


FINAL AUDIT REPORT

CB Registration No. WQS-PGFS-797-1
PrimusGFS ID #225867 - Cert:6
Audited by WQS, LLC.

PrimusGFS Version 3.1

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Operation Type: Processing
Audit Report Summary

Organization:	Norwich Beverage Company Inc. Contact(s): Bruce Wilkins Alyn Brown Address: 29 Stott Ave. 06360 Location: Norwich, Connecticut, United States Phone Number: 860-886-8080		
Operation:	Norwich Beverage Company, Inc. Contact(s): Alyn Brown Location: 29 Stott Ave. Norwich, Connecticut 06360, United States		
Shipper:	Norwich Beverage Company, Inc.		
Operation Type:	Processing		
Audit Type:	Announced Audit		
Audit Scope:	The facility produces pasteurized products. Some products are 100% Juice and some are blended. The facility has an organic handling plan. The facility receives juice from buyers, processes, bottles, and ships. The facility has 8 employees and works in one shift from Monday to Friday. The process area has 1 pasteurizer and 2 processing lines. The HACCP has 1 CCP - Pasteurization min. temp. is 160 F. and min. time is 6 seconds retention time. The products are sold under refrigeration. The site is located in an industrial area.		
Date Documentation Review Started:	16 Mar 2021 07:00		
Date Documentation Review Finished:	16 Mar 2021 16:30		
Total Amount of Time on the Documentation Review:	9.50 Hours		
Date Visual Inspection Started:	16 Mar 2021 11:00		
Date Visual Inspection Finished:	16 Mar 2021 13:30		
Total Amount of Time on Visual Inspection:	2.50 Hours		
Addendum(s) included in the audit:	Not Applicable		
Product(s) observed during audit:	Thermally Processed Juice		
Similar product(s)/process(es) not observed:	None		
Product(s) applied for but not observed:	None		
Auditor:	Pavel Gonzalez (WQS, LLC.)		
Preliminary Audit Score:	99%		
Final Audit Score:	100%		
Certificate Valid From:	27 Apr 2021 To 26 Apr 2022		
GPS Coordinates:	<div>Latitude</div> 41° 34' 41"	<div>Longitude</div> 72° 6' 40"	<div> Click here to see map</div>

[View Certificate](#)

[Corrective Action Activity](#)

Information related to the audited operation			
Total number of workers for the operation:	8	Maximum worker number during peak season:	8
Number of lines in normal production:	2	Number of lines running during the audit:	1
Facility Size:	26000 Square feet	Facility Environment Conditions:	Wet- Single Pass Water Use with Product contact
Allergens:	No		
Temperature Controlled Storage:	Yes	Was an anti-microbial used in the water/ice?	No
Water Source:	Municipal/District		
Is cooling equipment used?	Yes	Cooling Equipment:	Forced Air

Product information for each product			
Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Thermally Processed Juice	Observed on the day of audit	From: January To: December	United States

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	229	Score:	229
	Possible Points:	229	Possible Points:	229
	Percent Score:	100%	Percent Score:	100%
Module 5 - Good Manufacturing Practices Requirements	Score:	1198	Score:	1209
	Possible Points:	1209	Possible Points:	1209
	Percent Score:	99%	Percent Score:	100%
Module 6 - HACCP System Requirements	Score:	255	Score:	255
	Possible Points:	255	Possible Points:	255
	Percent Score:	100%	Percent Score:	100%
TOTAL	Score:	1682	Score:	1693
	Possible Points:	1693	Possible Points:	1693
	Percent Score:	99%	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	0	0
TOTAL	4	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	
	Site	
	Buildings and Grounds	
	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: Yes, Food Safety Policy posted at the entrance. English and Spanish Signed Allyn Brown English (2/21/21) and Spanish. Objectives listed Maintain and verify HACCP program, provide food safety training, provide the equipment necessary, implement internal audits, continual process improvement. FDA Facility Number 11209900672.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>

1.01.02	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Organization Chart 1.01.02 Revised 2/24/21, reviewed 2/4/20. Includes President, consultant, operations, batching, and sanitation. Alternates listed. Job Responsibilities listed Food Safety Job Responsibilities 1.01.021 Version 1.5. Revised 2/21/21.	
1.01.03	Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Food Safety and HACCP Team is Allyn Brown, Joe Evans, Bruce Wilkins, Brendan Evans. Quarterly Meetings of Food Safety/HACCP Team. Management Review Audit is Annual. HACCP Review is Annual. Records kept for two years. Last Meeting 2/5/21. Attended by Allyn, Joe, and Brendan. Annual Management Review of FSMS. Prior Meeting 11/19/20. Discussed Wal-Mart Orders, retraining needs, microsampling.	
1.01.04	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, 1.01.04 Training Skills Matrix Revised 3/15/21. Covers Type of training, provider, Employee name, and dates. Basic training includes GMPs, HACCP, Chemical Safety. Specific Programs include Food Safety, Records Management, CCP monitoring, Sanitation CIP, Internal Auditing, Recall Programs, Food Defense, and Calibration. All roles listed.	
1.01.05	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Norwich Beverage Annual Management Review Started 2/4/20. Changes made were related to updating documents to version 3.1 of PrimusGFS.	
1.01.06	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?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Juice HACCP is a federal regulation. Federal Regulation Guidance for Industry 10/7/2002. Exemptions from the Warning Label requirement for Juice. Recommendations for Effectively Achieving a 5-Log Pathogen Reduction.	

FSMS Control of Documents and Records		
1.02.01	Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Document Control Version 1.3 Revision 1/15/19. Covers Procedure, Security, Distribution, Review, etc...Allyn Brown is responsible.	
1.02.02	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Document Control Register and Review Record Updated 3/16/21. At least 24-month document retention.	
1.02.03	Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, Electronic is password protected and hard copies are kept in a locked office.	

1.02.04	Question: Are records maintained in an organized and retrievable manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, in tabbed folders according to audit number.	
1.02.05	Question: Are all records and test results that can have an impact on the food safety program reviewed and signed off by a person responsible for the food safety program?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, detailed in Document Control and Review Record. Responsible Party and Verification Party. Verification Party signs off on review. Example: The Operational Chart. Signed by AB.	

FSMS	Procedures and Corrective Actions
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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: Yes, Creation of Standard Operating Procedures. Version 1.1 Revision 1/15/19. Covers creation of SOPs and SSOPs.	
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: Yes, written procedures are kept on file in a tabbed binder and digitally. They are posted where they are needed for reference.	
1.03.03	Question: Is there a documented corrective action procedure that describes the required processes for handling non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Corrective Action Procedure Version 1.1. 2/26/21. Covers responsibilities and recording requirement, Corrective Action Record on File.	
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: Yes, Last record. 3/27/20. The Pasteurizer recording chart was observed to be not rotating around 12 pm.	

FSMS	Internal and External Inspections
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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: Yes. Internal Audit Program version 1.2 Revised 2/4/20. Monthly internal GMP audits. Annual HACCP and FSMS.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Regulatory Inspection Procedure version 1.2 Revision 1.2. Revision on 2/4/20 Covers conduct, responsibilities, and requirements.	
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: Yes. Baystate Organic Certifiers Inspection 2/12/21. Connecticut Department of Consumer Protection Inspection 12/21/20 by Zoe Joslyn.	

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: Yes. Instrument Calibration Procedure Version 1.4 Revision 2/4/21 Has register of devices and calibration frequency. Includes Process thermometers (Quarterly), Refractometer (annual), Scales (Monthly), pH Meter (Monthly), Flow Meter (Annual).	
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: Yes. Refractometer Calibrated 3/16/21 (Daily). Thermometers last calibrated 2/11/21 (quarterly). PH meter last calibrated 3/16/21 (Monthly). Scales last calibrated 2/24/21 (Monthly). NIST Thermometer Calibration Certification on 12/15/20 and expires on 12/15/22.	

FSMS Release of Items/Product		
1.05.01	Question: Is there a written procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Hold and release procedure. Version 1.1 Revision 1/15/19.	
1.05.02	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. There are records. Last was 2/14/20 for Empty Bottles. Lot # CHWV7262. QA Issue. 5 holds in last year. Mostly related to bottle quality or expired items.	
1.05.03	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Release Procedures. Version 1.2 1/15/19. Covers requirements of release and responsibility of Operations Manager to sign for release.	
1.05.04	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Norwich Beverage Co Shipping Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. Example 3/11/21 Caps Damaged on 2 boxes which were disposed of the same day.	
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: Yes. Customer Complaint Procedures Version 1.3 2/4/20. Complaints summarized in Customer Complaint Summary. Last was 1/10/20, which is more than 12 months old. All are derived and closed by Joe Evans.	

FSMS Supplier Monitoring/Control		
1.06.01	Question: Is there a list of approved suppliers and service providers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Approved Suppliers/Service Providers Updated 3/16/20. Ingredients, Raw Product (1), Packaging(3), Services(2). Ingredients are supplied by customers and the company acts as a bottler. Tree Huggers or farmer's Cow purchases the ingredients and supplies them to Norwich Beverage Company. Norwich Beverage Company requires documentation from their customer's suppliers as well.	

1.06.02	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Ingredients are controlled by customer specifications which are on file. Bottle specs from MVP were on file. Last Revision 1/15/19.	
1.06.03	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.	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Approved Suppliers/Service Providers shows Specification and How they are evaluated. Supplier Approval Food Safety Questionnaire used for supplier approval. Supplier Service Provider Approval Program 1/15/19 Version 1.4.	
1.06.04	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, viewed packaging specs and audit for packaging supplier Tree Huggers, Citrofruit FSSC 22000 Certificate expires 23 Nov 2021; Citrofruit (Mango and Guava), FSSC22000 Food Safety certificate expires 11/23/21; Bayas del Sur SA. BRC certificate expires 7/2/21)	
1.06.05	Question: Where food safety related testing is being performed by external laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The Microbac Laboratories State of Connecticut, Department of Public Health Certificate Expires 9/30/2021 Alliant Food Safety Laboratory International. Accreditation is ISO/IEC 17025 Certificate TL-517 certificate expires January 1, 2022. Certified by IAS. Trilogy Analytical Laboratories ISO/IEC 17025:2005 ANAB certificate AT 1472 Expires 5/11/2022.	

FSMS	Traceability and Recall
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1.07.01	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Recall Manual Version 1.2 1/14/19. The recall system works by Code Date on the bottle which can trace back to a lot of information. Done by Flow Diagram.	
1.07.02	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Defined in Recall Manual Version 1.2 revised 3/12/19. Allyn Brown, Joe Evans, and Bruce Wilkins on the team. The leader is Allyn Brown. Includes explanation of recall classes, roles, contact information, etc. The Recall Documentation Information version 1.4 2/5/20.	
1.07.03	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Last Mock Recall 2/26/21 and lasted 1 hour and 20 minutes. Product from Bluewater Farms (Cranberry Lemonade 16 oz. It was a Class III recall. 936 units. None shipped. All accounted for. No real recall during the last 12 months.	

FSMS	Food Defense
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1.08.01	Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Food Fraud Mitigation Plan 1.2 3/30/20 Covers 50 items where fraud could occur such as counterfeiting, theft, mislabeling, supplier ethics, etc. Food Fraud Vulnerability Assessment 2/26/19 revised 3/16/20.	

1.08.02	Question: Does the company have a documented food defense plan based on the risks associated with the operation?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes, Food Defense Program Version 1.1 3/15/21. Covers Building Security, Shipping/Receiving, Mail, Interior areas, Water, Chemicals, Information, Employees, and Visitors.							
1.08.03	Question: Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes, Logs for visitors and truck inspections were in place. Food Defense Training as part of the training program. Food Defense Vulnerability Risk Assessment 3/15/21. Examples of opportunities for improvement: video surveillance and adding a continuity of operations plan.							
1.08.04	Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Possible Points: 3 Points Scored: 3 Score: Total Compliance						
	Auditor Comments: Yes, there is a current list of emergency contacts for management, law enforcement, and regulatory agencies list is found in a binder and in the break area.							
1.08.05	Question: Are visitors and contractors to the company operations required to adhere to food defense procedures?	Possible Points: 3 Points Scored: 3 Score: Total Compliance						
	Auditor Comments: Yes, visitors are required to adhere to food defense when signing in and are escorted.							
GMP General GMP								
5.01.01	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: Yes. Allyn Brown is the designated food safety program leader Joe Evans is responsible for operations.							
5.01.02	Question: Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Possible Points: 15 Points Scored: 10 Score: Minor Deficiency						
	Auditor Comments: Minor: There is a pallet of painting chemicals in the boneyard that is not secured. The rest of the chemicals are stored in a dedicated locked room.							
<div> Auditee Comments: Pallet of painting chemicals have been moved to outside locked storage shed. Picture uploaded. View Files </div> <table> <tr> <td></td><td>CA Accepted?</td><td></td></tr> <tr> <td>CB/Auditor Review Comments: Yes. The issue was corrected while the auditor was at the site. Verified and picture provided.</td><td>Yes</td><td> Possible Points: 15 Points Scored: 15 New Score: Total Compliance </td></tr> </table>				CA Accepted?		CB/Auditor Review Comments: Yes. The issue was corrected while the auditor was at the site. Verified and picture provided.	Yes	Possible Points: 15 Points Scored: 15 New Score: Total Compliance
	CA Accepted?							
CB/Auditor Review Comments: Yes. The issue was corrected while the auditor was at the site. Verified and picture provided.	Yes	Possible Points: 15 Points Scored: 15 New Score: Total Compliance						
5.01.03	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and stored in a controlled manner?	Possible Points: 10 Points Scored: 10 Score: Total Compliance						
	Auditor Comments: Yes, food grade and non-food grade chemicals are used appropriately and stored in a controlled manner.							

5.01.04	Question: Are signs supporting GMPs posted appropriately?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. The signs are posted throughout the facility reminders to wear hairnets, wash hands.	
5.01.05	Question: Are the necessary food defense controls implemented in the operation?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, the required to sign in and escorting required. Bulk juice delivery intake was locked.	
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: Yes. No presence or evidence of pest activity seen on products or ingredients.	
5.02.02	Question: Are packaging supplies free of pest (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: Yes. Packaging supplies were free from pest activity or any evidence.	
5.02.03	Question: Are plant and storage areas free of pest (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. No pest activity or evidence of it seen in this facility	
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: Yes. No pest activity or evidence of it seen outside this facility	
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: Yes. Outside PCO service is used, Griggs & Browne.	
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 traps are not used within the facility?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Devices adequately located, away from exposed products, and no bait traps within the facility. Bait stations with integral weights outside and tin cats with sticky catch trap internally.	
5.02.07	Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Interior traps and exterior bait station devices are checked monthly; however, they are checked daily during the pre-op. The devices are in a clean and intact condition and all were identified by number.	
5.02.08	Question: Are interior and exterior building perimeter pest control devices adequate in number and location?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. they are placed in the required places. They match the map 2/10/21	

5.02.09	Question: Are all pest control devices identified by a number or other code (e.g. barcode) ?	Possible Points: 5 Points Scored: 5 Score: Total Compliance					
	Auditor Comments: Yes. Devices identified per number and located on the map. Wall signs internally and externally.						
5.02.10	Question: Are all pest control devices effective and bait traps secured?	Possible Points: 5 Points Scored: 3 Score: Minor Deficiency					
	Auditor Comments: Minor: The bait station #2 had a broken back seal and for that reason, it was not secured. The rest of the interior traps were against the wall and exterior bait stations have integral weights to prevent movement.						
	<div> Auditee Comments: Outside bait station has been replaced. Picture and service report uploaded. <div>View Files</div> <table> <tr> <td></td><td>CA Accepted?</td><td></td></tr> <tr> <td>CB/Auditor Review Comments: Yes. The picture and service report shows that it is replaced and in compliance.</td><td>Yes</td><td> Possible Points: 5 Points Scored: 5 New Score: Total Compliance </td></tr> </table> </div>			CA Accepted?		CB/Auditor Review Comments: Yes. The picture and service report shows that it is replaced and in compliance.	Yes
	CA Accepted?						
CB/Auditor Review Comments: Yes. The picture and service report shows that it is replaced and in compliance.	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance					

GMP Storage Areas & Packaging Materials		
5.03.01	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)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, facility layout and design ensure that cross-contamination should not occur.	
5.03.02	Question: Is the storage area completely enclosed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Observed dry storage areas and cooler is completely enclosed	
5.03.03	Question: Is the facility's use restricted to the storage of food products?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Facility only receives, stores and processes food items	
5.03.04	Question: Are rejected or on hold materials clearly identified and separated from other materials?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, On-hold materials awaiting return to the manufacturer were labeled correctly and segregated. The cause of the return is because the box was broken.	
5.03.05	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.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. No spoilage or adulteration was identified during the audit.	
5.03.06	Question: Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Storage areas in clean conditions.	

5.03.07	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. All observed products and packaging had adequate traceability dates, lot numbers, etc., and indicated adequate rotation. Coding used dates for example a product manufactured on audit day would have a date indicating expiration several months in the future.	
5.03.08	Question: Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, all materials appear to be rotated according to FIFO policy.	
5.03.09	Question: Are storage areas at the appropriate temperatures for the specific products being stored?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, storage areas are at the appropriate temperature for products being stored. Pasteurized beverages were stored at 41 degrees F.	
GMP Operational Practices		
5.04.01	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Adequate flow is designed and maintained ensuring avoiding any finished product cross-contamination. Processing is done in a closed-loop circuit. The open bottle is protected from any contaminant until it is filled up.	
5.04.02	Question: Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The packaging is wrapped in shrink film and ingredients are stored in closed containers. Processing is done in a closed-loop circuit.	
5.04.03	Question: Are production areas completely enclosed?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Production areas completely enclosed.	
5.04.04	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?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Production areas are clean and well maintained.	
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 re-work.	
5.04.06	Question: Are raw ingredients examined before use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, reviewed receiving log for 2021. Example 3/11/21 Sugar from Imondi, 5,000 lbs. Free of visible contaminants, Intact and acceptable. Truck intact, clean, odor-free, free of pests, signed off by BE.	

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: Yes, products are coded for the day of production, each bottle and the carton are transported.	
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: Yes. Three pre-pasteurization strainers are installed before the pasteurization step, one strainer is installed after the pasteurization step and one is installed for the Apple cider just after the receiving. They are inspected daily in the pre-op. Was reviewed the inspection for 2021.	
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: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, the facility uses test strips for foot dips. PAA test strip 0-500ppm. Tested during the audit and showed a concentration of 250-500 ppm.	
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: Yes. Hand washing station placed in a visible location (near the processing and bottling areas). It was adequately stocked.	
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: Yes. They are in compliance with hand soap hand, sanitizer, paper towels, sink, etc.	
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: Yes. Toilets adequately in number and location and adequately stocked.	
5.04.13	Question: Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations maintained properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, hand sanitizers are adequate in number and location, near workstations and hand wash. Observed to be functional and maintained.	
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: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Four-foot dip stations are installed at the entrances of the processing areas. They appear to be well maintained. The measured concentration of 250-500ppm PAA during the inspection.	
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: Yes, single service containers were being used for their intended purpose	
5.04.16	Question: Are re-usable containers cleanable or used with a liner 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: Yes, re-usable containers are only used for their intended purpose.	

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: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes, the pasteurizer and the coolers were working properly. Pasteurizer had a digital readout of 172 F and the mechanical readout was also 172 F.	
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: Yes, workers are washing and sanitizing hands before work.	
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: Yes, workers' fingernails are clean short, and free of polish.	
5.05.03	Question: Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, no signs of workers with communicable diseases.	
5.05.04	Question: Are workers wearing effective hair nets that contain all hair?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, workers were wearing effective hair nets.	
5.05.05	Question: Is jewelry confined to a plain wedding band and watches are not worn?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, no jewelry was observed on workers.	
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: Yes, workers were wearing gloves and hairnets.	
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: Yes, items were disposable and disposed of when using facility.	
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: Yes, the designated area for single use protective garments is the trash can.	
5.05.09	Question: Worker personal items are not being stored in the production or material storage area(s)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, workers, personal items are not stored in the production or material storage areas.	

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: Yes, there was no smoking, eating, chewing, and drinking.	
5.05.11	Question: Is fresh potable drinking water readily accessible to workers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, fresh potable water is accessible to workers.	
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: Yes, no items were observed in top pockets	
5.05.13	Question: Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A Less than 20 workers.	
5.05.14	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: Yes, Two first aid kits. One is Joe's Office and one in the Break Room. Blue Band-aids were present.	
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: Yes. Observed food contact equipment surfaces are free of flaking paint, corrosion, or rust.	
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: Yes, non-food contact surfaces are in good condition. No flaking paint rust or corrosion issues seen.	
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: Yes. The equipment has been designated for current use. Its design and condition facilitate effective cleaning and maintenance. Equipment made of stainless steel and plastic.	
5.06.04	Question: Are thermometers (independent of thermostat probes) present in all coolers and freezers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, thermometers are present in coolers in freezers. Viewed 41F in cooler and 30F in the freezer.	
5.06.05	Question: Are all thermometers non-glass and non-mercury?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, all thermometers are non-glass and non-mercury.	

GMP Equipment Cleaning		
5.07.01	Question: Are food contact equipment surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, food contact surfaces were clean.	
5.07.02	Question: Are non-food contact equipment surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, non-food contact surfaces are clean.	
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: Yes, items used to hold were clean.	
5.07.04	Question: During cleaning, are food products and packaging materials protected from contamination?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. The processing is the closed-loop circuit and no issues were observed when employees were cleaning.	
5.07.05	Question: Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, the cooling units appeared clean.	
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: Yes, all fan guards were dust free and the front was free of excessive deposits.	
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: Yes, stored equipment that is not used daily was clean and covered in plastic sheeting.	
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: Yes, utensils and hoses were stored clean and off the ground.	
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: Yes. The maintenance tools that are used in the production and storage areas are in good condition and maintained.	
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: Yes, no excess lubricants or grease were observed.	

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 were observed during audit. It is a closed circuit processing line	
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: Yes, No waste or garbage was seen overflowing.	
5.08.03	Question: Do floor drains flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and are well maintained?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, floor drains to remove fluid away from high-risk areas and are functional.	
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: Yes, high-level areas appear clean.	
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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. Plastic curtains are new, well maintained, and clean.	
5.08.06	Question: Does personal protection equipment (PPE) for the sanitation crew meet label requirements of chemicals used, and is it 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: Yes, PPE meets label requirements.	
5.08.07	Question: Is cleaning equipment maintained clean and stored properly?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes. The cleaning equipment is maintained and stored properly.	
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: Yes, cleaning equipment is identified in order to prevent cross-contamination. Each cleaning equipment storage area has a reminder of the color to be used in each area.	
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: Yes, no steel wool or metal bristles are used.	
5.08.10	Question: Are toilet facilities and hand washing stations clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, toilet facilities and handwashing stations are clean.	

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: Yes, worker break facilities are clean.	
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: Yes. Maintenance shop clean and orderly.	
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: Yes. Observed vehicles are all-electric and no diesel is used. They appeared clean and well-maintained.	
5.08.14	Question: Are shipping trucks clean and in good condition?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, shipping trucks are in good condition. Incoming and outgoing trucks are checked on their appropriate logs.	
GMP Site		
5.09.01	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: Yes. There is a site plan version 1.2 Revision date 3/12/19. Adjacent Lands are labeled as are roads and the general nature of the business of adjacent businesses.	
5.09.02	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: Yes. Facility Layout version 1.2 3/12/19. Has equipment locations, temperatures, labeled storage areas, product and personnel flow, and water features.	
GMP Buildings and Grounds		
5.10.01	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 a breakage?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, all lights in the facility are shielded.	
5.10.02	Question: Has the operation eliminated or adequately controlled any potential metal, glass or hard plastic contamination issues?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, operation has adequately controlled potential foreign material issues.	
5.10.03	Question: Has the facility eliminated the use of wooden items or surfaces?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, wooden items are no not in use.	

5.10.04	Question: Is there adequate lighting in the production and storage areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes, lighting is adequate							
5.10.05	Question: Is ventilation adequate to control dust, condensation, odors and vapors?	Possible Points: 10 Points Scored: 10 Score: Total Compliance						
	Auditor Comments: Yes, ventilation is adequate to control dust, condensation, odors, and vapors.							
5.10.06	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: Yes. Floors in the pasteurization room and bottling room are in good condition.							
5.10.07	Question: Are the floor drains where they are needed for drainage and cleanup?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes, floor drains are adequate for drainage and cleanup. Drains drain away from the bottling, mixing, and pasteurization area.							
5.10.08	Question: Are all entry points to the production and storage areas protected to prevent the entry of rodents and birds?	Possible Points: 10 Points Scored: 10 Score: Total Compliance						
	Auditor Comments: Yes, all entry points are protected to prevent birds and pests entry.							
5.10.09	Question: Are dock doors fitted with buffers/shelters to seal against trucks in temperature controlled environments?	Possible Points: 3 Points Scored: 3 Score: Total Compliance						
	Auditor Comments: Yes, dock doors are fitted with buffers/shelters to seal against trucks.							
5.10.10	Question: Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	Possible Points: 3 Points Scored: 3 Score: Total Compliance						
	Auditor Comments: Yes, dock load levelers and buffer/shelters are in good condition.							
5.10.11	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)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance						
	Auditor Comments: Yes, exterior walls are free of holes.							
5.10.12	Question: Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	Possible Points: 5 Points Scored: 3 Score: Minor Deficiency						
	Auditor Comments: Minor: One of the storage rooms has a wall with 4 holes.							
<div> <div>Auditee Comments: All four holes have been filled and covered. Pictures uploaded.</div> <div>View Files</div> <table> <tr> <td></td> <td>CA Accepted?</td> <td></td> </tr> <tr> <td>CB/Auditor Review Comments: Yes. The holes are repaired as the pictures show.</td> <td>Yes</td> <td> Possible Points: 5 Points Scored: 5 New Score: Total Compliance </td> </tr> </table> </div>				CA Accepted?		CB/Auditor Review Comments: Yes. The holes are repaired as the pictures show.	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance
	CA Accepted?							
CB/Auditor Review Comments: Yes. The holes are repaired as the pictures show.	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance						

5.10.13	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?	Possible Points: 5 Points Scored: 3 Score: Minor Deficiency					
	Auditor Comments: Minor: The Dock Area has several pallets that did not observe the 18" (Pallet - Wall).						
	<div> <div> Auditee Comments: Dock area pallets have been moved to observe 18" wall perimeter. Picture uploaded. <div>View Files</div> </div> <table> <tr> <td></td><td>CA Accepted?</td><td></td></tr> <tr> <td> CB/Auditor Review Comments: Yes. Now the 18" away from the walls are followed. </td><td>Yes</td><td> Possible Points: 5 Points Scored: 5 New Score: Total Compliance </td></tr> </table> </div>			CA Accepted?		CB/Auditor Review Comments: Yes. Now the 18" away from the walls are followed.	Yes
	CA Accepted?						
CB/Auditor Review Comments: Yes. Now the 18" away from the walls are followed.	Yes	Possible Points: 5 Points Scored: 5 New Score: Total Compliance					
5.10.14	Question: Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	Possible Points: 5 Points Scored: 5 Score: Total Compliance					
	Auditor Comments: Yes, the exterior area is clean and free of litter.						
5.10.15	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)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance					
	Auditor Comments: Yes, control measures are in place for outside storage.						
5.10.16	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: Yes, pallets are inspected and separated.						
5.10.17	Question: Is the area around the dumpster/cull truck/trash area clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance					
	Auditor Comments: Yes, the area around the dumpster is clean.						
5.10.18	Question: Are outside garbage receptacles and dumpsters kept covered or closed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance					
	Auditor Comments: Yes, outside garbage receptacles were closed.						
5.10.19	Question: Are all water lines protected against back siphonage?	Possible Points: 5 Points Scored: 5 Score: Total Compliance					
	Auditor Comments: Yes, water lines are protected against back-siphonage. Check valves and anti-siphon devices are in place. They are certified by New England Service Company on 1/28/21.						
5.10.20	Question: Is the on-site laboratory completely enclosed and separated from production and storage areas?	Possible Points: 0 Points Scored: 0 Score: N/A					
	Auditor Comments: N/A, No on-site laboratory.						
<div>GMP</div> <div>Chemical Files</div>							

5.11.01	Question: Are copies of all Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, SDS sheets are in place. Viewed Perasan A, Chem 1081, Chem 1083, Conveyor Lubricant #20, Sull-Tech 1620. Kept in the binder.	
5.11.02	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: Yes. Copies of the Specimen labels were available for Conveyor Lube, Sull Tech 1620, and Terad3 Blox.	
5.11.03	Question: Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: Yes. Viewed the 2021 inventory records. Has Standard Container Size, Beginning Inventory Quantity Received, Quantity Used, and Ending Inventory.	
5.11.04	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring/testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.) and testing of single pass water systems?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No recirculated water, water is de-chlorinated prior to mixing with ingredients for beverages.	
GMP Pest Control Documentation		
5.12.01	Question: Is there a documented pest control program, 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: Yes. Griggs and Browne Company License B-1116. COLI from Acord. Policy 6/1/20-6/1/21. Ongoing Contract Signed 5/26/2015. Applicators, Brandon Goudy O-48241, Richard Gallant O-43987. Michael Serenko S-3946 expires 1/31/2024. The liability insurance expires on 6/1/21.	
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: Yes, there is a drawing of the facility showing the location of all devices. The last updated 3/4/21 Map matches the locations of traps.	
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: Yes. Reviewed the last 12 months' reports. No visible trend, no corrective action, and the application (bait station) are stated.	
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: Yes. Norwich Beverage Co Receiving Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. Yes, reviewed the 2021 receiving log. For example; Sugar was received on 3/11/21 from Imondi, 5000 lbs. Lot # 031121: Free of visible contaminants, intact, and acceptable. Truck intact, clean, odor-free, free of pests, signed off by BE.	

5.13.02	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)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Norwich Beverage Co Receiving Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. Reviewed the 2020 and 2021 receiving log. On 3/11/21 the log and receiving a document of sugar from Imondi, 5,000 lbs. Free of visible contaminants, intact, and acceptable. Truck intact, clean, odor-free, free of pests, signed off by BE.	
5.13.03	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 (i.e. fungicides, wax, etc.), control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, viewed the pasteurization temperature chart, PO, Brix, and pH.	
5.13.04	Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. Chlorine is removed from water with a carbon filter prior to mixing with juice concentrates. The product is then pasteurized.	
5.13.05	Question: Are there records of visual monitoring and/or testing and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydrovacuums, hydrocoolers, etc.), for build-up of organic material (turbidity)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, no recirculated wash water	
5.13.06	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?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. Records kept on the Pre-Operational log for foot dips stations. Marked as at least 160 ppm.	
5.13.07	Question: Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: Yes. On Master Sanitation Schedule and Cleaning Log Viewed for 2021.	
5.13.08	Question: Is there a pre-operation inspection log?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, the Daily Operation SSOP Program viewed 2020 and 2021 records.	
5.13.09	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: Yes, Norwich Beverage Company Site Risk Assessment is done 3/15/21. Covers hazards relevant to the security and food safety of the business.	
5.13.10	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: Yes, the facility has the certificate of backflow inspection on 1/28/21 by New England Service Company.	

5.13.11	Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Using the Primus Checklist was done from 2/21/21 to 3/15/21. The internal inspection using Norwich Beverage Monthly Facility Self Audit Checklist. The inspection done at the site is Daily Pre-op, Pest Control, Glass-Plastic, GMP, and Ingredient and Truck Inspection.	

GMP	Maintenance & Sanitation Files
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5.14.01	Question: Does the facility have a preventative maintenance program and a documented schedule?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, There is a Preventive Maintenance Program and the Preventive Maintenance Schedule and Log. Monthly Schedules per area. 25 items. Reviewed the 2021 log.	

5.14.02	Question: Are there a logs of maintenance work and repairs and are they signed off when work is completed?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, maintenance is logged on Preventative Maintenance Schedule and Log. Sign off by the COO.	

5.14.03	Question: Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, the Maintenance Work Order Has a section for Cleaning and sanitizing. Parts and Materials removed, Work area cleaned and sanitized, verified by JE. Sighted the 2021 records.	

5.14.04	Question: Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Master Sanitation Schedule and Cleaning Log covers Monthly Quarterly, and Annual. Daily and Weekly on Daily Operations SSOP Program. Cooling units cleaned, Pasteurizer, Overheads, and Light Covers (Annually) by JE. Grounds cleaning done monthly.	

5.14.05	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, there are SSOPs for Drains, Floors, Walls, Break Room, Rest Room. CIP is done for product contact surfaces.	

5.14.06	Question: Are cleaning and sanitation logs on file that show what was done, when and by who?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, signature on sanitation log shows who completed task BE, Brendan Evans.	

5.14.07	Question: Are there records showing verification of cleaning and sanitizing chemical concentrations?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, 160 ppm for cleaning checked daily on Pre-Operational SSOP.	

5.14.08	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, ice makers, etc.), where applicable?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, there is a CIP Procedure Version 1.3. There are 4 CIPs: Blend and Mix Tank, Pasteurizer, COP Tank, and Post Tanks. Sighted the 2021 cleaning records.	

5.14.09	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: Yes, ATP Testing Program version 1.3 3/5/19. 5 Surfaces pre-pasteurizer, 5 surfaces post-pasteurizer. Hygiena SystemSure Plus equipment used. Acceptable 0-10, Marginal 11-29, Reject > 30. 2021 records were reviewed, including the Mix Tanks, Post-Tank, Bottler Interior (Bottler Interior cleaned and retested).	
5.14.10	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: Yes, floor drains are cleaned daily. Marked on Daily Pre-Operational SSOP	
5.14.11	Question: Are there records showing filters in air conditioning, ventilation and air filtration units are regularly cleaned and replaced?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No filtered air.	
5.14.12	Question: Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Cooling units cleaned by Joe Evans(Quarterly) last 2/21/21.	
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: Yes, Glass Management Policy and Breakage Procedure Version 1.1 3/5/19. Covers policy, breakage, and cleanup. Monthly Glass Register Checks Norwich Beverage Company 2020-2021. Inspections of 15 items. No issues or corrective action during the last 12 months.	

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: Yes, Initial GMP training 4/24/21, Hazard Communication Safety Training 2/18/21, Hand Washing 4/30/20.	
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: Yes. At least annual GMP and sanitation refresher training. Most Recent 4/24/20.	
5.15.03	Question: Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Sanitation training 4/24/20 by Bob Sullivan	
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 return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Employee Health and Personal Hygiene Form 1-B signed by Employees. Ex.) ED on 10/6/15, BE on 10/6/15, GM-L 10/6/15.	

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: Yes, There is Employee Handbook That has a Disciplinary Policy. Two warnings followed by termination. No need for disciplinary action within the past year.	
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: Yes, visitors are required to sign a log agreeing to follow food safety regulations related to health and hygiene.	
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: 15 Score: Total Compliance
	Auditor Comments: Yes, Testing Program 2/4/2020 Version 1.5. Fresh Municipal water Quarterly, Municipal Chemistry Quarterly, Finished product for Patulin September, October, November, December, Sensory Testing Each Run, Environmental Zone 1 Monthly for APC and TC. Zone 2-4 Monthly Listeria. Compressed Air APC, Yeast, Mold. 5 Zone 1 Sites, 10 Zone 1 Sites, 7 Zone 2 Sites, 5 Zone 3 Sites.	
5.16.02	Question: Are there records of microbiological test results and does testing meet the program requirements?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, 8/25/20 Mix Tank 2 < 10 APC, < 10TC, Blend Tank Exterior Negative for Listeria. Bottler Filler < 10 APC, < 10 TC. Same results for next rotation, and Mango mix sample A, B, C.	
5.16.03	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: Yes. 3/6/2020 DOA2666-02. Total Chlorine < 0.05, TC < 1mpn/100mL, E. coli < 1mpn/100mL. History of similar results (11/20/20, 9/14/20, 6/25/20).	
5.16.04	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.	
5.16.05	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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, done annually. Last 2/9/20 Batch 120-006305. < 1 CFU for APC and Yeast and Mold and TC ISO Method 14698.	
5.16.06	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: Yes. Patulin Tests for September, November, and December of 2020. The rest passed the customer requirements.	
5.16.07	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: Yes, corrective actions for Environmental, water, and air testing are listed in the Testing Program Document Version 1.5, 2/4/20. Environmental Monitoring Cause and Effect Fishbone Diagram 3/6/19. No failure for the last 12 months. There was a TPC failure on 9/18/2019	

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 corrective actions within the past year	
5.16.09	Question: Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with validated testing methods and protocols, evidence of training related to sample collection and testing protocols, and relevant records of results?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No in house Lab	
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 Product is not temperature sensitive	
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 area is not refrigerated.	
5.17.03	Question: Are there temperature logs for storage rooms?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, recorded daily on Daily Operational SSOP Log. The 2021 records for the cooler go from 40 to 41 and for the freezer from 23 to 29 F.	
5.17.04	Question: Is there a documented procedure for checking truck trailer temperature prior to shipping?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Checked prior to shipping on Norwich Beverage Co Shipping Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. 2021 records show that the truck temperatures were appropriate and around 35 F. The truck box was clean, odor-free, intact, and free of foreign materials.	
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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, checked prior to shipping Norwich Beverage Co Shipping Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. The 2021 truck boxes records show that they were clean, odor-free, intact, and free of foreign materials.	
5.17.06	Question: Is there a documented procedure for reviewing the sanitary condition of truck trailers that will transport the product?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, Shipping SOP Version 1. 2 3/6/19	
5.17.07	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: Yes, checked prior to shipping, Norwich Beverage Co Shipping Log. Date, Invoice# or BOL #, Product, Organic, # Cases, Carrier Truck Temp, Locked and Sealed. Sanitary Condition. The 2021 truck box log shows that they were clean, odor-free, intact, and free of foreign materials.	
GMP Allergen Control		

5.18.01	Question: Are there no allergen risks handled or stored within production and storage areas?	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes, the facility does not handle allergens.	
5.18.02	Question: Has a documented allergen management plan been developed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
5.18.05	Question: Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
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 No allergens	
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: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
5.18.08	Question: Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	
5.18.09	Question: Are all products manufactured on site labeled correctly with respect to allergens?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A No allergens	

HACCP Preliminary Steps		
6.01.01	Question: Is there a team responsible for the HACCP program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the HACCP system?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, there is a team and it consists of Allyn Brown III, Joe Evans (Leader), and Bruce Wilkins. Technical Support from Diane Hirsch and Randy Worobo. Updated 3/15/21. Meeting 3/15/21. Process Validation Todd Jay Pritchard U. Vermont, R. Worobo Cornell.	

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: Yes. Joe Evans has training in Spring 2018 by NC State University (certificate on file) Brendan Evans Summer 2019. Allyn Brown Juice HACCP 2005. Bruce Wilkins PCQI 6/17/16.	
6.01.03	Question: Does a product description exist for the products produced?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Product descriptions exist for the products produced. Processes A-E. Has description, product specs, relevant safety information, additives, processing aids, packaging, labeling requirements shelflife, and intended use.	
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: Yes, each flow chart for each of the 5 processes has been flow charted with all inputs and all steps used.	
6.01.05	Question: Is there documented evidence that the flow chart(s) been verified on-site?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, signed by Joe Evans and dated 3/4/20 and 3/15/21.	
HACCP Development of the HACCP Plan		
6.02.01	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) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, for each of the 5 processes, considers chemical, biological, and physical hazards for each of the steps listed in the flow chart.	
6.02.02	Question: Have CCP decisions been made with documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes, hazard analysis likelihood matrix.	
6.02.03	Question: Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Informational gathering. If the answer is YES, continue with the next question. If the answer is NO, the rest of "Module 6 HACCP" is not applicable	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. Pasteurization min. temp. is more or = 160 F. and more or = 6 seconds retention time (15 seconds operating limits) - CCP-1.	
6.02.04	Question: Have CCP critical control limits been established and supported by relevant validation documentation?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Validation records from FDA Juice HACCP Guidance & 2010 Penn State University are on file (achieve minimum 5 log reduction in microbiological levels). Authorities that provided the process validation parameters: Mr. Todd Jay Pritchard, Ph.D. University of Vermont, Burlington/VT and Mr. Randy Worobo, Ph.D. Cornell University, Ithaca/NY.	
6.02.05	Question: Have monitoring requirements and frequencies been determined and documented for the CCPs?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Validation records from FDA Juice HACCP Guidance & 2010 Penn State University are on file (achieve minimum 5 log reduction in microbiological levels). Authorities that provided the process validation parameters: Mr. Todd Jay Pritchard, Ph.D. University of Vermont, Burlington/VT and Mr. Randy Worobo, Ph.D. Cornell University, Ithaca/NY.	

6.02.06	Question: Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Production Manager (JE) is assigned these responsibilities	
6.02.07	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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: Yes, CCP-1 Pasteurizing Monitoring SOP version 1.2 3/12/19.	
6.02.08	Question: Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limit(s) of a CCP 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: Yes. They are on file. If a low-temperature condition is observed (less than 160 F.) and/or pasteurizer flow is diverted due to low temperature, forward flow through the pasteurizer is automatically stopped, investigate the cause and correct the issue. Any diverted product is captured and must be re-pasteurized. Checked daily at the start. Shows on the recording chart.	
6.02.09	Question: Have recording templates (recording forms) been developed for monitoring the CCPs?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. They are recorded on monitoring charts and batch sheets. Viewed them in place during the audit on 3/16/21. Reviewed the 2021 records and no deviation was recorded.	
6.02.10	Question: Have verification plans and schedules been developed for each CCP?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes. Verification is done daily by the President/Business Owner, pasteurizer chart recording thermometer calibration (annually). Divert valve checks are conducted daily prior to start-up and recorded on the pasteurizer pre-start checklist.	
6.02.11	Question: Is the HACCP system verified when operational changes are made and at least once every 12 months?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, the HACCP system is reviewed annually, last done 3/15/21.	
6.02.12	Question: Is there documented evidence that all plant workers have attended a HACCP training, including training for CCP operators?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, all plant workers were training on 3/15/21.	
HACCP Execution of the HACCP Plan on the Plant Floor		
6.03.01	Question: Do all of the documents noted in the HACCP Plan accurately reflect plan requirements for the CCPs?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: Yes. Real times are noted on each record and signed off.	
6.03.02	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: Yes. HACCP Plan is followed daily. 2021 charts were review.	

6.03.03	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: Yes, CCP operator JE has attended a 16 hour HACCP class and holds a valid certificate. The interview indicated he knew the importance and requirements of the task.	
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: Yes, viewed sign-offs by BE.	
6.03.05	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)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, No deviations have occurred. The system is closed. If time and temperature requirements aren't met, the product does not flow forward into the process and recirculates until the time and temperature requirements are met.	
6.03.06	Question: Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: Yes, Signed off By Joe Evans Daily, Brendan Evans records spot checks. Continuous monitoring.	