

PRIMUSGFS AUDIT NUMBER: **256316**
CB REGISTRATION No.: **SCS-PGFS-783**
AUDIT DATE: **Feb 24, 2022**

Revision 1



CERTIFICATE

Issued to:

ORGANIZATION

Del Mar Packing

9843 Cox Rd. Patterson, California 95363, United States

OPERATION

Del Mar Packing

9843 Cox Rd. Patterson, California 95636, United States

Operation type: PACKINGHOUSE

PRELIMINARY AUDIT SCORE:

98%

CERTIFICATE VALID FROM:

Mar 29, 2022 To Mar 28, 2023

FINAL AUDIT SCORE:

100%

SCS Global Services certifies that this operation has complied with the applicable requirements of PrimusGFS Version 3.2

[See subsequent certificate page\(s\) for audit executive summary](#)



SCS Global Services | 2000 Powell St. Suite 600 | Emeryville
California 94608 United States | PGFScerts@scsglobalservices.com |
510-452-8021 | 510-452-6886

Authorized by:
Executive Vice President
Carey Allen



CERTIFICATE VALID FROM:

Mar 29, 2022 To Mar 28, 2023

AUDIT TYPE:

Announced Audit

AUDIT EXECUTIVE SUMMARY:

The company has about 45 employees during peak season. Almonds are received in wooden bins. The almonds are dumped onto a hopper and conveyed through one of two sorting lines. Almonds are sorted electronically and physically using mechanical sieves over shaker tables. The almonds can be sorted into lined wooden bins or into bulk sealed boxes that are palletized and labelled. There are two production rooms, one fully enclosed storage shed and one open sided, covered storage area for overflow and packaging materials. During the inspection, one sorting line was in operation and the metal detector was checked for functionality. Product is sorted, packed and stored under ambient conditions. The products may be fumigated using tablets that contain fumigant. Products are tested according to SOP. The only allergen handled by the operation is tree nuts and there is one CCP, the finished goods metal detector.

Addendum(s) included in the audit:

Not Applicable

Product information for each product

Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Almonds	Observed on the day of audit	Year round	Germany, United States, Japan, Taiwan, European Union, Korea, South


FINAL AUDIT REPORT

Operation Type: Packinghouse
Audit Report Summary

CB Registration No. SCS-PGFS-783-1
PrimusGFS ID #256316 - Cert:5
Audited by SCS Global Services

PrimusGFS Version 3.2

[Ver en Español](#)

Organization:	Del Mar Packing Contact(s): Roman Sardina Kelly Jones Anthony Wright Address: 9843 Cox Rd. 95363 Location: Patterson, California, United States Phone Number: 209-894-5555				
Operation:	Del Mar Packing Contact(s): Anthony Wright Location: 9843 Cox Rd. Patterson, California 95636, United States				
Shipper:	Del Mar Packing				
Operation Type:	Packinghouse				
Audit Type:	Announced Audit				
Audit Executive Summary:	The company has about 45 employees during peak season. Almonds are received in wooden bins. The almonds are dumped onto a hopper and conveyed through one of two sorting lines. Almonds are sorted electronically and physically using mechanical sieves over shaker tables. The almonds can be sorted into lined wooden bins or into bulk sealed boxes that are palletized and labelled. There are two production rooms, one fully enclosed storage shed and one open sided, covered storage area for overflow and packaging materials. During the inspection, one sorting line was in operation and the metal detector was checked for functionality. Product is sorted, packed and stored under ambient conditions. The products may be fumigated using tablets that contain fumigant. Products are tested according to SOP. The only allergen handled by the operation is tree nuts and there is one CCP, the finished goods metal detector.				
Date Documentation Review Started:	23 Feb 2022 09:00				
Date Documentation Review Finished:	23 Feb 2022 12:00				
Total Amount of Time on the Documentation Review:	3.00 Hours				
Date Visual Inspection Started:	24 Feb 2022 09:00				
Date Visual Inspection Finished:	24 Feb 2022 11:30				
Total Amount of Time on Visual Inspection:	2.50 Hours				
Addendum(s) included in the audit:	Not Applicable				
Product(s) observed during audit:	Almonds				
Similar product(s)/process(es) not observed:	None				
Product(s) applied for but not observed:	None				
Auditor:	Danny Carrell (SCS Global Services)				
Preliminary Audit Score:	98%				
Final Audit Score:	100%				
Certificate Valid From:	29 Mar 2022 To 28 Mar 2023				
GPS Coordinates:	<table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>37° 33' 7"</td> <td>121° 9' 54"</td> </tr> </tbody> </table>  Click here to see map	Latitude	Longitude	37° 33' 7"	121° 9' 54"
Latitude	Longitude				
37° 33' 7"	121° 9' 54"				

Information related to the audited operation			
Total number of workers for the operation:	25	Maximum worker number during peak season:	45
Number of lines in normal production:	3	Number of lines running during the audit:	2
Facility Size:	159600 Square feet	Facility Environment Conditions:	Dry Environment Only
Allergens:	Yes	Allergen type(s):	Tree Nuts
Temperature Controlled Storage:	No	Was an anti-microbial used in the water/ice?	No
Water Source:	Municipal/District		
Is cooling equipment used?	No		
Are production areas completely enclosed?	Yes	Production Area:	
Are storage areas completely enclosed?	Yes	Storage Areas:	

Product information for each product			
Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Almonds	Observed on the day of audit	Year round	Germany, United States, Japan, Taiwan, European Union, Korea, South

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	248	Score:	248
	Possible Points:	248	Possible Points:	248
	Percent Score:	100%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1117	Score:	1132
	Possible Points:	1132	Possible Points:	1132
	Percent Score:	98%	Percent Score:	100%
Module 6 - HACCP System Requirements	Score:	247	Score:	250
	Possible Points:	250	Possible Points:	250
	Percent Score:	98%	Percent Score:	100%
TOTAL	Score:	1612	Score:	1630
	Possible Points:	1630	Possible Points:	1630
	Percent Score:	98%	Percent Score:	100%

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	0	0
Module 5 - Good Manufacturing Practices Requirements	4	0
Module 6 - HACCP System Requirements	1	0
TOTAL	5	0

SECTIONS:

Food Safety Management System Requirements	Module 5 - Good Manufacturing Practices Requirements	Module 6 - HACCP System Requirements
Management System	General GMP	Preliminary Steps
Control of Documents and Records	Pest Control	Development of the HACCP Plan
Procedures and Corrective Actions	Storage Areas & Packaging Materials	Execution of the HACCP Plan on the Plant Floor
Internal and External Inspections	Operational Practices	
Release of Items/Product	Worker Practices	
Supplier Monitoring/Control	Equipment	
Traceability and Recall	Equipment Cleaning	
Food Defense	General Cleaning	
	Buildings and Grounds	
	Site	
	Chemical Files	
	Pest Control Documentation	
	Operation Monitoring Records	
	Maintenance & Sanitation Files	
	Worker Documentation	
	Testing	
	Temperature Controlled Storage & Distribution Logs	
	Allergen Control	

FSMS	Management System	
1.01.01	<p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p> <p>Auditor Comments: TC Food Safety Policy is on file dated 1/3/2022. This is posted at the entrance, near the restroom and in the break area signed 1/3/2022 by Brian Wright General Manager. The policy is in both English and Spanish.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>

1.01.02	<p>Question: Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Organization Chart revised 2/4/2022 is on file. Alternates are outlined on the Organization Chart. Job Descriptions are outlined on the organizational chart and Description of Responsibilities document 1.01.02A dated 1/31/2022. Documents are current and accurate.</p>	
1.01.03	<p>Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Food Safety Team is outlined in the Food Safety Plan revised 2/2022. Team members include J.M., B.W., J.R., A.W., R.S., G.S., R.N., and Ag Food Safety Solutions. Meetings are held on a quarterly basis, for example latest meeting record reviewed for 2/4/2022 8 members were present. Also reviewed 10/8/2021 where 6 members were present and 2 members were absent and have been provided access to the meeting notes.</p>	
1.01.04	<p>Question: Is there a training management system in place that shows what types of training are required for various job roles of specific workers, including who has been trained, when they were trained, which trainings they still need to take, and a training schedule?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Training Program revised 1/31/2022 outlines the company's approach to training. A matrix takes form of a spreadsheet and details training topics required for each position. All job roles are listed on the document including topics that are required for each job role. Training program includes initial, annual and quarterly training requirements.</p>	
1.01.05	<p>Question: Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC 2022 Management Verification was last conducted on 2/16/2022. Review was conducted by B.W. All areas outlined in the guidelines covered. No changes have occurred to the system in the last 12 months.</p>	
1.01.06	<p>Question: Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: TC Industry guidelines are on file and include GAP for Almonds.</p>	
<p>FSMS Control of Documents and Records</p>		
1.02.01	<p>Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: TC SOP Document Control Procedure revised 1/31/2022 is on file. Management and the Food Safety Manager are responsible for control of documents. A record listing is available and includes reason for revision and revision history.</p>	
1.02.02	<p>Question: Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Records Storage dated 1/31/2022 is on file states that records are held for at least 2 years.</p>	
1.02.03	<p>Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC SOP Document Control Procedure revised 1/31/2022 is on file and indicates how records are created, edited, and stored. Documents can be held electronically and as hard copy in a secure location. Records are in ink, no issues observed during the audit. Copies are made available to employees at determination of management or the Food Safety Manager.</p>	

1.02.04	Question: Are records maintained in an organized and retrievable manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Records are stored onsite using a binder system and electronically. All requested documentation was provided. Records were retrievable and organized on the day of inspection.	
1.02.05	Question: Are all records and test results that can have an impact on the food safety program verified by a qualified person independent of the individual(s) completing the records?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Food Safety Document and Test Results Recording Log dated 8/2021 through 2/2022 shows all test results have been reviewed by R.S. or A.W. For example, on 2/21/2022 R.S. reviewed the water test from the breakroom.	

FSMS	Procedures and Corrective Actions
-------------	--

1.03.01	Question: Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC SOP 03 Creating SOP dated 1/31/2022 is on file and outlines the procedure for preparing new documents and how to create an SOP.	
1.03.02	Question: Are the written procedures available to relevant users and is a master copy maintained in a central file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Procedure copies are made available to the employee per management decision or by the Food Safety Manager. Copies are distributed throughout the facility to relevant employees. No issues observed with copies being available to staff.	
1.03.03	Question: Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC SOP 04 Corrective Actions Program dated 1/31/2022 states that as issues arise they are corrected and the root cause is considered. Preventative actions are established where root cause is identified. Preventative actions are assessed by the Food Safety Manager and management where necessary. Follow-up procedures are outlined in the document.	
1.03.04	Question: Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC NUOCA Form dated 1/31/2022 is on file. No unusual occurrences have been recorded over the last 12 months.	

FSMS	Internal and External Inspections
-------------	--

1.04.01	Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Internal Inspections SOP 05 dated 1/31/2022 details the procedure for conducting internal audits. FSMS is audited once annually. GMP audits are conducted quarterly and HACCP program is audited once annually (last conducted 2/16/2022 by M.A. of Ag Food Safety Solutions) or when changes are made to the system.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Regulatory Inspections Policy dated 1/31/2022 is communicated among the staff. The policy is on file and outlines the company's procedure for handling inspections.	

1.04.03	Question: Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Last PGFS audit conducted by SCS Global on 6/18/2021. Audit report on file and corrective actions submitted by Del Mar Packing. No regulatory inspections over the last 12 months.	
1.04.04	Question: Are there documented calibration and/or accuracy verification procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Equipment Calibration SOP 06 dated 1/31/2022 states the procedure for calibrating scales (annually), and metal detector calibration (per monitoring CCP procedure). For example, scales are calibrated by the County Division of Weights and Measures once annually.	
1.04.05	Question: Are calibration and/or accuracy verification records maintained and are they consistent with the requirements outlined in the SOP(s) for instruments and measuring devices requiring calibration?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Calibration records are on file for all calibration activities. For example, scales are checked daily on the Scale Calibration Log, reviewed records for 2/7/2022 through 2/11/2022 where a known weight is placed on the scale and the scale display matches the known weight. No corrective actions needed. Annual certification conducted on 1/26/2022, no issues noted by the scale certification company.	

FSMS	Release of Items/Product
-------------	---------------------------------

1.05.01	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC SOP 07 Product Release Procedure dated 1/31/2022 covers the procedure for release of products. Products must meet requirements prior to shipping.	
1.05.02	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Releases are documented onto the Bill of Lading. The statement is included onto the form All Food Safety Requirements & Customer Specifications Have Been Met. Reviewed records for 2022.	
1.05.03	Question: Is there a documented procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC SOP 08 Product On Hold, Rejected and Repacked dated 1/31/2022 outlines the requirements for placing products on hold. Responsibility falls on the Quality Control Team and the General Manager.	
1.05.04	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A There are no occurrences of products or packaging being placed on hold.	
1.05.05	Question: Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC SOP 09 Complaint Management dated 1/31/2022 outlines the procedure for communicating, processing, and reviewing complaints. No incidents recorded in the last 12 months.	

FSMS	Supplier Monitoring/Control
-------------	------------------------------------

1.06.01	<p>Question: Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Supplier Evaluation, Approval and Monitoring Program SOP 10 dated 1/31/2022 details the procedure for approving suppliers states the requirements to supply, emergency supplier procedures are included in the program. Confirmed suspension and probationary procedures.</p>	
1.06.02	<p>Question: Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Approved Supplier dated 1/2022 outlines the list of suppliers. For example International Paper supplies packaging, MVP supplies packaging distribution services, and Great Pacific Nut Co. supplies almonds.</p>	
1.06.03	<p>Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Specifications are outlines in SOP 11 Specifications dated 1/31/2022. Specifications take form of supplier requirements outlined in the procedure. Raw Materials, packaging, and services are included into the document.</p>	
1.06.04	<p>Question: Does the organization have documented evidence to ensure that all incoming products, ingredients, materials, services provided on-site and outsourced service suppliers comply with the approval requirements and that all supplier verification activities (including monitoring) are being followed, as defined in the supplier approval procedure?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC Great Pacific Nut Co., had a PGFS certificate and a letter of continuing guarantee on file. International Paper had a 3rd party audit record expiring on 6/22/2022 and an FDA letter of compliance dated 2/16/2022. MVP had on file a continuing letter of guarantee and an allergen report.</p>	
1.06.05	<p>Question: Where food safety related testing is being performed by laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Laboratories used for testing include Michelson Laboratories. Michelson accredited to ISO17025 equivalent for biological testing certificate number 2074.03 valid until 2/28/2022.</p>	
<p>FSMS Traceability and Recall</p>		
1.07.01	<p>Question: Is there is a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Product Tracking System Policy dated 1/31/2022 outlines the traceability procedure including use Executive Management software. Flow diagram is on file and outlines use of coded tags, bar codes, pallet tags, etc. Trace exercise was conducted live for run number xxxx771 almonds observed in storage started at 10:14am and ended at 10:21am, traced back to receiving date. Incoming material records were verified. 100% of product accounted for.</p>	
1.07.02	<p>Question: Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings, requirement for recall effectiveness checks, explanation of different recall classes and handling of recalled product?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC Recall program dated 1/31/2022 outlines the procedure for recalling products. Procedure outlines the responsibilities, recall team member information and includes alternates and cell contact information. Contact information of external experts is also included in the procedure.</p>	
1.07.03	<p>Question: Is testing of recall procedures (including traceback) performed and documented at least every six months, and the company can demonstrate the ability to trace materials (one step forward, one step back) effectively?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Mock recalls are conducted twice annually. Last conducted on 8/31/2021 for foreign material and took 28 minutes to complete. Lessons learned include always make sure the computer system is working and check for failed sensors.</p>	

FSMS		Food Defense	
1.08.01	<p>Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>	
	<p>Auditor Comments: TC Del Mar Food Fraud Risk Assessment dated 1/31/2022 outlines the risks related to food fraud. The risks are all low. For example, on incoming product the variety can be misrepresented. This is controlled through supplier approval and is not likely to occur.</p>		
1.08.02	<p>Question: Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>	
	<p>Auditor Comments: TC Food Defense Policy dated 1/31/2022 includes the food defense program. Team outlined in the Organizational Chart are responsible for training employees and managing the Food Defense Program. Controls related to food defense include physical security, visitor controls, chemical controls, and physical security assessments.</p>		
1.08.03	<p>Question: Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>	
	<p>Auditor Comments: TC Food Defense Assessment revised 1/31/2022 is on file and was last conducted on 10/08/2021 by B.W. Record does not indicate the need for corrective action.</p>		
1.08.04	<p>Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>	
	<p>Auditor Comments: TC Emergency Contacts are listed on the Emergency Contact List dated 1/31/2022 and is posted at the entrance and in the breakroom.</p>		
1.08.05	<p>Question: Are visitors and contractors to the company operations required to adhere to food defense procedures?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>	
	<p>Auditor Comments: TC All visitors are required to sign in and are made aware of policies. This includes food defense rules. Visitor Log revised 1/2022 details date, name, company, reason for visiting, time in and time out. Visitors are always accompanied by an employee. This is outlined in SOP 13 Facility Security dated 1/31/2022.</p>		
GMP		General GMP	
5.01.01	<p>Question: Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?</p>	<p>Possible Points: 15 Points Scored: 10 Score: Minor Deficiency</p>	
	<p>Auditor Comments: Minor: 55-gallon drums of cleaning and sanitation chemicals observed without spill control in the chemical storage room. Chemicals are stored in a designated storage location located on the exterior of the facility. Chemicals were properly labeled. Access was controlled by lock. Signage was posted at the entrance.</p>		
<p>Auditee Comments: Sanitation room is enclosed with concrete lip around entire room - except the door area. Door is closed except when immediate use. Team believed this to be sufficient for containment purposes. Drum platforms purchased and placed under all drums. Corrective Action Report and Evidence attached.</p>		View Files	
		<p>CA Accepted?</p>	
<p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to contain all hazardous chemicals. This was new information to the food safety team and they were unaware of the requirement. Documented evidence of compliance submitted including receipt of purchase, CAPA report, evidence of implementation (before/after photos).</p>		<p>Yes</p>	<p>Possible Points: 15 Points Scored: 15 New Score: Total Compliance</p>

5.01.02	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Food Grade chemicals including the grease guns are stored in a designated storage cabinet labelled "Food Grade". All grease used near is food grade.	
5.01.03	Question: Are signs supporting GMPs posted appropriately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Signage include haimets, gloves when handling products, designated area definitions and handwashing. Signage is appropriate for the operation. Signage is in both English and Spanish.	
5.01.04	Question: Are the necessary food defense controls implemented in the operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Yes, access to the facility is controlled and visitors are required to sign in and always be accompanied by an employee.	
GMP	Pest Control	
5.02.01	Question: Are products or ingredients free of pests (e.g. insects, rodents, birds, reptiles, mammals) or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC All materials were free of pests and pest activity.	
5.02.02	Question: Are packaging supplies free of pests (e.g., insects, rodents,birds,reptiles,mammals) or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC All materials were free of pests and pest activity.	
5.02.03	Question: Are plant and storage areas free of pests (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC All internal areas of the facility were free of pests and pest activity.	
5.02.04	Question: Is the area outside the facility free of evidence of pest activity?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC All external areas of the facility were free of pests and pest activity.	
5.02.05	Question: Is there an effective pest control program in place? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Yes, pest control is contracted to Advanced IPM. The company makes use of tin cats and bait stations.	
5.02.06	Question: Are pest control devices located away from exposed raw materials, work-in-progress, ingredients (including water and ice), finished goods and packaging, and poisonous bait stations are not used within the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Tincats are used on the inside of the facility, and bait stations are used on the outside. Routinely checked inhouse along with the contracted service.	

5.02.07	<p>Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?</p> <p>Auditor Comments: TC Traps and pest devices are in good condition, stations sampled include 17, 24, 28 tincats and 4, 7, and 19 bait stations. These stations are monitored using bar codes and a software system.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.02.08	<p>Question: Are interior and exterior building perimeter pest control devices adequate in number and location?</p> <p>Auditor Comments: Minor. A bait station was not placed within 6 feet of a man door leading to a production area.</p> <div data-bbox="253 428 1520 764" style="border: 1px solid black; padding: 5px;"> <p>Auditee Comments: Investigation showed sticker on wall & map identification so determination that device was accidentally displaced during production. Device was replaced in its proper location. Production employees re-trained regarding replacement of displaced devices. Corrective Action Report and Evidence attached.</p> <div style="text-align: right; margin-bottom: 5px;">View Files</div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%;"></td> <td style="width: 10%; text-align: center; font-size: small;">CA Accepted?</td> <td style="width: 30%;"></td> </tr> <tr> <td style="padding: 5px;">CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to inform employees not to move bait stations. Documented evidence of compliance submitted including training record, CAPA report, evidence of implementation(before/after photos).</td> <td style="text-align: center; vertical-align: middle; font-size: large;">Yes</td> <td style="padding: 5px;"> <p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p> </td> </tr> </table> </div>		CA Accepted?		CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to inform employees not to move bait stations. Documented evidence of compliance submitted including training record, CAPA report, evidence of implementation(before/after photos).	Yes	<p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p>	<p>Possible Points: 5 Points Scored: 3 Score: Minor Deficiency</p>
	CA Accepted?							
CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to inform employees not to move bait stations. Documented evidence of compliance submitted including training record, CAPA report, evidence of implementation(before/after photos).	Yes	<p>Possible Points: 5 Points Scored: 5 New Score: Total Compliance</p>						
5.02.09	<p>Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?</p> <p>Auditor Comments: TC All stations are properly identified with a wall placard and through a numbering system. Stations sampled include 17, 24, 28 tincats and 4, 7, and 19 bait stations</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.02.10	<p>Question: Are all pest control devices effective and bait stations secured?</p> <p>Auditor Comments: TC Bait stations are secured by weight and other physical security measures such as locking restricted access. Devices are effective.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
<p>GMP Storage Areas & Packaging Materials</p>								
5.03.01	<p>Question: Does the facility layout ensure separation of ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well as any allergen cross contamination issues)?</p> <p>Auditor Comments: TC Facility layout ensures the separation of processes, products, and packaging. There are not any issues of cross contamination that were observed on the day of inspection. Products are received, placed in storage, handled if needed, then shipped in a linear flow to prevent cross-contamination.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>						
5.03.02	<p>Question: Is the facility's use restricted to the storage of food products?</p> <p>Auditor Comments: TC Only food related items were observed during the inspection. The use of the facility is restricted to storage of food, food packaging, and food related items.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>						
5.03.03	<p>Question: Are rejected or on hold materials clearly identified and separated from other materials?</p> <p>Auditor Comments: TC Items placed on hold are properly tagged and located in a designated area. Designated area observed during the inspection. All materials were properly contained and easily distinguished between product for use and product on hold.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>						

5.03.04	<p>Question: Are raw products, work in progress, ingredients (including water and ice), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC There were not any issues related to product or material spoilage or adulteration.</p>	
5.03.05	<p>Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Storage areas appeared to be clean on the day of inspection. For example, the floors were swept, the lights were clean, equipment appeared clean and well maintained, and the corners of the building have been addressed. No issues observed on the day of inspection.</p>	
5.03.06	<p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC All materials were properly coded with traceability information. Coding includes a receiving number that can be tied to a software system. Bar codes are used to digitally track product movement.</p>	
5.03.07	<p>Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Yes, FIFO practice observed with stored products. No issues observed during the inspection.</p>	
5.03.08	<p>Question: Are storage areas at the appropriate temperatures for the specific products being stored?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Storage areas were at the appropriate temperatures. For example all storage and production areas were under ambient, dry conditions.</p>	
5.03.09	<p>Question: Is any packaging being stored outside, being stored protected?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Packaging material that is stored outside is kept covered and in good condition. There is pest control installed to prevent harborage of pests. Inspections occur daily to look for instances of cross-contamination.</p>	
<p>GMP Operational Practices</p>		
5.04.01	<p>Question: Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC There are not any issues of cross contamination that were observed on the day of inspection. Products are received, placed in storage, handled if needed, then shipped in a linear flow to prevent cross-contamination.</p>	
5.04.02	<p>Question: Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC There were not any issues observed on the day of inspection. Products and packaging are protected during storage and in process.</p>	
5.04.03	<p>Question: Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls and equipment, and other hard to reach areas?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC Production areas appeared to be clean on the day of inspection. For example, the floors were swept, the lights were clean, equipment appeared clean and well maintained, and the corners of the building have been addressed. No issues observed on the day of inspection.</p>	

5.04.04	Question: Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Production area is fully enclosed.	
5.04.05	Question: Is all re-work / re-packaging handled correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - No rework observed on the day of inspection.	
5.04.06	Question: Are raw ingredients examined before use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Raw materials are examined throughout the process and an inspection occurs at receiving. All products and packaging are fully examined prior to use.	
5.04.07	Question: Are finished products coded (carton and unit packaging) for the day of production?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Finished goods are tagged with traceability information including a run number that can be traced to the receiving number. Bar code system is used to track all raw materials, WIP, and finished goods.	
5.04.08	Question: Are foreign material control methods (e.g. metal detectors, metal traps, magnets, visual inspection, x-ray machines, etc.) in place and regularly tested (where relevant) to ensure proper operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Metal detectors are used to detect hazardous metal. Electronic color sorters and shaker tables fitted with sieves are used to remove foreign material. The metal detector was checked with 1.5mm FE, 1.5mm Non-FE, and 2mm SS calibration standards. The unit was fully operational.	
5.04.09	Question: Does the facility use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product contact water, terminal sanitizers, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - No sanitizers are measured in the process.	
5.04.10	Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC There are 4 handwashing stations and 25 workers present during today's inspection. This is sufficient.	
5.04.11	Question: Are hand washing stations in working order, have water of suitable temperature and pressure, adequately stocked (e.g. disposable towels, unscented soap, etc.) and restricted to hand washing purposes only?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC The hand washing station was composed of a sink, soap dispenser, paper towel dispenser, and a trash can for disposal. The handwashing stations were appropriately located, adequate in number, and were fully stocked at the time of inspection. Hot water was available for use.	
5.04.12	Question: Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC There are 6 toilets and 25 workers present during today's inspection. This is sufficient.	

5.04.13	Question: Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Hand sanitizer stations are available throughout the facility. For example, they are available in the storage area and where products are handled. Sanitizer dispensers are fully functional and stocked at the time of inspection.	
5.04.14	Question: Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - not used at this location.	
5.04.15	Question: Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Single use containers include packaging materials. Packaging materials are used only for food products. There were no issues observed during the audit.	
5.04.16	Question: Are re-usable containers cleanable and clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Reusable containers such as trash containers were clean on the day of inspection. Reusable containers are labeled and used only for their assigned purpose. Issues related to cross-contamination were not observed. There were no issues observed during the audit related to misuse.	
5.04.17	Question: Are devices used to measure, regulate or control temperature, pH, acidity, water activity, and other conditions that affect food safety, working properly and adequately maintained?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Devices not used at this location.	
GMP Worker Practices		
5.05.01	Question: Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Handwashing was observed on the day of inspection. Employee conducted procedure correctly and at the correct frequency.	
5.05.02	Question: Are workers' fingernails clean, short and free of nail polish?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Employees working near food products were inspected. No issues observed on the day of inspection. Inspected workers had short well-maintained fingernails. Nail polish was not observed.	
5.05.03	Question: Are workers who are working directly or indirectly with food, free from signs of boils, sores, open wounds and are not exhibiting signs of foodborne illness?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Employees working near food products were inspected. No issues observed on the day of inspection. Inspected workers did not show signs of foodborne illness, communicable diseases, or injury.	
5.05.04	Question: Are workers wearing effective hair restraints that contain all hair?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Hair restraints include hairnets and beardnets.	

5.05.05	Question: Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Employees working near food products were inspected. No issues observed on the day of inspection. Inspected workers did appear to be wearing jewelry.	
5.05.06	Question: Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves, non-latex gloves)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Outer garments include hair restraints and gloves when necessary. Handlers may also use clean hands to handle products.	
5.05.07	Question: Do workers remove protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break, before using the toilets and when going home at the end of their shift?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Employees remove their outer garments prior to going on break, to lunch, or to the restroom. There are designated areas for the employees to leave their items.	
5.05.08	Question: Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilets?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Outer garments are disposable and are replaced each time they are removed.	
5.05.09	Question: Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC There were not any personal items observe in the facility on the day of inspection. There is a designated area for employees to store their belongings. This was observed in the breakroom.	
5.05.10	Question: Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC These activities were not observed in the facility on the day of inspection. There is a designated area for employees to conduct these activities. No issues observed on the day of inspection.	
5.05.11	Question: Is fresh potable drinking water readily accessible to workers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Water is potable and is made available to the employees. Received verbal confirmation on the day of inspection that the water is potable.	
5.05.12	Question: Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of the head, Bluetooth devices, etc.)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Employees working in the storage area were inspected. No issues observed on the day of inspection. Inspected workers did not have loose items in their top pockets, loosely attached clothing decorations, or loosely attached items such as Bluetooth devices, badges, etc.	
5.05.13	Question: Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC First aid kit was fully stocked with no expired products. Blue band aides were observed in the first aid kit. First aid kit was located in the breakroom and in the production area.	

GMP	Equipment
------------	------------------

5.06.01	Question: Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Food contact equipment surfaces appeared clean on the day of inspection and free from unhygienic materials. Food contact surfaces were inspected and appeared to be well maintained. Surfaces were designed with sanitation in mind.	
5.06.02	Question: Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Non-food contact equipment surfaces appeared clean on the day of inspection and free from unhygienic materials. Non-food contact surfaces were inspected and appeared to be well maintained. Surfaces were designed with sanitation in mind.	
5.06.03	Question: Does food contact equipment design, placement, and condition (e.g., smooth surfaces, smooth weld seams, non-toxic materials, corrosion-resistant, no wood or other absorbent materials) facilitate effective cleaning and maintenance?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Food contact surfaces are composed of hard plastic/cable conveyors, stainless shaker tables, stainless sifters, etc. Food contact surfaces were inspected and appeared to be well maintained. Surfaces were designed with sanitation in mind.	
5.06.04	Question: Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - There are no cold storages or freezers.	
5.06.05	Question: Are all thermometers non-glass and non-mercury?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - There are no thermometers used in the process for almonds.	
GMP	Equipment Cleaning	
5.07.01	Question: Are food contact equipment surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Food contact equipment surfaces appeared clean on the day of inspection and free from unhygienic materials. Food contact surfaces were inspected and appeared to be well maintained. Surfaces were designed with sanitation in mind.	
5.07.02	Question: Are non-food contact equipment surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Non-food contact equipment surfaces appeared clean on the day of inspection and free from unhygienic materials. Non-food contact surfaces were inspected and appeared to be well maintained. Surfaces were designed with sanitation in mind.	
5.07.03	Question: Are items (totes, bins, etc.) that are used to hold or store product clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Containers observed on the day of inspection appeared clean and in good condition on the day of inspection. Containers that were damaged or excessively dirty were not observed on the day of inspection.	
5.07.04	Question: During cleaning, are food products and packaging materials protected from contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - cleaning and sanitation was not observed on the day of inspection.	

5.07.05	Question: Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - no cooling units observed on the day of inspection.	
5.07.06	Question: Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Fans appeared clean on the day of inspection. Dust was not collecting on the fan guard. Systems appeared to be in sanitary condition.	
5.07.07	Question: Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Stored equipment was observed on the day of inspection. Equipment was stored clean, covered and in the production area.	
5.07.08	Question: Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Items not in use are stored appropriately. For example, and air compressor hose, was coiled and stored off of the floor. Also, brooms were stored head down and off of the floor.	
5.07.09	Question: Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Maintenance tools appeared clean on the day of inspection.	
5.07.10	Question: Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC The equipment inspected did not appear to have excess grease on the bearings. The motors did not appear to be leaking, cracked, or damaged. There were no issues observed on the day of inspection.	
GMP General Cleaning		
5.08.01	Question: Are spills cleaned up immediately?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - no spills observed on the day on inspection.	
5.08.02	Question: Are waste and garbage frequently removed from production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Trash cans and other reusable containers appeared to be emptied routinely to prevent the collection of waste. There were no instances observed with trash piling over or excessive gathering of waste.	
5.08.03	Question: Are floor drains covered, do they appear clean, free from odors, in good repair, and flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Drains are in good condition. All of the drains inspected did not have foul odors, appeared to be intact without damaged structures, and did not have excessive build up or grime.	

5.08.04	Question: Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC High level areas appeared clean. This includes overhead fans, pipes, electrical conduit, light structures, and building structures. Excessive amounts of dust or evidence of poor sanitation was not observed on the day of audit.	
5.08.05	Question: Are plastic strip curtains maintained in good condition, kept clean and mounted so that the tips are not touching the floor?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Plastic strip curtains not observed on the day of inspection.	
5.08.06	Question: Is personal protection equipment (PPE) for the sanitation crew in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC PPE is stored onsite in cabinets. PPE is available to the sanitation crew. PPE includes protective eyewear and gloves.	
5.08.07	Question: Is cleaning equipment maintained clean and stored properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Cleaning equipment was stored appropriately. For example, broom stored head down, mops stored off of the floor to allow for drying. Clean and dirty towels were separated. Cleaning equipment is stored in cabinets throughout the facility and in the storage area.	
5.08.08	Question: Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC A color code system is employed by the facility to prevent cross-contamination. Restroom equipment is a different color than storage area equipment.	
5.08.09	Question: Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Sanitation equipment is fit for its purpose. No observations made of sanitation materials composed of wood, metal bristles, steel wool, or excessively worn cleaning materials.	
5.08.10	Question: Are toilet facilities and hand washing stations clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Restrooms and handwashing stations appeared to be clean on the day of inspection. This includes toilets, walls, floors, sinks, and dispensing stations such as soap and paper towel dispensers.	
5.08.11	Question: Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Breakrooms appeared to be clean on the day of inspection. This includes tables, floors, walls, and staff amenities. The break area did not have any foul odors and was located away from products and packaging.	
5.08.12	Question: Is the maintenance shop organized, with equipment and spares stored in a neat and tidy fashion?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Maintenance area was organized on the day of inspection. Parts were stored neatly, equipment not in use was put away. The maintenance area appeared to be well kept including swept floors and clean equipment. The maintenance area is situated away from product and packaging.	

5.08.13	Question: Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Internal transport equipment included pallet jacks and forklifts. Equipment was inspected on the day of audit. The equipment appeared to be clean. Surfaces and components of the machinery appeared to be in good condition and damage was not observed.	
5.08.14	Question: Are shipping trucks clean and in good condition?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - no shipping trucks observed on the day of inspection.	
GMP Buildings and Grounds		
5.09.01	Question: Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of breakage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Yes, lights at risk to the products were properly controlled on the day of inspection. An example observed on the day of audit included lights encased into a shatterproof plastic sleeve.	
5.09.02	Question: Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC There were not any issues observed during the walkthrough. Glass observed during the audit has been included onto the glass register. No observations noted of loose metal or plastic.	
5.09.03	Question: Has the facility eliminated the use of wooden items or surfaces?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Wooden surfaces such as bins are a standard practice in the almond industry. Almonds will undergo an intervention step prior to consumption. Wooden bins observed were in good condition and no damage was observed. No other wooden surfaces are used by the operation.	
5.09.04	Question: Is there adequate lighting in the production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Lighting was sufficient for activity in all areas of the facility. For example, the grading and packing areas appeared to be well lit to allow for adequate inspection of materials.	
5.09.05	Question: Is ventilation adequate to control dust, condensation, odors and vapors?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Ventilation controls were sufficient for dust and odors. Ventilation includes exhaust and intake fans that move air throughout the facility.	
5.09.06	Question: Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Floors appeared to be in good condition. Floors are composed of hard, non-porous material that appeared to be well maintained on the day of inspection. The floor does not have deep debris trapping cracks. Standing water was not observed on the day of inspection.	
5.09.07	Question: Are the floor drains where they are needed for drainage and cleanup?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Floor drains appeared to be in good condition. Floor drains include channel drains observed in the storage rooms.	

5.09.08	<p>Question: Are closed doors and windows to the outside pest-proof?</p>	<p>Possible Points: 10 Points Scored: 7 Score: Minor Deficiency</p>									
	<p>Auditor Comments: Minor: A roll up door near the almond sizer was not pest proof. Light was observed coming from underneath the door and gap was greater than 1/8 inch.</p>										
<table border="1" style="width: 100%;"> <tr> <td colspan="2"> <p>Auditee Comments: Food safety manager inspected the door in question. It had a dent in it, which is an indication it was struck by a forklift creating a gap at the bottom. This incident was not reported. Buffer replaced and forklift drivers re-trained to report damage and the reason why. Corrective Action Report and Evidence attached.</p> </td> <td style="text-align: right;"> <p>View Files</p> </td> </tr> <tr> <td style="width: 60%;"></td> <td style="text-align: center;"> <p>CA Accepted?</p> </td> <td></td> </tr> <tr> <td> <p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to train the forklift drivers on notification procedures for damage to dock doors. Documented evidence of compliance submitted including training record, CAPA report, and Before/After Photos.</p> </td> <td style="text-align: center;"> <p>Yes</p> </td> <td> <p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p> </td> </tr> </table>			<p>Auditee Comments: Food safety manager inspected the door in question. It had a dent in it, which is an indication it was struck by a forklift creating a gap at the bottom. This incident was not reported. Buffer replaced and forklift drivers re-trained to report damage and the reason why. Corrective Action Report and Evidence attached.</p>		<p>View Files</p>		<p>CA Accepted?</p>		<p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to train the forklift drivers on notification procedures for damage to dock doors. Documented evidence of compliance submitted including training record, CAPA report, and Before/After Photos.</p>	<p>Yes</p>	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>
<p>Auditee Comments: Food safety manager inspected the door in question. It had a dent in it, which is an indication it was struck by a forklift creating a gap at the bottom. This incident was not reported. Buffer replaced and forklift drivers re-trained to report damage and the reason why. Corrective Action Report and Evidence attached.</p>		<p>View Files</p>									
	<p>CA Accepted?</p>										
<p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to train the forklift drivers on notification procedures for damage to dock doors. Documented evidence of compliance submitted including training record, CAPA report, and Before/After Photos.</p>	<p>Yes</p>	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>									
5.09.09	<p>Question: In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A - Environment is not temperature-controlled.</p>										
5.09.10	<p>Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A - Dock load levelers, buffers, and shelters not in use.</p>										
5.09.11	<p>Question: Are exterior walls free of holes to exclude pests, and are pipes, vents, and air ducts designed and protected in order to prevent pest entry (e.g., by using fine mesh)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: TC Exterior walls appeared to be in good condition on the day of inspection. The exterior walls were properly screened and appeared to protect against pests.</p>										
5.09.12	<p>Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: TC Interior walls appeared to be in good condition on the day of inspection. The interior walls were not damaged, did not have crevices and are composed of materials that can easily be cleaned.</p>										
5.09.13	<p>Question: Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters, thereby allowing inspection and cleaning?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: TC The inspection perimeter was maintained on the day of inspection. The perimeter was enough to facilitate inspection and allow for cleaning and sanitation. This was observed throughout all parts of the facility.</p>										
5.09.14	<p>Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: TC Outside grounds and area immediately along the facility exterior appeared clean and well maintained. There were not any observations of unclean areas, standing water, or excessive vegetation.</p>										
5.09.15	<p>Question: Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the building perimeter)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>									
	<p>Auditor Comments: TC Boneyard was neatly organized and appeared to be well maintained. Materials in storage area neatly stacked, protected and the surrounding area is well maintained. The boneyard on the day of inspection did not appear to promote pest harborage.</p>										

5.09.16	Question: Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Pallets are inspected prior to use. Pallets are inspected visually during transport and inspected again at the point of use. Products stored on pallets appeared to be stored on pallets that were in good condition.	
5.09.17	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC The areas where waste is handled and stored appeared to be clean on the day of inspection. The area was well maintained. All waste was properly contained, there were not any leaky containers, or foul smells.	
5.09.18	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Trash cans and the dumpster outside were covered on the day of inspection to prevent pests.	
5.09.19	Question: Are all water lines protected against back siphonage?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Water lines appeared to be protected against back siphonage on the day of inspection. Water lines include hoses fitted with nozzles.	
5.09.20	Question: Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - No onsite laboratory.	
GMP	Site	
5.10.01	Question: Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, wastewater and other relevant features?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Site Map is on file and shows all required points outlined in guidelines.	
5.10.02	Question: Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Facility Floor Plan is on file and shows all required points outlined in guidelines.	
5.10.03	Question: Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Risk Assessment - Facility Location/Adjacent Land Use revised 1/31/2022 covers the site and includes location and land use assessment. The conclusion of the assessment is the location of the facility and adjacent land use, do not pose any significant risks.	
5.10.04	Question: Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Backflow checked by Irrigation Design and Construction on 1/24/2022. System was sealed and inspection passed.	

5.10.05	Question: Is there a designated person responsible for the operation's food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Roman Sardina is responsible for food safety and is HACCP Certified. R.S. trained by SCS Global Services on 2/25/2021 accredited by the IHA.	

GMP	Chemical Files
------------	-----------------------

5.11.01	Question: Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Labels are present on each chemical observed outside of its original container. No issues observed. For example, labels observed for Alpet E3+, Pine Guard, and Alpet D2.	

5.11.02	Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC Chemical inventory is documented once monthly for example on 2/21/2022 conducted by R.S. All chemicals accounted for.	

5.11.03	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single pass and/or recirculated/batch water systems, changing of recirculated/batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.) and for monitoring pH and water temperature (if applicable)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - There are no water systems used almonds.	

GMP	Pest Control Documentation
------------	-----------------------------------

5.12.01	Question: Is the pest control program properly documented, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Service Specifications are on file for the contracted service provided by Advanced IPM document outlines the scope of service, target pests, traps are serviced weekly. Certificate of insurance on file expires 03/01/2022. Structural board license on file for Patrick Huffstutler expires on 6/30/2022 technician.	

5.12.02	Question: Is there a schematic drawing/plan of the facility showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Maps are on file and dated 3/26/2021 approved by Joanna Whitmyre, stations sampled include 17, 24, 28 tincats and 4, 7, and 19 bait stations. No issues observed.	

5.12.03	Question: Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Advanced IPM record on file twice monthly. Reviewed records, for example on 2/10/2022 an inspection was conducted. Corrective actions are not needed based on report comments. Chemical use details are on file but no chemicals were applied during this visit.	

GMP	Operation Monitoring Records
------------	-------------------------------------

5.13.01	Question: Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Inspections are documented on the Farm Inbound Receiving Log dated 1/2022, for example on 2/10/2022 product was received. Inspection occurred for cleanliness, damage, odors, and evidence of pests. This was signed off by S.L.E.	

5.13.02	<p>Question: Are there inspection logs on incoming trailers (and other forms of transport) for rodents and insects, cleanliness, holes and temperature control of the trailer (for food requiring temperature control for safety and/or as required per buyer specifications)?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Inspections are documented on the Farm Inbound Receiving Log dated 1/2022, for example on 2/10/2022 product was received. Inspection occurred for cleanliness, damage, odors, and evidence of pests. This was signed off by S.L.E.</p>	
5.13.03	<p>Question: Are there records for the necessary process monitoring activities (e.g., pH, water temperature vs. product temperature, metal detection, X-ray, labeling, heating processes, reduction/kill step processes, postharvest pesticides (e.g. fungicides), control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Metal detectors are used to detect foreign metal objects. During production, the CCP is checked hourly and at start up. Records reviewed and no issues were observed. For example on 2/16/2022 the CCP was checked hourly, monitoring conducted by R.N. Also, on 2/14/2022 CCP was checked at 6:32am and 7:35am by R.N. No corrective actions were needed based on monitoring results.</p>	
5.13.04	<p>Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A - There are no wash water systems or ice solutions.</p>	
5.13.05	<p>Question: Are there records of monitoring for build-up of organic material (turbidity) and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A - There are no water systems used at this location.</p>	
5.13.06	<p>Question: Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations, and are there stock check and replenishment records for gel and spray stations?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: N/A - Company does not make use of hand, foot or tool dip stations.</p>	
5.13.07	<p>Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A - Tools are not used at this location.</p>	
5.13.08	<p>Question: Is there a pre-operation inspection log?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Preoperational Inspection revised 1/2021 details inspection of equipment, production, employee GMPs, pallets, food defense, and storage. Reviewed records for week 2/7/2022 and 2/14/2022. No issues or corrective actions needed.</p>	
5.13.09	<p>Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC Internal audit conducted by Mariana Aguiar last conducted on 2/16/2022. Corrective actions required for 3 of the questions. For example, the new sizer was not included on the Glass Register, this was corrected on 2/17/2022 by R.S.</p>	

GMP	Maintenance & Sanitation Files
------------	---

5.14.01	<p>Question: Does the facility have a preventative maintenance program that includes a schedule and completion records?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Preventive Maintenance Schedule revised 2/2022 shows equipment to be serviced and is where activities are recorded. Covers all areas of the facility. The schedule covers tasks to be completed seasonally such as plumbing and equipment, quarterly tasks for equipment and interior, and monthly tasks. Completion of task is documented on the Preventative Maintenance Log dated 1/2022 for example on 1/24/2022 the old sizer trays were replaced, completed and reviewed by R.S. This also includes Work Orders. All maintenance activities include a sanitation sign off.</p>	
5.14.02	<p>Question: Are there a logs of maintenance work and repairs and are they signed off when work is completed?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Completion of task is documented on the Preventative Maintenance Log dated 1/2022 for example on 1/24/2022 the old sizer trays were replaced, completed and reviewed by R.S. This also includes Work Orders. All maintenance activities include a sanitation sign off.</p>	
5.14.03	<p>Question: Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC Completion of task is documented on the Preventative Maintenance Log dated 1/2022 for example on 1/24/2022 the old sizer trays were replaced, completed and reviewed by R.S. This also includes Work Orders. All maintenance activities include a sanitation sign off.</p>	
5.14.04	<p>Question: Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC Master Sanitation Schedule revised 1/2022 is on file and outlines the area/equipment, frequency, SSOP identification and form where the cleaning is documented.</p>	
5.14.05	<p>Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC SSOPs are on file and outlined in the food safety manual. For example SSOP 01 Food Contact Equipment Cleaning revised 1/31/2022 states the scope, procedure, verification and monitoring techniques. SSOP and Master Sanitation Schedule are aligned.</p>	
5.14.06	<p>Question: Are cleaning and sanitation logs on file that show what was done, when and by who?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC The logs are filled out on various forms. For example Cleaning and Sanitation Log dated 1/2020 was reviewed for the sizer area weeks 1/31/2022, 2/7/2022, and 2/14/2022. This includes the cleaning of the drains. Another example is the cleaning of the storage rooms conducted on 2/4/2022 by L.S. and reviewed by R.S.</p>	
5.14.07	<p>Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A - Sanitizers are Ready To Use.</p>	
5.14.08	<p>Question: Are there documented procedures and completion records for clean-in-place (CIP) activities (e.g., cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, chilled water systems, ice makers, etc.), where applicable?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A - There are not any CIP systems used at this facility.</p>	

5.14.09	Question: Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC The logs are filled out on various forms. For example Cleaning and Sanitation Log dated 1/2020 was reviewed for the sizer area weeks 1/31/2022, 2/7/2022, and 2/14/2022. This includes the cleaning of the drains. No issues observed with the records.	
5.14.10	Question: Are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - There are no HVAC units in the packing operation.	
5.14.11	Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - There are no cooling units used for almond packing.	
5.14.12	Question: Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Sanitation Effectiveness SOP dated 1/31/2022 states that ATP tests are conducted weekly. The upper threshold is 500 RLU. The Hygiena system is used. Where results are too high the area will be recleaned and retested. Results reviewed for 2/10/2022 where 12 tests were conducted. Results are all passing. All results are passing and no corrective actions needed. Two results in the cautionary results bracket including a surface swabbed on 2/10/2022 (110RLU), and on 7/26/2021 (150RLU).	
5.14.13	Question: Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC SOP 21 Glass and Brittle Plastic Contamination Policy dated 1/31/2022 includes procedures for handling broken glass and clean up. Glasses are addressed in in the SOP. Glass Control states glass is excluded from the facility. Glass register is checked once monthly and is documented onto Glass and Brittle Plastics Register and Audit dated 1/2022. Last conducted on 2/8/2022. There were no damaged pieces or corrective actions needed based on inspection.	
GMP Worker Documentation		
5.15.01	Question: Are there records of new worker food safety (GMP) orientation training (with topics covered and attendees) and are all workers required to sign the company's food safety hygiene and health policy?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Worker Acknowledgement Form dated 1/31/2022 is on file for all new hires. Reviewed training record for E.V. conducted 2/10/2022 documented on to page 4 of SOP 23 Worker Practices dated 1/31/2022. SOP outlines all requirements for the employees.	
5.15.02	Question: Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Training occurs at least quarterly. Food Safety Training Sign-In Sheet dated 1/2022 is used to record trainings. Reviewed quarterly training conducted on 2/10/2022 by R.S. to 20 workers covering all Food Safety Topics.	
5.15.03	Question: Are there training logs for the sanitation workers, including best practices and chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Sanitation Training is conducted using Document 5.15.03 dated 1/31/2022 Food Safety Training Sign-In Sheet dated 1/2022 is used to record trainings. Reviewed sanitation training conducted on 2/10/2022 by R.S. to 20 workers covering the sanitation program.	

5.15.04	Question: Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and include return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors should check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC SOP 24 Open Wounds and Illness outlines the procedure for injured employees and for ill employees. Procedure covers handling incidents, response to blood or illnesses, and return to work procedures.	
5.15.05	Question: Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC No worker write ups have been recorded in the last 12 months. Write ups are recorded on the Corrective Action Log. This is documented per Worker Non-Conformances SOP 5.15.05 dated 1/31/2022.	
5.15.06	Question: Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC All visitors are required to sign in and are made aware of policies. This includes food defense rules. Visitor Log revised 1/2022 details date, name, company, reason for visiting, time in and time out. Visitors are always accompanied by an employee. This is outlined in SOP 13 Facility Security dated 1/31/2022.	

GMP	Testing
------------	----------------

5.16.01	Question: Is there a written risk-based, scientifically valid microbiological testing program that may include pathogen testing, and details program design (zonal approach, food contact/non-food contact surfaces, spent sprout irrigation water, test & hold, water, ice, etc.), rationale for organisms tested for, procedures for sampling and testing (surfaces, water, product, ingredients, etc.), timing and frequency of testing, the testing methodology, the lab that performs the tests, and acceptable results/threshold levels for each organism?	Possible Points: 15 Points Scored: 10 Score: Minor Deficiency						
	Auditor Comments: Minor. The testing procedure lacks detail regarding finished product testing for APC, Yeast and Mold including acceptable parameters and sampling procedures. SOP 25 Microbiological Testing dated 1/31/2022 is on file. Procedure includes zones, sample identification, sample collection, timing, frequency, and thresholds. Corrective action procedures are outlined in Corrective Action Procedures - Unacceptable Test Results dated 1/31/2022. Procedures include investigation and corrective actions.							
<p>Auditee Comments: Investigation by food safety team resulted in location of company's in-house finished product testing procedures, which was located separate from food safety program policies and procedures. Food safety program policy updated on to include finished product testing procedures and parameters. Corrective Action Report and Evidence attached.</p> <div style="text-align: right; margin-right: 20px;">View Files</div> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 10%; text-align: center;">CA Accepted?</th> <th style="width: 20%;"></th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to incorporate the testing procedures into one document and consolidate into the food safety program. The procedure already existed but was not available for review on audit day. Micro SOP now includes product testing and swabbing program. Documented evidence of compliance submitted including procedure update, CAPA report.</td> <td style="text-align: center; vertical-align: middle; font-size: 1.2em;">Yes</td> <td style="padding: 5px;"> Possible Points: 15 Points Scored: 15 New Score: Total Compliance </td> </tr> </tbody> </table>				CA Accepted?		CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to incorporate the testing procedures into one document and consolidate into the food safety program. The procedure already existed but was not available for review on audit day. Micro SOP now includes product testing and swabbing program. Documented evidence of compliance submitted including procedure update, CAPA report.	Yes	Possible Points: 15 Points Scored: 15 New Score: Total Compliance
	CA Accepted?							
CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to incorporate the testing procedures into one document and consolidate into the food safety program. The procedure already existed but was not available for review on audit day. Micro SOP now includes product testing and swabbing program. Documented evidence of compliance submitted including procedure update, CAPA report.	Yes	Possible Points: 15 Points Scored: 15 New Score: Total Compliance						

5.16.02	Question: Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: SOP 25 Microbiological Testing dated 1/31/2022 is on file. Procedure includes zones, sample identification, sample collection, timing, frequency, and thresholds. Corrective action procedures are outlined in Corrective Action Procedures - Unacceptable Test Results dated 1/31/2022. Procedures include investigation and corrective actions.	

5.16.03	Question: Are there records of environmental microbiological test results and does testing meet the program requirements?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC E. coli, Listeria, and Coliforms test CoA reviewed conducted by Michelson Laboratories. Testing is required once annually for almond areas. All results on lab reports dated 2/17/2022 indicated < 1CFU/mL E. coli and Coliforms and Negative Listeria spp. No out of specification results observed.	

5.16.04	Question: Are there records of microbiological tests on water used in the facility (sampled from within the facility) and does the testing meet the program requirements?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Water Microbiological Testing dated 1/31/2022 details annual water tests. Acceptable limits are < 1MPN/100mL TC and < 1MPN/100mL E. coli. Last test conducted by Michelson Laboratories on 2/18/2022. Water testing frequency is adhered to. Results are absent.	
5.16.05	Question: Are there records of microbiological tests on ice used in the facility (either produced in-house or purchased) and does testing meet the program requirements?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - No Ice used in this operation.	
5.16.06	Question: Are there records of tests performed on compressed air or other mechanically introduced gases that are used directly on food and food contact surfaces and does testing meet the program requirements?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - no compressed air used in this operation.	
5.16.07	Question: Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Finished products are tested for microorganisms. Last test conducted by Michelson Laboratories on 2/04/2022. All results within specification for example Aerobic Plate Count < 10 CFU/g. No out of specification finished product results based on review of records.	
5.16.08	Question: Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - No out of specification results observed.	
5.16.09	Question: Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Training occurs annually. Training was conducted by Michelson Laboratories on 2/17/2022. Training included swabbing technique and air sample collection. C.S. conducted the training Laboratory Manager for Michelson Laboratories.	
5.16.10	Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with protocols and validated testing methods, evidence of training on testing protocols and methods, and relevant supporting documentation?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - no testing is conducted in-house.	
GMP Temperature Controlled Storage & Distribution Logs		
5.17.01	Question: Are there records of final product temperature checks for temperature sensitive product?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Products are not temperature sensitive for food safety and are not a PHF requiring temperature control.	
5.17.02	Question: Are there temperature logs for the production area (if refrigerated)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - production areas are not refrigerated.	

5.17.03	Question: Are there temperature logs for storage rooms?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - almonds stored under ambient conditions.	
5.17.04	Question: Is there a documented procedure for checking truck trailer temperature and reviewing sanitary condition of truck trailers prior to loading?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC SOP 24 Truck Load Inspection Procedure dated 1/31/2022 states that an inspection will occur for cleanliness, odors, garbage, and signs of pest activity. Records will be maintained.	
5.17.05	Question: Are there records of shipping truck trailer (or other transportation systems) temperature checks, indicating the truck trailer temperature settings and that the truck trailer was pre-cooled prior to loading?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Almonds are transported under ambient conditions.	
5.17.06	Question: Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Finished products releases are documented on the Loading Inspection Log dated 1/2021. Records available for example 1/12/2022 R.S. released product for shipping post-inspection for cleanliness, damage and odors.	
GMP	Allergen Control	
5.18.01	Question: Are production and storage areas free of allergen risks (i.e. allergens are not stored or handled)??	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No - Company handles and stores almonds.	
5.18.02	Question: Has a documented allergen management plan been developed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Allergens document dated 1/31/2022 is on file. The document outlines management plans for storage, transport, identification, production, handling, utensils, training, labelling, and prevention of cross-contamination.	
5.18.03	Question: Are there adequate storage controls (e.g., separation, identification, etc.) that ensure that allergens are not contaminating other materials?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Almonds are stored in designated storage areas to prevent comingling of allergenic and non-allergenic products. This visually observed and confirmed in the Allergens document dated 1/31/2022.	
5.18.04	Question: Is there a dedicated allergen production line or adequate clean down and production procedures that prevent allergen cross contamination?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Production areas are dedicated for specific commodities. Almonds are processed only in almond production enclosures. This visually observed and confirmed in the Allergens document dated 1/31/2022.	
5.18.05	Question: Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Utensils used for allergens were properly labelled. Controls are in place to prevent accidental use in a non-allergen production area or storage area.	

5.18.06	Question: Does re-work handling take into account the issues associated with allergen containing products?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A - Production areas are dedicated to almond handling. All re-work in these production areas are almonds.	
5.18.07	Question: Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Training on allergens was conducted at the last quarterly training. Food Safety Training Sign-In Sheet dated 1/2022 is used to record trainings. Reviewed quarterly training conducted on 2/10/2022 by R.S. to 20 workers covering all Food Safety Topics.	
5.18.08	Question: Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Workers operating in almond production areas are dedicated to almond handling. This visually observed and confirmed in the Allergens document dated 1/31/2022.	
5.18.09	Question: Are all products manufactured on site labeled correctly with respect to allergens?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC Labelling is in compliance with US regulation. This visually observed and confirmed in the Allergens document dated 1/31/2022.	

HACCP	Preliminary Steps
--------------	--------------------------

6.01.01	Question: Is there a team responsible for the HACCP program at the operation, with an assigned leader for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC The HACCP Team is outlined in the Food Safety Plan dated 2/2022 in HACCP Food Safety Team and includes J.M., B.W., A.W., R.S., G.S., R.N., J.R. and Ag Food Safety Solutions. Coordinators include Ag Food Safety Solutions and R.S.	
6.01.02	Question: Is there documented evidence that the HACCP team members have been trained on HACCP principles?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Ag Food Safety Solutions (Mariana, trained by SCS on 3/30/2020 accredited by the IHA), R.S. (trained by SCS on 2/25/2021 accredited by the IHA), J.M., B.W., A.W., G.S., R.N., J.R. were trained in house by Ag Food Safety Solutions in February 2022.	
6.01.03	Question: Does a product description exist for the products produced?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Product description is on file and can be found in the Food Safety Plan in Product Description and Intended Use dated 2/2022. Product descriptions include Almonds. Product description outlines all necessary product characteristics and uses.	
6.01.04	Question: Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Flow Diagram outlined in the Food Safety Plan Old Room and New Room Almond HACCP Flow Chart dated 2/2022 and details all components and steps in the process. Inputs are included in the process. Inputs include: chemicals, fruit, packaging (primary and secondary). Verified by R.S. on 2/4/2022.	

6.01.05	<p>Question: Is there documented evidence that the flow chart(s) has been verified on-site?</p> <p>Auditor Comments: TC Flow Diagram outlined in the Food Safety Plan Old Room and New Room Almond HACCP Flow Chart dated 2/2022 and details all components and steps in the process. Inputs are included in the process. Inputs include: chemicals, fruit, packaging (primary and secondary). Verified by R.S. on 2/4/2022.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
<p>HACCP Development of the HACCP Plan</p>		
6.02.01	<p>Question: Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</p> <p>Auditor Comments: TC Hazard Analysis and Critical Control Points is outlined in the Food Safety Plan dated 2/2022. Analysis details biological, chemical and physical hazards. For example, at the receiving step, Salmonella, Allergens and foreign materials are identified as hazards.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.02	<p>Question: Have CCP decisions been made with logical, documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?</p> <p>Auditor Comments: TC CCP decisions are made using a risk matrix based on the likelihood of occurrence and a 4 question outlined defined in the Food Safety Plan dated 2/2022. For example, foreign materials are classified as a hazard that is likely to occur and is significant based on the risk matrix. The 4 question guide shows the need for metal detection to be classified as a CCP.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.03	<p>Question: Is the HACCP system reviewed when significant changes are made and at least once every 12 months?</p> <p>Auditor Comments: TC The HACCP system was last reviewed in February 2022. There have been no changes to the system.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
6.02.04	<p>Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If answer is YES, continue with next question. If answer is NO, the rest of "Module 6 HACCP" is not applicable.</p> <p>Auditor Comments: Yes, metal detector has been classified as a CCP.</p>	<p>Possible Points: 0 Points Scored: 0 Score: Yes</p>
6.02.05	<p>Question: Have CCP critical control limits been established and are they supported by relevant validation documentation?</p> <p>Auditor Comments: TC Document SOP 26 CCP Monitoring Procedure - Metal Detector dated 1/31/2022 states that the CCPs are 1.5mm Fe, 1.5mm Non-Fe, and 2.0mm Stainless Steel test cards used to test the functionality of the metal detection system. These standards are validated by the industry best practices.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.06	<p>Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?</p> <p>Auditor Comments: TC Document SOP 26 CCP Monitoring Procedure - Metal Detector dated 1/31/2022 states that the CCP is monitored hourly, upon start up and when product change overs occur.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
6.02.07	<p>Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?</p> <p>Auditor Comments: TC Document SOP 26 CCP Monitoring Procedure - Metal Detector dated 1/31/2022 states that the CCP is monitored by a trained operator.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>

6.02.08	Question: Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC Document SOP 26 CCP Monitoring Procedure - Metal Detector dated 1/31/2022 states the requirements for monitoring the metal detector using 3 calibration standards are ran through the metal detector to see if the automatic rejection system captures all 3 standards.	
6.02.09	Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limits are not met (loss of control/deviation) and plans to adjust the process back into control?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Document SOP 26 CCP Monitoring Procedure - Metal Detector dated 1/31/2022 states that the CCP corrective action procedures include stopping the line, fixing the issue, rework product that has passed through since the last verified successful check, and investigation upon emerging trends.	
6.02.10	Question: Have recording forms been developed for monitoring the CCPs?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Almond Metal Detector Log is on file and is used for recording CCP monitoring activities.	
6.02.11	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC Document 6.02.11 Verification Plan is on file and states that CCP verification includes review of records, customer complaints, calibration logs and corrective actions weekly.	
HACCP Execution of the HACCP Plan on the Plant Floor		
6.03.01	Question: Is there documented evidence that all plant workers have attended a HACCP training, including specific training for CCP operators?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC CCP operator include R.N. who was trained in HACCP on 2/2022 by Ag Food Safety Solutions. The training certificate is on file. The CCP operator was interviewed during the inspection and displayed knowledge of corrective action procedures and monitoring of the CCP.	
6.03.02	Question: Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC CCP operator include R.N. who was trained in HACCP on 2/2022 by Ag Food Safety Solutions. The training certificate is on file. The CCP operator was interviewed during the inspection and displayed knowledge of corrective action procedures and monitoring of the CCP.	
6.03.03	Question: Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC During production, the CCP is checked hourly and at start up. Records reviewed and no issues were observed. For example on 2/16/2022 then CCP was checked hourly, monitoring conducted by R.N. Also, on 2/14/2022 CCP was checked at 6:32am and 7:35am by R.N.	
6.03.04	Question: Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC During production, the CCP is checked hourly and at start up. Records reviewed and no issues were observed. For example on 2/16/2022 then CCP was checked hourly, monitoring conducted by R.N. Also, on 2/14/2022 CCP was checked at 6:32am and 7:35am by R.N.	

6.03.05	<p>Question: Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?</p>	<p>Possible Points: 10 Points Scored: 7 Score: Minor Deficiency</p>									
	<p>Auditor Comments: Minor: Metal Detector Log was not reviewed within 7 days from monitoring activity, for example, on 2/16/2022.</p>										
<table border="1"> <tr> <td colspan="2"> <p>Auditee Comments: It is company policy that all logs are submitted and reviewed on a weekly basis, to include CCP logs. Food Safety Manager interviewed and stated he had not been able to review logs from the previous week. Policy revised to state that CCP records to be reviewed within 36 hours of completion. Food safety manager trained on company record verification policy. Corrective Action Report and Evidence attached.</p> </td> <td style="text-align: right;"> <p>View Files</p> </td> </tr> <tr> <td></td> <td style="text-align: center;"> <p>CA Accepted?</p> </td> <td></td> </tr> <tr> <td> <p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to reduce the compliance criteria from 7 days to 36 hours to avoid reoccurrence. Documented evidence of compliance submitted including policy update, CAPA report, evidence of implementation and training record for the food safety record reviewer.</p> </td> <td style="text-align: center;"> <p>Yes</p> </td> <td> <p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p> </td> </tr> </table>			<p>Auditee Comments: It is company policy that all logs are submitted and reviewed on a weekly basis, to include CCP logs. Food Safety Manager interviewed and stated he had not been able to review logs from the previous week. Policy revised to state that CCP records to be reviewed within 36 hours of completion. Food safety manager trained on company record verification policy. Corrective Action Report and Evidence attached.</p>		<p>View Files</p>		<p>CA Accepted?</p>		<p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to reduce the compliance criteria from 7 days to 36 hours to avoid reoccurrence. Documented evidence of compliance submitted including policy update, CAPA report, evidence of implementation and training record for the food safety record reviewer.</p>	<p>Yes</p>	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>
<p>Auditee Comments: It is company policy that all logs are submitted and reviewed on a weekly basis, to include CCP logs. Food Safety Manager interviewed and stated he had not been able to review logs from the previous week. Policy revised to state that CCP records to be reviewed within 36 hours of completion. Food safety manager trained on company record verification policy. Corrective Action Report and Evidence attached.</p>		<p>View Files</p>									
	<p>CA Accepted?</p>										
<p>CB/Auditor Review Comments: TC Corrective Action on file for record review. Root cause of the problem was identified in the report and included a preventative action to reduce the compliance criteria from 7 days to 36 hours to avoid reoccurrence. Documented evidence of compliance submitted including policy update, CAPA report, evidence of implementation and training record for the food safety record reviewer.</p>	<p>Yes</p>	<p>Possible Points: 10 Points Scored: 10 New Score: Total Compliance</p>									
6.03.06	<p>Question: Is there a deviation record detailing documented corrective actions when a deviation/loss of control of a CCP occurs (a critical control limit is exceeded)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>									
	<p>Auditor Comments: N/A - No corrective action records are on file since the unit has not failed.</p>										