cleaned and the exterior of the facility was free of any evidence of waste products. Roadways were paved and the some areas of the grounds covered with gravel. The front of the building was manicured with grass lawn.			



Company Name: Woods Produce Co., Inc. dba. Quality House Produce
Company Number: 9024
Audit Number: 23920