

PrimusLabs.com Audit (139574) Packinghouse v08.06

Facility(s)	Triple J Produce Contact: Joey Hocutt Address: 8541 Bailey Road Sims North Carolina 27880 United States Phone Number: 252 205 2936 Fax Number: 252-235-5870 Email(s): joey@triplejproduce.com ; MaryTWilks@yahoo.com
Customer(s)	Triple J Produce Contact: Joey Hocutt Address: 8541 Bailey Rd Sims North Carolina 27880 United States Phone Number: 252 205 2936 Fax Number: 252-235-5870 Email(s): joey@triplejproduce.com .
Audit Type:	Packinghouse
Foreman or Contact Person (and email):	Joey Hocutt (joey@triplejproduce.com)
Location/City:	Sims
State:	North Carolina
Country:	United States
Date Audit Started:	02/11/2011 08:00
Date Audit Finished:	02/11/2011 13:00
Commodity(ies):	Sweet Potatoes
Auditor:	Ashley Bell (Sub-Contract Auditors, Ashley Bell - Subcontractor)
Audit Percentage Score:	92%
Scoring Category:	90-94 Excellent
Announced Audit?	Yes
FDA Registration Number Affidavit:	No
Audit Scope:	Own-grown sweet potatoes stored on-site in wood field bins at ambient temperatures. Product is packed to order over 6-8 month season

(fall–spring). Chlorinated dump tank, potable water rinse, graded, fungicide, wax, dried, size graded, packed into cardboard boxes or plastic RPC. Inspection included separate mechanics shop on farm property. Trial line for shrink–wrapping sweet potatoes for microwaving was not included in the scope.

Audit Entered By: Ashley Bell
Other Auditing Personnel And Role: N/A

Additional Report Links

[See Severity Answers & Recommendations](#)

[See The Result Comparison](#)

[See The Audited Entity History](#)

Corrective Actions Response

Note: This link must be used in order to notify that you are taking action in the corrective measures for questions that were not in full compliance.

Sections:

[Good Manufacturing Practices](#)

[Food Safety File Requirements](#)

[Food Security](#)

[Miscellaneous Survey Questions](#)

[New Questions \(Not part of overall Food Safety percentage\)](#)

Good Manufacturing Practices

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
1.1.1	Is there a designated person responsible for the food safety program?	Total Compliance	10	10		Yes. Joey Hocutt is responsible for the food safety program.	
1.1.2	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Minor Deficiency	10	15	Chemicals are required to be stored in a designated secured storage area (with good signage). The chemical storage area to be located away from any raw materials, packaging & finished food products. Spill controls should be in place for opened in use containers. All chemical containers should be	Chlorine drum beside line is not on spill containment (note, in close proximity to drain). Glue (verbal from auditee) seen in a Gatoraid bottle on box mezzanine. Bulk chemicals stored in secured, labeled area, one bucket with unknown liquid. Chlorine in this area without spill containment also.	

					adequately labeled.
1.1.3	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	Total Compliance	10	10	Yes.
1.1.4	Are signs supporting GMP's posted appropriately?	Total Compliance	10	10	Yes. Appropriate detailed signage at entrances, break room, bathrooms and wash station next to line.
1.2.1	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. No issue seen.
1.2.2	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. No issues seen.
1.2.3	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	Total Compliance	10	10	Yes. No issues seen.
1.2.4	Is the area outside the facility free of evidence of pest activity?	Total Compliance	10	10	Yes. No issues seen.
1.2.5	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15	Yes. Facility pest control is contracted to Rid A Pest.
1.2.6	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	Total Compliance	10	10	Yes. Glue traps inside and bait stations are used on exterior building perimeter.
1.2.7	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Total Compliance	5	5	Yes. Tags apparently new, only this month noted as checked (have service reports for last 12 months on file).
1.2.8	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	Total Compliance	5	5	Yes. Trapping seen inside/outside facility, break area, and on mezzanine area.
1.2.9	Are all pest control devices identified by a number or other code (e.g. barcode) ?	Total Compliance	5	5	Yes. All devices were numbered.
1.2.10	Are all pest control devices properly installed and secured?	Total Compliance	5	5	Yes. Interior glue boards are protected by rain

1.3.1	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well as any allergen cross contamination issues)?	Minor Deficiency	10	15	Raw materials should be stored separately from finished product. Product and packaging should be stored off the ground, protected if necessary, away from chemicals, battery chargers etc. in order to prevent contamination. Special attention should be given to ice storage and where relevant allergen storage.	guttering, exterior traps are glued to patio stones. Washed product in wood bins stored next to packaging in packing room. In incoming raw product area wood bins of product stored near soil, crates and seed potatoes.
1.3.2	Is the storage area completely enclosed?	Total Compliance	10	10		Yes.
1.3.3	Is the facility's use restricted to the storage of food products?	Total Compliance	5	5		Yes.
1.3.4	Are rejected or on hold materials clearly identified and separated from other materials?	N/A	0	0		N/A. No product on hold at time of audit. Auditee has designated hold area and tags.
1.3.5	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	Total Compliance	15	15		Yes.
1.3.6	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Minor Deficiency	7	10	All storage areas should be kept clean and free from dust, debris and other extraneous materials. This helps avoid pest attraction and contamination of products, ingredients or packaging. Pests activity is easier to detect in a clean area.	Some accumulation of soil in hard to reach areas around supports on building perimeter. Otherwise acceptable given commodity.
1.3.7	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates,	Total Compliance	5	5		Yes. Wood field bins are marked with date of harvest, far and harvest

	manufacture dates, etc)?				crew details. Pallet tags are on packaging material. Yes.
1.3.8	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Total Compliance	5	5	
1.4.1	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Total Compliance	15	15	Yes. No issues seen.
1.4.2	Are packing and/or processing areas completely enclosed?	Total Compliance	15	15	Yes.
1.4.3	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	Total Compliance	15	15	Yes.
1.4.4	Is all re-work / re-packaging handled correctly?	Total Compliance	10	10	Yes. Verbal from auditee – product for re-work is run through line again, date of packing is used as the code on cartons and links to original harvest details.
1.4.5	Are raw ingredients examined before use?	Total Compliance	5	5	Yes. Numerous sorters on line.
1.4.6	Are finished products coded (carton and unit packaging) for the day of production?	Total Compliance	10	10	Yes. Date of packing is stamped on base portion of cartons.
1.4.7	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	Total Compliance	10	10	Yes. Visual inspection only.
1.4.8	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	Total Compliance	10	10	Yes. Auditee uses test strips to verify chlorine concentration before start up and two other times during the day. Auditor observed auditee conduct a test.
1.4.9	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	Total Compliance	15	15	Yes. Hand wash stations are located next to line and in each of the three bathroom facilities. All stocked and with warm water

1.4.10	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	Total Compliance	15	15		available. Hands-free soap dispensers are used. Yes. There are three toilet facilities for 20-22 employees. All are stocked. Hands-free soap dispensers are used.
1.4.11	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	Total Compliance	5	5		Yes. Hand gel stations outside break area and next to line and at box pack out area.
1.4.12	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	Minor Deficiency	3	5	To avoid cross contamination, single-service containers should not be re-used. Storage of small parts, or tools in packaging containers should not be allowed (unless these are marked up for such use and will not be used in the food chain).	One employee using a RPC for culls (broken side on RPC).
1.4.13	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	Total Compliance	5	5		Yes.
1.4.14	Are food safety measuring devices working properly?	N/A	0	0		N/A. There are no food safety measuring devices in use under the scope of this question.
1.5.1	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	Total Compliance	15	15		Yes. Employees were observed washing their hands on their return from break.
1.5.2	Are employees fingernails clean, short and if gloves are not used, free of nail polish?	Total Compliance	5	5		Yes. No issues noted - gloves are worn.
1.5.3	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	Total Compliance	10	10		Yes. No issues seen.
1.5.4	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	Total Compliance	5	5		Yes. Employees were wearing ball

						caps or other head coverings.
1.5.5	Is jewelry confined to a plain wedding band?	Minor Deficiency	2	3	Jewelry except plain wedding bands should not be worn in the production areas. Jewelry can fall into product. It can also get snagged in machinery.	One employee seen wearing a watch.
1.5.6	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	Total Compliance	5	5		Yes. Smocks are not required for this type of operation. Street clothes appeared clean and intact.
1.5.7	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	Total Compliance	5	5		Yes. Gloves are removed.
1.5.8	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	Minor Deficiency	3	5	Having a designated area for these items helps keep them in a sanitary condition. Avoid hanging them next to personal clothing, on packaging materials, on or near chemicals or on equipment to prevent cross contamination.	There is a line and pegs to hang gloves. Isolated instance of employees leaving gloves at work station on line equipment.
1.5.9	Is smoking, eating, chewing and drinking confined to designated areas?	Total Compliance	10	10		Yes. No evidence of non-conformance observed.
1.5.10	Are all items removed from shirt or blouse top pockets?	Total Compliance	3	3		Yes. No issues seen.
1.6.1	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Total Compliance	15	15		Yes. No issues seen.
1.6.2	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	Minor Deficiency	7	10	Flaking paint, corrosion, rust and/or unhygienic materials should not be present on any surfaces.	Isolated instances of flaking paint on sides and structure of line.
1.6.3	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	Total Compliance	15	15		Yes.
1.6.4	Are thermometers (independent of thermostat probes) present in all coolers	N/A	0	0		N/A. Product is stored at ambient

1.6.5	and freezers? Are all thermometers non-glass and non-mercury?	N/A	0	0		temperatures. N/A. All product is stored and packed at ambient temperatures.
1.7.1	Are food contact surfaces clean?	Total Compliance	15	15		Yes.
1.7.2	Are non-food contact surfaces clean?	Total Compliance	10	10		Yes.
1.7.3	Are items (barrels, bins, etc.) that are used to hold or store product clean?	Total Compliance	10	10		Yes.
1.7.4	During cleaning are foods and packaging protected?	N/A	0	0		N/A. This activity was not observed,
1.7.5	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	N/A	0	0		N/A. Product is stored at ambient temperatures. Not applicable for this product.
1.7.6	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	Total Compliance	5	5		Yes. No issues with fans for cooling near line.
1.7.7	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?	Total Compliance	10	10		Yes. Seasonal cucumber line was covered.
1.7.8	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	Minor Deficiency	7	10	Utensils, hoses and other items should be stored appropriately to prevent contamination. Storing off the floor, protected from splash back, dedicated lockers/storage areas etc. should be considered as possible control steps.	One hose near initial grading line was on floor. Others stored coiled and hung.
1.7.9	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	Total Compliance	3	3		Yes. No issues seen.
1.7.10	Are excess lubricants and grease removed from the equipment?	Total Compliance	5	5		Yes. No excess grease or lubricants seen.
1.8.1	Are spills cleaned up immediately?	Total Compliance	10	10		Yes.
1.8.2	Are waste and garbage frequently removed from packing and storage areas?	Total Compliance	5	5		Yes. No issues seen with waste or garbage.

1.8.3	Do floor drains appear clean, free from odors and well maintained?	Total Compliance	5	5		Yes.
1.8.4	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	Total Compliance	10	10		Yes. Overhead areas are acceptable.
1.8.5	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	Minor Deficiency	3	5	Plastic strip curtains may be a source of contamination if they are not maintained clean, intact and fitted properly (so tips are not touching).	Some strips broken around edges in center of panel between dump tank and pack area.
1.8.6	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	Total Compliance	3	3		Yes.
1.8.7	Is cleaning equipment available and stored properly?	Total Compliance	5	5		Yes. Equipment is hung off the ground and stored appropriately.
1.8.8	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	Total Compliance	5	5		Yes. Color code system with wall signage is in use.
1.8.9	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	Total Compliance	5	5		Yes.
1.8.10	Are toilet facilities and hand-wash stations clean?	Total Compliance	15	15		Yes. Toilet facilities and hand wash stations were clean.
1.8.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	Total Compliance	5	5		Yes. Break room is clean.
1.8.12	Is the maintenance shop organized – i.e. equipment and spares stored in a neat and tidy fashion?	Minor Deficiency	3	5	The maintenance shop should be clean and well ordered. An unclean shop can result in cross contamination and pest attraction. Any food consumption in the maintenance shop, should be in a designated area that does not pose a risk to tools and equipments. There should be adequate hand washing facilities provided if maintenance shops have designated break areas.	Isolated instance of tools not organized, floor not swept. Maintenance area is in a separate building.

1.8.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	Total Compliance	5	5		Yes.
1.8.14	Are shipping trucks clean and in good condition?	N/A	0	0		N/A. Auditor was unable to inspect a shipping truck during the audit.
1.9.1	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	Minor Deficiency	10	15	Lights should be periodically cleaned. Lights should be protected against glass breakage in production, product storage, packaging storage and maintenance areas.	Lights on fork lifts and light at loading dock are not protected.
1.9.2	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	Minor Deficiency	10	15	All foreign material risks must be either removed and/or accounted for and controlled. Example include metal filings (maintenance), glass lights on fork lifts, PC screens, staples etc.	Facility has glass windows at periodic intervals without any protection – line is situated away from these window areas. Push pins used in notice board near break room.
1.9.3	Has the facility eliminated the use of wooden items or surfaces?	Major Deficiency	1	5	Wood is a porous material and can harbor bacteria. It cannot be cleaned or sanitized effectively. Wooden materials can also splinter and pose a risk of physical contamination.	Numerous wood handled tools in use for cleaning. Metal tool used to pull potatoes at dump tank.
1.9.4	Is there adequate lighting in the packing and storage areas?	Total Compliance	5	5		Yes. Lighting is adequate.
1.9.5	Is ventilation adequate to remove dust, steam, and odors?	Total Compliance	3	3		Yes.
1.9.6	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	Total Compliance	10	10		Yes. floors are in good condition.
1.9.7	Are the floor drains where they are needed for drainage and cleanup?	Total Compliance	5	5		Yes. Drain system runs below sweet potato line.
1.9.8	Are doors to the outside pest proof?	Total Compliance	5	5		Yes. No gaps were noted around doors.
1.9.9	Are dock doors fitted with buffers to seal against trucks (where dock doors have been installed)?	N/A	0	0		N/A. Open dock with roof – no dock doors.

1.9.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free (where dock doors have been installed)?	N/A	0	0		Yes.
1.9.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	Total Compliance	5	5		Yes.
1.9.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Minor Deficiency	3	5	It is important to keep the building in good repair to prevent the intrusion of pests and also creating difficult-to-clean surfaces.	Some minor damage to wall at hand wash station near line.
1.9.13	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes. No issues seen.
1.9.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	Major Deficiency	1	5	Aisles and working spaces that are provided should be of adequate width to safely permit the monitoring of pest activity and for employees to perform their cleaning duties.	Internal perimeters are not maintained in raw product storage, in areas of the box mezzanine and where cartons and product are stored in main packing room.
1.9.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	Minor Deficiency	3	5	Litter, waste, refuse, uncut weeds or grass and standing water within the immediate vicinity of the building may constitute an attractant or breeding place for rodents, insects or other pests, as well as microorganisms that may cause contamination.	Isolated areas of standing water near the loading dock.
1.9.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	Total Compliance	5	5		Yes.
1.9.17	Are pallets inspected to separate and replace dirty or broken pallets?	Total Compliance	5	5		Yes.
1.9.18	Is the area around the dumpster/cull truck/trash area clean?	Total Compliance	3	3		Yes.
1.9.19	Are outside garbage receptacles and dumpsters kept covered or closed?	Total Compliance	5	5		Yes. Dumpster was closed.

1.9.20	Are all water lines protected against back siphonage?	Total Compliance	5	5		Yes. Well that supplies facility has a check valve. Nurse tank has a shut off to prevent back flow.
--------	---	-------------------------	---	---	--	---

Food Safety File Requirements

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
2.1.1	Are there written procedures for handling regulatory inspections?	Total Compliance	3	3		Yes. Note Guidelines are for Williamson rather than Triple J Produce.	
2.1.2	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	Minor Deficiency	3	5	Document should include site glass policy, breakage procedure and glass register if necessary. A no glass policy should be a target for most auditees.	Glass policy is in place but there is no glass register covering items such as glass windows, mirrors in bathrooms, oil containers at end of line.	
2.1.3	Are there written Standard Operating Procedures (SOPs) that detail work instructions for activities ensuring food safety and Good Manufacturing Practices?	Total Compliance	5	5		Yes. SOPs are in place for dump tank fill, chlorine check, truck inspections, etc.	
2.1.4	Are the SOPs available to relevant users and is a master copy maintained in a central file (SOP Manual)?	Total Compliance	5	5		Yes. Joey Hocutt maintains the master copy with a duplicate set on notice board outside break room.	
2.2.1	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	Total Compliance	10	10		Yes. Documented system is in place with flow chart and explanation showing how product is labeled and coded from field through pack out.	
2.2.2	Does the facility have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	Total Compliance	15	15		Yes. Recall program is in place with required elements.	
2.2.3	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	Major Deficiency	3	10	Testing of recall procedures should be performed at least annually. Documentation should include time taken to carry out	Mock recall done on 1/1/2011 with 100% of product accounted for. Trace took longer than three hours to complete according to documentation.	

					the mock recall, reconciliation of product, copies of relevant traceback paperwork and notes of any findings from the mock recall.	
2.2.4	Is there a written procedure for handling on hold or rejected products?	Total Compliance	10	10		Yes. Procedure is in place with tags (rejected, date, reason, initials of responsible person).
2.3.1	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Minor Deficiency	3	5	Copies of Materials Safety Data Sheets (MSDS) should be on file to keep employees informed about the chemicals used in the facility and also be available in emergency situations.	MSDS are on hand although lacking an index for ease of use. Duplicate copy kept on notice board outside break room.
2.3.2	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	Total Compliance	5	5		Yes. Specimen labels are kept on file.
2.3.3	Is there a chemical inventory and/ or usage log?	Minor Deficiency	2	3	Logs of use and/or inventory of sanitizers (product and cleaning) are required in order to confirm that procedures are being followed.	Chemical use is noted for wax, fungicide and chlorine although not clear that use is ever reconciled with inventory at least monthly.
2.3.4	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	Total Compliance	10	10		Yes. SOP indicates tank is test three times daily and "burped" as necessary. Chlorine to be at or above 50 ppm.
2.4.1	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	Total Compliance	15	15		Yes. Pest control is contracted to Rid A Pest. Contract, insurance license and training license are on file for operators.
2.4.2	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside	Minor Deficiency	7	10	A schematic drawing of all trap stations allows the inspector to ensure	Map does not show mezzanine area or traps in storage shed. Also does not have a

	the plant?				that traps are in their allocated positions.	key to indicate which kind of trap is located where (e.g. glue trap of bait station). Note, map lacks a date.
2.4.3	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Total Compliance	10	10		Yes. Records available noting activity, trap replacement etc., for past year.
2.5.1	Is there a documented system for dealing with customer and buyer food safety complaints and are rejections on file, along with company responses, including corrective actions?	Non-Compliance	0	5	It is important to keep these records on file to support company policy, responses and actions taken when complaints occur (customer and buyer complaints/rejections)	No. There is not a written policy detailing how the auditee would deal with complaints/feedback. Note there have been no rejections in the past year (verbal).
2.5.2	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	Total Compliance	5	5		Yes. Last Primus inspection (2/3/10) is on file with corrective actions entered using on-line system.
2.5.3	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	N/A	0	0		N/A. There are no process monitoring activities under the scope of this question.
2.5.4	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	Minor Deficiency	7	10	Wash water and ice production systems using anti-microbial agents should have records showing that the strength of the solution are within stated parameters. Recycled water systems should be checked by measuring the "free anti-microbial" as opposed to bound microbial e.g. testing for free chlorine (or ORP) as opposed total chlorine.	Test strips do not indicate whether chlorine is being measured as free or total chlorine (range from 10- 200 ppm). Measurement of free anti-microbial is required.
2.5.5	Is there a hand/foot/tool dip station log?	N/A	0	0		N/A. No dips are used.

2.5.6	Is there a daily pre-operation inspection log?	Total Compliance	5	5		Yes. Inspection covers the following areas: warehouse, bathrooms, equipment and cleaning supplies.
2.5.7	Is there a program for periodic facility/GMP internal (self) inspections and are records maintained detailing corrective actions?	Minor Deficiency	7	10	In depth internal inspections should be performed and recorded in order to proactively ensure safe food production. Records should show corrective actions and/or action verifications should be shown on the next inspection report.	Season is 6–8 months, quarterly self audits are required. One self audit done 2/7/11.
2.5.8	Are there equipment calibration procedures and records for pH meters, ORP meters, thermometers and other measuring equipment related to the safety of the product?	N/A	0	0		N/A. There is no equipment used that falls under the scope of this question.
2.5.9	Is there a program for periodic inspections of food safety system records e.g. pest control records, temperature control records, sanitation records, maintenance records, etc?	Minor Deficiency	3	5	Recording systems for food safety related topics should be audited on a routine basis to ensure that they are being completed properly e.g. using the right log, right frequencies, recording results correctly, recording actions, etc.	Season is 6–8 months, quarterly self audits are required. One self audit done 2/7/11.
2.5.10	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	Total Compliance	5	5		Yes. Receiving log for packaging materials with truck id and condition noted. N/A for own product.
2.5.11	Does the facility have relevant supplier third party audit certifications, third party audit reports and/or letters of guarantee for product raw material, processing aids and other ingredients?	Total Compliance	15	15		Yes. Letters of guarantee were available for processing aids (sodium hypochlorite, Decco wax, cleaner). Note, letters do not specifically state they are "ongoing letters of guarantee".
2.5.12	Does the facility have relevant supplier third party audit certifications, third party audit	Total Compliance	15	15		Yes. Letters of guarantee are available for PCA and JBT Food

	reports and/or supplier letters of guarantee for packaging items?					Tech. Note, letters do not specifically state they are "ongoing letters of guarantee".
2.5.13	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	Total Compliance	10	10		Yes. Truck inspections on "incoming trailer inspection log". Flat beds are used for own product.
2.5.14	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	Total Compliance	5	5		Yes. One entry on 11/12/10 for an employee issue.
2.6.1	Does the facility have a preventative maintenance program and schedule?	Total Compliance	10	10		Yes. The facility has a monthly maintenance checklist covering dump tank, washer, sort line, waxer, dryer, sizer, bolt bearings with actions detailed.
2.6.2	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	Total Compliance	10	10		Yes. Repair logs detail maintenance needed, work done, date and signature.
2.6.3	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	Total Compliance	5	5		Yes. Repair logs detail when cleaning and sanitizing is done.
2.6.4	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Minor Deficiency	7	10	A master sanitation program must be in place that covers the entire area of the facility, equipment and all other areas of the facility. The master sanitation schedule should include a list of areas and equipment to be cleaned as well as the frequency.	Schedule details daily cleaning for line, bathrooms, break room and bi-weekly cleaning for loading dock and curtains. Infrequent cleaning for high level pipes, lights and structure not included.
2.6.5	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Total Compliance	10	10		Yes.SOPs are available for facility and equipment.
2.6.6	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	Total Compliance	5	5		Yes. One person is responsible for bathrooms and all employees are responsible for line cleaning. Cleaning is verified by Joey.
2.6.7	Is there a log indicating that floor drains are cleaned on a	Total Compliance	5	5		Yes. Log indicates that drains are cleaned

	regular basis (minimum daily in wet and fresh-cut production areas)?					daily.
2.6.8	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	N/A	0	0		N/A. No units under the scope of this question in use.
2.7.1	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Total Compliance	5	5		Yes. Food safety committee is listed with members present for meeting noted. Meetings on file for 5/20/10 and 10/16/10. To meet minimum quarterly requirement a meeting is due.
2.7.2	Are there logs of new employee food safety (GMP) orientation training with topics covered and attendees?	N/A	0	0		N/A. There have not been any new hires in the last year (verbal confirmation).
2.7.3	Are there logs of ongoing employee food safety education training with topics covered and attendees?	Total Compliance	10	10		Yes. Training last held 10/16/10 with employees watching a GMP video. Note, training is due this month to meet minimum quarterly requirement.
2.7.4	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	Non-Compliance	0	5	Sanitation training should ensure that the staff understand the importance of proper sanitation, how to use the cleaning chemicals and how to understand Sanitation Standard Operating Procedures.	No. There are no records showing employees were trained on sanitation including best practices and chemical use.
2.7.5	Is there an employee non-compliance/disciplinary action procedure (verbal confirmation accepted)?	Total Compliance	3	3		Yes. Verbal confirmation that a procedure is in place.
2.8.1	Are there records of routine equipment microbiological testing?	N/A	0	0		N/A. Product must be cooked prior to consumption – audit does not require testing for this product.
2.8.2	Are there records of routine environmental microbiological testing?	N/A	0	0		N/A. Product must be cooked prior to consumption – audit does not require testing for this product.

2.8.3	Is there at least an annual microbiological test on water used in the facility (sampled from within the facility)?	Total Compliance	10	10	Yes. Water tested on 2/9/2011 by Microbac – absent for total coliforms.
2.8.4	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	N/A	0	0	N/A. Ice is not used.
2.9.1	Are there temperature logs for the packing room (if refrigerated)?	N/A	0	0	N/A. Packing room is not refrigerated.
2.9.2	Are there temperature logs for storage rooms?	N/A	0	0	N/A. Storage rooms are not temperature controlled.
2.9.3	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	Total Compliance	5	5	N/A. Product is shipped at ambient temperatures (cool season shipment). Drivers are requested to maintain temperatures at 55F (this is not documented).
2.9.4	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	Total Compliance	10	10	Yes. Inspections note trailer id., truck line, destination, invoice #, inspection for insects, rodents, water, holes, odors and other, "inspected by" also noted.

Food Security

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/Picture
3.1.1	Are the facility external areas and vulnerable entry points (i.e. those that are not permanently locked) surrounded by security fencing?	Non-Compliance	0	5	The facility should be surrounded by a continuous security fence where there is external storage and/or vulnerable (not kept locked) entry points. The fence should be high enough to deter intruders.	No. Facility is not surrounded by security fencing.	
3.1.2	Is access to the facility controlled by, locks, swipe cards, alarms or other devices?	Total Compliance	10	10		Yes. Doors are locked when not in operation. Facility is part of home farm complex, owners live on-site.	
3.1.3	Are inbound food product storage areas (fruits, vegetables, etc.) secure	Total Compliance	5	5		Yes. All product is stored within the facility.	

	i.e. within the secure compound?					
3.1.4	Are chemicals such as chlorine, citric acid, fungicides and sanitation chemicals stored within secured areas with controlled access?	Minor Deficiency	3	5	All processing materials should be stored within a secure area with restricted access e.g. a chemical storage room.	Access to in–use chlorine is not restricted. All chemicals are stored within the facility in a separate locked area.
3.1.5	Are packaging material (cartons, wrap film etc.) storage areas secure i.e. within the secure compound?	Total Compliance	5	5		Yes. All items are stored within the facility.
3.2.1	Are background checks conducted on all personnel with special attention to employees who have access to sensitive areas and/or control of sensitive processes (verbal confirmation accepted)?	Total Compliance	5	5		Yes. Verbally told that social security numbers and I9 check is done.
3.2.2	Employees personal items are not being stored in the production and material storage areas?	Total Compliance	5	5		Yes. No issues seen.
3.2.3	Are employees issued non–reproducible identification badges?	Non–Compliance	0	5	Staff should have personal identifications that link them to the company. The IDâ€™s should have the employeeâ€™s number, photo and position within the organization.	No. There is no system in place for non–reproducible identification badges for employees.
3.2.4	Are visitors (including contractors) also required to be issued with identification e.g. badges, high visibility visitor apparel, etc?	Total Compliance	5	5		Yes. System is in place – badges are used.
3.2.5	Are visitors (including contractors) required to "sign in" and sign out" in a visitors log book?	Total Compliance	5	5		Yes. Book is kept inside the main entrance of the facility.
3.3.1	Does the company make use of sealed and/or locked trailers on inbound loads (excluding open flatbed trucks)?	Minor Deficiency	2	3	The company should be demanding that the suppliers fit seals or locks on inbound trailers of raw material product and packaging. Seal numbers should be recorded.	Most but not all trucks are sealed (seals are recorded).
3.3.2	Does the company make use of sealed and/or locked trailers on	N/A	0	0		N/A. Trailers are booked by the buyers. Some processors use seals,

	outbound loads?					others do not.
NEW 3.3.3	Are transportation vehicles (trucks, trailers, rail cars, etc.) equipped with a communication device e.g. cell phones, two-way radio?	Total Compliance	3	3		Yes.
3.4.1	Are potable and non-potable water supply clearly identified?	Total Compliance	3	3		Yes. Only potable water in use – labeled as such.
3.4.2	Are tamper evident systems (e.g. tamper tags) in place where appropriate?	Total Compliance	3	3		Yes.
3.4.3	Is there restricted access to sensitive water systems, e.g. anti-microbial addition systems (like chlorine injection pumps), that helps ensure that only authorized personnel are able to adjust these systems?	Non-Compliance	0	3	Access to water systems should be restricted.	No. Access to chlorine pump and chlorine at line is not restricted in any way
3.5.1	Does the company have documented food security policies based on the risks associated with the operation?	Total Compliance	10	10		Yes. Policy covers facility, chemicals, visitors, personnel, shipping and receiving.
NEW 3.5.2	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Total Compliance	3	3		Yes. This information is posted on notice board outside break room.
3.5.3	Are all personnel required to undergo training on food security issues and are training records kept?	Total Compliance	10	10		Yes. Last training noted on food security was 5/20/10, no new employees in last year.
3.5.4	Is there is a log of who has access to sensitive areas e.g. a listing of key holders for access to areas like chemical storage?	Minor Deficiency	2	3	In order to track who has been granted access to sensitive areas and to maintain information about the whereabouts of keys, a documented log should be maintained.	No actual list. Verbally told that only Joey Hocutt and Mike Hocutt have keys to the facility. Bathroom cleaning chemical cupboard key is held by the designated employee for this job.
3.5.5	Is there a system to protect the security of food safety documentation and computer systems (including a back-up system for computer food safety data)?	Total Compliance	3	3		Yes. All records are kept in the home office of Joey Hocutt.

3.5.6	Is there a chemical inventory and/or usage log?	Minor Deficiency	2	3	Chemical usage logs or chemical inventories should be on file. Chemicals include cleaners and sanitizers, and chemical such as chlorine for water flumes, hydrocoolers, etc.	Chemical usage logs are on file for wax, fungicide and chlorine. No indication of logs being reconciled (at least monthly)– just volumes used noted.
-------	---	-------------------------	---	---	--	---

Miscellaneous Survey Questions

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
4.1.1	Minors (children) are not employed below the National and/or State Legal Minimum Age (verbal confirmation accepted)?	Yes	0	0		Yes. Minors are not employed.	
4.1.2	If Minors are employed, do the records of hours of employment meet National and/or State Laws (both in and out of school time)?	N/A	0	0		N/A. Minors are not employed.	
4.1.3	If Minors are employed, are they prohibited from doing certain jobs which are restricted by law?	N/A	0	0		N/A. Minors are not employed.	
4.2.1	There are no allergen risks handled or stored on site?	Yes	0	0		Yes. No allergens seen on site. Only sweet potatoes.	
4.2.2	Are there adequate storage controls (separation, identification etc.) that ensure that allergens are not contaminating other raw materials ?	N/A	0	0		N/A. Refer to 4.2.1.	
4.2.3	Is there a dedicated production line or adequate clean down and production procedures that prevent allergen cross contamination?	N/A	0	0		N/A. Refer to 4.2.1.	
4.2.4	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	N/A	0	0		N/A. Refer to 4.2.1.	
4.2.5	Does re-work handling take into account the issue associated with allergen containing products?	N/A	0	0		N/A. Refer to 4.2.1.	
4.2.6	Are employees trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there allergen training records?	N/A	0	0		N/A. Refer to 4.2.1.	
4.2.7	Are all products manufactured on site, labeled correctly with respect to allergens?	N/A	0	0		N/A. Refer to 4.2.1.	
4.3.1	Is the company labeling retail packaging with the correct country of origin? N/A for food service.	Yes	0	0		Yes. Labeled as product of USA.	
4.3.2	Is the company labeling the finished goods carton with the correct country of origin? N/A for food service.	Yes	0	0		Yes. Labeled as product of USA.	

4.3.3	Are there records that support the country of origin labeling e.g. bill of lading, production records, etc.?	Yes	0	0		Yes. Production records support origin – own–grown in North Carolina.
4.3.4	Are steps taken in the storage and production process to ensure that there is no commingling of materials from different countries (unless product will be labeled as such)?	N/A	0	0		N/A. Only product grown by auditee in North Carolina is handled.

New Questions (Not part of overall Food Safety percentage)

Question No.	Audit Question	Given Answer	Given Score	Possible Score	Recommendation	Auditor Comments	Audio/ Picture
5.1.1	Are there documented procedures and completion records for clean–in–place (CIP) activities, where applicable (e.g. cleaning re–circulating water systems such as washing flumes, ice injectors, etc.)?	N/A	0	0		N/A. Dump tank with spray rinse, water is not recirculated.	
5.1.2	Is there a tool accountability program for knives and similar hand tools used in the production area?	N/A	0	0		N/A. No hand tools are used.	
5.1.3	Is there a list of approved commodity/ingredient suppliers?	Total Compliance	5	5		Yes.	
5.1.4	Is there an annual certificate of inspection for the backflow prevention systems on water lines into and within the facility?	Major Deficiency	1	3	There should be a backflow prevention device on main water lines entering the facility and have backflow prevention devices on individual water lines within production areas. A trained inspector must verify the principle backflow prevention system annually.	Letter (11/8/10) from Boyette Well and Septic, Wilson, NC indicates well check on pressure switch, pressure tank, check valve and "working properly" does not cover main water line entering the facility and individual water lines within the facility.	
5.1.5	Where gloves are used, are they latex–free (e.g. vinyl, nitrile) or powder–free latex?	Non–Compliance	0	3	For some workers, exposures to latex which binds to the cornstarch in powdered gloves, may result in allergic reactions. Use non–latex gloves (preferred) or powder–free latex gloves for food preparation, routine housekeeping, general maintenance, etc.	No. Gloves in use are latex.	

5.1.6	Are employees required to sign a document stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Non-Compliance	0	5	All employees should sign to say that they will abide by the company rules regarding personal hygiene/GMPs, health requirements and occupational safety rules.	No. There is a policy but no signatures.
5.1.7	Are visitors and contractors required to sign a log stating that they will comply with the operation's personal hygiene, health and occupational safety policies?	Non-Compliance	0	3	All visitors and contractors should sign to say that they will abide by the company rules regarding personal hygiene/GMPs, health requirements and occupational safety rules.	No. This is not in place.
5.1.8	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records).	Total Compliance	3	3		Yes. Written blood policy is in place (auditor failed to check if reporting illness was included).
5.1.9	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	Non-Compliance	0	5	Bandages used in food facilities should be waterproof and blue in color for easy visual detection, with a metal strip behind the wound pad for detection on lines with metal detectors.	No. Regular band-aids are available in first aid kit.
5.1.10	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?	Non-Compliance	0	10	All national and local laws pertaining to on-site water treatment systems should be followed; this should be documented. Where necessary there should be applicable permits on file and evidence of regulatory and/or third party inspections.	No. Use of a waste water lagoon which is periodically pumped. No documentation of this.
5.1.11	Are all records free of correction fluid (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after	Total Compliance	3	3		Yes.

initial entry?

Audit Scoring Summary			
✔	Good Manufacturing Practices	Score	658
		Possible Points	708
		Percent Score	93%
✔	Food Safety File Requirements	Score	278
		Possible Points	314
		Percent Score	89%
✔	Miscellaneous Survey Questions	Score	0
		Possible Points	0
		Percent Score	0%
✔	Total	Score	936
		Possible Points	1022
		Percent Score	92%

Food Security Scoring Summary			
✔	Food Security	Score	84
		Possible Points	102
		Percent Score	82%
✔	Total	Score	84
		Possible Points	102
		Percent Score	82%

New Questions Scoring Summary (Not Part Of Overall Food Safety Percentage)			
✔	New Questions (Not part of overall Food Safety percentage)	Score	12
		Possible Points	40
		Percent Score	30%
✔	Total	Score	12
		Possible Points	40
		Percent Score	30%

Score System For Entire Audit
Percentage/Category
95–100 Superior
90–94 Excellent
85–89 Good
80–84 Standard

Point System For Individual Questions				
Question Points	Total Compliance	Minor Deficiency	Major Deficiency	Non Compliance
15 Point Question	15 points	10 points	5 points	0 points
10 Point Question	10 points	7 points	3 points	0 points

<80 Unsatisfactory	5 Point Question	5 points	3 points	1 point	0 points
	3 Point Question	3 points	2 points	1 point	0 points

Compliance Categories	
Full Compliance:	To meet the question and/or compliance criteria in full.
Minor Deficiency:	To have minor deficiencies against the question and/or compliance criteria. To have single or isolated non-severe deficiencies (usually up to three) against the question and/or compliance criteria. To have covered most of the question compliance criteria, but not all.
Major Deficiency:	To have major deficiencies against the question and/or compliance criteria. To have numerous non-severe deficiencies (usually more than three) against the question and/or compliance criteria. To have single or isolated severe deficiencies against the question and/or compliance criteria. To have covered some of the question compliance criteria, but not most of it.
Non-Compliance:	To have not met the question and/or compliance criteria requirements at all. Having systematic deficiencies against the question and/or compliance criteria (severe or non-severe issues).