



FACTA

Animal Welfare Assurance, Certification & Training

Appendix A

FACTA, LLC Food Safety Audit Version 2.0



FACTA, LLC Food Safety Audit Handbook and Tool

Auditor:

Company:

Site Name:

Address:

Date(s):

Accompanied by:



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Appendix A (cont.)

Company Policy Section #1

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|---|--------------------------------|-----------|
| 1.1 | The Company shall provide documentation of a statement of commitment to a food safety supply. It must also show the methods used to comply with its customers and regulatory requirements, and continually improve its food safety management system; and the Company's commitment to establish and review food safety objectives. | | 15 |
| 1.2 | The food safety and company policy shall be: signed by senior management; made available in a language understood by all staff; displayed in a prominent position; and effectively communicated to all staff. | | 10 |
| 1.3 | The food safety company reporting structure describing those who have responsibility for food safety shall be defined and communicated within the Company. | | 10 |
| 1.4 | Senior management shall designate a food safety manager for each site with responsibility and authority to oversee the development, implementation, review and maintenance of the food safety system. Also, to take appropriate action to ensure the integrity of the food safety program and communicate to relevant personnel all information essential to ensure the effective implementation and maintenance. | | 10 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|---|--------------------------------|------------|
| 1.5 | A food safety manual shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the Company will use to meet the requirements of this standard, be made available to staff and include a summary of the Company's food safety policies and the methods it will apply to meet the requirements of this standard, policy statement and organizational chart. | | 35 |
| 1.6 | Senior management shall be responsible for reviewing the food safety system and documenting the review procedure. Reviews shall include: the policy manual, internal and external audit findings, corrective actions and their investigations and resolution, customer complaints and their resolution and investigation. | | 25 |
| 1.7 | The food safety manager shall be responsible for validating changes to food safety fundamentals and food safety plans that have an impact on the supplier's ability to deliver safe food. | | 20 |
| 1.8 | The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented. | | 10 |
| 1.9 | Signature of employee responsible for food safety in the plant. | | 5 |
| | Company Policy | Section #1 Score: | 140 |



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HACCP Plan Implementation Section #2

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|---|--------------------------------|-----------|
| 2.1 | <p>The HACCP plan shall be developed and managed by a food safety team that includes those responsible for quality/technical, production operations, maintenance and other relevant functions.</p> | | 5 |
| 2.2 | <p>The Company shall establish and maintain environmental and operational programs to continuously provide a safe work space and food safe products for consumption.</p> <ul style="list-style-type: none"> • cleaning and sanitizing • pest control • maintenance programs for equipment and buildings • personal hygiene requirements • staff training • purchasing • transportation arrangements • processes to prevent cross-contamination • allergen controls | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|--|--------------------------------|-----------|
| 2.3 | <p>The scope of each HACCP plan, including the products and processes covered, shall be defined.</p> <ul style="list-style-type: none"> • raw materials, ingredients, allergens, recipe • origin of ingredients • physical or chemical properties that impact food safety, pH, animal welfare • treatment and processing, cooking, cooling • packaging system, e.g. modified atmosphere, vacuum • storage and distribution conditions, e.g. chilled, ambient • instructions for use, and potential for known customer misuse, e.g. storage, preparation | | 10 |
| 2.4 | <p>Entry points of feed at the feed mill will be observed by the FACTA, LLC (“FACTA”) auditor as safe from foreign material relating to food safety.</p> | | 10 |
| 2.5 | <p>If the Company uses pellet mills, then they will be observed for temperature. Temperature target should be close to 165° F to prevent salmonella.</p> | | 5 |
| 2.6 | <p>The FACTA auditor will observe, at a minimum, three farms related to the Company for mold or food related issues with feed in animal housing.</p> | | 20 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|---|--------------------------------|-----------|
| 2.7 | Sanitary and safety conditions will be observed at every location involving live animals or feed manufacturing. | | 20 |
| 2.8 | The CCP's of the HACCP plan will be reviewed and observed during the audit and any recommendations will be thoroughly documented. | | 10 |
| | HACCP Plan Implementation | Section #2 Score: | 85 |



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Product Handling and Quality Section #3

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|--|--------------------------------|-----------|
| 3.1 | Shelf life trials, where necessary, shall be conducted to establish and validate a product's handling and storage requirements, including the establishment of "use by" or "best before" dates, microbiological criteria, consumer preparation, storage and handling requirements. | | 5 |
| 3.2 | A food safety plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process or packaging occurs that may impact food safety. | | 10 |
| 3.3 | Specifications for all raw and packaging materials, including, ingredients, additives, hazardous chemicals and processing aids that have an impact on finished product safety shall be documented and kept current. | | 12 |
| 3.4 | All raw and packaging materials and ingredients shall comply with the relevant legislation. | | 5 |
| 3.5 | The methods and responsibility for developing and approving detailed raw material, ingredient and packaging specifications shall be documented. | | 8 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|--|--------------------------------|-----------|
| 3.6 | Specifications for contract services that have an impact on finished product safety shall be documented, current, include a full description of the service to be provided and detail relevant to training requirements of contract personnel. | . | 10 |
| 3.7 | Local or nation laws may require the facility to maintain specific licenses for its facility. The appropriate licenses must be obtained, if required, and be accessible for review, if necessary. | | 5 |
| 3.8 | The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented. | | 5 |
| 3.9 | The approved supplier program shall be based on the prior performance of a supplier and the risk level of the raw materials ingredients, packaging materials and services supplied, and shall contain as a minimum agreed specifications, reference to the rating of the level of risk applied to a raw material's ingredients, packaging materials and services and the approved supplier, a summary of the food safety controls implemented by the approved supplier, methods for granting approved supplier status, methods and frequency of monitoring approved suppliers, details of the certificates of conformance, if required, methods and frequency of reviewing approved supplier performance and status. | | 10 |



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Appendix A (cont.)

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|------|--|--------------------------------|-----------|
| 3.10 | <p>The responsibility and methods outlining how nonconforming product, raw material, ingredient, work in progress, packaging or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure: nonconforming product is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and nonconforming equipment is effectively repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; all relevant staff is aware of the Company's quarantine and release requirements applicable to equipment or product placed under quarantine status. For producers, the procedure must document the grower, field name, quantity and final disposition of the unacceptable materials when applicable.</p> | | 10 |
| 3.11 | <p>The responsibility and methods outlining how the product is reworked shall be documented and implemented. The methods applied shall ensure: reworking operations are supervised by qualified personnel; reworked product is clearly identified and traceable; and each batch of reworked product is inspected or analyzed, as required before release.</p> | | 5 |



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Appendix A (cont.)

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|------|---|--------------------------------|-----------|
| 3.12 | The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released by authorized personnel once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met. | | 10 |
| 3.13 | The responsibility and methods outlining how corrections and corrective actions are investigated, resolved, managed and controlled, including the identification of the root cause and resolution of noncompliance of critical food safety limits and deviations from food safety requirements, shall be documented and implemented. | | 3 |
| 3.14 | The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress shall be documented and implemented. | | 5 |
| 3.15 | The responsibility and methods used to trace product shall be documented and implemented to ensure finished product is traceable to the customer. | | 4 |
| 3.16 | The responsibility and methods used to withdraw or recall product shall be documented and implemented. | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|------|---|--------------------------------|------------|
| 3.17 | Investigation shall be undertaken to determine the root cause of a withdrawal or recall and details of investigations and any action taken shall be documented. | | 5 |
| 3.18 | The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually. | | 1 |
| 3.19 | A food defense protocol shall be prepared and include the name of the senior management person responsible for food defense and the methods implemented to ensure only authorized personnel have access to production equipment and vehicles, manufacturing and storage areas. | | 5 |
| 3.20 | The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include the hazards associated with allergens and their control incorporated into the food safety plan, include cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact. | | 10 |
| 3.21 | The methods used to prevent foreign matter and glass contamination of product shall be documented and implemented. | | 5 |
| | Product Handling and Quality | Section #3 Score: | 138 |



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Site Standards and Maintenance/Personnel Section #4

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|-----|---|--------------------------------|-----------|
| 4.1 | A training database shall be kept up to date. The register shall indicate the participant name, skills description, description of the training provided, date training completed, the trainer or training provider, and the supervisor's verification the training was completed and that the trainee is competent to complete the required tasks. | | 10 |
| 4.2 | The methods and responsibility for maintenance of equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of products or equipment. | | 3 |
| 4.3 | The methods and responsibility for application, measuring, test and inspection equipment used for feed application, chemical application and veterinary medicines shall be documented and implemented. | | 5 |
| 4.4 | The methods for controlling pest and vermin infestation on the site or in facilities shall be documented and implemented. The property, animal housing facilities, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin. | | 5 |
| 4.5 | Measures shall be in place to exclude domestic and outside animals from feed cultivation and from production animals. | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|------|---|--------------------------------|-----------|
| 4.6 | The methods and responsibility for the cleaning of animal housing, pens, yards, feed contact equipment, animal health equipment and sanitary facilities shall be documented and implemented. | | 5 |
| 4.7 | Personnel engaged in the handling of livestock and feedstuffs shall observe appropriate personal practices. Corrective actions shall be implemented for personnel who violate food safety practices. | | 5 |
| 4.8 | A written policy shall be in place that specifies the procedures for handling livestock feed and feed contact surfaces that have been in contact with blood or other bodily fluids. | | 15 |
| 4.9 | Measures shall be implemented to prevent cross-contamination of livestock or feed products from chemicals, oils and lubricants, and/or personnel. | | 10 |
| 4.10 | A written procedure regarding the handling of livestock shall be implemented and maintained. | | 5 |
| 4.11 | The producer shall conduct an analysis of the hazards to the water supply from source through to application, establish acceptance criteria for the monitoring of water, and validate and verify the integrity of the water used to ensure it is fit for the purpose. | | 2 |



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Appendix A (cont.)

| Q# | Audit Tool | Verification/Guideline Process | Max Score |
|------|---|--------------------------------|-----------|
| 4.12 | The producer shall implement a feed management plan to maintain the safety and integrity of all animal feed, whether purchased, or produced on site. Animal feed shall meet regulatory requirements and be managed to minimize the potential for microbiological or chemical contamination. | | 2 |
| 4.13 | The responsibility and methods for the effective and efficient disposal of all solid waste, including inedible material and disused packaging, and liquid and unsanitary waste, shall be documented and implemented. | | 1 |
| 4.14 | Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned. | | 3 |
| 4.15 | Floors shall be sloped to floor drains and engineered suitable to allow the effective removal of all overflow or waste water under normal working conditions. | | 10 |
| 4.16 | Trash bins systems shall be located away from any food handling area or entrance to the premises. | | 5 |
| 4.17 | Walls, ceilings and doors shall be in good construction. Internal surfaces shall be smooth and impervious with a light colored finish, and be kept clean. | | 10 |
| 4.18 | Products shall be handled and stored in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products. | | 4 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.19 | Lighting must be at an appropriate density during work hours at all stations. | | 5 |
| 4.20 | All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies. | | 5 |
| 4.21 | Product and product contact equipment shall be protected to avoid contamination from condensation. | | 15 |
| 4.22 | Waste and overflow water from tubs, tanks and other equipment shall be discharged directly to the floor drainage system. | | 5 |
| 4.23 | PPE clothing shall be manufactured from material that is not liable to contaminate food and easily cleaned. | | 5 |
| 4.24 | Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing or packing areas. | | 2 |
| 4.25 | The method and responsibility for cleaning of the product handling equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. | | 20 |
| 4.26 | Personnel suffering from infectious diseases or who are carriers of any infectious disease shall not engage in product handling or processing operation. Minor cuts or abrasions on exposed parts of the body shall be covered. | | 10 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.27 | Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas. | | 30 |
| 4.28 | Hand wash stations shall have potable water, liquid soap contained within a fixed dispenser, paper towels in a hands-free cleanable dispenser and a means of containing used paper towels. | | 3 |
| 4.29 | A sign advising people to wash their hands, and in appropriate languages, shall be provided in a prominent position. | | 2 |
| 4.30 | Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors on entering food handling or processing areas and every time they reenter the area. | | 5 |
| 4.31 | Clothing worn by staff engaged in handling products shall be maintained, stored, laundered and worn so as not to present a contamination risk to the products. | | 4 |
| 4.32 | Clothing shall be clean at the start of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk. | | 2 |
| 4.33 | Jewelry and other loose objects shall not be worn or taken into a product handling or processing operation, or any area where food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted; however, the supplier will need to consider its customer requirements and applicable food legislation. | | 15 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.34 | All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area. | | 2 |
| 4.35 | Toilet rooms shall be designed and constructed, so they are accessible to staff and separate from any processing and food handling operations, be accessed from the processing area. | | 3 |
| 4.36 | Hand wash stations shall be provided outside or inside the toilet room. | | 5 |
| 4.37 | First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care. | | 5 |
| 4.38 | Employees responsible for the care and management of animals predeath shall be trained and competent in animal handling and welfare. Employees shall be able to recognize the early signs of distress and disease, and ensure pain and stress to animals is minimized. | | 3 |
| 4.39 | Animals deemed to be diseased or otherwise unfit for human consumption must be segregated from healthy animals, and condemned or otherwise excluded from processing. | | 2 |
| 4.40 | Only slaughtering methods that are humane and approved for use for a given species by national or international regulations shall be used. | | 2 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.41 | The facility shall have a pathogen control program that addresses known biological hazards and demonstrates compliance to regulations or customer standards. | | 10 |
| 4.42 | Procedures shall be documented and implemented to maintain the hygienic condition of the carcass and avoid contamination. Fecal matter shall be removed from the slaughter floor and the carcass shall be inspected by an authorized person post mortem for signs of disease or contamination. | | 15 |
| 4.43 | Procedures shall be in place for the safe and hygienic evisceration and primal cutting of the carcass and the identification of edible and nonedible parts. | | 1 |
| 4.44 | Edible parts of the carcass shall be processed and stored using clean, sanitized tools and containers and protected from contamination. They shall be covered when not in process. | | 2 |
| 4.45 | All wash down hoses shall be stored on hose racks after use and not left on the floor. | | 3 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.46 | All personnel engaged in any product handling, processing or packaging operations shall comply with the following processing practices: personnel entry to processing areas shall be through the personnel access doors only and all doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required; packaging material, product and ingredients shall be kept in appropriate containers as required and off the floor; waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate. | | 13 |
| 4.47 | Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment. Water must also be potable. | | 5 |
| 4.48 | Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment. | | 2 |
| 4.49 | Ice rooms and receptacles shall be constructed of food safe materials. | | 3 |
| 4.50 | Vehicles used for transport of animals for slaughter shall be fit for purpose and clean. Vehicles shall be inspected and a record kept of the inspection. | | 4 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.51 | <p>Transport times for animals for slaughter shall be kept to a minimum and times recorded.</p> <p>Where animals are held for extended periods in pens and yards, adequate supplies of water and fogger shall be provided.</p> | | 2 |
| 4.52 | <p>The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities and cool rooms. Chillers, blast freezers and cold storage rooms shall be designed and constructed to allow for the hygienic and efficient refrigeration and storage of food, easily accessible for inspection and cleaning.</p> | | 4 |
| 4.53 | <p>Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with measurement devices that are easily readable and accessible.</p> | | 3 |
| 4.54 | <p>Rooms used for the storage of product ingredients, packaging and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.</p> | | 2 |
| 4.55 | <p>Where goods are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.</p> | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.56 | The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Product shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination. | | 5 |
| 4.57 | Vehicles (trucks/vans/containers) used for transporting products shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the products. | | 3 |
| 4.58 | Refrigerated units shall maintain the product at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate. | | 3 |
| 4.59 | The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the processing and packaging area. | | 2 |
| 4.60 | Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. | | 5 |
| 4.61 | The use of temporary fasteners, such as string, wire or tape to fix or hold equipment, shall not be permitted. | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.62 | Wooden pallets and other wooden utensils used in food contact zones shall be dedicated for that purpose, cleaned, maintained in good order and their condition subject to regular inspection. | | 3 |
| 4.63 | Knives and cutting instruments used in processing and packaging operations shall be controlled, kept clean and well maintained. | | 4 |
| 4.64 | The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented. | | 2 |
| 4.65 | Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective products and indicate when it is rejected. | | 4 |
| 4.66 | In all cases of foreign matter contamination, the affected batch or item shall be isolated, inspected, reworked or disposed of. | | 2 |
| 4.67 | In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations. | | 2 |
| 4.68 | Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises. | | 5 |



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| Q# | Audit Tool | Verification/Guideline Process | Max Score |
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| 4.69 | Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises. | | 3 |
| | Site Standards and Maintenance/Personnel | Section #4 Score: | 380 |



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| # | Audit Section | FACTA, LLC Food Safety Audit Results | Total Points |
|---|--|--------------------------------------|--------------|
| 1 | Company Policy | | 140 |
| 2 | HACCP Plan Implementation | | 85 |
| 3 | Product Handling and Quality | | 138 |
| 4 | Site Standards and Maintenance/Personnel | | 380 |
| | | | |
| | Total Points Available: | | 743 |
| | Total Points Given: | | |
| | Final Audit Score Percentage: | | |