when food safety counts

Quality Assurance Systems

QA Audit Template v06.01

Audit Date:_____

Start Time:_____

Finish Time:_____

Audit Scope:_____

Other audit personnel:_____

Commodities supplied:_____

Facility Name:_____

Facility Contact:_____

Faclity Contact Role:_____

Facility Address:_____

Customer/Billing Name:_____

Customer/Billing Contact:_____

Customer/Billing Contact Role:_____

Customer/Billing Address:_____

Buyers (including any specific audit #'s):_____

PRIMUSLABS.COM FACILITY QUALITY ASSURANCE SYSTEMS AUDIT MODULE v06.01

SECTION 1: QUALITY ASSURANCE FACILITY TOUR

Category	#	Question	Total Points	Auditor Comments
General Food Quality	1.1.1	Is there is a designated person responsible for the operations quality assurance programs?	5	
General Food Quality	1.1.2	Are adequate resources allocated to the operations quality assurance programs?	10	
Facility Tour Raw Materials	1.2.1	Are raw material quality attribute checks being performed correctly (commodities, ingredients, food contact and non-food contact packaging)?	10	
Facility Tour Raw Materials	1.2.2	Are raw material temperature checks being performed correctly for raw materials (commodities and ingredients) that are temperature sensitive with respect to quality attributes?	10	
Facility Tour Raw Materials	1.2.3	Are raw materials (commodities and ingredients) stored at the correct temperatures that ensure that quality is maintained as far as possible?	10	
Facility Tour Raw Materials	1.2.4	Are raw materials (commodities, ingredients, food contact and non-food contact packaging) properly marked with rotation codes e.g. receipt dates, manufacture dates?	5	
Facility Tour Raw Materials	1.2.5	Are raw materials (commodities, ingredients, food contact and non food contact packaging) used on a FIFO basis and within any stated expiry coding?	5	
Facility Tour Raw Materials	1.2.6	Are raw materials (commodities, ingredients, food contact and non-food contact packaging) that do not meet the specified quality requirements visibly separated and clearly identified as being "on hold" and/or rejected or downgraded in some manner?	10	
Facility Tour Raw Materials	1.2.7	For raw material items (commodities and ingredients) that have optimum storage temperature for quality reasons, are there raised shipping docks with sealed door buffers in order to maintain the optimum storage temperature?	5	
Facility Tour Operations	1.3.1	In manual quality selection processes, are the employees selecting correctly?	15	
Facility Tour Operations	1.3.2	In manual quality selection processes, are the selection belts and equipment designed adequately e.g. with easy reach for selectors and operating properly (the belt speed is not too fast, etc.)?	5	
Facility Tour Operations	1.3.3	In manual quality selection processes, is the lighting above the selection areas adequate for the selection duties being performed?	5	

Facility Tour Operations	1.3.4	In manual quality selection processes, are trained employees rotated on a set basis or given adequate break times, so as to ensure that selection efficiency and standards are maintained?	5	
Facility Tour Operations	1.3.5	With automated quality selection processes, (e.g. color sorters) is the equipment operating properly, i.e. have the right set points, rejection systems working correctly, calibrated correctly?	15	
Facility Tour Operations	1.3.6	Are check weighing or counting systems working correctly and calibrated e.g. are the set points correct, allowing for tares, rejecting setting working properly, etc.? *This includes both "in line" equipment, as well as stand alone equipment.*	10	
Facility Tour Operations	1.3.7	Are quality related process control steps being monitored correctly (e.g. citrus degreening)? This question excludes selection processes which are covered in the questions above.	10	
Facility Tour Operations	1.3.8	Where relevant (e.g. mixed fresh-cut produce items), are product components being measured and mixed correctly relative to a specified formulation?	5	
Facility Tour Operations	1.3.9	Are packaging machines and manual packaging operation occurring correctly e.g. neat seals, legible printing, neat label applications?	5	
Facility Tour Operations	1.3.10	At the production line, are products that are downgraded or rejected (culled) in the production process, clearly segregated from the products that meet the required quality standards?	5	
Facility Tour Operations	1.3.11	Where relevant, if any "rework" material is being handled, are the selection, packaging and checkweighing processes operating correctly?	5	
Facility Tour Operations	1.3.12	Where relevant, if any "work in progress" is created, is this material being marked with rotation codes and any quality parameter limits, e.g. size grading in the case of pre-sized product?	5	
Facility Tour Finished Products	1.4.1	Are finished product quality attribute checks e.g. color, size, condition, etc., being performed correctly on the actual food item (as opposed to packaging) and corrective actions employed where necessary?	15	
Facility Tour Finished Products	1.4.2	Specifically are finished product packaging checks including labeling and print quality, being performed correctly e.g. print quality, seal neatness, label positioning, cap fitting, etc.?	5	
Facility Tour Finished Products	1.4.3	Where applicable, are legally required quality statements (markings) being displayed properly on the outers (e.g. cartons) and unit packs (e.g. clam shells)? For example USDA quality grading, size grading etc. Where relevant nutritional claims should also	5	
Facility Tour Finished Products	1.4.4	Are finished product temperature checks being performed for products that are temperature sensitive with respect to quality attributes?	10	

Facility Tour Finished Products	1.4.5	Are finished product weight checks and/or count checks being performed correctly, e.g. at the required frequency, right sample size ?	10	
Facility Tour Finished Products	1.4.6	Are finished products stored at the correct temperatures, that ensure quality attributes are maintained as far as possible?	5	
Facility Tour Finished Products	1.4.7	Are finished products (at the pallet level) properly marked with rotation codes, e .g. receipt dates, manufacture dates etc.?	5	
Facility Tour Finished Products	1.4.8	Are finished goods rotated while in stock, so that the first manufactured is the first to be shipped, unless market orders dictate otherwise?	5	
Facility Tour Finished Products	1.4.9	Are finished goods that do not meet the specified quality requirements visibly separated and clearly identified as being "on hold" and/or rejected or downgraded in some manner?	10	
Facility Tour Finished Products	1.4.10	For products that have optimum storage temperature for quality reasons, are there raised shipping docks with sealed doors buffers in order to maintain the optimum storage temperature?	5	
Facility Tour Finished Products	1.4.11	If there are any shipping trailers on the dock, are they pre-cooled to a temperature which is optimum for the products that are being shipped?	5	
Facility Tour QA Dept.	1.5.1	Are quality assurance attribute measuring devices, e.g. penetrometers, refractometers etc., working properly (i.e. are they in calibration)?	5	
Facility Tour QA Dept.	1.5.2	For temperature sensitive products, where the quality of a product is affected by temperature, are the temperature probes used working properly (i.e. are they in calibration)?	5	
Facility Tour QA Dept.	1.5.3	Are quality assurance dept. scales working properly and correctly calibrated?	5	
Facility Tour QA Dept.	1.5.4	Are the required shelf life (retain samples), being collected and studied? Frequency depends on finished product variability?	3	
Facility Tour QA Dept.	1.5.5	Is the product shelf life area operating in right conditions e.g. temperatures, lighting etc., and samples are clearly labeled with production and expiry date?	3	

SECTION 2: QUALITY ASSURANCE DOCUMENTATION

Category	#	Question	Total Points	
General Food Quality Documentation	2.1.1	Are there records of management meetings that show that the Quality Assurance Programs, the results of the Quality Assurance Program and any other information (e.g. customer complaints) are discussed?	5	
General Food Quality Documentation	2.1.2	Are there records of internal quality assurance system audits?	5	

General Food Quality Documentation	2.1.3	Is there a Quality Manual that includes Standard Operating Procedures (SOP's) for processes and testing related to quality attribute management of a product? Does the manual also include a register of master forms?	5	
Documentation Raw Materials	2.2.1	Have adequate raw material specifications been created or provided for raw material food commodities and ingredients, which show quality attributes and tolerances?	10	
Documentation Raw Materials	2.2.2	Have adequate raw material specifications been created or provided for food packaging materials (including both food contact and non-food contact materials), which show quality attributes e.g. thickness, colors, etc.?	5	
Documentation Raw Materials	2.2.3	Are there letters of guarantee or proof of third party audits regarding the quality assurance systems in operation at the raw material suppliers of commodities and ingredients?	10	
Documentation Raw Materials	2.2.4	Are there letters of guarantee or proof of third party audits regarding the quality assurance systems in operation at the raw material suppliers of food packaging materials (including both food contact and non-food contact materials)?	5	
Documentation Raw Materials	2.2.5	Are commodity and ingredient raw material quality attribute checks being recorded, e.g. visual condition, sugar testing, size grading, etc; at least one record per lot?	10	
Documentation Raw Materials	2.2.6	Are food packaging materials (including both food contact and non-food contact materials) quality attribute checks being recorded e.g. print quality; at least one record per lot?	5	
Documentation Raw Materials	2.2.7	Are there records of incoming raw material commodity and ingredient temperature checks for raw materials that are temperature sensitive?	5	
Documentation Raw Materials	2.2.8	Are suppliers of raw materials informed in writing about quality issues (e.g. incoming QA issues, production issues, customer complaints, etc.), that are attributed to the materials that they are providing the auditee?	3	
Documentation Raw Materials	2.2.9	For commodities that are stored for an extended length of time, are there periodic recorded quality attribute checks?	5	
Documentation Raw Materials	2.2.10	Are there records of raw material storage room temperatures (recorded using a probe that is independent from the thermostat)?	5	
Documentation Operations	2.3.1	Are there documented quality training programs and training records for new employees who work as manual quality selectors on the production lines?	10	
Documentation Operations	2.3.2	Are there documented ongoing quality training programs and training records for existing employees who work as manual quality selectors on the production lines?	15	

Documentation Operations	2.3.3	Is there sufficient documented guidance showing the production line quality selectors, the required quality attributes for product and/or the tolerances for the quality issues they are selecting out?	5	
Documentation Operations	2.3.4	Are there records of automated quality selection processes calibration checks e.g. color sorters, size graders etc., which show frequency, results and corrective actions?	5	
Documentation Operations	2.3.5	Are quality related process control step(s) parameters being recorded properly? This question excludes selection processes which are covered in the questions above.	10	
Documentation Operations	2.3.6	Where relevant are product formulations for multi-component products being recorded properly for each production run, e.g. mixed fresh-cut produce items?	5	
Documentation Operations	2.3.7	Are there records of production line check-weighing equipment calibrations checks which show frequency, results and corrective actions?	5	
Documentation Operations	2.3.8	Where relevant, are rework quality attribute checks being recorded correctly, e.g. visual condition, sugar testing, size grading, etc.?	5	
Documentation Operations	2.3.9	Where relevant, are "work in progress" a.k.a. partly-processed material quality attribute checks being recorded correctly e.g. pre-sized apples etc.?	5	
Documentation Operations	2.3.10	Where relevant, are "work in progress" a.k.a. partly-processed material temperature checks being recorded correctly for products whose quality attributes are temperature sensitive?	5	
Documentation Operations	2.3.11	**Optional Question**. Are there recorded quality attribute and quantity checks of the downgraded and rejected materials?	0	
Documentation Finished Products	2.4.1	Have adequate finished product specifications been created that clearly define product quality attribute requirements and tolerances?	10	
Documentation Finished Products	2.4.2	Are finished product quality attribute checks on the actual food item being recorded, e.g. visual condition, sugar testing, size grading, etc; at least one record per lot?	15	
Documentation Finished Products	2.4.3	Specifically, are finished product quality taste testing (organoleptic) checks being recorded as required - the type and frequency of testing is dictated by the type of product being produced?	10	
Documentation Finished Products	2.4.4	Specifically, are finished product packaging checks including labeling and print quality, being recorded properly, e.g. print quality, seal neatness, label positioning, cap fitting, etc.?	10	
Documentation Finished Products	2.4.5	Are finished product temperature checks being recorded for products that are temperature sensitive with respect to quality attributes? Should be checked per lot.	10	
Documentation Finished Products	2.4.6	Are finished product weight checks being recorded?	10	

Documentation Finished Products	2.4.7	Are there records of the finished product storage room temperatures? Should be recorded using a probe that is independent from the thermostat.	5	
Documentation Finished Products	2.4.8	Are there records of shipping trailer temperature checks, indicating that the trailer was pre-cooled prior to loading? (For trailers that are used to ship temperature sensitive products).	5	
Documentation Finished Products	2.4.9	Are there records of buyer and/or consumer quality attribute related rejections and complaints, along with corrective actions? Where useful, were these issues trend analyzed?	5	
Documentation QA Dept.	2.5.1	Are there training programs and records for new quality assurance dept. employees (or other new employees carrying out quality assurance functions) that orientates them in their jobs and ensures they are capable of carrying out their assigned duties?	10	
Documentation QA Dept.	2.5.2	Are there ongoing training programs and records of existing quality assurance dept. employee (or other employees carrying out quality assurance functions) training e.g. refresher training, system updates, etc.?	15	
Documentation QA Dept.	2.5.3	Are there records of calibration for quality attribute measuring equipment, e.g. penetrometers, refractometers, etc.?	10	
Documentation QA Dept.	2.5.4	Are there records of calibration for temperature testing equipment where the operation is handling temperature sensitive items?	10	
Documentation QA Dept.	2.5.5	Are there records of calibration for quality assurance dept. scales (as opposed to production scales) ?	5	
Documentation QA Dept.	2.5.6	Are there shelf life (retain sample) records for finished products, that show the product quality attributes at various points through to at least the end of the expected product shelf life?	3	
Documentation QA Dept.	2.5.7	Are there shelf life (retain sample) records for finished products, that show the taste (organoleptic) testing quality attributes at various points through to at least the end of the expected product shelf life or tested at the end of the expected shelf l	3	
Documentation QA Dept.	2.5.8	Are there shelf life (retain sample) records for finished products, that show the weight loss figure of the product over shelf life?	3	