

**Cold Storage  
Warehouse  
Audit Checklist**

**Scientific Certification Systems  
2000 Powell Street  
Suite 600, Emeryville, CA 94608  
Phone: 510-452-8000  
Fax: 510-452-6886**

Auditor Name	Rebecca Anderson
Auditor's contact phone number	(510) 504-0810
Auditor's email address	<a href="mailto:randerson@scscertified.com">randerson@scscertified.com</a>
Corporate Office	Scientific Certification Systems dba NutriClean
Corporate Facility Address (City, State/Province, Area/Region, Postal Code, Country)	2000 Powell Street, Suite 600, Emeryville, CA 94608
Phone Number	510-452-8000
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	Garrett Patricio
Phone Number	cell (415) 518-9183, office (559) 659-3025
Fax Number	(559) 659-0169
Email Address	<a href="mailto:garrett@westsideproduce.com">garrett@westsideproduce.com</a>
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)	Corrugated 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-9PM
Months of Operation (e.g., January - December)	June-October
Number of Employees	~ 50
Year Built	1993
Year(s) Updated	Continuous
Size of Facility	40,000 sq ft.
Property Size	11 Acres
Neighboring Land Use	Farms
Building Material, Exterior Walls	Metal
Building Material, Interior Walls	Metal/Insulation
Building Material, Floors	Concrete
Building Material, Exterior Roof	Metal
Building Material, Interior Ceiling	Insulation
Areas of the Facility Excluded from the Audit	None
Date of Audit Exit Meeting	7/20/2011
Length of Audit	8:15 AM - 2:30 PM
Facility Personnel	Garrett Patricio
Date of Last Audit	7/29/2010
Product(s) Handled	Cantaloupes/Honeydews
Facility Construction and Design	The facility is comprised of one large cold storage unit. Packaging materials are stored outside, completely covered in plastic. Bathrooms are provided away from production, near the office. Break areas are inside, adjacent to the cold storage area and outside by the front entrance. Receiving area is not enclosed. Shipping area is separate from the receiving area.
Brief Description of the Process	Product is packed in the fields, transported to the facility, put into cold storage and then distributed.
Food Safety Total Score (≥ 80% Satisfactory)	<b>98.53%</b>
Rating	<b>SUPERIOR</b>
Food Security Total Score (≥ 80% Satisfactory)	<b>100.00%</b>
Rating	<b>SUPERIOR</b>

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	√				
In-house Water 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	√				
Packaging Materials	√				
Foreign Material Control	√				
Calibration	√				
Recall/Traceability Program	√				
Facility Inspection/Food Safety Program Review	√				
Visitor and Contractor Access Control	√				

<b>SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	<b>Unsatisfactory</b>	<b>Not Applicable</b>	<b>Automatic Failure</b>
<b>Cleaning Equipment and Chemicals</b>					
Cleaning Equipment and Chemicals	√				
<b>Cleaning, Sanitation and Housekeeping</b>					
Cleaning, Sanitation and Housekeeping	√				
<b>Preventive Maintenance Program</b>					
Preventive Maintenance	√				
<b>Receiving, Storage and Distribution</b>					
Receiving: In-bound Inspection	√				
Storage	√				
Transportation and Distribution	√				
<b>SECTION B: HACCP PLAN AND PROCESS PRACTICES</b>					
<b>Sub Category</b>					
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				√	
<b>SECTION C: DOCUMENT CONTROL</b>					
<b>Sub Category</b>					
Document Control	√				

**GMP FOOD SAFETY ASSESSMENT DETAILED REPORT AND  
FOOD SAFETY AND FOOD SECURITY FINAL SUMMARY SCORE  
COLD STORAGE FACILITY PRACTICES**

**Audit Summary**

<b>SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES</b>	<b>Food Safety Section</b>			<b>Other Section</b>		
<b>Sub Category</b>	<b>Points scored</b>	<b>Points Possible</b>	<b>Percent (%)</b>	<b>Points scored</b>	<b>Points Possible</b>	<b>Percent (%)</b>
Management Commitment and Review	N/A	N/A	N/A	15	15	100.00%
Employee Practices	20	20	100.00%	39	39	100.00%
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%	9	11	81.82%
Building Size, Construction and Design	45	50	90.00%	33	33	100.00%
Pest Control Program and Procedures	60	60	100.00%	55	55	100.00%
General Operational Practices and Procedures	40	40	100.00%	76	76	100.00%
Cleaning Equipment and Chemicals	20	20	100.00%	18	18	100.00%
Cleaning, Sanitation and Housekeeping	20	20	100.00%	55	55	100.00%
Preventive Maintenance Program	N/A	N/A	N/A	14	14	100.00%
Receiving, Storage, and Distribution	20	20	100.00%	29	29	100.00%
<b>SECTION B: HACCP PLAN AND PROCESS PRACTICES</b>						
<b>Sub Category</b>						
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
<b>SECTION C: DOCUMENT CONTROL</b>						
Document Control	N/A	N/A	N/A	24	24	100.00%
<b>TOTAL SCORE</b>	<b>310</b>	<b>320</b>	<b>96.88%</b>	<b>493</b>	<b>495</b>	<b>99.60%</b>

**Food Safety (GMP) Final Summary**

<b>Title</b>	<b>Cold Storage Facility Practices</b>	<b>Points Scored</b>	<b>Points Possible</b>	<b>% Percentage</b>
<b>Food Safety Section</b>		310	320	96.88%
<b>Other Section</b>		493	495	99.60%
<b>TOTAL SCORE</b>		<b>803</b>	<b>815</b>	<b>98.53%</b>

**Food Security Final Summary**

<b>Title</b>	<b>Cold Storage Facility Practices</b>	<b>Points Scored</b>	<b>Points Possible</b>	<b>% Percentage</b>
<b>TOTAL SCORE</b>		144	144	100.00%

FDA Registration Number                      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.
Less than 79.99	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.

### SUMMARY OF DEFICIENCIES

CATEGORY	FINDINGS	CORRECTIVE ACTIONS (Provide Documents and/or Pictures)
<b>Sanitary Facilities</b>	2.3.2 There were no drains provided in the women's bathroom toilet facilities.	
<b>Grounds</b>	2.5.4 No lids provided for outside trash cans.	
<b>Building Size, Construction and Design</b>	2.6.1 Packaging materials were not stored in an enclosed facility.	

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Audited Facility: Westside Produce			Location: 785 12th Street, Firebaugh, CA 93622					7/20/2011	
<b>GMPs</b>	<b>SECTION A: GOOD MANUFACTURING PRACTICES AND PROCEDURES</b>								
<b>Section</b>	<b>#</b>	<b>CATEGORY/REQUIREMENTS</b>	<b>Possible Points</b>	<b>N/A</b>	<b>S</b>	<b>NI</b>	<b>US</b>	<b>Auto</b>	<b>Auditor's Note</b>
	<b>1.0</b>	<b>MANAGEMENT RESPONSIBILITY</b>							
<b>Sub Category</b>	<b>1.1</b>	<b>Management Commitment and Review</b>							
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 cGMP's.
		Other Section Total Points			15	0	0	0	15
	<b>2.0</b>	<b>FUNDAMENTALS</b>							
<b>Sub Category</b>	<b>2.1</b>	<b>Employee Practices (Assessed by Observation and Documentation)</b>							
<b>Employee Practices</b>		<b>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.</b>							

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 or aprons are worn.
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 from wearing jewelry and other items which pose a risk of contamination.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				Management is aware of the policy. There have not been any incidents so far according to management.
Employee Practices	2.1.6	Does the operation have a written policy, which addresses applicable worker health and hygiene issues?	7		7				Documented personal hygiene policy 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		7				Personal belongings and clothing are stored in lockers or on hooks.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			39	0	0	0	39
<b>Sub Category</b>	<b>2.2</b>	<b>Training and Education (Assessed by Observation, Interview, and Documentation)</b>							
<b>Training &amp; Educ.</b>		<b>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</b>							

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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				A complete training program is 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 and cGMP's.
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. Employee signatures were available for review.
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 attended a food safety course provided by AgSafe and has experience with food safety, i.e., he belongs to the Food Safety Committee on the California Melon Research Board.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			22	0	0	0	22
<b>Sub Category</b>	<b>2.3</b>	<b>Sanitary Facilities (Assessed by Observation and Documentation)</b>							
<b>Sanitary Facilities</b>		<b>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.</b>							
<b>Toilet Facilities</b>	<b>(a)</b>	<b>Toilet Facilities</b>							
Toilet Facilities		<b>General Expectation: Each facility shall provide its employees with adequate, readily accessible toilet facilities.</b>							
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				Adequate number of toilet facilities for each gender of employees working.
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			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 adequately equipped.
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 for cleanliness.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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							
Hand washing		<b>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.</b>							
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				Additional hand washing signs are posted.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				During the audit, employee replenished paper towel dispenser that was empty. All other supplies were stocked.
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 were maintained in clean condition.
		*Food Safety Section Total Points			30	5	0	0	35
		Other Section Total Points			53	0	0	0	53
<b>Sub Category</b>	<b>2.4</b>	<b>Water (Assessed by Observation and Documentation)</b>							
<b>Water</b>		<b>General Expectation: Compliance with 21 CFR 110.37 (a) and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section II.</b>							
<b>Water Source</b>	<b>(a)</b>	<b>Water Source Testing</b>							

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				The Consumer Confidence Water Quality Report for City of Firebaugh Municipal Water was available on file.
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				Water for employee consumption in Alhambra water coolers. No issues.
		Other Section Total Points			8	0	0	0	8
<b>Sub Category</b>	<b>2.5</b>	<b>Grounds (Assessed by Observation and Documentation)</b>							
<b>Grounds</b>		<b>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</b>							
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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			2			Outside trash receptacles not equipped with lids.
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 Mid Valley disposal 3 days a week.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			7	2	0	0	9
<b>Sub Category</b>	<b>2.6</b>	<b>Building Size, Construction and Design (Assessed by Observation and Documentation)</b>							
<b>Size, Construction &amp; Design</b>		<b>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</b>							
<b>Size, Construction &amp; Design</b>	<b>(a)</b>	<b>Building Size, Construction and Design</b>							
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 in plastic and maintained off of the ground on pallets to protect it from contamination. Facility is not totally enclosed.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Size, Construction & Design	2.6.2	Are employee break and/or locker areas separate from the product handling areas?	7		7				There is a separate area provided for the employee break area.
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		4				Adequate lighting is provided.
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				Floor areas were kept clean.
<b>Structures/ Fixtures</b>	<b>(b)</b>	<b>Building Structures/Fixtures</b>							
Structures/Fixtures	2.6.5	Is the roof properly maintained? (e.g., no leaks)	7		7				The roof has been properly maintained.
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 has been maintained in good condition. There were no issues.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				Overhead structures were kept in good repair.
<b>Plumbing</b>	<b>(c)</b>	<b>Plumbing</b>							
Plumbing	2.6.8	Is water used for cleaning of equipment, utensils, and for employee sanitary facilities maintained at a suitable pressure?	4		4				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				Potable water lines and sewer lines are separate.
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				Back-flow devices are in place.
Plumbing	2.6.11	Is there adequate floor drainage in areas where floors are subject to flood-type cleaning?	7	X					N/A- floors are not subject to flood-type cleaning.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 used at the facility.
Env. Control	(d)	<b>Environmental Control</b>							
Env. Control	2.6.13	1. Is proper ventilation or control equipment in place to minimize odors? 2. If fans or other blowing equipment are used, are they operated in a manner that minimizes the potential for contaminating product, equipment, or packaging materials?	4		4				There is proper ventilation throughout the facility. Fans are cleaned regularly.
Env. Control	2.6.14*	1. Are disinfectant foot foamers, foot baths, or foot sprayers provided at entries to product handling areas if appropriate? 2. Are sanitizer concentrations monitored regularly, documented, and available for review?	7	X					N/A- no foot baths, foot foamers, etc. are used at the facility.
		<b>*Food Safety Section Total Points</b>			40	5	0	0	45
		Other Section Total Points			33	0	0	0	33
<b>Sub Category</b>	<b>2.7</b>	<b>Pest Control Program and Procedures</b> (Assessed by Observation and Documentation)							
<b>Pest Control</b>		<b>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</b>							
Pest Control	2.7.1	Is there a written pest control program and is it available for review?	7		7				A pest control program is available on file.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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		4				The pest control program is handled by Tech Master, an outside service. License for pest control technician expires 6/30/13 and certificate of insurance expires 2/22/12. Service agreement with Tech Master was also available for review.
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				MSDS's and labels were provided for all chemicals used in the facility. All materials were EPA approved.
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		4				The facility map was on file, signed and dated.
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				Sufficient number of interior and exterior pest control devices. Stations do not pose food safety risk.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 were available for review.
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				All pest control devices were functioning properly.
Pest Control	2.7.10*	Is there no evidence of decomposed rodents in the interior or exterior pest control devices?	10		10				No evidence of decomposed rodents was observed.
Pest Control	2.7.11	Does the inside of the facility appear to be free from insects, rodents, birds, and domestic animals?	7		7				Facility appears to be free of pests.
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				No evidence was observed.
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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. Also, bird nest inspections are conducted and documented.
Pest Control	2.7.17*	Is toxic bait used only in exterior bait stations?	10		10				Toxic bait is only used in exterior pest control devices.
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				Monthly inspection records were available for review.

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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				Dock levelers were equipped with strips to prevent potential pest entry from gaps between the dock and the dock levelers. No other gaps were observed in the facility.
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			55	0	0	0	55
<b>Sub Category</b>	<b>2.8</b>	<b>General Operational Practices and Procedures (Assessed by Observation and Documentation)</b>							
<b>General Operational Practices</b>		<b>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</b>							
<b>Product Cooling</b>		<b>Product Cooling</b>							
Product Cooling		Describe method(s) of cooling (e.g. ice, forced-air cooling, vacuum cooling, cold storage)						Unscored Question	Forced-air cooling.
<b>Ice</b>	<b>(i)</b>	<b>Ice</b>							

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note	
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- ice is not used at the facility.	
Ice	2.8.2*	In the event of adverse analytical findings, are corrective actions documented, legible, and available for review?	10	X					N/A- ice is not used at the facility.	
Ice	2.8.3*	Is ice handled or stored in a manner that prevents or minimizes the possibility of contamination?	10	X					N/A- ice is not used at the facility.	
Product Handling Practices	(ii)	Handling Practices: Incoming and Stored Products								
Product Handling Practices		<b>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.</b>								
Product Handling Practices	(ii.a)	Incoming and Stored Packaged Products								
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 practices are followed.	

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 prior to release.
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, not re-used.
<b>Hold and Release Program</b>	<b>(iii)</b>	<b>Hold and Release Program</b>							
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		7				Hold and release procedures were available for review.
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.
<b>Foreign Material Control</b>	<b>(iv)</b>	<b>Foreign Material Control</b>							

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Foreign Material Control		<b>General Expectation: Compliance with the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VII.B.</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		7				Glass and brittle plastic policy was available for review.
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		10				No unprotected glass or brittle plastic was observed at the time of the audit.
	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- packaging material not made of glass.
<b>Calibration</b>	<b>(v)</b>	<b>Calibration</b>							
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 is conducted in-house weekly using the slush-ice method. Cold Storage Technologies services and calibrates the cooler annually or as needed.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Recall/Traceability	(vi)	<b>Recall/Traceability Program</b>							
Recall/Traceability		<b>General Expectation: A written recall procedure, which identifies the steps required to retrieve product.</b>							
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 shipper, pack date, field, harvest crew, and packer. This information is then kept on file electronically at the facility.
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 conducted 7/2/11. 100% recovery in 20 minutes.
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 so far.
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Facility Inspection/Program Review	(vii)	<b>Facility Inspection/Food Safety Program Review</b>							
Facility Inspection		<b>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.</b>							
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 and documented.
Regulatory Inspection	2.8.18	Are regulatory inspection procedures documented and are inspection records available for review?	4		4				Regulatory inspection procedures were 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				A written review of the food safety management program was conducted on 7/11/11.
Access Control	(viii)	<b>Visitor and Contractor Access Control</b>							
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.
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				A GMP policy was provided to the auditor at check in to the facility.
		<b>*Food Safety Section Total Points</b>			40	0	0	0	40
		Other Section Total Points			76	0	0	0	76
<b>Sub Category</b>	<b>2.9</b>	<b>Cleaning Equipment and Chemicals</b>							
<b>Cleaning Equip &amp; Chemicals</b>		<b>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.</b>							
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		10				MSDSs and sample labels for chemicals used in the facility were available on file.
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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.
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		10				Cleaning equipment is color coded: red- restrooms, blue- cold room, black- break room, and green- receiving/shipping and dock area.
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			18	0	0	0	18
<b>Sub Category</b>	<b>2.10</b>	<b>Cleaning, Sanitation, and Housekeeping Procedures</b>							
<b>Sanitation</b>		<b>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</b>							
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.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				Safety equipment is provided.
Sanitation	2.10.4	Are water hoses stored off the floor? (e.g., on wall-mounted hangers)	4		4				Hose stored off floor.
Sanitation	2.10.5	Are adequate staffing and time allocated to ensure complete cleaning of all areas?	4		4				Adequate staff provided.
Sanitation	2.10.6*	Are stored packaged products protected during cleaning procedures?	10		10				Protected during sanitation.
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				Areas are maintained in clean condition.
Sanitation	2.10.9	Is there a pallet inspection program?	4		4				Pallet inspection program in place.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				Pallets are stored outside and brought in on a "as need" basis.
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 was 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.
		<b>*Food Safety Section Total Points</b>			20	0	0	0	20
		Other Section Total Points			55	0	0	0	55
<b>Sub Category</b>	<b>2.11</b>	<b>Preventive Maintenance Program</b>							
P.M. Program		<b>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</b>							
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				Preventative maintenance is conducted on the cold storage units by Cold Storage Technologies on a scheduled basis.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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				Forklifts were maintained in good repair.
		Other Section Total Points			14	0	0	0	14
<b>Sub Category</b>	<b>2.12</b>	<b>Receiving, Storage and Distribution</b>							
<b>Receiving, Storage &amp; Distribution</b>		<b>General Expectation: Compliance with 21CFR 110.93 and the Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables, Section VIII.</b>							
<b>Receiving</b>	<b>(a)</b>	<b>Receiving: In-bound Inspection</b>							
Receiving	2.12.1	Are temperatures of refrigerated and frozen products documented at the time of receiving?	7	X					N/A- product is received at ambient temperature.
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		10				All trailers are inspected at receiving time for cleanliness.
<b>Storage</b>	<b>(b)</b>	<b>Storage</b>							
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 maintained at 32-36 °F range. Temperatures are recorded continuously throughout each day.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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.
<b>Transp &amp; Distrib</b>	<b>(c)</b>	<b>Transportation and Distribution</b>							
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 carriers are used.
Transp. & Distrib.	2.12.5.a	Is protocol on proper product handling procedures provided to the carrier companies upon entry?	4		4				Protocol is provided to outside carriers.
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		7				Product is maintained at the appropriate temperature prior to loading.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
		*Food Safety Section Total Points			20	0	0	0	20
		Other Section Total Points			29	0	0	0	29
HACCP PLAN		<b>SECTION B: HACCP PLAN AND PROCESS PRACTICES</b>							
HACCP PLAN		<b>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.</b>							
	<b>1.0</b>	<b>MANAGEMENT RESPONSIBILITY</b>							
<b>Sub Category</b>	<b>1.1</b>	<b>Management Commitment and Review</b>							
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 in implementing a comprehensive food safety program.
		Other Section Total Points			7	0	0	0	7
	<b>2.0</b>	<b>FUNDAMENTALS</b>							
<b>Sub Category</b>	<b>2.1</b>	<b>HACCP/Hazard Prevention Program</b>							
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.
HACCP	2.1.3	Does the facility operate under a government regulated HACCP or Hazard Prevention program?						Describe	No, product is not under a government regulated HACCP program.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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		<b>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).</b>							
HACCP	(a)	<b>Product Description(s), Process-Flow Diagram(s), Hazard Analysis Worksheet(s)</b>							
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 plan is complete.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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. Control points are identified.
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.
<b>HACCP Plan(s) &amp; CCPs</b>	<b>(b)</b>	<b>HACCP Plan(s) and CCPs</b>							
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					No CCP's were identified.
<b>Monitoring</b>	<b>(c)</b>	<b>Monitoring Procedures</b>							
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 CCP's are identified.
Monitoring	2.1.11*	Are CCPs in compliance with the critical limits stated?	10	X					N/A- this section is only assessed if CCP's are identified.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
<b>Corrective Actions</b>	<b>(d)</b>	<b>Corrective Actions</b>							
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)? 3. Are records accurate and legible?	10	X					N/A- this section is only assessed if CCP's are identified.
Corrective Actions	2.1.13*	Is disposition of non-compliant product documented?	10	X					N/A- this section is only assessed if CCP's are identified.
<b>Verification</b>	<b>(e)</b>	<b>Verification Procedures</b>							
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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
<b>Validation</b>	<b>(f)</b>	<b>Validation Procedures</b>							

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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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
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 CCP's are identified.
<b>Record Keeping</b>	<b>(g)</b>	<b>Record Keeping</b>							

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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 CCP's are identified.
		*Food Safety Section Total Points			10	0	0	0	10
		Other Section Total Points			36	0	0	0	36
<b>Sub Category</b>	<b>2.2</b>	<b>Allergens</b>							
Allergens		<b>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)</b>							
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- no allergens at this facility.
Allergens	2.2.3	Are there written procedures on management of allergen-containing products?	7	X					N/A- no allergens at this facility.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Allergens	2.2.4*	Are allergens stored in a manner that protects other non-allergenic materials from inadvertent contamination?	10	X					N/A- no allergens at this facility.
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					No
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- no allergens at this facility.
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- no allergens at this facility.
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- no allergens at this facility.
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- no allergens at this facility.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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- no allergens at this facility.
Allergens	2.2.6	Are there written labeling and packaging procedures for products containing allergens?	7	X					N/A- no allergens at this facility.
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- no allergens at this facility.
Allergens	2.2.8*	Is there an established verification program to ensure allergen control procedures are in compliance?	10	X					N/A- no allergens at this facility.
		*Food Safety Section Total Points			0	0	0	0	0
		Other Section Total Points			0	0	0	0	0
<b>Sub Category</b>	<b>2.3</b>	<b>Training and Education</b>							
<b>Training &amp; Education</b>		<b>General Expectation: (21 CFR 110.10). Food handlers and supervisors should receive appropriate training in proper food handling techniques and food-protection principles.</b>							
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- this section is only assessed if CCP's are identified.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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- this section is only assessed if CCP's are identified.
Training & Educ.	2.3.4	Does the HACCP training include evaluation criteria for knowledge learned?	7	X					N/A- this section is only assessed if CCP's are identified.
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- this section is only assessed if CCP's are identified.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
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- this section is only assessed if CCP's are identified.
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- this section is only assessed if CCP's are identified.
		*Food Safety Section Total Points			0	0	0	0	0
		Other Section Total Points			0	0	0	0	0
<b>Doc. Control</b>	<b>3.0</b>	<b>SECTION C: DOCUMENT CONTROL</b>							
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 issues the food safety documents.
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. Electronic access is password protected.

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Section	#	CATEGORY/REQUIREMENTS	Possible Points	N/A	S	NI	US	Auto	Auditor's Note
Document Control	3.1.6	Is there a records retention policy for food safety related documentation, data and records?	4		4				Records relating to food safety have been retained for a minimum of three years.
		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:** 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	8	8	100.00%
Receiving, Storage, and Shipping	32	32	100.00%
Security of Water & Utilities	4	4	100.00%
Physical Security	16	16	100.00%
<b>TOTAL SCORE</b>	<b>144</b>	<b>144</b>	<b>100.00%</b>

**FDA registration on food security:** Yes  
 FDA registration confirmation: Yes

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

**Product:** Cantaloupes/Honeydew

**Audit Date:** 7/20/2011

**Auditor:** Rebecca Anderson

Scientific Certification Systems  
 2000 Powell Street  
 Suite 600  
 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	<b>Not Applicable</b> The particular question doesn't apply to the facility in question.	
0	US	<b>Unsatisfactory</b> 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	<b>Needs Improvement</b> 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	<b>Needs Improvement</b> 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	<b>Needs Improvement</b> 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	<b>Satisfactory</b> 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	CORRECTIVE ACTIONS (Provide Documents and/or Pictures)
	None found.	

Scientific Certification Systems  
Food Security GMP Checklist

Audited Facility: Westside Produce			Location: 785 12th Street, Firebaugh, CA 93622					Audit Date: 7/20/11	
Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note	
	<b>1.0</b>	<b>MANAGEMENT RESPONSIBILITY</b>							
Sub Category	<b>1.1</b>	<b>Management Commitment and Review</b>							
	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 (ORM)? (4 pts)		4				Documented ORM 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	
	<b>2.0</b>	<b>FUNDAMENTALS</b>							

Scientific Certification Systems  
Food Security GMP Checklist

Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
		<b>Food Security Control</b>						
		<b>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.</b>						
<b>Sub Category</b>	<b>2.1</b>	<b>Overall</b>						
	<b>(a)</b>	<b>Food Security Team</b>						
	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 have been conducted and documented.
	<b>(b)</b>	<b>Internal Audit</b>						
	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 daily. Records are available. Cameras are also posted throughout the facility to record any suspicious or hazardous activities.

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
		Other Section Total Points		12	0	0	0	12
Sub Category	<b>2.2</b>	<b>Personnel</b>						
	<b>(a)</b>	<b>Background Check</b>						
	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>(b)</b>	<b>Employee Identification</b>						
	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.

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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 which type of keys.	
	<b>(c)</b>	<b>Employee Training</b>							
	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	
<b>Sub Category</b>	<b>2.3</b>	<b>Employee Work Area</b>							

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	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 for routine checks of employee identification is in place.
	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				Employees are not allowed to be on premises when they are not scheduled to work.
	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				Employees are not allowed to carry restricted items.

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note	
	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				Locker inspections are conducted according to management.	
		Other Section Total Points		20	0	0	0	20	
<b>Sub Category</b>	<b>2.4</b>	<b>Visitors</b>							
	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. Name tags are used to identify visitors.	

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	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 Westside Produce 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.
		Other Section Total Points		16	0	0	0	16
<b>Sub Category</b>	<b>2.5</b>	<b>Production/Processing</b>						
	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.

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	2.5.2	Is there a written Hold and Release Program that: a. identifies tampered products? b. segregates and secures affected products? (4 pts)		4				Documented hold and release procedure was available on file.
		Other Section Total Points		8	0	0	0	8
Sub Category	<b>2.6</b>	<b>Receiving, Storage and Shipping</b>						
	<b>(a)</b>	<b>Receiving Materials</b>						
	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.
	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				Chain of custody policy is in place.

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	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>(b)</b>	<b>Storage</b>						
	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 for secured storage areas is on file.
	<b>(c)</b>	<b>Shipping</b>						
	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. All product is transported via sealed trucks.

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Section	#	CATEGORY/REQUIREMENTS	N/A	S	NI	US	Auto	Auditor's Note
	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
<b>Sub Category</b>	<b>2.7</b>	<b>Security of Water and Utilities</b>						
	2.7.1	Is there a policy requiring securing non municipal water wells, hydrants, storage, and handling facilities? (4 pts)	X					Municipal City 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
<b>Sub Category</b>	<b>2.8</b>	<b>Physical Security</b>						

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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 surrounds 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