

PrimusLabs.com Facility Audit Paperwork Checklist

v08.06 Audits, v10.02 Cooling Cold Storage with HACCP

Rev 2 June 2010

Please have the following paperwork available for the audit. The following list is a guide only and represents the minimum requirements for PrimusLabs.com audits. The auditor will potentially look at paperwork over the last year and/or since the last PrimusLabs.com audit. The list below is roughly in the order that the auditor will address the different sections of the audit.

An organization chart and process flow diagrams are useful documents for the auditor to see at the start of any audit at medium to large facilities.

Paperwork Listing	Storage & Distribution	Cooling Cold Storage without HACCP	Cooling Cold Storage with HACCP	Packing House without HACCP	Packing House with HACCP	Processing without HACCP	Processing with HACCP
FDA Food Security Registrations Documentation	Y	Y	Y	Y	Y	Y	Y
Regulatory inspection procedures	Y	Y	Y	Y	Y	Y	Y
Glass policy (statement, breakage procedure and if relevant glass register)	Y	Y	Y	Y	Y	Y	Y
Written Standard Operating Procedures (SOP's) for food safety systems	Y	Y	Y	Y	Y	Y	Y
An index of the food safety SOP's	Y	Y	Y	Y	Y	Y	Y
Traceback and recall programs	Y	Y	Y	Y	Y	Y	Y
Mock recall paperwork (summary and supporting paperwork that shows traceability exercise logic)	Y	Y	Y	Y	Y	Y	Y
"On hold" and "rejected" product handling procedures	N	N		Y	Y	Y	Y
MSDS book (inc. index)	Y	Y	Y	Y	Y	Y	Y
Specimen labels	Y	Y	Y	Y	Y	Y	Y
Chemicals inventories and/or usage logs	Y	Y	Y	Y	Y	Y	Y
SOPs for the changing and testing of water and ice systems (where applicable)	N	Y ⁴	Y ⁴	Y ⁴	Y ⁴	Y ⁴	Y ⁴
Pest control contract(s)	Y	Y	Y	Y	Y	Y	Y
Pest control license(s)	Y	Y	Y	Y	Y	Y	Y
Pest control insurance(s)	Y	Y	Y	Y	Y	Y	Y
Pest control trap map(s)	Y	Y	Y	Y	Y	Y	Y
Pest control service (visit) records (inc. application details and corrective actions)	Y	Y	Y	Y	Y	Y	Y
Buyer rejections/ complaints/ corrective actions	Y if selling goods	Y if selling goods	Y if selling goods	Y	Y	Y	Y
Consumer complaints and corrective actions	Y if selling goods	Y if selling goods	Y if selling goods	Y	Y	Y	Y
Records and corrective actions for Federal & State visits, 3rd party and 2nd party audits	Y	Y	Y	Y	Y	Y	Y

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Processing records e.g. water temperatures, metal detection, pH, etc.	Y	Y	Y	Y	Y	Y	Y
Records and corrective actions of anti-microbial (free chlorine, ORP, ozone etc.) strength testing at start up and throughout the process	N	Y ⁵	Y ⁵	Y ⁵	Y ⁵	Y ⁵	Y ⁵
Hand dip logs (not required if hand gels or hand sprays are used instead)	N	N	N	Y ¹	Y ¹	Y	Y
Foot dip logs	N	N	N	N	N	Y	Y
Daily start up inspection logs	Y	Y	Y	Y	Y	Y	Y
Internal GMP self inspection records	Y	Y	Y	Y	Y	Y	Y
Equipment calibration records	Y	Y	Y	Y	Y	Y	Y
Internal food safety paperwork self inspection records	Y	Y	Y	Y	Y	Y	Y
Incoming goods (product, ingredients and packaging) inspection records	Y if buying goods	Y if buying goods	Y if buying goods	Y	Y	Y	Y
Incoming goods specifications (product, ingredients and packaging)	Y if buying goods	Y if buying goods	Y if buying goods	Y	Y	Y	Y
Incoming goods letters of guarantee, third party audit reports/certifications and/or supplier certifications	Y if buying goods	Y if buying goods	Y if buying goods	Y	Y	Y	Y
Incoming truck temperature records	Y	Y	Y	Y	Y	Y	Y
Incoming truck sanitation check records	Y	Y	Y	Y	Y	Y	Y
Daily incident log and/or non usual occurrence corrective action (NUOCA) log	N	N	N	Y	Y	Y	Y
Finished good temperature checks	N	N	N	N	N	Y	Y
Preventative maintenance schedules	Y	Y	Y	Y	Y	Y	Y
Preventative maintenance completion records	Y	Y	Y	Y	Y	Y	Y
Maintenance work logs	Y	Y	Y	Y	Y	Y	Y
Post maintenance sanitation records/procedures	N	N	N	Y	Y	Y	Y
Cleaning schedules (master sanitation)	Y	Y	Y	Y	Y	Y	Y
Cleaning procedures	Y	Y	Y	Y	Y	Y	Y
Records of cleaning operations (sanitation logs)	Y	Y	Y	Y	Y	Y	Y
Records of drain cleaning operations	Y	Y	Y	Y	Y	Y	Y
Records of cooling unit servicing	Y	Y	Y	Y	Y	Y	Y

Paperwork Listing	Storage & Distribution	Cooling Cold Storage without HACCP	Cooling Cold Storage with HACCP	Packing House without HACCP	Packing House with HACCP	Processing without HACCP	Processing with HACCP
Records of cooling unit cleaning	Y	Y	Y	Y	Y	Y	Y
Food safety committee listing	N	N	N	Y	Y	Y	Y
Records of food safety meetings	N	N	N	Y	Y	Y	Y
Records of new hire food safety training	Y	Y	Y	Y	Y	Y	Y
Records of existing ongoing employee food safety training	Y	Y	Y	Y	Y	Y	Y
Records of training for sanitation employees	Y	Y	Y	Y	Y	Y	Y
Employee disciplinary procedures	Y	Y	Y	Y	Y	Y	Y
Equipment microbiological testing records	N	Y ²	Y ²	Y ²	Y ²	Y	Y
Equipment microbiological testing corrective action records where necessary	N	Y ²	Y ²	Y ²	Y ²	Y	Y
Environmental microbiological testing records	Y ³	Y ³	Y ³	Y ³	Y ³	Y	Y
Facility microbiological testing corrective action records where necessary	Y ³	Y ³	Y ³	Y ³	Y ³	Y	Y
Water microbiological testing records (on site sample)	Y	Y	Y	Y	Y	Y	Y
Water microbiological corrective action records where necessary	Y	Y	Y	Y	Y	Y	Y
Ice microbiological test result records and/or letter of guarantee	N	Y	Y	Y	Y	Y	Y
Ice microbiological corrective action records where necessary	N	Y	Y	Y	Y	Y	Y
Packing/processing room temperature logs (if refrigerated)	N	N	N	Y	Y	Y	Y
Storage room temperature logs (probe(s) independent of thermostat)	Y	Y	Y	Y	Y	Y	Y
Shipping truck temperature logs	Y	Y	Y	Y	Y	Y	Y
Shipping truck sanitation logs	Y	Y	Y	Y	Y	Y	Y
HACCP training records and certificates	N	N	Y	N	Y	N	Y
Records of HACCP system reviews	N	N	Y	N	Y	N	Y
HACCP self audit records	N	N	Y	N	Y	N	Y
Written SOPs for the CCP monitoring processes	N	N	Y	N	Y	N	Y
Product descriptions	N	N	Y	N	Y	N	Y
Process flow charts	N	N	Y	N	Y	N	Y
Hazard analysis (charts and/or narratives) and CCP decisions	N	N	Y	N	Y	N	Y

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HACCP chart showing CCPs, testing, frequencies, corrective actions, verification plans	N	N	Y	N	Y	N	Y
CCP monitoring records	N	N	Y	N	Y	N	Y
CCP deviation, non compliance records	N	N	Y	N	Y	N	Y
Evidence of HACCP discussions at the management level	N	N	Y	N	Y	N	Y
Action plans after verifications have shown issues with the HACCP plan	N	N	Y	N	Y	N	Y
Visitor and contractor signing In and out logs	Y	Y	Y	Y	Y	Y	Y
Inbound and outbound truck seal number records	Y	Y	Y	Y	Y	Y	Y
Food security policies (manuals))	Y	Y	Y	Y	Y	Y	Y
List of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies	Y	Y	Y	Y	Y	Y	Y
Food security training records	Y	Y	Y	Y	Y	Y	Y
Log showing who has access to sensitive areas e.g. chemical stores	Y	Y	Y	Y	Y	Y	Y
Documented system for protecting the security of food safety documentation and computer systems	Y	Y	Y	Y	Y	Y	Y
Chemicals inventories and/or usage logs	Y	Y	Y	Y	Y	Y	Y
Records of "minors" work hours and types of work done (if minors were employed)	Y	Y	Y	Y	Y	Y	Y
Allergen sanitation procedures and records (if allergens are used on site)	Y	Y	Y	Y	Y	Y	Y
Allergen training records (if allergens are used on site)	Y	Y	Y	Y	Y	Y	Y
Records supporting the country of origin labeling e.g. bill of lading, production records, etc.	N	N	N	Y	Y	Y	Y
Written program and procedures for ATP testing	N	N	N	N	N	Y	Y
Documented procedures and completion records for clean-in-place (CIP) activities	N	Y	Y	Y	Y	Y	Y

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Records of tool accountability for knives and similar hand tools used in the production area	N	Y ⁴	Y ⁴	Y ⁴	Y ⁴	Y ⁴	Y ⁴
Records for anti-microbial (free chlorine, ORP, ozone etc.) strength testing at start up and throughout the process	N	Y ⁵	Y ⁵	Y ⁵	Y ⁵	Y ⁵	Y ⁵
List of approved commodity/ingredient suppliers	Y if buying goods	Y if buying goods	Y if buying goods	Y	Y	Y	Y
Certificate of inspection for backflow prevention systems	N	Y	Y	Y	Y	Y	Y
Employee food safety compliance logs	Y	Y	Y	Y	Y	Y	Y
Visitor and contractor food safety compliance logs	Y	Y	Y	Y	Y	Y	Y
Written procedure requiring employees to report cuts/grazes and illness	Y	Y	Y	Y	Y	Y	Y
Documentation of waste water treatment	N	Y	Y	Y	Y	Y	Y
Documentation of CCP validation	N	N	Y	N	Y	N	Y

Notes
<p>1) Hand Dip Logs are required for packing houses that have products that are washed or unwashed, but are viewed as ready to eat. This includes berries, peppers, citrus, apples, stone fruit, etc. Exempt products are those that need cooking or have an inedible peel.</p> <p>2) Equipment microbiological testing records are required in packing houses that wash the produce in some form except for produce that has to be cooked prior to consumption or has an inedible peel. Coolers that use ice and/HVACS are also expected to have these records.</p> <p>3) Enviromental microbiological testing records are required in packing houses that wash the produce in some form except for produce that has to be cooked prior to consumption or has an inedible peel. Coolers and storage units that store wet product and/or store product at higher humidities are expected to have these records.</p> <p>4) SOP for water changing product is being washed. SOP for anti-microbial testing of the water is required where the water is being recycled and an anti-microbial is being used.</p> <p>5) Records of anti-microbial testing of the water is required where the water is being recycled and anti-microbial is being used.</p>