



July 22, 2008

Mr. S. Garrett Patricio
Westside Produce
P.O. Box 7
785 12th Street
Firebaugh, CA 93622

Dear Mr. Patricio:

On behalf of Scientific Certification Systems (SCS), thank you for providing us with the opportunity to conduct an audit on July 14, 2008 at Westside Produce in Firebaugh, CA. Per the SCS audit report, your facility scored 96.24% on the Food Safety audit and 98.61% on the Food Security audit.

We acknowledge the food safety efforts put forth to achieve SCS's acceptable rating. Regarding corrective actions, we require follow up on all observed deficiencies noted in the audit report. Please send me a written reply by [August 22, 2008](#) detailing the corrections made, or the time line required to complete the necessary corrections. Please include written and/or photographic documentation to verify corrections (e.g. service reports, photo of equipment, sanitation cleaning records); please refer to the section on Summary of Deficiencies in the report.

We appreciate your commitment to food safety. If you have any questions or want to discuss your audit report, please call 510-821-9818 or e-mail me at hpatel@scscertified.com. In addition, we invite you to visit the updated SCS web site at www.scscertified.com.

Sincerely,

Heena Patel

Director, Food Safety Auditing Services
2200 Powell Street, Suite # 725
Emeryville, CA 94608
www.scscertified.com
Direct: 510-452-8024
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**Cold Storage
Warehouse
Audit Checklist**

**Scientific Certification Systems
2200 Powell Street
Suite 725, Emeryville, CA 94608
Phone: 510-452-8000
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Auditor Name	Rachel Juengst
Auditor's contact phone number	(510) 421-7661
Auditor's email address	rjuengst@scscertified.com
Corporate Office	Scientific Certification Systems dba NutriClean
Contact Person	Heena Patel (Director of Food and Ag Services)
Corporate Facility Address (City, State/Province, Area/Region, Postal Code, Country)	2200 Powell Street, Suite 725, Emeryville, CA 94608
Contact Person	Heena Patel (Director of Food and Ag Auditing Services)
Phone Number	510-452-8024 (work). 510-821-9818 (cell)
Fax Number	510-452-8001
Audited Facility Name	Westside Produce
Audited Facility Address (City, State/Province, Area/Region, Postal Code, Country)	785 12th Street, Firebaugh, CA 93622
Contact Person	S. Garrett Patricio
Phone Number	(415) 518-9183
Fax Number	(559) 659-0169
Email Address	garrett@westsideproduce.com
Mailing Address of the Report	P.O. BOX 7/ 785 12th Street, Firebaugh, CA 93622
Has the Facility Inspected by Government Authority? (e.g., Local County, State, FDA)	No
Does this facility audit their supplier either through a first/second/third party audit?	Facility is it's own supplier; third party audits are conducted at the field level.
What other type of audit has been conducted at this facility (e.g., Organic, SQF, FPA, BRC)	None
Type of Primary Packaging (e.g., poly, cardboard boxes, etc)	Cardboard Boxes
Type of Secondary Packaging (e.g., poly, cardboard boxes, etc)	None
Channels of Trade (Retail, Wholesale, International, etc.)	Retail, Wholesale, and Food Service
Hours of Operation	6AM-12PM
Months of Operation (e.g., January - December)	July-November (Seasonal)
Number of Employees	40
Year Built	1993
Year(s) Updated	Continuous
Size of Facility	20,000 Sq ft.
Property Size	11 Acres
Neighboring Land Use	Farms/ Warehouses/Housing
Building Material, Exterior Walls	Concrete
Building Material, Interior Walls	Concrete/Insulation
Building Material, Floors	Concrete
Building Material, Exterior Roof	Wood
Building Material, Interior Ceiling	Insulation
Areas of the Facility Excluded from the Audit	None
Date of Audit Exit Meeting	7/14/2008
Length of Audit	4 hours
Facility Personnel	Garrett Patricio- Vice President of Operations
Date of Last Audit	8/16/2007
Product(s) Handled	Cantaloupes
Facility Construction and Design	The facility is comprised of one large cold storage unit and a warehouse. Packaging materials are stored outside on pallets, completely covered in plastic. Employee restrooms are located by the main office area, away from product handling and storage areas.
Brief Description of the Process	Product is packed in the fields, transported to the cold storage facility. Products are forced-air cooled, stored, and distributed.
Food Safety Total Score (≥ 80% Satisfactory)	95.27%
Rating	SUPERIOR
Food Security Total Score (≥ 80% Satisfactory)	98.61%
Rating	SUPERIOR

SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES	Satisfactory	Needs Improvement	Unsatisfactory	Not Applicable	Automatic Failure
Sub Category	Place a Checkmark ✓				
Management Commitment & Review					
Management Commitment & Review	✓				
Employee Practices					
Employee Practices		✓			
Training and Education					
Training and Education	✓				
Sanitary Facilities					
Toilet Facilities		✓			
Hand Washing Facilities	✓				
Water					
Water Source Test	✓				
Grounds					
Grounds	✓				
Building Size, Construction and Design					
Building Size, Construction & Design		✓			
Building Structures/Fixtures	✓				
Plumbing	✓				
Environmental Control	✓				
Pest Control Program and Procedures					
Pest Control Program and Procedures		✓			
General Operational Practices and Procedures					
Ice				✓	
Incoming Products	✓				
Hold and Release Program		✓			
Foreign Material Control/ Indirect Product Additives		✓			
Calibration	✓				
Recall/Traceability Program	✓				
Facility Inspection/Food Safety Program Review	✓				
Visitor and Contractor Access Control	✓				
SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES	Satisfactory	Needs Improvement	Unsatisfactory	Not Applicable	Automatic Failure
Cleaning Equipment and Chemicals					
Cleaning Equipment and Chemicals		✓			
Cleaning, Sanitation and Housekeeping					

Cleaning, Sanitation and Housekeeping	√				
Verification (Env/Equipment Swabs)				√	
Preventive Maintenance					
Preventive Maintenance	√				
Receiving, Storage and Distribution					
Receiving: In-bound Inspection				√	
Storage	√				
Transportation and Distribution	√				
SECTION B: HACCP PLAN AND PROCESS PRACTICES					
Sub Category					
Management Commitment and Review	√				
HACCP/Hazard Prevention Program	√				
Product Description(s), Process-Flow Diagram(s), Hazard Analysis Worksheet(s)	√				
HACCP Plan(s) and CCPs				√	
Monitoring Procedures				√	
Corrective Actions				√	
Verification Procedures				√	
Validation Procedures				√	
Record Keeping				√	
Allergens				√	
Training and Education				√	
SECTION C: DOCUMENT CONTROL					
Sub Category					
Document Control	√				

**GMP FOOD SAFETY ASSESSMENT DETAILED REPORT AND
FOOD SAFETY FINAL SUMMARY SCORE
COLD STORAGE WAREHOUSE**

Audit Summary

SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES	Food Safety Section			Other Section		
Sub Category	Points scored	Points Possible	Percent (%)	Points scored	Points Possible	Percent (%)
Management Commitment and Review	N/A	N/A	N/A	15	15	100.00%
Employee Practices	20	20	100.00%	36	39	92.31%
Training and Education	20	20	100.00%	22	22	100.00%
Sanitary Facilities	35	40	87.50%	53	53	100.00%
Water	N/A	N/A	N/A	8	8	100.00%
Grounds	20	20	100.00%	11	11	100.00%
Building Size, Construction and Design	45	50	90.00%	47	47	100.00%
Pest Control Program and Procedures	60	60	100.00%	51	55	92.73%
General Operational Practices and Procedures	20	25	80.00%	59	65	90.77%
Cleaning Equipment and Chemicals	10	20	50.00%	18	18	100.00%
Cleaning, Sanitation and Housekeeping	20	20	100.00%	55	55	100.00%
Preventive Maintenance Program	10	10	100.00%	18	18	100.00%
Receiving, Storage and Distribution	10	10	100.00%	26	26	100.00%
SECTION B: HACCP PLAN AND PROCESS PRACTICES						
Sub Category						
Management Commitment and Review	N/A	N/A	N/A	7	7	100.00%
HACCP/Hazard Prevention Program	10	10	100.00%	36	36	100.00%
Allergens	N/A	N/A	N/A	N/A	N/A	N/A
Training and Education	N/A	N/A	N/A	N/A	N/A	N/A
SECTION C: DOCUMENT CONTROL						
Document Control	N/A	N/A	N/A	24	24	100.00%
TOTAL SCORE	280	305	91.80%	486	499	97.39%

Food Safety (GMP) Final Summary

Title	Cold Storage Warehouse	Points Scored	Points Possible	% Percentage
Food Safety Section		280	305	91.80%
Other Section		486	499	97.39%
TOTAL SCORE		766	804	95.27%

Food Security Final Summary

Title	Cold Storage Practices	Points Scored	Points Possible	% Percentage
TOTAL SCORE		142	144	98.61%

FDA Registration Numk Yes

AUDIT SCORING SYSTEM

SCORE			RATING	DESCRIPTION	DOCUMENTATION COMPLIANCE
10 pts	7 pts	4 pts	AUTO	Automatic Unsatisfactory (Refer to Next Page)	
N/A	N/A	N/A	N/A	Not Applicable	Not Applicable
				The particular question doesn't apply to the facility in question or are not controlled at the facility.	The particular question doesn't apply to the facility in question or are not controlled at the facility.
0	0	0	US	Unsatisfactory	Unsatisfactory
				Critical food safety hazards, which compromise the safety of the product, are observed.	A) No written Food Safety Program in place. B) Records Review: No records available.
1	1	1	NI	Needs Improvement	Needs Improvement
				Serious food safety hazards, which may eventually compromise the safety of the product, are observed. Significant improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs serious improvement. B) Records Review: Very few records may be available and/or current.
3	2	2	NI	Needs Improvement	Needs Improvement
				Major food safety hazards, which may not immediately compromise the safety of the product, are observed. Partial improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs major improvement. B) Records Review: Some records may be unavailable and/or current.
5	4	3	NI	Needs Improvement	Needs Improvement
				Minor food safety hazards, which may not immediately compromise the safety of the product, are observed. Minimum improvements in operational practices and procedures are needed to avoid food safety hazards.	A) Written Food Safety Program in place and/or needs minor improvement. B) Records Review: Very few records may be unavailable and/or not current.
10	7	4	S	Satisfactory	Satisfactory
				No food safety hazards are observed. Meets the intent of the checklist in design and execution.	A) A complete written Food Safety Program in place. B) Records Review: All records are available and kept current.

Conditions for an Automatic Failure

A. General

1. An immediate food safety risk is present due to a violation of the Good Manufacturing Practices (Code of Federal Regulations Title 21, Part 110).
2. Product is stored or held under conditions that promote or cause the food to become contaminated, and thus rendered harmful to one's health.
3. Sanitation procedures are not in place.
4. Products are stored at improper conditions e.g., temperature, humidity).
5. Presence or evidence of contaminated food with foreign material or filth (e.g., flaking paint, rust, glass, wood, metal, jewelry, lubricants, etc.), during packing or storage.

B. Rodents, Insects, Birds, Animals, and other Pests

1. Absence of pest control program in the packing, product cooling areas including packaging material and product storage areas.
2. Presence or evidence of rodents, insects, or other pests in the product during packing, or storage (e.g., excreta, bird feathers, etc.)
3. Presence or evidence of decomposed rodent(s) in pest control traps.
4. Extensive infestation in packing, processing, storage and distribution areas, including infestation of the area overhead where food or packaging material is present (e.g., presence of birds' nests).
5. Any roach activity in food handling or storage areas.
6. Presence of animals inside the facility (e.g., dogs, cats, etc.)

C. Cleaning Chemicals, Pesticides and other Poisonous Materials

1. Food is adulterated as defined by the Food, Drug and Cosmetic Act, Section 402.
2. An imminent food safety risk is present due to violation of the Environmental Protection Agency (EPA) and/or State pesticide regulations.
3. Illegal use of pesticides (e.g., pesticides not meeting EPA or other regulatory standards).
4. Recommended guidelines for the preparation and handling of pesticides are not followed (i.e., not following label instructions).
5. Non-food grade cleaning agents (detergents and sanitizers) are used.
6. Presence or evidence of contaminated food with chemicals, pesticides or other poisonous materials.
7. Food products stored with toxic substances.

D. Employee Practices

1. Observation of employee practices that jeopardize or may jeopardize the safety of the product (e.g. open sores and boils on employees who have direct contact with product or product handling areas, employees not following hand washing requirements, etc.)
2. Gross negligence or actions, which render food unsafe or harmful to one's health.

E. Sanitary Facilities

Toilet facilities and hand washing stations not provided.

F. Water

1. Water known to be contaminated comes in contact with the product.
2. Ice known to be contaminated comes in contact with the product.

G. HACCP/Hazard Prevention Program

1. No HACCP program exists where legally mandated, and in the case of sprouted seeds, i.e., documented HACCP program, detailing 7 principles, is not established, is not up-to-date, and is not available for review.
2. Identified Critical Control Points not implemented and monitored and is not available for review.
3. Falsification of CCP (Critical Control Point(s)) records.

Food Safety Assessment Rating System

This rating system describes the status of cold storage warehouse operations in regards to food safety issues associated with the particular operations they perform. It should be noted that it is not possible to completely eliminate the risk of contamination associated with production (GMPs) / food environment. This fact remains true regardless of the practices employed or the rating level achieved as a result of an audit. The Good Manufacturing Practices (21 CFR, Part 110) are used as references to assess the levels of risk associated with these operations.

Percentage	Assessment	Description
95.00 or more	Superior (Pass)	The food is produced in an exemplary environment.
90.00-94.99	Excellent (Pass)	The food is being produced in an environment that significantly reduces the likelihood of contamination.
80.00-89.99	Good (Pass)	Procedures and guidelines to protect the food product against contamination need some improvement. However, there is a low likelihood that current practices will lead to contamination of the food product.
70.00-79.99	Fair (Fail)	The food is being produced in an environment where some practices that protect the food against contamination are followed. However, some potential hazards and/or the potential for product contamination exists. Improvements in procedures and operating practices would further reduce the likelihood of product contamination.
60.00-69.99	Poor (Fail)	The food is being produced in an environment where serious deviations from recommended safe practices (GMP) were noted. Significant improvements in procedures and operating practices should be implemented to reduce the likelihood of product contamination.
Less than 59.99	Critical (Fail)	The food is being produced in an environment where critical deficiencies and/or serious potential or actual contamination were observed. Immediate improvements in procedures and operating practices should occur.

SUMMARY OF DEFICIENCIES

CATEGORY	FINDINGS	CORRECTIVE ACTIONS (Provide Documents and/or Pictures)
Employee Practices	2.1.13 Personal belongings and clothing are stored in lockers or on hooks, however, at the time of the audit, a jacket was observed near the entry to the cold storage in the warehouse and another jacket was hung over the quality testing table.	
Sanitary Facilities	2.3.2 There were no drains provided in the women's bathroom toilet facilities.	
Building Size, Construction, and Design	2.6.1 Packaging material is stored outside. Note: Packaging material is covered to protect it from contamination.	
Pest Control Program and Procedures	2.7.2 The pest control program is handled by Orkin. License for the pest control technician and current insurance was not available at the time of the audit.	
Pest Control Program and Procedures	2.7.4 The facility map was not signed and dated within the last year at the time of the audit.	

General Operational Practices and Procedures	2.8.7 Hold and release procedures were not available at the time of the audit.	
General Operational Practices and Procedures	2.8.18 Glass and brittle plastic policy was not available at the time of the audit.	
General Operational Practices and Procedures	2.8.19 Water jugs made of brittle plastic were stored in the cold storage unit. All glass or brittle plastic must be kept from product handling and storage areas.	
Cleaning Equipment and Chemicals	2.9.1 Cleaning compounds were appropriate, however, labels for cleaning compounds were not with MSDS and were not available for review.	
Cleaning Equipment and Chemicals	2.9.5 Cleaning equipment or cleaning items such as brooms, brushes, mops are not color coded or labeled to identify which areas the cleaning items shall be used (restrooms vs. production).	

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Audited Facility: Westside Produce			Location: 785 12th Street, Firebaugh, CA 93622					Date: 7/14/2008	
GMPs			SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES						
Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
	1.0	MANAGEMENT RESPONSIBILITY							
Sub Category	1.1	Management Commitment and Review							
Mgmt. Commitment	1.1.1	Is a Mission Statement and Product Safety Policy documented and communicated to all levels of the organization?	4		4				Mission statement is available and is posted in the employee break area.
Mgmt. Commitment	1.1.2	Is an organizational chart in place that identifies positions responsible for Food Safety System compliance including descriptions of responsibilities?	4		4				An organizational chart is in place with responsibilities documented.
Mgmt. Commitment	1.1.3	Is management following Current Good Manufacturing Practices (cGMPs) (21 CFR Part 110)?	7		7				Based on the observations at the time of the audit, management is following cGMPs.
		Other Section Total Points			15	0	0	0	15
	2.0	FUNDAMENTALS							
Sub Category	2.1	Employee Practices (Assessed by Observation and Documentation)							
Employee Practices		General Expectation: Compliance with 21 CFR 110.10 (a) and (b), 110.37 (e)(5), and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section IV.A. and B.							
Employee Practices	2.1.1*	1. Are employees with: a. open and/or infected wounds or cuts on their hands or face, or with symptoms of infectious illness (e.g., diarrhea, vomiting), prohibited from having direct contact with exposed product or production and/or storage areas? b. signs of communicable disease evaluated? (e.g., observations) 2. Are corrective actions taken if a worker is found to be infected?	10		10				Employees with wounds or signs of illness are prohibited from having direct contact with the product.
Employee Practices	2.1.2	Are employees maintaining: a. clean clothing or uniforms? b. adequate personal cleanliness?	7		7				Employees are maintaining clean personal clothing. Note: No uniforms are worn.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Employee Practices	2.1.3	Are employees washing and/or sanitizing hands prior to beginning or returning to work, or whenever the hands may have become soiled or contaminated?	7		7				Employees are washing hands before returning to work and at all appropriate times.
Employee Practices	2.1.4	Are employees prohibited from eating food, drinking beverages, spitting, chewing gum, and using tobacco and/or toothpicks in product handling areas? NOTE: Food consumption should also be prohibited in locker rooms.	7		7				Employees are prohibited.
Employee Practices	2.1.5*	Are all products, materials, and packaging that come in contact with blood destroyed, and any equipment, tools, and/or product contact surfaces that come in contact with blood cleaned and sanitized before use?	10		10				Proper procedures are followed. No issues thus far.
Employee Practices	2.1.6	Does the operation have a written policy, which addresses applicable worker health and hygiene issues?	7		7				Worker health and hygiene policy is available on file.
Employee Practices	2.1.7	Are readily understandable written signs and/or pictures in appropriate language(s) strategically located around the product handling areas? (e.g., reminding employees to wash and sanitize their hands, when necessary, cGMPs policy)	4		4				Additional hand washing signs are posted.
Employee Practices	2.1.8	Are employees storing their clothing or personal belongings in appropriate designated areas away from the product handling areas? NOTE: Food storage should be prohibited in lockers.	7			4			Personal belongings and clothing are stored in lockers or on hooks, however, at the time of the audit, a jacket was observed near the entry to the cold storage in the warehouse and another jacket was hung over the quality testing table.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			32	4	0	0	36
Sub Category	2.2	Training and Education (Assessed by Observation, Interview, and Documentation)							
Training & Educ.		General Expectation: Compliance with 21 CFR 110.10 (c) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section IV.2.0							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Training & Educ.	2.2.1	Is there a documented employee training program, which includes initial and ongoing and/or refresher food safety training (e.g., cGMPs, personnel practices) for all employees, and training on cleaning and sanitation procedures for sanitation employees?	7		7				Available on file.
Training & Educ.	2.2.2	Is there an assigned person or an outside agency responsible for conducting training on topics such as food safety, cGMPs, and sanitation and cleaning procedures?	4		4				Training is handled by the Harvest Manager and by the Food Safety Manager.
Training & Educ.	2.2.3*	1. Is there an initial and ongoing and/or refresher employee training program that addresses food safety related issues (e.g., cGMPs, personnel practices, sanitation procedures) to all employees, including new employees? 2. Is the general content of the training sessions included? (e.g., topics covered, who was trained, who provided the training, date of training)	10		10				Initial and refresher training details company policies on personal hygiene practices and sanitation. Weekly tail-gate meetings cover a variety of topics related to food safety.
Training & Educ.	2.2.4	Is worker participation in respective training programs (initial and ongoing and/or refresher, addressed in 2.2.3) documented, including the employee's signature, and available for review?	4		4				Worker participation has been documented in training logs.
Training & Educ.	2.2.5	Do employees appear to have received and understood training and are they practicing proper product handling procedures?	7		7				Employees appear to have received and understood training.
Training & Educ.	2.2.6*	Is there a supervisor with relevant educational background and/or experience, who oversees the food safety practices? (e.g., sanitation, cGMPs)	10		10				The Food Safety Manager has experience with food safety, i.e., he belongs to the Food Safety Committee on the California Cantaloupe Advisory Board.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			22	0	0	0	22
Sub Category	2.3	Sanitary Facilities (Assessed by Observation and Documentation)							
Sanitary Facilities		General Expectation: Compliance with 21 CFR 110.37 (d) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section V.							
Toilet Facilities	(a)	Toilet Facilities							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Toilet Facilities		General Expectation: Each facility shall provide its employees with adequate, readily accessible toilet facilities.							
Toilet Facilities	2.3.1*	1. Is a minimum of one toilet facility provided for every 20 people? 2. Are separate toilet facilities provided if there are 5 or more employees of each gender? 3. Are toilet facilities located within a 5-minute walk or 1/4 mile for all workers? (10 points)	10		10				There are a maximum of 40 employees working at one time and six toilets provided in the facility. Toilet facilities are sufficient.
Toilet Facilities	2.3.2*	1. Are toilet facilities located and/or designed so as to reduce the possibility of contamination to water sources or product in the event of a malfunction? (e.g., adequate drainage). 2. Are doors to toilet facilities situated so they do not open into areas where product is exposed to air-borne contamination, except where alternate means have been taken to protect against such contamination? (e.g., double doors or positive air-flow systems) (10 points)	10			5			There were no drains provided in the women's bathroom toilet facilities.
Toilet Facilities	2.3.3	Do toilet facilities have: a. self-closing doors? b. ventilation systems to eliminate odors? c. floors, walls, ceilings and toilets built in such a way that they can be cleaned and sanitized properly? d. floors, walls and ceilings in good repair? e. functional toilets and urinals? f. trash receptacles?	7		7				Toilet facilities are sufficient.
Toilet Facilities	2.3.4	Are toilet facilities maintained in clean condition?	7		7				Toilet facilities are cleaned once a day by in-house personnel and are checked twice a day to maintain cleanliness.
Toilet Facilities	2.3.5	Are toilet supplies monitored and/or stocked throughout the day?	7		7				Toilet facilities are monitored and stocked throughout the day.
Toilet Facilities	2.3.6	1. Are the cleaning procedures described in a document that details how and when to clean (at least daily)? 2. Is cleaning documented and are records legible?	7		7				Cleaning of sanitary facilities is handled by in-house personnel. Cleaning is documented.
Hand washing	(b)	Hand washing facilities							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Hand washing		General Expectation: Compliance with 21 CFR 110.37 (e) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section V.							
Hand washing	2.3.7*	Are hand washing stations provided next to the toilet facilities to facilitate their use?	10		10				Hand washing facilities are provided inside the bathrooms.
Hand washing	2.3.8	Are additional hand washing stations and, where appropriate, hand sanitizer stations (e.g., hand dips, wall units) provided in the facility where good sanitary practices require employees to wash and/or sanitize their hands? (e.g., at entries to product washing, sorting, and/or packing areas)	4		4				An additional hand sanitizer unit is provided in the forklift battery re-charging area.
Hand washing	2.3.9*	Are hand washing stations located and/or designed: a. to prevent contamination of the product (e.g., water is not splashed near product or product contact surfaces) and to protect against recontamination of clean, sanitized hands? (e.g., installation of devices and/or fixtures such as water control valves) b. to facilitate hands-free operations?	10		10				Hand washing stations in bathrooms are not hands-free, however, product is not directly handled at the cold storage.
Hand washing	2.3.10	1. Are single-use paper towels or air drying devices used at hand washing stations? 2. Are hand washing stations functional (e.g., not leaking) and equipped with warm running water, bacteriostatic soap, and/or an appropriate hand sanitizer? 3. Are written signs and/or pictures in appropriate language(s) located next to the hand washing stations reminding employees to wash and sanitize their hands, when necessary?	7		7				Hand washing stations were fully equipped.
Hand washing	2.3.11	1. Are hand washing stations and/or hand sanitizing stations (e.g., hand-dips, wall units) monitored and/or stocked throughout the day? 2. Is the chemical concentration in hand-dips maintained at appropriate concentration at all times, documented, and available for review?	7		7				Hand washing stations and the wall unit are monitored along with bathrooms. N/A for hand dips.
Hand washing	2.3.12	1. Are hand washing and/or hand sanitizing stations maintained in clean condition? 2. Are hand washing and/or sanitizing stations cleaned on a scheduled basis and as needed?	7		7				Stations are maintained in clean condition.
		*Food Safety Section Total Points			30	5	0	0	35
		Other Section Total Points			53	0	0	0	53
Sub Category	2.4	Water (Assessed by Observation and Documentation)							
Water		General Expectation: Compliance with 21 CFR 110.37 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Water Source	(a)	Water Source Testing							
Water	2.4.1	1. Is water with adequate quality provided in sufficient quantities and locations in the facility? 2. Are analytical tests for water kept on file? 3. If results are out of specification, are corrective actions documented and legible?	4		4				City water is used.
Water	2.4.3	Are drinking water supply delivery points, fountains or containers maintained in a clean and sanitary manner, with single use paper cups provided where appropriate?	4		4				Yosemite provides water for employee consumption. No issues.
		Other Section Total Points			8	0	0	0	8
Sub Category	2.5	Grounds (Assessed by Observation and Documentation)							
Grounds		General Expectation: Compliance with 21 CFR 110.20 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.3.0							
Grounds	2.5.1 *	1. Is there a written policy, which describes the required maintenance of grounds and is it being followed? 2. Are roads, yards, and parking lots maintained in a condition so that they do not constitute a source of contamination in areas where product is exposed? (e.g., keeping weeds or grass cut, no pot holes and adequate surface drainage to prevent foot-borne filth and breeding places for pests)	10		10				Written policy on the maintenance of the grounds is available on file. There were no issues.
Grounds	2.5.2.	Is 16-18 inches of clearance maintained around the outside perimeter of the building?	7		7				Exterior clearance has been maintained.
Grounds	2.5.3	Is equipment and/or materials, which is stored on the grounds, stored in a manner so as to prevent harborage of pests? (e.g., idle equipment and/or material is at least 20 feet away from any buildings and 6 inches off the ground (pallets are acceptable), pipes must have sealed ends)	7	X					N/A There is no equipment or materials stored on the grounds.
Grounds	2.5.4	Do all trash receptacles have closed lids?	4		4				Trash receptacles are equipped with closed lids.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Grounds	2.5.5*	Is litter collected and waste stored and/or disposed of in a manner adequate to minimize the odor, prevent contamination of product and/or become an attractant to vermin?	10		10				Trash disposal is conducted by Firebaugh disposal 3-5 days a week.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			11	0	0	0	11
Sub Category	2.6	Building Size, Construction and Design (Assessed by Observation and Documentation)							
Size, Construction & Design		General Expectation: Compliance with 21 CFR 110.20 (b), 21 CFR 110.37 (b), and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0							
Size, Construction & Design	(a)	Building Size, Construction and Design							
Size, Construction & Design	2.6.1*	1. Is the facility constructed and/or arranged to reduce potential for cross-contamination? (e.g., receiving and loading areas are separate from storage areas). 2. Are packaging material (if used) and product storage areas completely enclosed?	10			5			Packaging material is stored outside. Note: Packaging material is covered to protect it from contamination.
Size, Construction & Design	2.6.2	Are employee break and/or locker areas separate from the product handling areas?	7		7				There were no issues.
Size, Construction & Design	2.6.3	Is adequate lighting available in all areas where the product is manufactured, examined, packaged, or stored, and in all employee areas? (e.g., to allow for product to be properly fabricated, stored, rotated)	4		7				There is a separate area provided for the employee break area.
Size, Construction & Design	2.6.4*	Does the system for removing waste materials from product handling area work efficiently? (e.g., litter and waste stored and/or disposed of in a manner adequate to prevent contamination of product and/or become an attractant to vermin)	10		10				Adequate lighting is provided.
Structures/ Fixtures	(b)	Building Structures/Fixtures							
Structures/Fixtures	2.6.5	Is the roof properly maintained? (e.g., no leaks)	7		7				The roof has been properly maintained.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Structures/Fixtures	2.6.6	1. Is the facility and its structures, such as ceilings, walls, floors, windows, vents, drains, and overheads (e.g., pipes, air vents, and lights) designed and constructed of materials to be adequately cleaned and maintained in good repair, to protect product from cross-contamination? (e.g., using appropriate construction materials) 2. Are these areas kept in good repair? (e.g., no deep holes or cracks, exposed foam materials, and broken windows and lights)	7		7				The facility is in good condition. There were no issues.
Structures/Fixtures	2.6.7*	Are overhead fixtures, ducts, and pipes located over product contact surfaces, packaging materials, and exposed products, maintained in clean and good condition? (e.g., no cracks, rust, breakage, missing parts, or drips)	10		10				There were no issues.
Plumbing	(c)	Plumbing							
Plumbing	2.6.8	Is water used for cleaning of equipment, utensils, and for employee sanitary facilities maintained at a suitable pressure?	4		4				A suitable pressure is maintained.
Plumbing	2.6.9*	Are sewer pipes and water pipes placed to avoid possible contamination of product or equipment in the event of a leak or dripping from condensation, and are preventative measures in place?	10		10				There were no issues.
Plumbing	2.6.10*	Are the water lines for product handling and/or employee use protected against back-flow or cross-connections from the wastewater and sewage plumbing system? (e.g., there is a main water back-flow device as well as devices at points where there is potential for back-flow into potable water lines)	10		10				Water lines are protected against back-flow. Note: Not a wet environment.
Plumbing	2.6.11	Is there adequate floor drainage in areas where floors are subject to flood-type cleaning?	7		7				Adequate drainage and sloping is provided.
Plumbing	2.6.12*	If potable and non-potable water is provided at the facility, is the water source and plumbing system identified potable vs. non potable, and are they separate?	10	X					N/A Only potable water is provided.
Env. Control	(d)	Environmental Control							
Env. Control	2.6.14	1. Is there a documented glass and/or brittle plastic management policy? (e.g., no unprotected glass or brittle plastic will be allowed in the facility) 2. Does it include procedures for: a. segregation of suspect materials? b. clean-up? c. re-inspection?	7		7				There is proper ventilation throughout the facility. Fans are used in the facility in a safe manner.
Env. Control	2.6.15*	Is exposed glass and/or brittle plastic prohibited, and is a highly audited "glass free zone" maintained in the product handling and storage areas? (e.g., a. shatter-proof light bulbs and/or light bulbs covered with protective covers, including insectocutors, dock lights; b. windows coated or made of tempered glass or of plastic; c. no exposed glass thermometers; d. no storage or use of food and drinks in glass containers in product handling areas)	10	X					N/A No foot baths, foot foamers, etc.
		*Food Safety Section Total Points			40	5	0	0	45

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points			46	0	0	0	46
Sub Category	2.7	Pest Control Program and Procedures (Assessed by Observation and Documentation)							
Pest Control		General Expectation: Compliance with 21 CFR 110.20 (b) (7), 21 CFR 110.35 (c) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0							
Pest Control	2.7.1	Is there a written pest control program and is it available for review?	7		7				Available on file.
Pest Control	2.7.2	1. Are pesticide applications performed by trained and licensed/certified personnel? 2. Are the service agreement, license and certificate of insurance (if service is provided by an outside company) current and available for review? 3. Does the facility have an assigned person responsible for overseeing the pest control program and is this responsibility documented?	4			2			The pest control program is handled by Orkin. License for the pest control technician and current insurance was not available at the time of the audit.
Pest Control	2.7.3*	1. Do pesticides, chemicals, or other pest control measures meet applicable regulations (e.g., USDA, EPA, OSHA)? 2. Are MSDSs and copies of labels for all chemicals and compounds used available for review?	10		10				There were no issues.
Pest Control	2.7.4	1. Are locations of all traps (e.g., glue boards, bait stations, light traps, pheromone traps or any other device in use) indicated on a facility map, which is cross-referenced to a list or a key on the map showing the descriptions and/or types of traps at each station? 2. Is the facility map signed and dated (verified as accurate) within last year?	4			2			The facility map was not signed and dated within the last year at the time of the audit.
Pest Control	2.7.5	Are pest control stations properly coded (e.g. ID #, bar code) to correspond with the master identification map?	4		4				Pest control stations are properly coded.
Pest Control	2.7.6*	1. Is there an adequate number of interior pest control devices, spaced at intervals (typically 25-30 feet) along the interior perimeter of the facility, including on both interior sides of overhead doors? 2. Is there an adequate number of secured (to the ground, building or some type of block), tamper resistant (lid must be secured and require some type of "key" or other device to open) exterior pest control devices, spaced at intervals (typically 30-50 feet) around the building perimeter? 3. Are pest control stations set-up or constructed to avoid product, packaging, or equipment contamination?	10		10				There is an adequate number of pest control stations available throughout the warehouse (interior and exterior parameters)
Pest Control	2.7.8	Are live catch devices and glue boards checked at least bi-weekly, insect traps checked at least monthly, and bait stations checked for fresh bait at least monthly?	7		7				Monthly service reports are available on file.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Pest Control	2.7.9	1. Are pest control devices functioning properly? 2. Are pest control exclusion devices (e.g., light traps, mechanical traps) cleaned and maintained on a scheduled basis?	4		4				There were no issues.
Pest Control	2.7.10*	Is there no evidence of decomposed rodents in the interior or exterior pest control devices?	10		10				There was no evidence of decomposed rodents.
Pest Control	2.7.11	Does the inside of the facility appear to be free from insects, rodents, birds, and domestic animals?	7		7				There were no issues.
Pest Control	2.7.12*	Is there no evidence of insect, rodent, or bird activity on or in product, packaging, and product-contact surfaces (e.g., excreta, feathers)?	10		10				There is no evidence.
Pest Control	2.7.13	1. Are insect-exclusion devices used appropriately at exterior entrances (e.g., air curtains, light traps)? 2. Are insect exclusion devices cleaned and maintained on a scheduled basis?	7	X					N/A No insect-exclusion devices are used.
Pest Control	2.7.14	Are destructive type traps located at least 30 feet from exposed product or packaging and 5 feet away from covered product or packaging?	7	X					N/A No light traps are used.
Pest Control	2.7.15	Are all light traps positioned so that they will not attract insects from outside, into the building?	4	X					N/A No destructive type traps are used.
Pest Control	2.7.16	Are birds controlled by netting, screens, traps, or other exclusion methods? (Application of avicides are prohibited in the facility.)	7		7				Bird deterrents are used, i.e., fake owls are positioned in the receiving area.
Pest Control	2.7.17*	Is toxic bait used only in exterior bait stations?	10		10				Toxic bait is excluded from the interior of the facility.
Pest Control	2.7.18	Are inspection records from the past twelve months available for review? (e.g., findings, corrective actions, trap observations, pesticide application, equipment used)	7		7				Available on file.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Pest Control	2.7.19*	1. Have cracks or crevices been sealed to prevent entrance or harborage of pests? 2. Are outside drains protruding from exterior building walls screened? 3. Are doors and windows sealed to prevent gaps greater than 1 inch? 4. Are windows and exterior doors, vents, fans, and other similar features screened, and rodent-proofed to protect against insect and rodent entry and infestation? 5. Do dock door levelers have intact seals?	10		10				There were no issues.
Pest Control	2.7.20	Are exterior doors and entrances closed when not in use? (4 points)	4		4				Doors are closed when not in use.
Pest Control	2.7.21	If pest control chemicals are stored on site for pest control, are they properly labeled and kept in secure, locked areas, away from any product handling and packaging material storage areas?	7	X					N/A Not stored on site, brought in by outside company.
		*Food Safety Section Total Points			60	0	0	0	60
		Other Section Total Points			47	4	0	0	51
Sub Category	2.8	General Operational Practices and Procedures (Assessed by Observation and Documentation)							
General Operational Practices		General Expectation: Compliance with 110.80 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section II, Section VII.B.2.0							
Product Cooling		Product Cooling							
Product Cooling		Describe method(s) of cooling (e.g. ice, forced-air cooling, vacuum cooling, cold storage)						Unscored Question	Forced-air cooling. Cold storages.
Ice	(i)	Ice							
Ice	2.8.1*	Is ice in direct contact with product or product contact surfaces periodically checked for adequate microbial quality, and are results available for review? (If ice is purchased from an outside source, is it checked for microbial quality, and are analytical results requested and available for review?)	10	X					N/A Do not use ice.
Ice	2.8.2*	In the event of adverse analytical findings, are corrective actions documented, legible, and available for review?	10	X					N/A Do not use ice.
Ice	2.8.3*	Is ice handled or stored in a manner that prevents or minimizes the possibility of contamination?	10	X					N/A Do not use ice.
Product Handling Practices	(ii)	Handling Practices: Incoming and Stored Products							
Product Handling Practices		General Expectation: Compliance with 21 CFR 110.80: Raw materials shall be inspected and segregated or otherwise handled as necessary to ascertain that they are clean and suitable for processing into product and shall be stored under conditions that will protect against contamination and minimize deterioration.							
Product Handling Practices	(ii.a)	Incoming and Stored Packaged Products							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Product Handling Practices	2.8.4	Are first-in/first-out (FIFO) rotation practices used and documented for all stored products (incoming and outgoing)?	7	7					FIFO is practiced. Product is stacked to indicate which product has been stored the longest.
Product Handling Practices	2.8.5*	Are stored packaged products inspected for evidence of contamination prior to release? (e.g., a. packaging, and products which are damaged, dirty, wet, or which have evidence of pest activity, foreign materials, and/or chemicals, must be prohibited from release)	10	10					Inspected.
Product Handling Practices	2.8.6	During storage, are product containers handled in a manner that eliminates contamination from the ground or from inappropriate employee handling?	7	7					Stored off the floor, on pallets.
Product Handling Practices	2.8.7*	Are damaged cases or packages segregated immediately and products properly disposed of?	10	10					Disposed of.
Hold and Release Program	(iii)	Hold and Release Program							
Hold and Release Program	2.8.6	Is there a documented Hold and Release Program that includes: a. who is responsible for putting items on hold and releasing them? b. how products are marked and controlled? c. how "hold" product is monitored, how often it is reconciled and by whom?	7			4			Hold and release procedures were not available at the time of the audit.
Hold and Release Program	2.8.7*	1. Are non-conforming products, which are rejected or on hold, properly identified (e.g., clearly tagged), adequately segregated and controlled against inadvertent shipment, and protected from contamination? 2. Are adulterated products disposed of in a manner that protects against the contamination of other products? 3. Are findings from inspections and corrective actions (if any) documented and are these documents available for review?	10		10				Proper procedures are followed. Stickers and stamps are used to identify product on hold.
Foreign Material Control	(iv)	Foreign Material Control/Indirect Product Additives							
Foreign Material Control		General Expectation: Compliance with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.							
Foreign Material Control	2.8.8	1. Is there a documented glass and/or brittle plastic management policy? (e.g., no unprotected glass or brittle plastic will be allowed in the facility) 2. Does it include procedures for: a. line stoppage?, b. segregation of suspect materials? c. clean-up? d. re-inspection?	7			4			Glass and brittle plastic policy was not available at the time of the audit.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note	
Foreign Material Control	2.8.9*	Is exposed glass and/or brittle plastic prohibited, and is a highly audited "glass free zone" maintained in the product handling and storage areas? (e.g., a. shatter-proof light bulbs and/or light bulbs covered with protective covers, including insectocutors, dock lights; b. windows coated or made of tempered glass or of plastic; c. no exposed glass thermometers; d. no storage or use of food and drinks in glass containers in product handling areas)	10						5	Water jugs made of brittle plastic were stored in the cold storage unit. All glass or brittle plastic must be kept from product handling and storage areas.
	2.8.10*	Is the packaging material made of glass? If so, are proper control measures in place to prevent breakage, and is there a written policy for handling glass packaging in product storage and handling areas?	10	X						N/A No packaging material is made of glass.
Calibration	(v)	Calibration								
Calibration	2.8.11	Are temperature measuring devices (e.g., pulp thermometers, cooler thermometers and units) and other monitoring equipment (e.g., product weighing scales) calibrated on a specified schedule and are records available for review?	4		4					Calibration of pulp thermometers and cooler thermometers are conducted regularly. Last calibration occurred 7/8/08 by Cooler Technologies.
Recall/Traceability	(vi)	Recall/Traceability Program								
Recall/Traceability		General Expectation: A written recall procedure, which identifies the steps required to retrieve product.								
Recall/Traceability	2.8.12	Is there a formal, written Product Recall Program that includes: b. a recall coordinator, b. a 24 hour recall team contact list, c. a description of categories (e.g., class 1, class II, class III), d. regulatory contacts and procedures to notify regulatory agency?	7		7					Recall procedures are available on file.
Recall/Traceability	2.8.13*	Is there a product coding system that can identify products and can the system track products back to their source? (e.g., date of receipt, lot and/or date codes for incoming products; identification, lot codes on outer case and/or inner packages for finished products such as MM DD YY, YDDD or YYDDD).	10		10					A roller stamp is put on each and every box at the field with a number code that has information on crew, date, field number, and company. This information is then kept on file electronically at the facility.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Recall/Traceability	2.8.14	Are mock recalls for lot code backwards and lot code forward performed at least annually and are results (e.g., % product recovery, elapsed time) documented and maintained on file?	7		7				Mock recall is available.
Recall/Traceability	2.8.15	In the event of an actual recall, is the associated documentation available for review?	4	X					N/A No actual recall
Recall/Traceability	2.8.16	1. Is a food-safety-related customer complaint program in place? 2. Are records of food-safety-related customer complaints and company responses kept on file and available for review? (e.g., tracking of customer feedback, including notification of QA of issues reported, assignment of responsibilities, and follow ups)	4		4				Customer complaint program is in place.
Facility Inspection/Program Review	(vii)	Facility Inspection/Food Safety Program Review							
Facility Inspection		General Expectation: Periodic facility inspections will assist in assessing effectiveness of product safety practices and periodic reviews of written procedures will assure that product safety practices will continue to control hazards.							
Self-Inspection	2.8.17	Are good manufacturing practices or facility inspections conducted periodically, and are findings, corrective actions, and follow ups documented and available for review?	7		7				Self-inspections are conducted regularly.
Regulatory Inspection	2.8.18	Are regulatory inspection procedures documented and are inspection records available for review?	4		4				Regulatory inspection procedures are available on file.
Food Safety Program Internal Review	2.8.19	Are reviews of the written product safety management plan and associated procedures conducted periodically and are periodic reviews documented and available for review?	7		7				Reviews are conducted annually and as needed.
Access Control	(viii)	Visitor and Contractor Access Control							
Access Control	2.8.20	Are truck drivers restricted from production and warehouse areas?	4		4				Truck drivers are restricted. A specific area is designated to truck drivers by a yellow painted line.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Access Control	2.8.21	Is facility access limited to authorized personnel?	4		4				Facility is limited to authorized personnel, if a visitor has arrived, they are checked in and given a visitor tag.
Access Control	2.8.22	1. Is there a policy requiring inspectors, visitors, and contractors to comply with good manufacturing practices? 2. Are they required to read or are they briefed on cGMPs policy upon entry to the facility?	7		7				There is a GMP policy on file. There were no issues.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			55	4	0	0	59
Sub Category	2.9	Cleaning Equipment and Chemicals							
Cleaning Equip & Chemicals		General Expectation: Compliance with 21 CFR 110.35 (d)(e). Cleaning compounds and sanitizing agents used in cleaning and sanitizing procedures shall be free from undesirable microorganisms and shall be safe and adequate under the conditions of the use.							
Equip & Chemicals	2.9.1*	1. Are cleaning compounds and sanitizing agents appropriate (anti-microbial, food grade approved) for non-product contact surfaces? 2. Are MSDSs and copies of specimen labels maintained for cleaning and sanitizing chemicals?	10			5			Cleaning compounds were appropriate, however, labels for cleaning compounds were not with MSDS and were not available for review.
Equip & Chemicals	2.9.2	Are cleaning compounds and sanitizing agents clearly identified with chemical name, when in original container and when not in original container? (e.g., chemical barrels, spray bottles, spray containers, buckets)	7		7				Chemicals are clearly labeled.
Equip & Chemicals	2.9.3	1. Are cleaning compounds and sanitizing agents stored in secure, locked areas away from any product handling or storage areas? 2. Do chemical storage areas have clean floors (no excessive or old spills)?	7		7				All cleaning compounds are stored in a locked closet.
Equip & Chemicals	2.9.4	Are first-in/first-out (FIFO) rotation practices used for all cleaning and sanitizing chemicals?	4		4				Cleaning chemicals are bought as needed.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Equip & Chemicals	2.9.5*	1. Are containers, brushes, and applicators, which are used for cleaning and/or sanitizing, color coded or labeled to properly identify them for their intended use? (e.g., cleaning items used in restrooms should not be used elsewhere) 2. If a color coding system is used, is appropriate signage posted regarding use of the containers and equipment?	10			5			Cleaning equipment is not color coded or labeled.
		*Food Safety Section Total Points			0	10	0	0	10
		Other Section Total Points			18	0	0	0	18
Sub Category	2.10	Cleaning, Sanitation, and Housekeeping Procedures							
Sanitation		General Expectation: Compliance with 21 CFR 110.35 and with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.1.0, VII.B.2.0							
Sanitation	2.10.1	1. Is there a written sanitation program that describes how sanitation in and around the facility is managed, who is responsible for managing it, and policies related to sanitation? (Internal or external contract). 2. Are the cleaning procedures (for non-product contact surfaces, including other product handling areas) described in a document that details frequency of cleaning, type(s) of cleaning chemicals used (with concentrations), cleaning items used, and how and when to clean?	7		7				A written sanitation program is available on file.
Sanitation	2.10.2*	1. Are non-product contact surfaces and areas throughout the facility, including cold storage areas, cleaned on a scheduled basis and as needed? (e.g., daily and/or weekly housekeeping, master sanitation schedule) 2. Is cleaning documented (initialed by sanitation person and/or supervisor), reviewed (dated and initialed by reviewer), and are records legible and available for review?	10		10				Non-product contact surface cleanings occur on a scheduled basis and the cleanings are documented.
Sanitation	2.10.3	Is safety equipment provided to sanitation crew?	4		4				Product contact surface cleanings occur on a scheduled basis and the cleanings are documented.
Sanitation	2.10.4	Are water hoses stored off the floor? (e.g., on wall-mounted hangers)	4		4				Stored off the floor.
Sanitation	2.10.5	Are adequate staffing and time allocated to ensure complete cleaning of all areas?	4		4				Adequate staffing provided for sanitation tasks.
Sanitation	2.10.6*	Are stored packaged products protected during cleaning procedures?	10		10				Protected

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Sanitation	2.10.7	Are floors kept free of standing water and/or ice? (e.g., floors sloped towards drains)	7		7				Floors are kept free of standing water and are equipped with adequate drainage. Not a wet environment.
Sanitation	2.10.8	Are product handling and storage areas maintained in clean condition?	7		7				Maintained in clean condition.
Sanitation	2.10.9	Is there a pallet inspection program?	4		4				Pallet inspection program in place.
Sanitation	2.10.10	Is storage of wooden pallets in product handling or storage areas prohibited? (e.g., pallets are brought to these areas only as needed)	4		4				Brought only as needed. Broken, old pallets are discarded.
Sanitation	2.10.11	Are employee break and/or locker rooms, and all other employee welfare areas maintained in sanitary conditions?	7		7				Employee break area is maintained in sanitary condition.
Sanitation	2.10.12	1. Is sufficient aisle space (typically 12-18 inches) maintained along walls to permit cleaning and inspection for pest activity? 2. Are materials stored at an adequate height (typically the height of a pallet) above the floor?	7		7				The interior clearance was maintained.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			55	0	0	0	55
Sub Category	2.11	Preventive Maintenance Program							
P.M. Program		General Expectation: Compliance with 21CFR 110.40: All facility cooling equipment such as cooling units, forced air cooling system shall be so designed and of such material and workmanship as to be adequately cleanable, and shall be properly maintained; 21 CFR 110.80 (7): Equipment must be maintained in a manner that protects against contamination; the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.2.0							
P.M. Program	2.11.1	Does the facility have a preventative maintenance program and are logs kept for ordered maintenance work or repairs, which are signed off when the work is completed? (e.g., cooling units, forced air cooling system)	7		7				On file.
P.M. Program	2.11.2	Are vehicles and/or equipment, which are used for moving packaged products throughout the facility, cleaned and maintained in good condition?	7		7				Maintained in good condition.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points			14	0	0	0	14
Sub Category	2.12	Receiving, Storage and Distribution							
Receiving, Storage & Distribution		General Expectation: Compliance with 21CFR 110.93 and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VIII.							
Receiving	(a)	Receiving: In-bound Inspection							
Receiving	2.12.1	Are temperatures of refrigerated and frozen products documented at the time of receiving?	7	X					N/A Product is brought directly from the field.
Receiving	2.12.2*	1. Does the company have practices for the inspections of incoming trucks and are inspections (e.g., cleanliness, temperature) documented, and available for review? 2. Do incoming trucks, trailers, or transport containers that are used for transporting product appear to be clean and in good condition?	10	X					N/A Product is brought directly from the field.
Storage	(b)	Storage							
Storage	2.12.3	1. Are storage room temperatures maintained within a defined acceptable range? 2. Is storage room humidity maintained within a defined acceptable range? (Applicable only if humidity control is in place)	7		7				Temperatures are maintained by an automated system. Coolers are kept around 36-38 degrees F. Regular checks are conducted.
Storage	2.12.4	1. Is temperature and/or humidity monitored regularly via continuous recording device or manually? 2. Are records and corrective actions available for review?	7		7				Temperatures are maintained by an automated system and checked manually throughout the day.
Transp & Distrib	(c)	Transportation and Distribution							
Transp. & Distrib.	2.12.5	Does the facility use an outside carrier company for transportation? If yes, go to 2.12.5.a. If no, go to 2.12.6.						Unscored question	Outside carrier companies are used.
Transp. & Distrib.	2.12.5.a	Is protocol on safe transportation and proper product handling procedures provided to the carrier companies?	4		4				Protocol is provided to outside carrier companies.
Transp. & Distrib.	2.12.5.b	Is the protocol issued to the drivers when they enter the site as a reminder?	4		4				Protocol is issues to outside carrier companies.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Transp. & Distrib.	2.12.6	Is there a cleaning procedure on trucks that requires adequate cleaning and inspection (incoming and outgoing)?	4		4				Cleaning procedures are available on file.
Transp. & Distrib.	2.12.6.a	1. Does the company have practices for the inspections of outgoing trucks? 2. Do outgoing trucks, trailers, or transport containers that are used for transporting product appear to be clean and in good condition? 3. Are inspections (e.g., cleanliness, temperature) documented, and are inspection records and corrective actions available for review?	10		10				Inspections are conducted and documented for outgoing trucks on cleanliness and odors.
Transp. & Distrib.	2.12.7	Are perishable products maintained in their appropriate temperature range if staged and/or stored in shipping areas (outside the coolers) to prevent temperature degradation of products?	7	X					N/A. Do not have temporary staging areas outside coolers.
		*Food Safety Section Total Points			10	0	0	0	10
		Other Section Total Points			26	0	0	0	26
HACCP PLAN		SECTION B: HACCP PLAN AND PROCESS PRACTICES							
HACCP PLAN		General Expectation: An accurate and documented Hazard Analysis Critical Control Points (HACCP) Plan is developed and implemented. The HACCP Plan complies with Codex Alimentarius Commission and National Advisory Committee for Microbiological Criteria for Foods' definitions for HACCP. The plan addresses physical, chemical, and biological hazards. Frequency of checks and required record keeping are documented. Verification procedures document that the HACCP Plan is working and is continuously effective.							
	1.0	MANAGEMENT RESPONSIBILITY							
Sub Category	1.1	Management Commitment and Review							
Mgmt. Commitment	1.1.1*	Does management appear to be committed to executing an adequate HACCP/Hazard Prevention food safety management program?	7		7				Management is committed.
		Other Section Total Points			7	0	0	0	7
	2.0	FUNDAMENTALS							
Sub Category	2.1	HACCP/Hazard Prevention Program							
HACCP	2.1.1	Does the facility have a documented Hazard Prevention program?	7		7				Available on file.
HACCP	2.1.2	Is the facility Hazard Prevention program HACCP-based?	7		7				Program is HACCP based.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
HACCP	2.1.3	Does the facility operate under a government regulated HACCP or Hazard Prevention program?			Describe				Not a government regulated program.
HACCP	2.1.4	1. Is there a food safety management (HACCP) team identified and documented? 2. Is the HACCP team comprised of employees with diverse responsibilities and does it include a person trained in HACCP?	4		4				Food safety team has been identified.
HACCP	2.1.5	1. Does the HACCP team meet periodically to address food safety issues and/or review the HACCP program? 2. Are records of the meetings kept on file and available for review?	4		4				HACCP team meetings are conducted with food security, and food safety meetings.
HACCP		General Expectation: Are there documented HACCP program(s), detailing the 7 principles, and is it established, up-to-date, and available for review? The HACCP Plan must be developed following the required steps: 1) Conduct a hazard analysis. 2) Determine the critical control points (yes/no). 3) Establish critical limits (if any CCPs). 4) Establish monitoring procedures (if any CCPs). 5) Establish corrective actions (if any CCPs). 6) Establish verification procedures (if any CCPs). 7) Establish record-keeping, documentation, and validation procedures (if any CCPs).							
HACCP	(a)	Product Description(s), Process-Flow Diagram(s), Hazard Analysis Worksheet(s)							
Product Description(s)	2.1.6	Do HACCP/Hazard Prevention plan(s) include product descriptions, distribution, intended uses, and target customers (channels of trades), and are they accurate?	7		7				HACCP is complete.
Process-Flow Diagram(s)	2.1.7	1. Are process-flow diagram(s) current for all HACCP/Hazard prevention plan(s), and are they accurate? 2. Are critical control or control point(s) identified on the process-flow diagram(s)?	7		7				All process-flow diagrams are current. Note: Do not have CCPs.
Hazard Analysis Worksheet(s)	2.1.8*	Do Hazard Analysis Worksheet(s) exist and do they identify the hazards (biological, chemical, and physical), and consider the severity and likelihood of occurrence?	10		10				Hazard analysis worksheets are available on file.
HACCP Plan(s) & CCPs	(b)	HACCP Plan(s) and CCPs							
HACCP Plan(s) CCPs	2.1.9*	Do HACCP plan(s) exist, which if necessary, adequately summarize the key elements of HACCP: a. name of CCPs that control hazards; b. critical limits; c. monitoring procedures and frequency; d. corrective actions taken if critical limits are violated; e. plan verification procedures; f. record keeping and documentation procedures.	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Monitoring	(c)	Monitoring Procedures							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Monitoring	2.1.10*	1. Is each critical control point as specified in HACCP/Hazard Prevention plan, monitored at scheduled intervals, documented, and reviewed? 2. Are HACCP records signed and/or initialed by the individual performing the task? 3. Are HACCP records signed and/or initialed by the individual reviewing the records? 4. Are records accurate and legible?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Monitoring	2.1.11*	Are CCPs in compliance with the critical limits stated?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Corrective	(d)	Corrective Actions							
Corrective Actions	2.1.12*	1. When critical limit(s) are not met, are identified corrective actions as specified on the HACCP Plan(s) implemented to bring critical control point(s) under control? 2. Are deviation and corrective actions properly documented and reviewed (initialed and dated)?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Corrective Actions	2.1.13*	Is disposition of non-compliant product documented?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Verification	(e)	Verification Procedures							
Verification	2.1.14*	Is the HACCP plan signed and/or initialed and dated by the food safety manager or another member of management?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Verification	2.1.15*	Are verification procedures (e.g., calibration, testing), which determine the validity of the HACCP plan and food safety management practices, defined in a written document?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Verification	2.1.16*	1. Is calibration and/or testing conducted and documented as required in the verification procedures? 2. Are records accurate and legible?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Verification	2.1.17*	Were all CCPs verified by the auditor during inspection and were all CCPs in compliance with the HACCP Plan(s)?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	(f)	Validation Procedures							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Validation	2.1.18*	1. Are audits or reviews of HACCP/Hazard Prevention procedures conducted on a regular basis to ensure they are executed according to the facility's plan? 2. Are records available for review?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	2.1.19*	Has the facility validated all critical limits or key elements, and is support documentation maintained and available for review? (e.g., cite number and dates of in-house study, scientific reference, regulatory requirements)	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	2.1.20*	1. Were copies of the HACCP/Hazard Prevention plan(s) in use during the audit current and up-to-date? 2. Do these documents provide the date of last assessment?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	2.1.21*	Are all copies of HACCP/Hazard Prevention plan(s) signed by authorized individuals?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	2.1.22*	Are targeted sampling and testing conducted on products, and is it documented as required in the verification procedures?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Validation	2.1.23*	Are audits of the HACCP plan conducted on a regular basis and records of results maintained?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
Record Keeping	(g)	Record Keeping							
Record Keeping	2.1.24*	1. Are all records associated with the food safety management program maintained for a specified number of years (at least 1 year)? 2. Are all records accurate and legible?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs.
		*Food Safety Section Total Points			10	0	0	0	10
		Other Section Total Points			36	0	0	0	36
Sub Category	2.2	Allergens							
Allergens		General Expectation: Develop food allergen program based on a. the eight food groups, b. food additives, c. color additives, d. allergens used in the products (refer to 21 CFR)							

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Allergens	2.2.1*	Are allergens and/or sensitizing chemicals stored in the facility and used in the products? If yes go to 2.2.2.		Unscored question					No
Allergens	2.2.2	Is there a list indicating all allergens and/or sensitizing chemicals stored in the facility? (e.g., eight major allergens recognized by the USDA and Codex include: proteins from peanuts, tree nuts, dairy, egg, soy, milk, wheat, fin fish, and crustacea. Sensitizing chemicals include: sulfites, and some food colorings such as Yellow 5)	7	X					N/A Do not have allergens.
Allergens	2.2.3	Are there written procedures on management of allergen-containing products?	7	X					N/A Do not have allergens.
Allergens	2.2.4*	Are allergens stored in a manner that protects other non-allergenic materials from inadvertent contamination?	10	X					N/A Do not have allergens.
Allergens	2.2.5*	Does the operation repack and/or co pack allergen-containing product? If yes go to 2.2.5.a.		Unscored question Yes/No					N/A Do not have allergens.
Allergens	2.2.5.a*	Are containers, equipment, and/or utensils used in handling allergens identified to prevent cross contamination from allergens to non-allergen containing products?	10	X					N/A Do not have allergens.
Allergens	2.2.5.b*	Are proper product handling procedures in place to prevent cross contamination from allergens to non-allergen containing products? (e.g., production sequencing and equipment sanitation [i.e., nonallergen-containing product is produced first], or sanitation protocols are followed to ensure that equipment used for the production of allergen-containing products is strictly used for its purpose)	10	X					N/A Do not have allergens.
Allergens	2.2.5.c*	1. Are effective sanitation procedures practiced to prevent cross contamination from allergen to non-allergen containing products or during change-overs? 2. Is cleaning documented when switching from allergen to non-allergen containing products and are the equipment, containers, and/or utensils checked for removal of potential allergenic-product residue?	10	X					N/A Do not have allergens.
Allergens	2.2.5.d*	Rework or Work in Progress (WIP): Are there written procedures on proper handling of rework or WIP material (if applicable)?	10	X					N/A Do not have allergens.
Allergens	2.2.5.d1*	Is the policy enforced to prevent cross contamination from allergens to non-allergen containing products and also to ensure that rework or WIP is only incorporated into similar products?	10	X					N/A Do not have allergens.
Allergens	2.2.6	Are there written labeling and packaging procedures for products containing allergens?	7	X					N/A Do not have allergens.
Allergens	2.2.7*	1. Are labels reviewed for accuracy upon receipt or printing and upon use? 2. Are all allergens declared on the label using common terms as dictated by the FDA Food Allergen Labeling and Protection Act of 2004 (effective Jan 2006)?	10	X					N/A Do not have allergens.
Allergens	2.2.8*	Is there an established verification program to ensure allergen control procedures are in compliance?	10	X					N/A Do not have allergens.
*Food Safety Section Total Points					0	0	0	0	0

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points			0	0	0	0	0
Sub Category	2.3	Training and Education							
Training & Education		General Expectation: (21 CFR 110.10). Food handlers and supervisors should receive appropriate training in proper food handling techniques and food-protection principles.							
Training & Educ.	2.3.1*	Is there an ongoing (refresher) HACCP training for employees who monitor HACCP parameters?	10	X					N/A. This section is only assessed if have CCPs. Do not have CCPs. Refer to Section A for Training and Education.
Training & Educ.	2.3.2	Is there an assigned person responsible for conducting HACCP training?	7	X					N/A Do not have CCPs.
Training & Educ.	2.3.3	Is the general content of the training sessions described in a document maintained by the company?	7	X					N/A Do not have CCPs.
Training & Educ.	2.3.4	Does the HACCP training include evaluation criteria for knowledge learned?	7	X					N/A Do not have CCPs.
Training & Educ.	2.3.5	Is worker participation in the HACCP training program documented and available for review, and does the training documentation include the employee's signature?	7	X					N/A Do not have CCPs.
Training & Educ.	2.3.6*	Are employees who are monitoring CCPs aware of critical limits, monitoring requirements, corrective actions, and other HACCP-related activities in their immediate work areas?	10	X					N/A Do not have CCPs.
Training & Educ.	2.3.7*	Is there a supervisor with relevant educational background and/or experience, who oversees the HACCP program?	10	X					N/A Do not have CCPs.
		*Food Safety Section Total Points			0	0	0	0	0
		Other Section Total Points			0	0	0	0	0
Doc. Control	3.0	SECTION C: DOCUMENT CONTROL							
Document Control	3.1.1.	Does the facility employ a formal system to manage and control all food safety related documentation, data and records?	4		4				A formal system is employed to handle the food safety program.
Document Control	3.1.2	Are procedures in place to control document transmission, changes and removal of obsolete documents?	4		4				Procedures are in place.
Document Control	3.1.3	Is there an authorized person to issue food safety documents?	4		4				The Food Safety Manager handles the food safety documents.

Scientific Certification Systems
Cold Storage Warehouse
Auditors' Checklist

Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Document Control	3.1.4	Do document control procedures ensure customer confidentiality?	4		4				Customer confidentiality is ensured.
Document Control	3.1.5	Does a document control system protect physical and electronic documents against loss and unauthorized access?	4		4				Documents are kept in the Food Safety Manager's office.
Document Control	3.1.6	Is there a records retention policy for food safety related documentation, data and records?	4		4				Records have been retained.
		Other Section Total Points			24	0	0	0	24

GMP FOOD SECURITY ASSESSMENT DETAILED REPORT

Company Name: Westside Produce
Location: 785 12th Street
 Firebaugh, CA 93622

Contact Person: S. Garrett Patricio
Contact Phone: (415) 518-9183

AUDIT SUMMARY

CATEGORY: Food Security

Sub Category	Points Scored	Points Possible	Percent (%)
Management Commitment & Review	12	12	100.00%
Overall	12	12	100.00%
Personnel	24	24	100.00%
Employee Work Area	20	20	100.00%
Visitors	16	16	100.00%
Production/Processing	6	8	75.00%
Receiving, Storage, and Shipping	32	32	100.00%
Security of Water & Utilities	4	4	100.00%
Physical Security	16	16	100.00%
TOTAL SCORE	142	144	98.61%

FDA registration on food security: Yes
 FDA registration confirmation: Yes_X__ No____ N/A__

Audited Facility: Westside Produce
Location: 785 12th Street
 Firebaugh, CA 93622

Product: Cantaloupes
Audit Date: 7/14/2008
Auditor: Rachel Juengst

Scientific Certification Systems
 2200 Powell Street
 Suite 725
 Emeryville, CA 94608
 Ph: (510) 452-8000
 Fax: (510) 452-8001

AUDIT SCORING SYSTEM

SCORE	RATING	DESCRIPTION	DOCUMENTATION COMPLIANCE
	Auto	Automatic Unsatisfactory (Refer to pg. 4)	
0	N/A	Not Applicable The particular question doesn't apply to the facility in question.	
0	US	Unsatisfactory Immediate improvements in operational practices and procedures are needed.	A) No written Food Security Program in place. B) Records Review: No records available.
1	NI	Needs Improvement Significant improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs serious improvement. B) Records Review: Very few records may be available and/or current.
2	NI	Needs Improvement Partial improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs major improvement. B) Records Review: Some records may be unavailable and/or current.
3	NI	Needs Improvement Minimal improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs minor improvement. B) Records Review: Very few records may be unavailable and/or not current.
4	S	Satisfactory No improvements are needed.	A) A complete written Food Security Program in place. B) Records Review: All records are available and kept current.

Conditions for an Automatic Unsatisfactory

General

Food Security Program does not exist i.e., no written food security program and program not being enforced.

Food Security Assessment Rating System

This rating system describes the status of produce packing, cooling, storage and / or food processing operations in regards to food security issues associated with the particular operations they perform.

Percentage	Assessment
95.00 or more	Superior (Pass)
90.00-94.99	Excellent (Pass)
80.00-89.99	Good (Pass)
70.00-79.99	Fair (Fail)
60.00-69.99	Poor (Fail)

SUMMARY OF DEFICIENCIES

CATEGORY	FINDINGS
Production/Processing	2.5.2 Documented hold and release procedure were not available on file at the time of the audit.

Scientific Certification Systems
Food Security GMP Checklist

Audited Facility: Westside Produce			Location: 785 12th Street, Firebaugh, CA				Audit Date: 7/14/2008	
Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	1.0	MANAGEMENT RESPONSIBILITY						
Sub Category	1.1	Management Commitment and Review						
	1.1.1	FDA registration on food security: Does the company have FDA registration number confirmation? If yes, go to 1.1.2. If no give automatic unsatisfactory.	Unscored Question				Yes, available on file.	
	1.1.2	Are there written food security policies/crisis management policies in place and are they communicated to all levels of the organization? (4 pts)		4				Food security policies are in place.
	1.1.2.a.	Does the written food security policy include: a documented operational risk management program (ORP)? (4 pts)		4				Documented ORP program in place.
	1.1.3	Does management appear to be committed to executing an adequate food security management program? (4 pts)		4				Management is committed.
		Other Section Total Points		12	0	0	0	12
	2.0	FUNDAMENTALS						
		Food Security Control						
		General Expectation: Appropriate security practices are enforced to reduce the likelihood of a terrorist attack on your operations and to reduce its impact on you, your business partners and the public.						

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
Sub Category	2.1	Overall						
	(a)	Food Security Team						
	2.1.1	Is there a food security management team/crisis management team identified? (4 pts)		4				Food security team is in place.
	2.1.1.a.	a. Does the team meet periodically (at least annually) to address food security issues and/or review the food security program ? i.e., food security procedures and operations. b. Are meeting minutes documented? (4 pts)		4				Food security meetings are conducted at the same time as food safety meetings. Records are available.
	(b)	Internal Audit						
	2.1.2	Does the company perform random food security inspections of all appropriate areas of the facility using knowledgeable in-house or third party staff, and keeping information confidential? (4 pts)		4				Food security internal inspections are conducted regularly. Cameras are also located throughout the facility to record any suspicious or hazardous activities.

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points		12	0	0	0	12
Sub Category	2.2	Personnel						
	(a)	Background Check						
	2.2.1	Is there a policy requiring HR to conduct a suitable background check on all staff (including seasonal, temporary, contract, and volunteer staff, whether hired directly or through a recruitment firm?) (4 pts)		4				Background checks are conducted on all staff as specified in the food security plan.
	(b)	Employee Identification						
	2.2.2	Is there a policy requiring company to have employee identification system (uniforms, cards, passes, photo ID badges, time cards, etc)? (4pts)		4				Employees are issued timecards as an identification system. Policy is on file.
	2.2.2.a.	Is there a policy requiring employees to have ID when entering company property/building and/or are they checked by authorized personnel upon entry? (4 pts)		4				Policy in place. Proper actions are taken.

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note	
	2.2.2.b.	a. Are badges and passes in stock adequately secured and collected when a staff member is no longer associated with the company? b. Is there a policy to change combinations, rekeying locks and/or collecting the retired key card when a staff member who is in possession of these is no longer associated with the facility ? (4 pts)		4				Proper procedures are followed. A key distribution checklist is available to aid management in keeping track of who has what keys.	
	(c)	Employee Training							
	2.2.3	Does the company promote food security awareness by requiring company supervisors and employees to undergo training on food security issues? (4 pts)		4				Food security training is provided to employees.	
	2.2.3. a.	Is the food security training and employee participation documented and available for review? (4 pts)		4				Documentation is available for food security training.	
		Other Section Total Points		24	0	0	0	24	
Sub Category	2.3	Employee Work Area							
	2.3.1	Is there a policy requiring assigned supervisors to check employees routinely for proper identification? This includes providing an appropriate level of supervision to all staff, including cleaning and maintenance staff, contract workers, data entry and computer support staff, and especially new staff. (4 pts)		4				Policy is in place.	

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.3.2	Is there a policy requiring assigned supervisors to routinely conduct security checks of the packing lines, utilities, dock areas, critical computer data systems, etc., (at a frequency appropriate to the operation)? (4 pts)		4				Policy is in place to ensure that employees are supervised.
	2.3.3	Is there a policy requiring employees to be assigned to specific work areas and to be in the plant property only during assigned work hours? (4 pts)		4				Policy is in place.
	2.3.4	Is there a policy requiring employees not to have any restricted item on them along with any material or item not required at work? (4 pts)		4				Policy is in place.
	2.3.5	Does the company provide lockers for employees to store their personal belongings?	Unscored Question					Lockers are provided. Management has the combination to all locks to gain entry to lockers when needed.
	2.3.5.a.	Is there a policy requiring appropriate personnel to do unannounced random check on employee lockers and belongings? (4 pts)		4				Policy is in place.
		Other Section Total Points		20	0	0	0	20
Sub Category	2.4	Visitors						

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.4.1	Is there a policy requiring all visitors/vendors to sign in and be issued visitor ID card with authorized personnel before entering company property and building and to sign out and leave ID with authorized personnel upon leaving company property? (4 pts)		4				Visitor sign in sheet is in place. Sticky name tags are used to identify visitors.
	2.4.2	Is there a policy requiring all visitors to be accompanied by a designated employee, in the areas of restriction and also while on company property, unless they are otherwise specifically authorized? (areas of restriction: food handling and storage areas, locker rooms). (4 pts)		4				Policy is in place. Visitors are guided by Warehouse personnel.
	2.4.3	Is there a policy requiring inspection of incoming and outgoing trucks, packages, etc. for suspicious, inappropriate or unusual items or activity? (4pts)		4				Inspections are conducted.
	2.4.4	Is there a designated waiting area for truck drivers? (4 pts)		4				Truck drivers are segregated from the warehouse in a designated area marked off by yellow paint. Camera supervision ensures that truck drivers adhere to company policies.

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points		16	0	0	0	16
Sub Category	2.5	Production/Processing						
	2.5.1	a. Is there a policy requiring daily check on inventory and reconciliation on finished products and on ingredients (if applicable) and packaging materials used? b. Is there a written program for reconciliation of parts used in maintenance work? (4 pts)		4				Policy is in place.
	2.5.2	Is there a written Hold and Release Program that: a. identifies tampered products? b. segregates and secures affected products? (4 pts)			2			Documented hold and release procedure were not available on file at the time of the audit.
		Other Section Total Points		4	2	0	0	6
Sub Category	2.6	Receiving, Storage and Shipping						
	(a)	Receiving Materials						
	2.6.1	Is there a policy requiring establishing delivery schedules, not accepting unexplained, unscheduled deliveries or drivers and investigating delayed or missed shipments? (4 pts)		4				Policy is in place.

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.6.2	Is there a policy requiring products, ingredients (if applicable), packaging materials and other supplies shall be received from locked and/or sealed vehicles/containers/railcars? (4 pts)		4				Trucks must be locked or sealed depending on contents of the truck.
	2.6.2.a.	If sealed, is there a policy to maintain chain of custody? (4 pts)		4				Policy is in place.
	2.6.3	Is there a policy requiring inspection of incoming materials (4 pts)		4				Incoming materials are inspected.
	2.6.4	Is there a policy requiring keeping track of incoming materials and materials in use, including gas, packaging, labels, salvage products, rework products, and product returns? i.e., requiring daily check or as needed on inventory and reconciliation? (4 pts)		4				Policy is in place. Records of such transactions are kept on file.
	(b)	Storage						
	2.6.5	Is there a policy requiring all received products, packaging materials, process materials, etc., cleaning chemicals, pesticides (if stored on-site) to be stored in secure areas with controlled access? E.g., (locked/supervised) (4 pts)		4				Policy is in place.
	(c)	Shipping						

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.6.6	Is there a policy requiring products from the facility to be loaded on the locked and/or sealed vehicles/containers only? (4 pts)		4				Policy in place.
	2.6.6.a.	Is the seal number provided to the consignee? (4 pts)		4				Seal numbers are provided on the Bill of Lading.
		Other Section Total Points		32	0	0	0	32
Sub Category	2.7	Security of Water and Utilities						
	2.7.1	Is there a policy requiring securing non municipal water wells, hydrants, storage, and handling facilities? (4 pts)	X					Municipal water is used.
	2.7.2	Has the company identified alternate sources of potable water for use during emergency? (for e.g., trucking from an approved source, treating on-site or maintaining on-site storage). (4 pts)		4				A water tank is provided at the facility in case of emergency.
		Other Section Total Points		4	0	0	0	4
Sub Category	2.8	Physical Security						

Scientific Certification Systems
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.8.1	Is perimeter access protected with fencing or other deterrent, where appropriate? (4 pts)		4				Fencing is around the entire facility, cameras are posted both outside and inside of the facility.
	2.8.2	Are doors, windows, roof openings/hatches, vent openings, ventilation systems, utility rooms, ice manufacturing and storage rooms, enclosed trailer bodies, tanker trucks, railcars, bulk storage tanks, etc, secured, if not in use or if unsupervised? (4 pts)		4				Facility is secured when not in use.
	2.8.3	Is there a policy requiring monitoring the security of the premises using appropriate methods? (4 pts)		4				The property is monitored with video camera surveillance and a night time security guard.
	2.8.4	Is adequate exterior and interior lighting provided, including emergency lighting, where appropriate to facilitate detection of suspicious or unusual activities? (4 pts)		4				Lighting is adequate on the interior and exterior of the facility. No issues.
		Other Section Total Points		16	0	0	0	16