Audit Report

Global Standard for Food Safety Issue 7: July 2015

1.Audit Summary			
Company name	**Prime Xynergies Food Corporation**	BRC Site Code	8480388
Site name	PRIME XYNERGIES FOOD CORPORATION		
Scope of audit	Manufacture of Fried Banana Chips in Plastic Bag		
Exclusions from scope	None		
Justification for exclusion	None		
Audit Finish Date	2016-12-09		
Re-audit due date	2017-12-10		

Voluntary modules included		
Modules	Result	Details
Choose a module	Choose an item	
Choose a module	Choose an item	

2. Audit Results					
Audit result	Certificated	Audit grade	AA	Audit type	Announced
Previous audit grade	AA	Previous audit date	2015-11-24		

Number of non-conformities	Fundamental	0

	Critical	0
	Major	0
	Minor	05

3.Company Details

Address	Sitio San Jose, Santa Cruz, Davao del Sur, 8001 Philippines		
Country	Philippines	Site Telephone Number	+ 082 272 0680
Commercial representative Name	Ms.Fatima Velasco – Sales and Marketing Manager	Email	sales@primexcoco.com
Technical representative Name	Ms. Rhean G. Padronado – QA	Email	px-sc@primexcoco.com

4.Company Profile

Plant size (metres square)	10-25K sq.m	No. of employees	51-500	No. of HACCP plans	1-3

Subcontracted processes	No
Other certificates held	KOSHER, HALAL, ECO-CERT
Regions exported to	North America Asia Europe South America Choose a region Choose a region
Company registration number	FDA 13206372506
Major changes since last BRC audit	None

Company Description

Prime Xynergies Food Cooperation is located in Davao del Sur, Philippines with the area of 5544 square meters for production and storage area. It was established in 2009. There are 280 employees for 1 shift/6 days of operation. Main product is fried banana chips that exported to UK, U.S.A, and China and Europe markets only in bulk. There is 01 HACCP plan with production capacity – 100 MT, exported quatity from Jan-Nov 2016 is 1.300 tons with 103 x 20' containers to asia countries, and 63 to EURO and 22 to US . No customer complaint in the previous year to now.

Organic products have been produced with organic materials. Certifications of confirmations for all materials were in place and verified such as fresh banana, sugar, coconut oil. The organic certificate – ECO-CERT: #PH-

4.Company Profile

2016-119098-Z-40894-2016, valid to 31-Mar-2018

5.Product Characteristics

Product categories	17 - Cereals and snacks Category Category Category
Finished product safety rationale	Finished product is stable in Ambient condition and less than < 4 moisture

High care	No	High risk	No	Ambient high care	No

Justification for area	Finished product is stable in Ambient condition and less than < 4 moisture
Allergens handled on site	None Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen Choose an allergen
Product claims made e.g. IP, organic	Organic – Euro and US
Product recalls in last 12 Months	No
Products in production at the time of the audit	Fried banana chips sweetened.

6.Audit Duration Details			
On-site duration	20 man hours	Duration of production facility inspection	10 man hours
Reasons for deviation from typical or expected audit duration	None		
Next audit type selected	Announced		

Audit Duration per day			
Audit Days	Audit Dates	Audit Start Time	Audit Finish Time
1 (start date)	2016-12-07	0830	1730
2	2016-12-08	0830	1730
3 (finish day)	2016-12-09	0830	1230

	Auditor (s) number(s)	Names and roles of others
Auditor Number	176700	HUYNH THIEN KHIEM
Second Auditor Number	N/A	

Present at audit				
Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.9) Name / Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Recel A. Quiogue – Asst.Plant manager	X			X
Rhean G. Padronado - QA	X	X	X	X
Nargy J Jalop – Hr manager	X	X	X	X
Cristine Bello – Organic staff	X		X	X
Vincent Henry Yretarino – Purchasing and Food safety team leader	X		X	X
Yolanda Abella / Plant manager	X	X	X	X

Present at audit				
	X	X	X	X

Non-Conformity Summary Sheet

Critical or Major Non Conformities Against Fundamental Requirements				
No.	**Clause**	**Details of non-conformity**	**Critical or Major?**	**Anticipated re-audit date**

Critical			
No.	**Clause**	**Details of non-conformity**	**Anticipated re-audit date**

Major							
No.	**Clause**	**Details of non-conformity**	**Correction**	**Proposed preventive action plan (based on root cause analysis)**	**Evidence provided document, photograph, visit/other**	**Date reviewed**	**Reviewed by**

Minor							
No.	**Clause**	**Details of non-conformity**	**Correction**	**Proposed preventive action plan (based on root cause analysis)**	**Evidence provided document, photograph, visit/other**	**Date reviewed**	**Reviewed by**
1	4.4.2	Floor at oil tank handling area was seen with water standing, oil accumulation, and also constructed of material that was not impervious, hardwearing, repairable.	Repair and Reconstruction of the Oil Tank Floor Area	Weathering of the concrete flooring due to long time usage of the area. Inspection and determining the suitable material for reconstruction and repair of the area. Cleaning & hygiene check daily Responsible person: Food Safety Team/ Maintenance Completion date: December 22, 2016	Picture of the Area after the Repair. Record of cleaning and hygiene check (3 days)	31-Dec-16	Khiem
2	6.2.3	The correctly labelling check procedures is in place but not specific record	Revision of the Checklist	Failure to include in the checklist the checking of labelling information. To revise the form and	Attachment of checklist and J.O Form. Training record	31-Dec-16	Khiem

		maintained & include checks printing carried out at the packing stage such as date coding, batch coding, quantity indication, pricing information, ….		procedure and incorporate the checking of labelling information in packing checklist. Refresh training the update form for relevant staff Responsible person: QA/DCO Completion date: December 14, 2016	Checklist (3 days)		
3	4.14..6	One light of fly-killing device located at entrance of production area was seen not operational	1) Revised the checklist for ABK (Attracto-Bug Killer). 2) Replace the Busted Lamp	Failure to check and verify the entire fly-killing device lamp. To conduct regular inspection and change the frequency of checking from quarterly to weekly. Responsible person: PCO/ Maintenance Completion date: December 17, 2016	Picture of replaced lamp. Record of Insect killer light checking weekly (3 record of 3 weeks) Fly killing device map (highligh the light replaced)	31-Dec-16	Khiem
4	4.9.1.1	The food grade certificates and analysis certificates of defined contaminant of terminal sanitisers as Alcohol and sanichlor are not in place	Established acceptance criteria for chemical products.	Failure to set criteria in receiving and acceptance of chemical products use in the operation. Review Sanitation Standard in the Philippines or any International Sanitation Standard. To establish criteria in accepting chemical products,	Attachment of Forms. *Testing result to prove the conformity with defined specification *Specification	31-Dec-16	Khiem

				particularly for chemical use in sanitation. Responsible person: FSTL/Purchasing Staff Completion date: December 20, 2016			
5	4.5.1	The water testing report COA 16-11932 date 23 May 2016 indicated Lead content < 0.02 mg/l was higher than 0.01 mg/l per in specification	1.) Communicate to the selected External Laboratory provider. (F.A.S.T Laboratory) 2.) Send sample of deep well water for Laboratory Testing to confirm the test result for Lead Content. .	Misinterpretation of reading for the parameter level of Lead as per COA 16-11932. 1) Review of PNS for water testing parameter, and select approved external Laboratory provider which can give accurate laboratory testing for heavy metals. 2) To send sample of deep well water for Laboratory Testing to confirm the test result for Lead Content. Responsible person: QA Completion date: January 3, 2017	Test Results Evidence of sample sending, communicate with external lab (via email..) Water specification	31-Dec-16	Khiem

Comments on non-conformities

Voluntary Modules Non-Conformity Summary Sheet

Critical			
No.	**Clause**	**Details of non-conformity**	**Anticipated re-audit date**

Major							
No.	**Clause**	**Details of non-conformity**	**Correction**	**Proposed preventive action plan (based on root cause analysis)**	**Evidence provided document, photograph, visit/other**	**Date reviewed**	**Reviewed by**

Minor							
No.	**Clause**	**Details of non-conformity**	**Correction**	**Proposed preventive action plan (based on root cause analysis)**	**Evidence provided document, photograph, visit/other**	**Date reviewed**	**Reviewed by**

Detailed Audit Report

1. Senior management commitment

1.1 Senior management commitment and continual improvement

There is a documented food safety and quality policy in QA-FSM-001. signed by Plant manager. Commitment to produce safe, legal, quality product, full filling customer requirement, and continual improvement was evident in policy statement. The policy is communicated at different work level by displaying in English and local language and training. Recently reviewed on 2016-06-18.

KPI were set and monitored as monthly for all departments in 2016 – each personal will be provided 2.5 hours of allergen seminar, 1.5 hours serminar for cooling workers.
Production: reduce 0.31% green banana rejection, zero metal detection product.
Pest control: free rodent. Packing room: reduce to 0.33% of plastic and 0.11% of boxes disposal, loading 0.05% damage plastic & 0.04 box damage.
The objective monitoring report was done monthly and shown achievement
To reduce the corrective action on maintenance of the equipments - 1.10%

Zero customer complaint – This year no complaint - Last objective are reviewed on 2016-11-03
Continual improvement was noted by achieving objectives of last year.

Presently MRM is conducted in 6 month interval; report was seen dated 2016-06-18 where mentioned clearly the input such as compliant, audit result.. beside BRC audit, company also have the certificate and audit by HALAL, KOSHER, ECO-CERT. Procedure is defined in QA-FSM-001. Monthly meeting is conducted with HOD and Business head, discussed about production plan, food safety, and legality and quality issues 2016-11-03

Original Global standard for Food Safety issue 7 was available at the audit that was controlled as external document

Company is registered with USFDA and Philippines national Standard, to get regulatory updates and industry code of practice. Updated info is also available through customers which are communicated through Export manager. Regulatory updates and compliance are monitored by Corporate legal department and corporate general manger.

Previous audit on 05 minor CAR - 3.5.1.1, 3.5.3.1, 3.9.3, 4.10.3.2, 6.1.3 have been checked their effectiveness of cerrective action and closed out.

1.2 Organisational structure, responsibilities and management authority

Organization chart was in place and last updated was on 2016-01-18 by General Manager. All manager are reporting to assistance general manager and Assist GM is reporting to Plant manager Responsible of each position with clearly documented who deputises in the absence of the responsible person was identified in job description such as QA, production, warehouse manager etc.

Details of non-applicable clauses with justification	
Clause reference	**Justification**

2 The Food Safety Plan – HACCP

Food Safety /HACCP Team Leader is Mr. Vincent Henry Yretarino and he has the following HACCP training and experience 07 years in this food processing plant. Training records were maintained such as BRC issue 7 awareness, pest control, allergen control, security control and also GMP&HACCP requirements. The multi-disciplinary team comprises members from the following departments, e.g. Production, QA/QC/LAB, R&D and Engineering, Purchasing & Sale as announcement by Plant manager. Last review of HACCP document date on 2016-10-10

One HACCP plan product descriptions were developed covering all food safety information, e.g. composition, ingredients (e.g. banana, sugar, banana flavour, and coconut oil), key process, physical, chemical and microbiological characteristic, shelf life (one year) and storage and distribution conditions (ambient) and instructions for use. Intended use is general consumer. Source of information for the hazard analysis: Regulation of local and export countries, scientific information.

Banana→ Peeling → Washing → Slicing → First Frying → Mixing with syrup → Sorting → Final Frying (CCP1)→ Cooling→Mixing with flavour → Metal detecting (CCP2) → Weighting → Packing in PE bag and carton→ Storage and Dispatch.
Sub-chart: refined sugar → storage → weighing → dissolving → heating → straining → adjusting of syrup → cooling
Verification of flow diagrams QA-RWP-002 was conducted on 2016-07-30

A decision tree has been used to assess the hazard controls at each process step and the results are documented CCP and OPRP. The monitoring plans for all CCPs were established as follows;
The Hazard analysis has been carried out on the basis of knowledge of experienced professionals; recognised guidelines from FDA, Customer requirements as well as scientific institutions information were evident. Physical (physical impurity, metal contamination), chemical (allergen contamination, pesticide residue, cleaning chemical residue, Aflatoxins, heavy metal) and microbiological (yeast & mould, Salmonella, E. Coli, Staphy,) hazards were identified and control measures are established.

CCP1: Final Frying, Temperature (115-135^{0}C) and frying duration (1-2 mins), monitored by QC every 2 hours. CA- re- heat if colour and moisture is within the specification / If not meeting reject the product
CCP2: Metal detecting , 100% product must be passed through the metal detector and detection performance of metal detector, it must be detected by test pieces of Fe.0.7 mm., SUS 1.0 mm. and Non Fe 1.5 mm., monitored by QC as hourly. CA- rechecked the product which was infected and rejects the materials

Internal validation has been done for CCPs has been done for frying temp on 2016-10-10 as per the industry requirement and metal detection

HACCP System review was conducted as annually and any change. Last was conducted on 2016-10-10. Applied legislation and guidelines list is in place:

- Hygiene for food and feed EC 852, 853, 854, 882/2004

- Microbiological EC 2072/2005, - GMO EC 1829/2005; - Allergen EC 89/2003

- Packaging EC1935/2004; - Nutrient and label EC 1924/2006, 1925/2006

- Contamination EC 1881/2006

-Chlorine in drinking water / WHO – SDE.WSH.0304.45 dated 2014-06-17

Details of non-applicable clauses with justification

Clause reference	Justification

3. Food safety and quality management system

3.1 Food safety and quality manual

Food Safety and Quality Manual as QA-FSM-001, Rev.1, date 2016-10-10. Documented procedures as required by BRC Global Standard for Food Safety issue 7 were established and implemented as well as the documents needed by organization were established

3.2 Documentation control

Procedure is documented in QA-SP-001 – Document and data distribution – rev-03 –Total 9 copy are distributed list is maintained. The legal requirement list is in place mentioned the applied document of imported market such as EU, US, Korea, China...

3.3 Record completion and maintenance

Documents in QA-SP-002 dated 11.10.2013, Retention period of each record was clearly identified as 1 year of shelf life + 12 months.

3.4 Internal audit

Internal audit conducted twice a year as defined in QA-SP-006 Rev 3, 2012-09-15 including the audit checklist QA-IQA-003 2016 .Auditor Team was announced and trained. Internal auditors – 5 members are trained on 2015 -09-10, 11 by SGS acedemy for BRC issue 7. Risk assessment has been conducted. Once in six month internal audit is been done.

Latest internal audit was conducted during 2016-11-07, 08, 09 . Also have the on in June 2016. There were no NC raised during the audit. There were no Non conformity/ observations and were reviewed in management review meeting. Sampling verified audit reports of production department, QC department and production department that were compliance with standard clause seen.
The internal audit master schedule QA- AMS-018 was planned through out the year

Monthly housekeeping and fabrication inspection is conducted report was seen in GMP audit checklist, dated 2016-12-03. Two Observation on the general cleaning, agreed supervisor to implement.

3.5 Supplier and raw material approval and performance monitoring

3.5.1 Management of suppliers of raw materials and packaging

The company demonstrates control over its purchasing processes that are critical to product safety, quality and legality. It ensures that the purchased products are as per the requirements specified at the time of receiving material is verified by Q.C representative and COA is obtained as per plan.
Documented procedure for supplier approval and monitoring is available based on Risk assessment in PD-SAS-001 date 2016-10-01.
Vendors /supplier are classified between supplier High and Low

The criteia of high risk and low risk depend on the severity and likelihood of occurance and likelihood of detection, risk serverity of hazards as Microbiological, chemcial and physical, other aspects such as food fraud, substitution, authenticity, cost and Value, delivery, service, convenience a/ Simplicity.

For purchasing banana agents are approved Agent Agreement made , records verified for Agosto Bergdo agreement is made on 2016-07-16. Sampling record checking of supplier Penolama supply green banana, evaluated on 2016-07-16, period audit from Jan –Jun 2016, total quantity received 127.524kg, result shown satisfactory, done by ENGA VHM YRETARINO

3.5.2 Raw material and packaging acceptance and monitoring procedures

Raw material Banana is specification will be shared agent and agreement is made agent Agosto Bergdo agreement is made on 10.1.2016. Banana is traceable up to are of harvesting area. For Organic traceability is maintained up to Farm level ,list is maintained for Organic farmer. Filed inspection will done

by the officer before harvest, Mrs Lovely- vested Evely David dated 2016-07-12.
Honey supplier is approved by questioner for Wuhu Deli Foods Ltd dated on 2016-07-16
Sugar supplier is approved by questioner for Azucareera approved dated on 2016-07-16
Packing material supplier for Innovapasa plastic HDPE bags -2016-07-16.
Ongoing assessment is been carried out for TWICE in year , records verified Penolama , 35 % based on the quality, delivery and Services. 15 %, service quality 5%, cost 10%... total score is 73% → satisfactory conclusion

85-100% -Excellent; 70-84.99 – satisfactory, 55-69.99 –good , < 55 - unsatisfactory

3.5.3 Management of suppliers of services

Procedure in place QA –SAEL--028 date 2015-12-10: Pest control, canteen , external lab , wastage disposal, Security, calibration, mainpoewer service are the services are taken by the company . All the external analysis are conducted

The criteria of service selection and approval include Business license at least and other elements such as legal requirement compliant and BRC standard

3.5.4 Management of outsourced processing and packing

No outsourced processing and packing

3.6 Specifications

Specifications demonstrate adequacy and accurately in order to ensure compliance with relevant safety and legal. Specifications of materials were agreed with supplier in formal agreements. Formally agreed specification were established, and reviewed up to date to supplier such green banana (organic & non-organic) , sugar (organic and non organic types), coconut oil (organic and non-organic types), banana flavour and PE bag & carton boxes. Finished products were agreed with customer by signed agreement. Customer specification for Kingwish verified – Chemical and Micro parameter is given Like TPC < 5000 cfu/g – E. Coil / Salmonella : Negative, coliform < 10 cfu/g, Yeast / Mold < 100 cfu /g– Aflatoxin, moisture < 4.5%, FFA< 0.14, oil < 35%; PAH, Cd, Hg, Pb, Benzo apyrene < 2ppp including nutrition fact . Documented in QA-PS-009. Specification is reviewed once in year date 2016-10-10. Raw material Sugar and Coconut verified QA-TS-002 and QA-TS-010 date 2016-10-10.

3.7 Corrective and preventive actions

Procedure is documented in QA-SP-005 for the process deviation action places are detailed. Last BRC Non – conformity corrective action is taken found compliance in the audit.

3.8 Control of non-conforming product

Non-conformity products of any potential handling procedure was established and implemented as defined in QA-SP-004. Specific areas were provided for them. Re-inspection was done before release by authorized person. In case of nonconformity raw materials/ingredients/packaging and finished products were not used. Hold product notice records maintained –whole chips -10 kgs Lumps – disposed records were maintained

3.9 Traceability

Traceability was tested twice a year as defined in procedure. An exercise was conducted within target time. The company has established traceability system for all stages of materials usage, processing and the distribution of the finished product

Backward traceability –conducted on 2016-10-10 – production date 12016-10-01 – whole sweeten banana chips – Lot number 6275, client Tootsi Impex INC –Total quantity– actual bag produced 1.125 boxes x 6.25 = 7.143, 75 kg, green banana 28.690 kg – Total wastage 35 kgs – Material found traceable. E.gcoconut oil supplier is new DAVAO oil mill, used with lot 3-090916-9
Forward – conducted 2016-04-15- Lot code 6081, production date 2016-03-21, total green banana recevied 37.850 kg on two days of 2016-03-19, 21, supplier Rogelio Edo, Juvie Teves, client Cored international Corp., finished food quatity 1625 boxes x 13 lbs to Busan – South Korea, total fried banana whole 8715kg, rejection 82kg , convertion ratio 23.03% . The traceability duration is 3.5 hours

During the audit –Banana chips with honey dipped has conducted – 6.8 kgs in 239 boxes, customer Delinut , contract no. IRC 160234 to Netherland, – Production code is 6278 date of shipment is 2016-10-11 - Date of production 2016-10-04 Total production 108850 kgs – Total Banana respects is received is 49.285 kgs on 2016-10-03,04 – supplier of green banana FE, Limisnino, ROSE, GANAO, ARTARO< JENOY all they included in the approved supplier list, sugar lot no. 220616, flavor DUOO 70800
Total of traceability time is 3 hours

Verification of the supplier's traceability system such as primary packaging material, banana agencies, coconute oil, flovour are planned to perform at first approval and then at least every years. E. G checked audit result of Rogelio Edo supplier , yearly assessment result of its traceability system had been checked and record accordingly

3.10 Complaint handling

Complaint Handling procedure was established as QA-PD-083, Rev.01, and 15 Sep.2012. Complaints were received via marketing and passed to concerned department for root cause analysis that was defined in
Customer complaint investigates record. Complaint data was defined trend analysis and used for improvement to avoid recurrence which defined in management review. There was no complaint that related to food safety issue for last one year. - Customer feedback/ Survey is collected – All GOLD Import INC. company 100 % has been rated.

3.11 Management of incidents, product withdrawal and product recall

Incident management procedure was in place as detailed on procedure HR-EPP-004, Rev.3, 27 Aug. 2013. Potential emergency situations and handling was identified such as flooding, fire, transportation accident etc. Their customers, suppliers, emergency and authorities contact name and number were listed and updated.
No real recall in the last time.
Mock recall is conducted once in year. Conducted on 2016-07-04 batch number 6519, container number – YMLU 356708-0 , seal No. YMLU 086868Care Natucost GMBH. Co – organic whole Banana chips – 1600 cartons * 6.80 Lbs , customer communication with regards to the mock recall is available. E.coli contamination is scenario – all the process and production found in the control demonstrated by the records.

3.12 Customer focus and communication

Customer requirements QT-LD-01 date 2016-06-20 defined on the annex of contract. Sale department appointed to receive customer requirement, attach on the annex of contract and communicate to the relevant department and suppliers to produce product in compliance with customer requirement.

Customer requirement is focused, has policy communicated undergo the safety audit in this year, This was schedule in the month of December -2016. Suppliers are communicated with specification confirmation and the signed contract

Details of non-applicable clauses with justification

Clause reference	Justification
3.5.4.1	No outsourced processing and packing
3.5.4.2	No outsourced processing and packing
3.5.4.3	No outsourced processing and packing
3.5.4.4	No outsourced processing and packing
3.9.4	No rework used or reworking operations carried out

4. Site standards

4.1 External standards

Size, location, construction and design to facilitate maintenance, prevent contamination. Local neighbouring activities are community. There was no any potential contamination risk for the local activities and environment around the factory. In addition, regular reviewing done by audit team. The external area and overall grounds within site was managed and maintained. Plants and grass are regularly tended. Condition of site was verified by GMP audit team. Adequate drainage was observed. External traffic routes are concrete and they were controlled and maintained in suitably surface to avoid contamination of the product. Site boundaries were clearly defined and maintained condition in order to prevent pest ingress.

4.2 Security

The company has established site security and control access program (HR-FSP-005, Rev.02, 18 Jan 2013). Sensitive areas were defined in layout and document procedure. Access to site of contractors, supplier and visitor has implemented by registered at security guard at factory gate. Visitor card will be declared and this card must be returned when exit. Identify card must be tag at all times in factory.

Site security training was provided for staff. Records of training were maintained date 18.08.2016

Security control program was reviewed as annually as standard required. Agreement is made with Axzeen Security. Latest review was conducted on 5 June 2015.

4.3 Layout, product flow and segregation

Zoning area in processing line has been provided with different hygiene level and physical barrier was used for segregation in each zone. There are 3 zoning in the processing line as following: enclosed product zone (warehouse and storage area), low risk of opened product zone (preparation and packing areas). All areas were prepared and constructed to minimise the risk of the contamination. Non product area – Admin and canteen and other. – detailed in QA-PVA-00 Clearly segregate zone was established. Verified on process flow diagram and lay out, segregation takes into account the flow of product, waste, raw materials, equipment, personnel and utilities. Finished products were segregated from raw material and other processing areas. In addition personal hygiene was used for control such as 70% alcohol used as sanitizer after hand washing.

4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

Verified on site, the fabrication, buildings and facilities such as door, wall and floor were suitable for the intended purpose. Appropriately designed and maintained in good condition to prevent contamination. Verified on site, floors were designed to meet demands of the process. Floor was kept clean and in good condition. Drainage were designed and maintained to minimise risk of product contamination. No stagnant water was observed. Verified on site, ceiling were designed and maintained to prevent any contamination such as raw material receiving area, preparation area, packing area. Doors were in good condition and close fitting to prevent pest ingress. Sufficient lighting was observed during assessment in all working environment, receiving area, preparation area, operation process area, packing area and storage area with clean condition. Ventilation system was adequate provided to prevent condensation in production and storage area. No High risk and high care area, identified and Environmental air micro count is tested once in three month records verified dated 28.10.2015.
Minor NC/ 4.4.2/ Floor at oil tank handling area was seen with water standing, oil accumulation, and also constructed of material that was not impervious, hardwearing, repairable.

4.5 Utilities – water, ice, air and other gases

Utility services were adequate, designed and maintained to control risk of contamination such as water. Source of water is from surface water. Potable water was treated by carbon filter and resin. The potable water was treated before sending to the processing line. Water distribution plan was in place. The processed water that directly contact to products were analysed as plan covering all concerned safety parameters according with local regulations. Daily monitoring was done for Cl_2 residue. No steam and ice used. Internally micro is tested monthly for TPC, Coli form , E. Coil salmonella report has seen – 11.4.2015
Externally water is tested on 10.3.2015 for chemical and micro parameter report number – CL1503-0625.

Water distribution diagram is available.
Minor NC /4.5.1/ The water testing report COA 16-11932 date 23 May 2016 indicated Lead content < 0.02 mg/l was higher than 0.01 mg/l per in specification

4.6 Equipment

Equipment was suitably designed for the intended purpose. Machines made from stainless steel. Certificate indicated food safety compliance with USFDA 21CFR for white plastic conveyor was observed. All the other equipment are with SS inkling the pipe line, No MS Material is used the process . Engineering workshops was located on outside production area to prevent contamination risks to the product.

4.7 Maintenance

In house maintenance team is established - 1 maintenance in charge operator, 6 technician/maintenance. Preventive maintenance is done by in-house team. No major breakdowns in last 12 months. Documented procedure is available EM-DP-102. Interval of preventive maintenance was determined according to type of machine. Maintenance items were determined and provided as maintenance check sheet. Chips cutting machine once in three month, Daily blade condition will be tested – records verified 2.Sep.2015.Break down maintenance records maintained 6.10.2015 slicer machine griper belt – machine -4- 8 am to 4.pm verification is done by QA before realise the line. Food grade contact such as Omega 58 as H1 code 1324379. Allergen declaration is available Engineer workshops was located outside production and storage areas.

4.8 Staff facilities

Overview description of facilities provided. Detail any risk assessment & confirm this is effectively validated – eg. What the risks are & how effectively they are controlled.
If the site is high care or high risk it is expected that some comments will be made to confirm that they are adequately complying with clauses 4.8.4 and 4.8.5.
For all sites the basics must be confirmed – adequate changing/locker facilities; hand washing; toilets; smoking; canteen facilities/staff food.
State whether smoking allowed legally on site and therefore where designated areas are. If not allowed state this.
Confirm whether staffs are allowed to bring food onto site and the storage provided.
Overview of canteen facilities provided and their control.

4.9 Chemical and physical product contamination control

Raw material handling, preparation, processing, packing and storage areas

Chemical control procedure was in place. Chemicals were approved before use and were kept separately from ingredient and in lockable area. Approved chemicals were listed Trained staffs were responsible for preparing. MSDSs were available such as liquid soap, alcohol. Knife rejecter is maintained at the peeling area. After peeling all of the equipment are SS. final products are passed in metals detection. No stapler pin used in the processing area.

4.9.1 Chemical control
Chemical control procedure was in place. Chemicals were approved before use and were kept separately from ingredient and in lockable area. Approved chemicals were listed Trained staffs were responsible for preparing. Separate chemical storage area is allocated under control of store. **Minor NC/4.9.1.1/ The food grade certificates and analysis certificates of defined contaminant of terminal sanitisers as Alcohol and sanichlor are not in place**
4.9.2 Metal control
Knife rejecter is maintained at the peeling area. After peeling all of the equipment are SS. final products are passed in metals detection. No stapler pin used in the processing area.
4.9.3 Glass, brittle plastic, ceramics and similar materials
Glass and brittle material control procedure was established in QA-SP-003, Rev.1, 15 Sep.2012 All glass equipment and lighting were register and monitoring as monthly basis. In case of breakage, the action to be taken will be implemented as quarantining the products and production area that were potentially affected, cleaning the production area, inspecting the production area and authorising to continue production, changing of workwear and inspection of footwear and approved by QC before start up operation.
4.9.4 Products packed into glass or other brittle containers
Product is not packed in glass jar and brittle container
4.9.5 Wood
Wood policy is documented in QA –SP-003 – no wood is allowed , inside the processing , processing – Raw banana are stored
4.10 Foreign-body detection and removal equipment
4.10.1 Foreign-body detection and removal equipment
Metal detector was used for foreign body detection as determined to CCP based on risk assessment. Products were passed thru metal detector before packing. Sensitivity has been monitored and recorded that aligned with verification report which conducted by subcontractor. However 100% visual inspection has been performed all stages. 3 types of test pieces as ferrous metal, stainless steel and typically non-ferrous metal were used to check detection performance of metal detector. Knife control at the raw banana slicing area is maintained.
4.10.2 Filters and sieves
In the sugar solution is filtered permeability is 15-23 cc/m2/sec cleaned manually after every batch verified during the site tour
4.10.3 Metal detectors and X-ray equipment
Metal detector was used for foreign body detection as determined to CCP based on risk assessment. Products were passed thru metal detector before packing. Sensitivity has been monitored and recorded that aligned with verification report which conducted by subcontractor. However 100% visual inspection

has been performed all stages. 3 types of test pieces as 0.5 ferrous metal, Non – Fe-1.5 ,1.0 stainless steel and typically non-ferrous metal were used to check detection performance of metal detector. Knife control at the raw banana slicing area is maintained.

4.10.4 Magnets

N/A: No used magnet.

4.10.5 Optical sorting equipment

N/A: No used optical sorting.

4.10.6 Container cleanliness – glass jars, cans and other rigid containers

Products Glass Jar and Cans and rigid

4.11 Housekeeping and hygiene

Documented cleaning procedure QA –SP-003 &(QA-CP-16) was established and effectively implemented. Ddocumented cleaning schedule was in place and maintained for the building, and all equipment. The method of cleaning, defined responsible person, equipment to be cleaned, frequency, chemical concentration and type, cleaning materials were defined in cleaning procedure. For the process cleaning only Chlorine is used 200 ppm for sugar tanks after every production. Only hot water 85 oC has been used for circulation. Records verified dated 4.sep-2015 Temperature of water was monitored and records. Flow of circulation was defined as well. Visual inspection was done as daily before start up operation. Swabbing program was implemented as monthly basis. Records verified dated 6.sep 2015 TPC , Y&M, E.coil , Salmonella.

4.11.7 Cleaning in place (CIP)

NA: No CIP in place.

4.12 Waste / waste disposal

Waste disposal system is in place. Documented procedure was established and implemented as defined in waste control procedure. Wastes were daily removed from production area and collected at designed area where far away from production and warehouse building. The waste disposition was performed by licensed service provider. Agreement is made with Dadianggas MYK enterprises dated 20.1.2015 weatge chips are going to feed miller. Waste removal once in month records available. Green banana wastage collected on the daily basis. Unsafe food products and substandard trade mark destruction were recorded.

4.13 Management of surplus food and products for animal feed

Company is not producing surplus food and company is not supplying to Surplus food to animal feed. Hence other two requirements are not applicable.

4.14 Pest Control

Pest control program was established and implemented for all areas as defined in documented procedure QP-PCP-022,. The pest control program was performed by subcontractors (CRB Pest Control Services) as agreed on contract Valid till 1-Sep-2016. Activities of pest control were defined in contract as chemical spraying and fumigation for insects. Training records verified for the personal conducting the pest services Mr. Ramil. In depth pest control survey has been conducted on 30.sep2015. No rodent has been found in once year. Weekly is the schedule for the entire pest identified – records for the chemical spry has been verified 20.11.2015. Fendona brand name is used 100ml/5 litters. Pest observed in the Plant will be informed to QA / at security and intern will be informed to pest agency. Trend analysis report is available for the flying pest and rodent. Records verified from the month oct-2015. During the audit one ant saw near the sugar storage however no threat was observed.
Minor NC /4.14.6/ One light of fly-killing device located at entrance of production area was seen not operational

4.15 Storage facilities

Raw materials, packaging and finished products were stored in separated area to prevent contamination and lockable at all times. Inventory has been controlled based on FIFO and FEFO system. All raw materials and finished were kept in ambient temperature that complied with their specifications. Tag identification with details of MFG date, Expiry date and individual lot was applied to support traceability. There was no storage outside required.

4.16 Dispatch and transport

Dispatch and transport procedure was established and implemented. Products were loaded after released from QA. Maintenance systems and documented cleaning procedures was maintained for all vehicles and equipment used for loading/unloading. Clear instructions in the case of vehicle breakdown, and accident was defined in transport procedure. Contarct with Martina T. Fernandez Trucking dated 15.1.2015.
Transportation was performed by contractor that responsible for container and forwarder service. The contract agreement was implemented and maintained covering Global Standard for Food Safety Requirements. Tags were used for identifying the status of finished goods to ensure traceability system. Delivery document, inventory were facilitated for traceability. Delivery records were specified finished product lot, quantities, truck number. The finished products were loaded at ambient temperature. Cleanliness and container condition were verified and recorded APZU 341451-2 19.Oct.2015.

Details of non-applicable clauses with justification

Clause reference	Justification
4.3.6	No high-care areas defined
4.3.7	No ambient high-care areas defined

4.3.9	No temporary structures constructed
4.5.3	No legislation that specifically permits the use of water which may not be potable for initial cleaning.
4.8.5	No high-care areas defined
4.9.4.1	No products packed into glass or other brittle containers
4.9.4.2	No products packed into glass or other brittle containers
4.9.4.3	No products packed into glass or other brittle containers
4.10.4.1	No magnets in place
4.10.6.1	No products packed into glass jars, cans or other rigid containers
4.10.6.2	No products packed into glass jars, cans or other rigid containers
4.11.7.1	No CIP
4.11.7.2	No CIP
4.11.7.3	No CIP
4.15.4	No controlled atmosphere is required
4.13.1	No customer –branded products
4.15.4	No controlled atmosphere is required

5. Product control

5.1 Product design/development

Product Design and Development Control procedure as Q-SP-007 was in place. The details was required by standard were defined. Hazard analysis study will be conducted during the product development phase including the legislation consideration and records were maintained. Actual design and development are

not happening, its recipe change as per the customer requirement. However there was no new product/ development in year 2013 until now.
Product shelf life study was done and ongoing shelf life study was implemented as plan by QC. Sensory, chemical and microbiological were considered. Every lot of products were sampled for retain.
Shelf life of the product is validated in-house and ongoing shelf life study is conducted. Record seen for product “Banana chips with sugar - production dated 13.2.2015 and last test report dated 16.11.2015 months self life. Microbiological, physical and sensory parameters were verified during shelf life validation. Shelf life testing is conducted on monthly frequency.
Labels are getting approved as per the customer requirement, No retail scale the labels getting approved By the customer and verified by Qa internally.

5.2 Product labelling

Procedure is documented .Buyer will approve the artwork and label on the box. Products have been packed in clear plastic bag which packed into carton that identified product lot (MFG date) and expiry date. Ingredients were communicated to customers by agreed specification. There was no retailed packing applied. No nutrition claim and nutrition fact was tested. GK customer communication on the label on corrugated box approval has been verified

5.3 Management of allergens

The handling of specific materials were identified as the following to allergen product procedure (QA-DP-077) including risk assessment that concerning the product contamination, production planning control, personnel hygiene policy to ensure that product safety. However there was no allergen material in this factory. Staffs were trained in terms of allergen handling and movement. Documented check was in place at line start-up that following product changeover and line clearance procedure of packaging. In the canteen allergen list is displayed. Canteen separated for the processing area.

5.4 Product authenticity, claims and chain of custody

This factory has been certified Kosher and HALAL. Certificates of raw materials for OK Kosher and HALAL were in place. Risk assessment fraud has been conducted – Visual inspection from colour and size apreance CARDAVA verity is tested at the time of receipt detailed in Annexure -8. Organic products have been produced with organic materials. Certifications of confirmations for all materials were in place and verified such as fresh banana, sugar, coconut oil. Mass balances were demonstrated and done every batch of production. Records were kept as batch by batch for traceability.

5.5 Product packaging

Product packaging was inspected before receiving. Testing reports or/and guarantee documents for food grade were available for PE bag which directly contract with products.
A part-used packaging materials suitable for use was protected by bags from contamination and clearly Identified before being returned to storage. Obsolete packaging were stored in a separate area and identified to waiting for clearance.
Micro swab is tested on the sample base – 20.3.2015
Heavy metals test report - 18.3.2015 – Migration report tested by the supplier tested on 23.2.2013.

5.6 Product inspection and laboratory testing

5.6.1 Product inspection and testing

The company has an in house lab as well as subcontracts product and water testing to outside labs.
External laboratory analysis plan is prepared Confirmation of shelf life testing also needed. Aflatoxins, Heavy metal, parameters, pesticide, PAH peroxide value residues as per regulatory requirements) once in year. Internally FFA and Moisture is tested. External test report verified for peroxide Value – MNL F15050090-1 –dated 4.May-2015 – Not detected. External report Aflatoxins verified B1 B2 and G1, G2 - 21.4.2015, External report – PAH <0.02 tested 19.5.2015. Heavy metals tested – report number – AL-15-1611 dated 27.4.2015.Raw material coconut Oil is tested- heavy metals and PAH - reference number – CQ1507-4434. Internally all the batches are tested for Micro parameter before shipment.

Product shelf life study was done and ongoing shelf life study was implemented as plan by QC. Sensory, chemical and microbiological were considered. Every lot of products were sampled for retain.
Shelf life of the product is validated in-house and ongoing shelf life study is conducted.

test results of raw materia, semi-final and finish product, swab by intenral and external lab is summarised and statistic by using the graphs or chart to identify the trend. The last one of trend analysis was done on 14.11.2016 shown good result.

5.6.2 Laboratory testing

On site only chemical testing will be tested, No micro facility in this site , However all the testes internal are testing from the Sister concerned Lab .
Subcontractors are all certified to ISO 17025. (Micro-chem Lab & SGS Lab).
Documented testing procedures, developed based on the approved methods.
Trained science graduate have been recruited to conduct product testing.
Laboratory equipments are found operational and calibrated. Proficiency test is done, 1 in year chemist's bench marking is done with master sample. Report verified dated 24.2.2015 chemical parameters like – PHA , FFA ,Moisture –last tested on 20.10.2015

5.7 Product release

Documented procedures are available. QA in-charge is responsible for release.
Product is release after confirming physical, sensory and chemical and micro properties as per sampling and testing protocol.

Details of non-applicable clauses with justification

Clause reference	Justification
5.2.3	No specific claim or nutritional claim
5.2.4	No customers or nominated third party responsible for label information

5.3.5	No rework used or reworking operations carried out
5.3.6	Only cashew present in the facility. No risk of cross-contamination from an other allergens
5.3.7	No specific claims on regarding the suitability of a food for allergy
5.4.3	No particular risk of adulteration of raw material
5.4.4	No claims made on finished products which are dependent on a status of the raw material
5.4.5	No claims made about the methods of production
5.4.6	No claims made

6. Process control

6.1 Control of operations

Process monitoring checks conducted as per defined process monitoring plan and HACCCP plan
At the raw material receiving Banana – maturity and traceability was checked, sensory parameter,cut size – first frying – sugar solution Brix once in-hour FFA is tested for the oil two time in day for all the panels of fryer – frying is connected to temp probe - once in two hour – time and temp is checked Failure alert system for temp drop and rise. Corrective action records were maintained in case of any process deviations. Instruction, specification for recipe and product, SOP, photographic display was available for all critical process. Documented line checking during starting and product change is done and recorded.

6.2 Labelling and pack control

Procedure is documented in QA-DP_134 dated 25.4.2015. The Job order will be signed By Plant assistance manager to shop floor by cheek list. Only once run each till the complete order complete. Records verified dated 19.10.2015 – On the corrugated boxes – Name declared weight – product type and cut size – boxes type – Recipe- coding – will be verified – BY – production supervisor, Quality control – packing section head and warehouse personal are authorizing before production and every change.

Hygiene, cleaning... check before change over commencing production. The label / PE bag for type of product produced is checked its compliant before production start up. The checking record is in place

Minor NC /6.2.3 / The correctly labelling check procedures is in place but not specific record maintained & include checks printing carried out at the packing stage such as date coding, batch coding, quantity indication, pricing information

6.3 Quantity, weight, volume and number control

Quantity control system for weighting process was in place as defined in procedure. Every bags of product was monitored their weigh and verified by QC. Product is packed in corrugated boxes each and every bag were weighted, QC will verify the once in two hour. Records verified 19.10.0215 – PR-NWC-F-004

6.4 Calibration and control of measuring and monitoring devices

Calibration and verification of measuring equipment were carried out regarding procedure EM-DP-099, Rev.01, 15 Sep.2012 covering identified equipment and calibration plan. List of equipment maintained in EM-CPM-003
Moisture meter equipment code –QC-MA01- calibrated on 16.3.2015-Serial number –WL100484 certificate number – 0115C-0028-04- master is used to calibrate – model number 725 SN1763102- calibrated on 27.10216 found traceable.
Internal calibration is done for fryer temp probe monthly from the master – 27.10.2015 – Hold –TTM 004 – No error was recorded. All the weighing scale are calibrated externally once in year records were found available.

Details of non-applicable clauses with justification

Clause reference	Justification
6.2.4	No on-line vision equipment used to check product labels and printing
6.3.2	No bulk quantities packed

7. Personnel

7.1 Training: raw material handling, preparation, processing, packing and storage areas

Company has appointed adequately trained, experienced and competent staffs and deputed at key positions whose activity effects product safety, legality and quality. Training needs were identified and training program organised regular interval. Training procedure is documented in HR-DP-092. Training plan for the year is prepared 2015. System of induction training and on job training during probation period is in place. Annual refresher training schedule is prepared based on training need identification and evaluation of training is done on regular basis. Training effectiveness is collected. Induction training is given new employee at the time of joining – records verified for Mrs. Zemorad – GMP and HACCP 14.7.2015.
Allergen training has been conducted on 13.3.2015. During the audit –interviewed Mrs Maryjoydampios found aware on the policy . CCP – conducted on 11.11.2015 – Security / food defence training conducted

on 13.6.2015 records verified for Mr.Aguio. Training evaluation is conducted once month after the training – asking Oral question and implementation in the process will be verified by Supervisor 27.10.2015 – on the pest control awareness.

7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas

Personnel hygiene practice was found satisfactory during audit site visit. Personal hygiene requirements are documented in QA-DP-044. Personnel hygiene checking is done shift wise and recorded QA-HCK-F002 by line executive records -2.11.2015. Training is provided. Instructions and photographic guidelines are displayed at entry points.
No jewellery is permitted to be worn inside except plain wedding ring, proper compliance was seen.
Personnel with cuts or wounds are not allowed in open food area.

Drugs only provided by the company nurse and should be using it at clinic room, not allow taking any drug out or keeping in locker room.

7.3 Medical screening

Procedure is documented in HOS-COM-PRG-003.. All employees undergo medical screening before joining work and later at regular intervals (Once/Year). Declaration is sought from all Visitors regarding their health; they are briefed to notify in case of any infectious diseases. Records of medical examination are verified for Mr Rodeliz Fernanandez dated 7.4.2015.

Company personnel are briefed to notify in case of any infectious diseases, while those absent are to produce a medical certificate and/or undergo medical screening.
Use of medicine is controlled and monitored.

Medical questionnaire is been taken at the security to enter in the production area.

7.4 Protective clothing: employees or visitors to production areas

Company provides protective clothing for staff, contractors and visitors before entering process area.

Personal hygiene rule was communicated to employees, contractors and visitors regarding protective cloth wearing, changing and removal especially before enter into toilets, canteen. Smoking and eating with wearing protective cloth was prohibited.

Protective clothing was designed to prevent cross contamination. Cleaned and unclean protective clothing were segregated in changing area.

Protective clothing was laundered by internal QA-DP-047. Laundry procedure was implemented. Effectiveness of cleaning was monitored as daily by visual inspection. Swab test was periodically checked to ensure the effectiveness of cleaning on monthly basis records verified 11.11.2015.

Hair nets were used to prevent hair contamination. They did not allow staff to have beards and moustache. Footwear's were allowed to wear only in factory environment. Gloves were controlled and inspected regarding procedure.

Details of non-applicable clauses with justification

Clause reference	Justification
7.2.3	Cuts and grazes are not permitted in production area and warehouse. These cases shall be removed from production area and warehouse so plaster is not used
7.4.4	No high risk and high care areas

Module 8 - Traded Goods	
Scope	
8.1 Approval and performance monitoring of manufacturers/packers of traded food products	
None applicable	
8.2 Specifications	
None applicable	
8.3 Product inspection and laboratory testing	
None applicable	
8.4 Product legality	
None applicable	
8.5 Traceability	
None applicable	

Module 9: Management of Food Materials for Animal Feed	
Scope	
9.1 Management Commitment	
None applicable	
9.2 HACCP	
None applicable	
9.3 Outsourced Production	
None applicable	
9.4 Specifications	
None applicable	
9.5 Traceability	
None applicable	
9.6 Chemical and Physical Product Contamination Control	
None applicable	
9.7 Labelling	
None applicable	
9.8 Training	
None applicable	

Module 11: Meat supply chain assurance	
Scope	
11.1 Traceability	
None applicable	
11.2 Approval of meat supply chain	
None applicable	
11.3 Raw material receipt and inspection	
None applicable	
11.4 Management of cross-contamination between species	
None applicable	
11.5 Product testing	
None applicable	
11.6 Training	
None applicable	