

Audit Report # 34027

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Basic

Last Comment

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Number
34027

Document Links

- [Taylor Warehouse Corp. - Re-certification - L2 to L3 - March 2016 # 34835 \[rev. 1\] \(Approved\)](#)

Company Information

Company ID
640780

Company Name
Taylor Warehouse Corp.

Address 1
2875 E. Sharon Rd.

Address 2

City
Cincinnati

State/Province
Ohio

Postal Code
45241

Country
UNITED STATES

Certification Body Information

CB Name
Mérieux NutriSciences Certification LLC

Country
UNITED STATES

Phone
+1(312)938-5151

Website

- [Mérieux NutriSciences](#)

Audit Information

Audit Reference
36296

Audit Type
Recertification Facility Audit Ed. 7.2 Lv. 3

Audit Status
Completed

Lead Auditor

Secondary Auditor(s)

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Steven Pachan

Food Sector Categories

26. Food Wholesaling and Distribution

Date Audit Started

Mar 15, 2016 8:00:00 AM

Mar 15, 2016 1:00:00 PM UTC

Date Audit Finished

Mar 16, 2016 5:00:00 PM

Mar 16, 2016 10:00:00 PM UTC

Audit Rating

E - Excellent

SQFI Audit Score

99

Scope of Certification

Items

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

Opening Meeting Ed. 7.2

Item

People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas)

Primary Response

Compliant

Evidence

Steve Pachan: Auditor, Rick Johnson: Food Safety Manager, Rex C. Taylor; President, Timothy Paff: Facilities Manager, AJ Roaker: Warehouse Manager

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

Closing Meeting Ed. 7.2

Item

People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas)

Primary Response

Compliant

Evidence

Steve Pachan: Auditor, Rick Johnson: Food Safety Manager, Rex C. Taylor; President, Timothy Paff: Facilities Manager, AJ Roaker: Warehouse Manager: Lynda Marts: VP Business Development

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

Facility Description Ed. 7.2

Item

Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details)

Primary Response

Compliant

Evidence

Taylor Warehouse located in Cincinnati, OH is a food storage warehouse located in an industrial park section of the city. The facility is surrounded by: North side - light industry and Sharon Road, South side - vacant grain elevator, East Side - Cold Storage and West Side is common drive for neighboring warehouse (Voght Warehouse). The building is sectioned off in three buildings: Building 1 is 129,600 sq. ft., Building 2 is 86,000 sq. ft. and Building 3 is 48,000 sq. ft. There are 1 small coolers (40x40) and 1 small freezer 40 x 80. The facility air conditions one area for items that need to be maintained at aprx. 70F (summer only). The risk analysis conducted by the facility for the HACCP plan shows no CCPs are needed for this facility. The facility does not own the items stored at the warehouse. Items are received and shipped to distribution centers for delivery to the final customers. The facility employs 29 warehouse employees that work 2 shifts

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(hours of operation 5am - 8:00 pm) 5 days a week. NOTE - the facility is currently Level 2, this is the first audit for the facility moving to level 3.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

Auditor Recommendation Ed. 7.2

Item

Auditor Recommendation

Primary Response

Compliant

Evidence

Auditor recommends recertification for the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.1.1 Management Policy(3)(M) Ed.7.2

Item

- 2.1.1.1 Senior management shall prepare and implement a policy statement that outlines as a minimum the:
- i. Organization's commitment to supply safe food;
 - ii. Methods used to comply with its customer and regulatory requirements and continually improve its food safety and quality management system; and
 - iii. Organizations commitment to establish and review food safety and quality objectives.

Primary Response

Compliant

Evidence

The management policy for the facility states that the company is dedicated to a superior quality system based on HACCP principles and the SQF code. The policy is signed by the owners of the facility and is dated 8-1-2016.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.1.2 Management Policy (M) Ed. 7.2

Item

The policy statement shall be: signed by senior management; made available in language understood by all staff; and displayed in a prominent position and effectively communicated to all staff

Primary Response

Compliant

Evidence

The Management Policy is written. The policy states that the company is dedicated to a superior quality system based on HACCP principles and the SQF code. The policy is signed by the owners of the facility and is dated 8-1-2016. The policy is posted by the time clock and in the training room.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.1 Management Responsibility (3) (M) Ed.7.2

Item

The organizational reporting structure describing those who have responsibility for food safety and quality and their interrelationship shall be defined and communicated within the organization.

Primary Response

Compliant

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Evidence

The organizational chart is in place and details the food safety team, food quality team, food defense team, and line employee members. The organizational charts were last updated 19-2-2016

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.2 Management Responsibility (3)(M)Ed.7.2

Item

The senior management shall make provision to ensure fundamental food safety and quality practices are adopted and maintained.

Primary Response

Compliant

Evidence

The facility has three SQF practitioners on site. The President, Facility Manager and the Food Safety Specialist are certified practitioners at the facility. Interviews with employees during the audit confirmed that food safety and quality practices are included in the training of each employee at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.3 Management Responsibility (3) (M) Ed. 7.2

Item

The senior management shall ensure adequate resources are available to achieve food safety and quality objectives and to support the development, implementation and maintenance and ongoing improvement of the SQF System.

Primary Response

Compliant

Evidence

The SQF Practitioner (Food Safety Specialist)) has been appointed by senior management to oversee the development, implementation and review of the SQF program. The President was SQF certified 2-11-2015 (Advanced SQF Practitioner) and the Facility Manager and the Internal Auditor were certified 23-7-2014.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.4 Management Responsibility (M) Ed. 7.2

Item

The senior management shall designate an SQF practitioner for each site with responsibility and authority to oversee the development, implementation, review and maintenance of the SQF System, including food safety fundamentals outlined in 2.4.2, and the food safety plan (and quality plan for Level 3) outlined in 2.4.3 (2.4.4), to take appropriate action to ensure the integrity of the SQF System, communicate to relevant personnel all information essential to ensure the effective implementation and maintenance

Primary Response

Compliant

Evidence

The facility maintains three certified SQF Practitioners at the facility. The President, Facility Manager and the Food Safety Specialist are the practitioners at the facility. The practitioners have the authority to maintain the SQF system at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.5 Management Responsibility (3) (M) Ed. 7.2

Item

The SQF practitioner shall be employed by the supplier as a company employee on a full-time basis, hold a position of responsibility in relation to the management of the supplier's SQF System, have completed a HACCP-based training course, be competent to implement and maintain HACCP-based food safety plans and food quality plans, have an understanding of the SQF Code Level 3 and the requirements to implement and maintain SQF Systems relevant to the supplier scope of certification.

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Primary Response
Compliant

Evidence

The Food Safety Specialist (main SQF Practitioner), the President and the Facility Manager are the three employees responsible for maintaining the SQF system at the facility. All are full time employees of the facility. The President was SQF certified 2-11-2015 (Advanced Practitioner) and the Facility Manager and the Internal Auditor were certified 23-7-2014. The President, Facility Manager and Food Safety Manager were HACCP certified - 10-10-2012.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.6 Management Responsibility (M) Ed. 7.2

Item

The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting products, legality, and safety (and quality for Level 3) shall be defined and documented.

Primary Response
Compliant

Evidence

The training needs and requirements of the facility are the responsibility of the SQF Practitioner(s) at the facility. The basic training conducted at the facility includes, HACCP, Pre-Reqs, Allergens, Food Defense, Pest Control, GDPs (Good Distribution Practices), Warehouse Receiving.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.7 Management Responsibility (M) Ed. 7.2

Item

All staff shall be informed of their responsibility to report food safety problems to personnel with authority to initiate action.

Primary Response
Compliant

Evidence

Interviews with employees during the audit confirmed that they know to report Food Safety or Food Quality issues to management for correction when observed in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.8 Management Responsibility (M) Ed. 7.2

Item

Job descriptions for those responsible for food safety (and quality for level 3) shall be documented and include provision to cover for the absence of key personnel.

Primary Response
Compliant

Evidence

Job descriptions for those with responsibilities in food safety and quality are documented, descriptions include the coverage in the event the manager is absent from the facility. Descriptions were last updated 15-1-2016. Reviewed the following job descriptions: Warehouse Office Managers, President and Food Safety/Pest Control Manager.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.2.9 Management Responsibility (M) Ed. 7.2

Item

The senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous

improvement.

Primary Response
Compliant

Evidence

The facility demonstrates continuous improvement in the facility with documented training and employee meetings. Meetings are used to discuss training issues, KPI's , operations updates, changes in processes. Each meeting is documented : reviewed meetings dated 6-2-16, 10-2-2016, 19-1-2016 - meetings are documented and includes sign in for the employees in attendance.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.3.1 Food Safety Management System (M) Ed. 7.2

Item

A food safety manual (and quality manual for level 3) shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the organization will use to meet the requirements of this Standard, be made available to staff and include a summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard, policy statement and organization chart, the scope of the certification, include a list of the products covered under the scope of certification.

Primary Response
Compliant

Evidence

The facility maintains a Food Safety Manual (Standard Operating Procedures) binder dated 2016, a HACCP Food Safety & Quality Plan 10-2-2016. Manuals outlines the policies and methods used by the facility to maintain safe storage practices for the items stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.3.2 Food Safety Management System (M) Ed. 7.2

Item

A food safety manual (and quality manual for Level 3) shall be documented, maintained, made available to relevant staff and include or reference the written procedures, pre-requisite programs, food safety plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System.

Primary Response
Compliant

Evidence

The Food Safety manual contains the Management Policy for the facility. The organizational chart contained in the policy is current. Pre-Requisite programs in place at the facility: Allergen Control, Business Continuity (includes recall and traceability), Good Distribution Practices, Non-Conforming Product, Inbound Receiving, Preventive Maintenance, Outbound Shipping requirements, Pest Control, Sanitation Practices, Supplier Approval, Training, Waste Control.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.3.3 Food Safety and Quality Management System (M) Ed. 7.2

Item

A quality manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, standard operating practices, work instructions, and food quality plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System. The quality manual may be combined and integrated with the food safety manual.

Primary Response
Compliant

Evidence

The facility maintains a Quality Manual (Standard Operating Procedures 2016) that details the procedures used at the to maintain safe quality products for items in storage at the facility.

Section

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Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.4.1 Management Review (M) Ed. 7.2

Item

The senior management shall be responsible for reviewing the SQF 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.

Primary Response

Compliant

Evidence

The facility conducted the annual review of the SQF System 23-2-2016. The review included: Food Safety and Quality Manual, Internal and External audit findings, Corrective actions and investigations, Customer Complaints, Employee Food Safety and Quality Handbooks and Pest Control program. The review includes all aspects of the SQF system. The review is signed by the President, Vice President and the Food Safety Specialist.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.4.2 Management Review (M) Ed. 7.2

Item

The SQF System in its entirety shall be reviewed at least annually.

Primary Response

Compliant

Evidence

The SQF System is reviewed annually - the review was conducted 23-2-2016. The review was conducted by the Taylor Warehouse Food Safety & Quality team. The documentation of the review was signed by the President, Vice President and the Food Safety Specialist of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.4.3 Management Review (M) Ed. 7.2

Item

Food safety fundamentals and food safety plans shall be reviewed when any changes implemented have an impact on the supplier's ability to deliver safe food.

Primary Response

Compliant

Evidence

The Food Safety Plan was last validated 9-2-2016. Changes to the food safety plan will be reviewed when any changes to the plan would impact the warehouse to deliver safe food. No changes to the plan have occurred to the plan in the past year.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.4.4 Management Review (M) Ed. 7.2

Item

Changes to food safety fundamentals and food safety (quality for Level 3) plans that have an impact on the supplier's ability to deliver safe/quality food are to be validated.

Primary Response

Compliant

Evidence

The SQF practitioners at the facility are the responsible party for validating all changes made to the food safety and quality plans at the facility. No changes have occurred in the past year that required a change to the food safety plan. NOTE: The facility is level 2 moving to level 3 during this audit.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.4.5 Management Review (M) Ed. 7.2

Item

Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.

Primary Response

Compliant

Evidence

Records of all changes to documents (version numbers on all forms), HACCP plan validation is conducted annually, last validated 9-2-16 and the Validation and Verification log is used to log changes made in the facility. The log documents: program, responsible person, how to validate, actual validation, date, how to verify, actual verification and frequency of verification. The entire SQF system is reviewed annually with the last review being conducted 23-2-2016.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.5.1 Complaint Management Ed. 7.2

Item

The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.

Primary Response

Compliant

Evidence

The Customer Complaints (18-1-2016) states the process used for handling all customer complaints in a way to maintain customer satisfaction.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.5.2 Complaint Management Ed. 7.2

Item

Trends of customer complaint data shall be investigated and analyzed by personnel knowledgeable about the incidents.

Primary Response

Compliant

Evidence

The facility tracks all customer issues on the CAPA Program Log. The log tracks the incident date, cause of the non conformance, root cause and comments. Reviewed log for FY 2015 and FY 2016- log was acceptable.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.5.3 Complaint Management Ed. 7.2

Item

Corrective action shall be implemented commensurate with the seriousness of the incident and as outlined under 2.5.5.

Primary Response

Compliant

Evidence

The CAPA Program form used to document each customer complaint includes the following information; Incident Description, Date, Employee involved, Corrective Action Taken, C/A Date, Manager, Root Cause, Preventive Action Taken, Follow Up, Signature and Severity.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.1.5.4 Complaint Management Ed. 7.2

Item
Records of customer complaints and their investigations shall be maintained.

Primary Response
Compliant

Evidence
Records of all Customer Complaints are maintained. The following complaints were reviewed: 23-12-2015, 4-11-2015, 27-7-2015 - Complaints reviewed were properly documented.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.1.6.1 Business Continuity Planning Ed. 7.2

Item
A business continuity plan based on the understanding of known food safety threats to a business shall be prepared by senior management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe food.

Primary Response
Compliant

Evidence
The Crisis Management Plan 15-2-2016 - details the coordinated safety and food defense effort designed to protect employees, food products, assets and brand. The plan is designed to cover emergencies and provides an element of safety against accidental, natural or international threats against the facility. Threats listed in the plan - Bomb threats, Severe Weather, Fires, Workplace and Medical Emergencies. The emergency contact information includes Silliker and SQFi.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.1.6.2 Business Continuity Planning Ed. 7.2

Item
The business continuity plan shall include as a minimum a senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident; the nomination and training of a crisis management team; controls implemented to ensure a response to a crisis does not compromise product safety; measures to isolate and identify product affected by a response to a crisis; the preparation and maintenance of a current crisis alert contact list; the responsibility for internal communications and communicating with authorities, external organizations and media. The business continuity plan shall include as a minimum sources of legal and expert advice.

Primary Response
Compliant

Evidence
The policy states that the president of the facility is the person in charge if an incident were to occur at the facility. The plan includes an emergency contact list which includes outside agencies that would be contacted if an incident were to occur (includes SQFi and Silliker)

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.1.6.3 Business Continuity Planning Ed. 7.2

Item
The business continuity plan shall be reviewed, tested and verified at least annually.

Primary Response
Compliant

Evidence
The Business Continuity was last tested 16-2-2016 for a tornado hitting the facility. The test included : employee safety area, product damage and disposition of the product affected. The test included a corrective action to ensure the paging system works correctly in all

areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.1.6.4 Business Continuity Planning Ed. 7.2

Item

Records of reviews and verification of the business continuity plan shall be maintained.

Primary Response

Compliant

Evidence

Records of reviews and verification of the business Continuity program are maintained (hard copy and on the Validation - Verification Log maintained by the facility. The log showed the test of the system was conducted for a tornado drill conducted on 16-2-2016. Log reviewed was properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.1.1 Document Control (M) Ed. 7.2

Item

The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented.

Primary Response

Compliant

Evidence

The facility maintains a Document Control Policy dated 7-3-2016 - details process used by the facility for creating, updating and approving documents used at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.1.2 Document Control (M) Ed. 7.2

Item

A register of current SQF System documents and amendments to documents shall be maintained.

Primary Response

Compliant

Evidence

The facility maintains a register of documents used electronically under the Standard Operating Procedures binder (2016). The binder maintains all SOP's and documents used at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.1.3 Document Control (M) Ed. 7.2

Item

Documents shall be safely stored and readily accessible.

Primary Response

Compliant

Evidence

Documents used in the facility are maintained electronically (password protected) and manually maintained in the SOP binder which is securely stored in the office area (owner) of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.2.1 Records (M) Ed. 7.2

Item

The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.

Primary Response

Compliant

Evidence

The Records Management policy dated 18-1-2016 details the requirements needed for: Creating a document, completing documents, storage, verification of completed documents, retention (minimum 3 years), and making corrections.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.2.2 Records (M) Ed. 7.2

Item

All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:
8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016
Inbound Log
TWC Positive Release Log – (Outbound)
Inbound Inspection Sheet (inspection of freight and condition of the trailer)
Daily Cleaning Schedule
Master Cleaning Schedule
Daily Pre-Operation Checklist (includes re-coup area)
Temperature Checklist (Warehouse – electronic records)
Driver Sign In Sheet
Visitor Sign In sheet
Documents reviewed were properly completed and verified.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.2.2.3 Records (M) Ed. 7.2

Item

Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.

Primary Response

Compliant

Evidence

Records requested were available for review. Records are maintained electronically and hard copied. Records are properly stored in a secure area of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.1.1 Specification and Product Development Ed. 7.2

Item

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The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.

Primary Response
N/A

Evidence
This is a warehouse distribution facility no product development is conducted at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.3.1.2 Specification and Product Development Ed. 7.2

Item
Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.

Primary Response
N/A

Evidence
This is a warehouse distribution facility no product development is conducted at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.3.1.3 Specification and Product Development Ed. 7.2

Item
Shelf life trials where necessary shall be conducted to establish and validate a product's handling, storage requirements, including the establishment of "use by" or "best before" dates, microbiological criteria, consumer preparation, storage and handling requirements.

Primary Response
N/A

Evidence
This is a warehouse distribution facility no product development is conducted at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.3.1.4 Specification and Product Development Ed. 7.2

Item
A food safety plan (and quality plan for Level 3) 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.

Primary Response
N/A

Evidence
This is a warehouse distribution facility no product development or manufacturing is conducted at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.3.1.5 Specification and Product Development Ed. 7.2

Item
Records of all product design, process development, shelf life trials and approvals shall be maintained.

Primary Response
N/A

Evidence

This is a warehouse distribution facility no product development is conducted at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.1 Raw and Packaging Materials Ed. 7.2

Item

Specifications for all raw and packaging materials, including, but not limited to ingredients, additives, hazardous chemicals and processing aids that impact on finished product safety shall be documented and kept current.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.2 Raw and Packaging Materials Ed. 7.2

Item

All raw and packaging materials and ingredients shall comply with the relevant legislation.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.3 Raw and Packaging Materials Ed. 7.2

Item

The methods and responsibility for developing and approving detailed raw material, ingredient, and packaging specifications shall be documented.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.4 Raw and Packaging Materials Ed. 7.2

Item

Raw and packaging materials and ingredients shall be validated to ensure product safety (and quality for level 3) is not compromised and the material is fit for its intended purpose. Validation of raw materials and ingredients shall include certificate of conformance; or certificate of analysis; or sampling and testing.

Primary Response

N/A

Evidence

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The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.5 Raw and Packaging Materials Ed. 7.2

Item

Validation of packaging materials shall include certification that all packaging that comes into direct contact with food meets either regulatory acceptance or approval criteria. Documentation shall either be in the form of a declaration of continued guarantee of compliance, a certificate of conformance, or a certificate from the applicable regulatory agency. absence of a certificate of conformance, certificate of analysis, or letter of guarantee, tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents shall be conducted and records maintained.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.6 Raw and Packaging Materials Ed. 7.2

Item

Product labels shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.2.7 Raw and Packaging Materials Ed. 7.2

Item

A register of raw and packaging material specifications and labels shall be maintained and kept current.

Primary Response

N/A

Evidence

The facility is a distribution warehouse, no items are manufactured at the facility. The manufacturers of the items stored here are responsible for the raw and packaging materials specifications.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.3.1 Contract Service Providers Ed. 7.2

Item

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 training requirements of contract personnel.

Primary Response

Compliant

Evidence

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The Contract Service Providers Requirements and Management Policy (15-1-2016) details the requirements used by the facility to ensure items do not become a risk to food safety and quality for the products in storage at the facility. Contractors are trained to follow GDP's, food defense and safety rules that are to be followed when visiting the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.3.2 Contract Service Providers Ed. 7.2

Item

A register of all contract service specifications shall be maintained.

Primary Response

Minor

Evidence

The Taylor Supplier List - Contractor is the register maintained by the facility that lists the approved contractors to the facility. Each service provided must read and sign the GOOD CONTRACTOR Practices SOP # 61 form prior to entering the facility. The facility Good Contractor Practices SOP # 61 and Register are not up to date for the contractors used by the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.4.1 Contract Manufacturers Ed. 7.2

Item

The methods and responsibility for ensuring all agreements relating to food safety and quality, customers product requirements and its realization and delivery are specified and agreed shall be documented and implemented.

Primary Response

N/A

Evidence

No contract manufacturers are used by this facility. The facility is distribution warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.4.2 Contract Manufacturers Ed. 7.2

Item

The supplier shall:

- i. Verify compliance with the SQF Code and that all customer requirements are being met at all times. Products and/or processes of co-manufactures that are considered high risk shall be required to under go an audit by the supplier or other third party agency to confirm compliance to the SQF code and agreed arrangements? and
- ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel

Primary Response

N/A

Evidence

No contract manufacturers are used by this facility. The facility is distribution warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.4.3 Contract Manufacturers Ed. 7.2

Item

Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.

Primary Response

N/A

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Evidence

No contract manufacturers are used by this facility. The facility is distribution warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.5.1 Finished Product Ed. 7.2

Item

Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and may include microbiological and chemical limits, labeling and packaging requirements.

Primary Response

N/A

Evidence

No manufacturing is conducted at this facility. This is distribution warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.3.5.2 Finished Product Ed. 7.2

Item

A register of finished product specifications shall be maintained.

Primary Response

N/A

Evidence

No manufacturing is conducted at this facility. This is distribution warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.1.1 Food Legislation (M) Ed. 7.2

Item

The organization shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description, nutritional, allergen and additive labeling, and to relevant established industry codes of practice.

Primary Response

Compliant

Evidence

The Regulatory Currently dated 7-3-16 describes the process used to ensure that all products stored will meet regulatory requirements prior to the shipping process.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.1.2 Food Legislation (M) Ed. 7.2

Item

The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented.

Primary Response

Compliant

Evidence

The facility stays current on changes in the industry by: Email alerts - such as FSMA updates from the FDA, USDA, updates from

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professional organizations (IWLA - International Whse and Logistics Assoc., WERK - Whse. Educational an Research Assoc., IWLA - International Whse., Logistics Assoc.) and multiple trade and technical magazines.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.1.3 Food Legislation (M) Ed. 7.2

Item

SQFI and the certification body shall be notified in writing within 24 hours upon identification of a food safety event that requires public notification (e.g. receipt of a regulatory warning letter).

Primary Response

Compliant

Evidence

SQFI and the Certifying Body will be contacted if an event were to occur that would require public notification. Contact information is maintained on the emergency contact list maintained by the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.2.1 Food Safety Fundamentals (M) Ed. 7.2

Item

The property, buildings and equipment shall be located, constructed, designed and maintained to facilitate the hygienic production, manufacture, handling, storage and/or delivery of safe food.

Primary Response

Compliant

Evidence

The facility is properly constructed of concrete block and steel panels (exterior), interior is concrete floors, open rafter ceilings. Roof is rubber membrane. The facility is surrounded by: North side - light industrial and Sharon Road, South side - vacant grain elevator, East Side - Cold Storage and West Side is common drive for neighboring warehouse (Voght Warehouse). The surroundings do not interfere with the safe and hygienic storage and shipping of the products stored in the warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.2.2 Food Safety Fundamentals (M) Ed. 7.2

Item

The supplier shall ensure the food safety fundamentals described in the relevant subsequent modules of this Code (i.e. modules 3 ? 15) are applied or exempted according to a detailed risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety and quality are not compromised.

Primary Response

Compliant

Evidence

The facility has conducted and documented a risk analysis for each step of the process in the facility. The facility has a letter from Silliker dated 8-10-2014 stating the following exemptions from the SQF code: Internal Product temperatures (destructive sampling) are not taken since the facility does not own the products stored at the facility and wearing bands with stones are permitted.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.2.3 Food Safety Fundamentals (M) Ed. 7.2

Item

Those pre-requisite programs applicable to the scope of certification that outline the means by which food safety is controlled and assured shall be documented and implemented.

Primary Response

Compliant

Evidence

Pre-Requisite programs are part of the HACCP program. Pre-req programs listed for the facility include: Pre-Requisite programs in place at the facility: Allergen Control, Business Continuity (includes recall and traceability), Good Distribution Practices, Non-Conforming Product, Inbound Receiving, Preventive Maintenance, Outbound Shipping requirements, Pest Control, Sanitation Practices, Supplier Approval, Training, Waste Control.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.2.4 Food Safety Fundamentals (M) Ed. 7.2

Item

The effectiveness of the pre-requisite programs shall be verified as described in 2.5.4.

Primary Response

Compliant

Evidence

Pre-Requisite programs are part of the HACCP program. Pre-req programs listed for the facility include: Allergen Control - self inspections, putaway cycle counts and employee training, Business Continuity - mock recall, mock disaster drill annually, Foreign Material Control - monthly glass inspections, GDP's - annual training and monthly GDP inspections, Inbound Shipments - documentation of incoming trailer product and trailer condition, Maintenance - documentation of preventive maintenance program, Non-Conforming Product and Equipment - review complaint issue and maintain CAPA report, Outbound inspection and Positive release - review of outbound documentation, Pest Management - review of service reports, Sanitation Practices - documentation of daily sanitation and pre-op inspections, maintain Master cleaning program, Supplier Approval - use of only approved suppliers - record review 2x per year, Training - annual employee training, Waste control - daily facility pre-op inspection of the facility waste areas.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.3.1 Food Safety Plan (M) Ed. 7.2

Item

A food safety plan shall be developed, effectively implemented, and maintained and outline the means by which the organization controls and assures food safety. The food safety plan shall:

- i. Be prepared in accordance with the steps identified in the Codex Alimentarius Commission or NACMCF HACCP guidelines. Primary producers and feed manufacturers may utilize a HACCP-based reference food safety plan developed by a responsible authority.
- ii. Cover a product or product group and the associated processes.
- iii. Describe the methodology and results of a hazard analysis conducted to identify food safety hazards associated with all inputs and process steps including rework. Animal feed and pet food safety plans must include hazards associated with animal safety as well as the safety of consumers of animal products.
- iv. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety.
- v. Include process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make corrections to keep a process under control; and
- vi. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organization's scope of certification.

Primary Response

Compliant

Evidence

The facility maintains a HACCP plan for the warehouse facility. The facility maintains a 220,000 sq. ft. dry storage, 42,000 temperature controlled (70F or less), Freezer - 1600 sq. ft and Cooler - 8000 sq. ft.. The plan was last validated 10-2-2016. The risk analysis conducted for the warehouse shows that the physical, chemical and biological hazards relating to food safety are not present in the facility, therefore no CCP's identified for the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.4.1 Food Quality Plan (M) Ed. 7.2

Item

A food quality plan shall be developed, effectively implemented, and maintained in accordance with the HACCP method to outline the means by which the organization controls and assures food quality and legality. The food quality plan shall:

- i. Outline the results of a food quality risk analysis conducted to identify threats to achieving and maintaining product and process quality.
- ii. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food quality.
- iii. Include process controls at quality points in production to monitor product quality, identify when a process is deviating from set

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parameters and make corrections to keep a process under control;
iv. Cover a food or food group and the associated processes; and
v. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organizations scope of certification.

Primary Response
Compliant

Evidence

The facility maintains a Quality plan for the warehouse facility. The facility maintains a 220,000 sq. ft.dry storage, 42,000 temperature controlled (70F or less), Freezer - 1600 sq. ft and Cooler - 8000 sq. ft.. The plan was last validated 10-2-2016. The risk analysis conducted for the warehouse shows that the physical, chemical and biological hazards relating to food safety are not present in the facility, therefore no CQP's have been identified for the products stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.4.2 Food Quality Plan Ed. 7.2

Item

Use of the SQF quality shield shall follow the requirements outlined in Appendix 3: SQF Quality Shield and Logo Rules of Use.

Primary Response
Compliant

Evidence

This is the first level 3 audit of the facility - the facility does not utilize the quality shield at this time.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.5.1 Incoming Goods and Services Ed. 7.2

Item

Raw materials, ingredients, packaging materials and services that impact on finished product safety shall be supplied by an approved supplier.

Primary Response
Compliant

Evidence

The Supplier Approval 9-3-2016 details the protocols used at the facility to ensure only approved suppliers are accepted and used at the facility. The procedure addresses the following categories: General Suppliers, Packaging Suppliers, Depositor-Balior Suppliers and Contractors. The procedure details the requirements that need to be followed for each category.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.5.2 Incoming Goods and Services Ed. 7.2

Item

The receipt of raw materials, ingredients, and packaging materials received from non-approved supplier shall be acceptable in an emergency situation provided they are inspected or analyzed before use.

Primary Response
Compliant

Evidence

The Supplier Approval *(9-3-2016) states that the receipt of packaging materials received from a non approved supplier shall be acceptable only in an emergency situation provided they are inspected prior to use.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.5.3 Incoming Goods and Services Ed. 7.2

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Item

The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented.

Primary Response

Compliant

Evidence

The Supplier Approval states that the responsibility for evaluating, approving, monitoring and removing suppliers is the responsibility of the President, HR, Warehouse Office Manager and Facility Manager. Suppliers to the facility are reviewed annually.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.5.4 Incoming Goods and Services Ed. 7.2

Item

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.

Primary Response

Compliant

Evidence

The Supplier Approval Dated 9-3-2016 states the approved supplier program is based on the prior performance of a supplier and the risk level of the materials deposited in the warehouse, a performance risk rating and may contain the following minimum requirements: Site visit, Request 3rd party audits, Inquire if they have food safety and quality program, Food Defense program, Allergen program, Product recall procedure, Approved supplier program. SDS Sheets.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.5.5 Incoming Goods and Services Ed. 7.2

Item

A register of approved supplier and records of inspections and audits of approved suppliers shall be maintained.

Primary Response

Compliant

Evidence

The facility maintains a register of approved suppliers. The register contains the the following information: Company name, Contact, Address, City, State, Zip code, Phone (cell and land line), e-mail, web site. List reviewed was last updated 26-1-2016.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.6.1 Non-conforming Product or Equipment Ed. 7.2

Item

The responsibility and methods outlining how non-conforming 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: Non-conforming 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 Non-conforming 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 organization'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.

Primary Response

Compliant

Evidence

The Non-Conforming Products and Equipment (17-1-2016) procedure details the procedures used for placing food products, packaging materials, equipment and facilities on hold and to ensure items can be properly tracked and disposition.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.6.2 Non-conforming Product or Equipment Ed. 7.2

Item

Quarantine records, and records of the handling, corrective action, or disposal of non-conforming product or equipment shall be maintained.

Primary Response

Compliant

Evidence

The facility maintains a Equipment Hold Log which details the following: Date, Equipment #, Tag #, Reason for Hold, Any product affected? Date Back in Service and Released by. - Log reviewed from 2016 was properly documented.

Products in held status are documented on the Inventory Summary List by Product - reviewed current held items - list reviewed was acceptable. Log shows: Item, Description, Lot#, Available, On Hold, QTY, Total Weight.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.7.1 Product Rework Ed. 7.2

Item

The responsibility and methods outlining how the product is reworked (recycled or recouped) shall be documented and implemented. The methods applied shall ensure:

- i. Reworking operations are supervised by qualified personnel;
- ii. Reworked product is clearly identified and traceable;
- iii. Each batch of reworked product is inspected or analyzed as required before release;
- iv. Inspections and analyses shall conform to the requirements for verification outlined in element 2.5.6; and
- v. Release of reworked product shall conform to element 2.4.8.

Primary Response

Compliant

Evidence

The Packaging & Recoup SOP 18-1-2016 defines the processes completed at the facility:

REWORK - No rework is performed at the facility

RECOUP - completed in the recoup area - damaged product removed and replaced (same lot code) - External cases (if damaged are replaced - NO open or exposed product is handled in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.7.2 Product Rework Ed. 7.2

Item

Records of all reworking operations shall be maintained.

Primary Response

Compliant

Evidence

Records are maintained electronically in the Warehouse Management System (WMS) maintained by the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.8.1 Product Release (M) Ed. 7.2

Item

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.

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Primary Response
Compliant

Evidence

The Product Release Program dated 12-2-16 describes the process for positively releasing all products in storage. The policy states finished products are inspected to ensure they meet customer requirements, regulatory and Taylor Warehouse requirements prior to releasing products for shipping. The facility uses a 3 step process when loading a trailer. Step 1 Order Filler (follows Order Filling SOP), Green sticker = OK to Load, Orange Sticker = a issue, Trailer Check follows the Shipping procedure SOP,once the trailer is properly loaded trailer is sealed and driver takes owner ship of the materials.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.8.2 Product Release (M) Ed. 7.2

Item

Records of all product release shall be maintained.

Primary Response
Compliant

Evidence

Records supplied as evidence of compliance were dated:
8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016
TWC Positive Release Log – (Outbound) Documents reviewed were acceptable.

Note: Three signatures are required on the Delivery Packaging List by Load - reviewed list dated 15-3-16 - documentation was acceptable. The Order Filling Non-Conformance Report is used when a issue is observed with the product - reviewed form dated 23-2-16 - documentation was acceptable - form was highlighted with a ORANGE QC Rejected Sticker.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.9.1 Stock Rotation Ed. 7.2

Item

The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented.

Primary Response
Compliant

Evidence

The Inventory Rotation & Accuracy states that the facility uses First-Expired - First-Out inventory control is used for the majority of the food based customers. The facility also utilizes FIFO (First In First Out) and LIFO (Last In First Out) - for seasonal or non food item.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.4.9.2 Stock Rotation Ed. 7.2

Item

Procedures are in place to ensure that all ingredients, materials, work-in-progress, and finished product are utilized within their designated shelf-life.

Primary Response
Compliant

Evidence

The Inventory Rotation & Accuracy details the process used at the facility to ensure the proper rotation of code date is used when shipping to customers. The procedure explains when First Expire First Out, Last In First Out, and Short Code is used by the facility to ensure the proper code requirements are met for the customers receiving products shipped from the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.1.1 Responsibility Frequency and Methods Ed. 7.2

Item

Validation and verification activities shall be conducted.

Primary Response

Compliant

Evidence

Validation and Verification activities are conducted and are the responsibility of the SQF practitioner(s).

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.1.2 Responsibility Frequency and Methods Ed. 7.2

Item

The frequency and methods used to validate and verify food safety fundamentals, critical limits, and other food safety controls identified in food safety plans (and food quality plans for Level 3) shall be documented and implemented and meet their intended purpose.

Primary Response

Compliant

Evidence

The facility risk analysis shows there are no CCP's for the HACCP plan. Pre-req programs listed for the facility are verified daily, weekly, 2X monthly, monthly or annually depending on the pre-req program. The Validation and Verification form dated 19-2-2016 details the verification activities conducted up to 19-2-16 for the pre-req programs in place at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.1.3 Responsibility Frequency and Methods Ed. 7.2

Item

Records of all verification activities shall be maintained.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:
8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016
Inbound Log
TWC Positive Release Log – (Outbound)
Inbound Inspection Sheet (inspection of freight and condition of the trailer)
Daily Cleaning Schedule
Master Cleaning Schedule
Daily Pre-Operation Checklist (includes re-coup area)
Temperature Checklist (Warehouse – electronic records)
Driver Sign In Sheet
Visitor Sign In sheet
Records reviewed were properly verified.

The Validation and Verification dated 19-2-206 confirmed that the pre-reqs programs in place at the facility have been properly verified per the document.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.2.1 Validation and Effectiveness (M) Ed. 7.2

Item

The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs, and validating critical food safety limits to

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ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that pre-requisite programs are confirmed to ensure they achieve the required result, that critical limits are selected to achieve the designated level of control of the identified food safety hazard(s), all critical limits and control measures individually or in combination effectively provide the level of control required, all critical limits and control measures individually or in combination effectively provide the level of control required, changes to the processes or procedures are assessed to ensure controls are still effective, ensure that critical food safety (and quality for Level 3) limits are re-validated at least annually.

Primary Response
Compliant

Evidence

The Version 4 of the Validation and Verification (dated 19-2-2016) details the following information for each pre-req in the system: Program, Person or Section Responsible, How are you going to validate, Actual Validation Activity conducted, Date, How are the programs verified, Actual verification conducted, Frequency of verification and verification sign off.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.2.2 Validation and Effectiveness (M) Ed. 7.2

Item

Records of all validation activities shall be maintained.

Primary Response
Compliant

Evidence

The HACCP plan is validated annually with the last validation being conducted on 9-2-16. The Version 4 of the Validation and Verification (dated 19-2-2016) details the following information for each pre-req in the system: Program, Person or Section Responsible, How are you going to validate, Actual Validation Activity conducted, Date, How are the programs verified, Actual verification conducted, Frequency of verification and verification sign off.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.3.1 Verification Schedule Ed. 7.2

Item

A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.

Primary Response
Compliant

Evidence

Version 4 of the Validation and Verification (dated 19-2-2016) details the following information for each pre-req in the system: Program, Person or Section Responsible, How are you going to validate, Actual Validation Activity conducted, Date, How are the programs verified, Actual verification conducted, Frequency of verification and verification sign off. Note-all forms used by the facility are verified.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.4.1 Verification of Monitoring Activities (M) Ed. 7.2

Item

The methods, responsibility and criteria for verifying the effectiveness of monitoring pre-requisite programs critical control points and other food safety (and quality for Level 3) controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each record verified.

Primary Response
Compliant

Evidence

The hazard analysis conducted for the HACCP and Food Quality plan indicated that the facility does not have a CCP or CQP called out in the program. The Version 4 dated 19-2-2016 details the verification activity required for each pre-req in place at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.4.2 Verification of Monitoring Activities (M) Ed. 7.2

Item

Records of the verification of monitoring activities shall be maintained.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:

8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016
Inbound Log
TWC Positive Release Log – (Outbound)
Inbound Inspection Sheet (inspection of freight and condition of the trailer)
Daily Cleaning Schedule
Master Cleaning Schedule
Daily Pre-Operation Checklist (includes re-coup area)

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.5.1 Corrective and Preventative Action (M) Ed. 7.2

Item

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 non-compliance of critical food safety limits, and deviations from food safety (and food quality for level 3) requirements, shall be documented and implemented.

Primary Response

Compliant

Evidence

The Corrective and Preventive Actions Program dated 17-1-16 describes the Corrective Action and Preventive Actions program at the facility. Corrective actions are included but limited to the following: Customer Complaints, Internal Audits, Walk Around Inspections, product and equipment failures to specifications. Corrective Actions are documented on the CAPA Program form used by the facility. The form documents the following: Incident Description, Date, Employee, Corrective Action Taken, Date, Signature of Manager, Root Cause, Follow Up, signature and Severity rated.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.5.2 Corrective and Preventative Action (M) Ed. 7.2

Item

Records of all investigation and resolution of corrections and corrective action shall be maintained.

Primary Response

Compliant

Evidence

Corrective action - CAPA Program forms are maintained. The following CAPA Program documents were reviewed: 6-1-16 / 28-12-2015 / 23-12-15 / 19-11-2015 / 17-11-2015 - documents reviewed were properly documented and signed off.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.5.6.1 Product Sampling, Inspection and Analysis (3) Ed. 7.2

Item

The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress, and for analyzing and assessing product quality and sensory attributes shall be documented and implemented. The methods applied shall ensure: Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements;

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Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements, are true to label and comply with weights and measure requirements after shelf life trials are completed; and All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard. Sensory analysis and evaluations are completed after shelf life trials, as appropriate, and at intervals designed to demonstrate the products sensory characteristics are consistently being achieved; Sensory evaluations comply with the relevant product sensory attributes specified by the customer; and Sensory evaluations are conducted by trained personnel in accordance with established methods or as specified by the customer.

Primary Response
N/A

Evidence
This is a warehouse facility, No Product Sampling or testing is completed at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.5.6.2 Product Sampling, Inspection and Analysis (3) Ed. 7.2

Item
Records of all inspections, analyses, sensory evaluations and actions arising from inspections, analyses and sensory evaluations shall be maintained.

Primary Response
N/A

Evidence
This is a warehouse facility, No Product Sampling or testing is completed at the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.5.7.1 Internal Audits (M) Ed. 7.2

Item
The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System including facility and equipment inspections, pre-requisite programs, food safety plans and legislative controls shall be documented and implemented. The methods applied shall ensure an internal audit schedule is prepared detailing the scope and frequency of internal audits, ensure correction and corrective action of deficiencies identified during the internal audits are undertaken, audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; and Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions

Primary Response
Compliant

Evidence
The Internal Audits Program dated 7-3-2016 details the process used by the facility while performing internal audits of the facility.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause
2.5.7.2 Internal Audits (M) Ed. 7.2

Item
Staff conducting internal audits shall be trained in internal audit procedures.

Primary Response
Compliant

Evidence
Staff conducting the internal audits have completed the following training: Principles of Internal Auditing (AIB) - President - 14-11-2014, Food Safety Specialist - 13-3-2015 and Facility Manager 13-3-2015.

Section
Re-certification Facility Audit Edition 7.2 Module 2 (3)

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Clause

2.5.7.3 Internal Audits (M) Ed. 7.2

Item

Where possible staff conducting internal audits shall be independent of the function being audited.

Primary Response

Compliant

Evidence

The Internal Audit Program States that audits will consist of one member from each department to maintain independence of the function being audited.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.1.1 Product Identification (M) Ed. 7.2

Item

The methods and responsibility for identifying products during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure raw materials, work in progress and finished product are clearly identified during all stages of receipt, production, storage and dispatch, finished product is labeled to the customer specification and/or regulatory requirements.

Primary Response

Compliant

Evidence

The Traceability Program dated 19-2-2016 - states that product is identified during all stages at the facility. Inbound and out bound labels are applied to each pallet. No product is received that is not properly labelled. Records of identification of items is maintained for two years.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.1.2 Product Identification (M) Ed. 7.2

Item

Product identification records shall be maintained.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:
8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016
Inbound Log
TWC Positive Release Log – (Outbound)
Inbound Inspection Sheet (inspection of freight and condition of the trailer)

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.2.1 Product Trace (M) Ed. 7.2

Item

The responsibility and methods used to trace product shall be documented and implemented to ensure finished product is traceable to the customer (one up) and provides traceability through the process to the supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back);, traceability is maintained where product is reworked; the effectiveness of the product trace system shall be tested at least annually.

Primary Response

Compliant

Evidence

The Traceability Program details the process used at the facility to trace product from receiving to location the product was shipped. MOCK

Audit Report # 34027

RECALL performed during the audit:

Item: 1488

Lot Number: 12052015

Qty. Received ; 330 cases

Inbound Inspection Form and bills show 330 caes received

RECALL CHECKLIST - States, All available product on Hold, Inventory has been taken, Items segregated and placed on system hold, Information would be sent to customer(s)

-Physical Hold Placard Placed on affected product - States STOP HOLD Quality Control and lists Product code 1488, Cases = 330, code date 12052015, reason - Mock Recall, Who Placed product on HOLD and Date placed on Hold.

-Physical inventory showed that all 330 cases of item 1488 are still in inventory at the facility

0 cases shipped

100% recovered in 22 minutes.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.2.2 Product Trace (M) Ed. 7.2

Item

Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:

8,9,10 June 2015

8,9,10 September 2015

8, 9, 10 December 2015

8,9,10 March 2016

Inbound Log

TWC Positive Release Log – (Outbound)

Inbound Inspection Sheet (inspection of freight and condition of the trailer)

Documents reviewed were acceptable.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.3.1 Product Withdrawal and Recall (M) Ed. 7.2

Item

The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:

- i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall;
- ii. Describe the management procedures to be implemented including sources of legal and expert advice; and
- iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident.
- iv. SQFI and the certification body shall be listed as an essential body and notified in instances of a food safety incident of a public nature , or product recall for any reason.

Primary Response

Compliant

Evidence

The Taylor Warehouse 19-2-2016 details the role Taylor Warehouse would play if a recall were to occur. The facility does not take title to the product stored in the warehouse and cannot recall or dispose of product. In the event of a recall the policy states that it is their responsibility to provide the customer a paperwork trail within 2 hours of the request which tracks the product from inbound to outbound to the first level of distribution. SQFI and the CB would be notified in the event a recall were to occur. The facility has not had a recall in the past 12 months.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.3.2 Product Withdrawal and Recall (M) Ed. 7.2

Item

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.

Primary Response
Compliant

Evidence

The facility is a storage warehouse (no production of product) investigations of the root cause is the responsibility of the manufacturer of the product.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.3.3 Product Withdrawal and Recall (M) Ed. 7.2

Item

The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually.

Primary Response
Compliant

Evidence

The facility conducts Mock Recall annually. The last mock recall occurred 3-2-2016.
Product Code: 1921
Description: 24 pk-Blood Orange Cans
Code Date - 12082015
Exp. Date - n/a Cust. Lot 5342PP
Number of Cases - received 6713
Shipped 3568
In House 3145
Picked to orders 312
Date requested - 2-3-2016
Product placed on HOLD
100% recovered in 1 hour and 34 minutes

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.6.3.4 Product Withdrawal and Recall (M) Ed. 7.2

Item

Records of all product withdrawals, recalls and mock exercises shall be maintained.

Primary Response
Compliant

Evidence

Records of Mock Recalls are retained per SQF requirements (2 years).The facility has not had a recall or withdrawal in the past year.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.7.1.1 Food Defense (M) Ed. 7.2

Item

The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained.

Primary Response
Compliant

Evidence

The Food Defense policy dated 15-1-2016 states that the purpose of the food defense policy deals with the risks posed by individuals that intentionally adulterate food in order to cause harm. The policy details the following areas:
-Physical Facility - states visitors, contractors, drivers must sign in and be escorted. Chemicals are segregated and secured, Employees - Pre-Hiring Screen, Daily work assignments, Physical Security , Inbound Protocols, Restricted access, Personal Items, Training in Food Defense, observe for unusual behavior, Controlled computer access, and annual review of program.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.7.1.2 Food Defense (M) Ed. 7.2

Item

A food defense protocol shall be prepared and include: The name of the senior management person responsible for food defense; The methods implemented to ensure only authorized personnel have access to crops, production equipment and vehicles, manufacturing and storage areas through designated access points; The methods implemented to protect sensitive processing points from intentional adulteration; The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals; The measures implemented to ensure harvested crop and/or finished product is held under secure storage and transportation conditions; and The methods implemented to record and control access to the premises by employees, contractors, and visitors.

Primary Response

Compliant

Evidence

The policy states that the Vice President is the Key Control Manager with the President being the Food Defense Coordinator. The President is the person in charge of the SOP with the Food Safety Specialist and Warehouse Manger acting as alternates. Access to the facility is restricted by the use of swipe cards with limited access depending on the job duties.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.1 General Requirements for Identity Preserved Foods Ed. 7.2

Item

The methods and responsibility for the identification and processing of Kosher, HALAL, organic, Genetically Modified Organisms (GMO) food and other products requiring the preservation of their identity preserved status shall be documented and implemented.

Primary Response

N/A

Evidence

This is a product storage (ingredients, finished goods and non food item (stored separately) warehouse distribution center. No manufacturing takes place in this facility. Items stored here are sealed at the manufacturer and do not required special handling or storage.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.2 General Requirements for Identity Preserved Foods Ed. 7.2

Item

Identification shall include a statement of the product's identity preserved status of all ingredients, including additives, preservatives, processing aids, and flavorings.

Primary Response

N/A

Evidence

The manufacturing facility is responsible for maintaining the identity preserved status of the items received at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.3 General Requirements for Identity Preserved Foods Ed. 7.2

Item

Raw Material and ingredient specifications to identity preserved foods shall include requirements for their handling, transport, storage, and delivery prior to use.

Primary Response

N/A

Evidence

The manufacturing facility is responsible for maintaining the identity preserved status of the items received at this storage facility.

Audit Report # 34027

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.4 General Requirements for Identity Preserved Foods Ed. 7.2

Item

Assurances concerning the raw material or ingredient's identity preserved status shall be by agreement with the supplier.

Primary Response

N/A

Evidence

The manufacturing facility is responsible for maintaining the identity preserved status of the items received at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.5 General Requirements for Identity Preserved Foods Ed. 7.2

Item

The process description shall allow for a product's identity preserved status to be maintained during manufacturing.

Primary Response

N/A

Evidence

This is a product storage (ingredients, finished goods and non food item (stored separately) warehouse distribution center. No manufacturing takes place in this facility. Items stored here are sealed at the manufacturer and do not required special handling or storage.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.6 General Requirements for Identity Preserved Foods Ed. 7.2

Item

The processing of identity preserved foods shall be conducted under controlled conditions such that: ingredients are physically separated from ingredients identified as incompatible with the identity preserved food, processing is completed separately, and the finished products are stored and transported separately.

Primary Response

N/A

Evidence

This is a product storage (ingredients, finished goods and non food item (stored separately) warehouse distribution center. No manufacturing takes place in this facility. Items stored here are sealed at the manufacturer and do not required special handling or storage.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.7 General Requirements for Identity Preserved Foods Ed. 7.2

Item

The identity preserved status shall be declared in accordance with current legal requirements.

Primary Response

N/A

Evidence

The manufacturing facility is responsible for maintaining the identity preserved status of the items received at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.1.8 General Requirements for Identity Preserved Foods Ed. 7.2

Item

Customer requirements concerning identity preserved foods shall be included in the finished product specification described in 2.3.5, or label register, and implemented by the supplier.

Primary Response

N/A

Evidence

The manufacturing facility is responsible for maintaining the identity preserved status of the items received at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.2.1 Allergen Management Ed. 7.2

Item

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.

Primary Response

Compliant

Evidence

The Allergen Control Plan 22-1-2016 details the process used at the warehouse to control allergen containing items. The facility receives items into the warehouse which may contain the following allergens: Milk, Egg, Tree Nuts, Peanuts, Wheat and Soya. The policy states that only like over like storage is permitted "Vertical Harmony" is practiced by the facility or allergen items are stored at floor level.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.2.2 Allergen Management Ed. 7.2

Item

The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured.

Primary Response

Compliant

Evidence

This facility does not produce products - this is a warehouse and the products are labeled when they arrive at the facility. Storage perimeters are like over like items only to avoid possible cross contamination if a spillage were to occur.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.2.3 Allergen Management Ed. 7.2

Item

The product trace system shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full trace back of all ingredients used.

Primary Response

Compliant

Evidence

Product trace system is used whether the product is allergen or non allergen. All items are given a license plate when received which allows the product to be traced from receiving to shipping.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.8.2.4 Allergen Management Ed. 7.2

Item

Re-working of product containing allergen causing agents shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.

Primary Response

Compliant

Evidence

No reworking is conducted at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.1.1 Training Requirements (3) Ed. 7.2

Item

Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF level 3 system and the maintenance of food safety, regulatory requirements, and quality.

Primary Response

Compliant

Evidence

The facility maintains a Food Safety and Quality Operator Training Matrix for each employee. The matrix includes the following elements: GDP's, CAPA, Outgoing Inspection, Foreign Material Control, Pest Control, Incoming Goods, Sanitation Practices, Crisis Management & Food Defense (Business Continuity), Personal Hygiene, Allergens, Storage Practices, Safe Employee Practices, HACCP / SQF.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.2.1 Training Program (M) Ed. 7.2

Item

An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with: Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate). Applying food regulatory requirements; Steps identified by the hazard analysis and/or other instructions as critical to effective implementation of the food safety plan (and quality plan level 3) and the maintenance of food safety; and
Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.

Primary Response

Compliant

Evidence

The facility maintains a Food Safety and Quality Operator Training Matrix for each employee. The matrix includes the following elements: GDP's, CAPA, Outgoing Inspection, Foreign Material Control, Pest Control, Incoming Goods, Sanitation Practices, Crisis Management & Food Defense (Business Continuity), Personal Hygiene, Allergens, Storage Practices, Safe Employee Practices, HACCP / SQF.
The President was SQF certified 2-11-2015 (Advanced Practitioner) and the Facility Manager and the Internal Auditor were certified 23-7-2014. The President, Facility Manager and Food Safety Manager were HACCP certified - 10-10-2012.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.3.1 Instructions Ed. 7.2

Item

Instructions shall be available explaining how all tasks critical to meeting regulatory compliance, the maintenance of food safety (and quality for Level 3) and process efficiency are to be performed.

Primary Response

Compliant

Evidence

The facility maintains work instructions for the jobs critical for maintaining product safety and quality at the facility. Reviewed - Inbound Receiving Work Instruction - Work Instruction details the process used by the facility when receiving items at the facility. Work instruction

was properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.4.1 HACCP Training Requirement Ed. 7.2

Item

HACCP training shall be provided for staff involved in developing and maintaining food safety plans (and quality plan for level 3).

Primary Response

Compliant

Evidence

The President was SQF certified 2-11-2015 (Advanced Practitioner) and the Facility Manager and the Internal Auditor were certified 23-7-2014. The President, Facility Manager and Food Safety Manager were HACCP certified - 10-10-2012. Basic HACCP training for the hourly employees was conducted 12-2-16. Training verification sheets were properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.5.1 Language Ed. 7.2

Item

Training materials and the delivery of training shall be provided in language understood by staff.

Primary Response

Compliant

Evidence

Training is conducted in English which is the language spoken and understood at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.6.1 Refresher Training Ed. 7.2

Item

The training program shall include provision for identifying and implementing the refresher training needs of the organization.

Primary Response

Compliant

Evidence

Annual refresher training is conducted for all employees which includes a written quiz. The annual training includes - Annual SQF Food Safety and Food Quality. The training includes a written quiz. Each employee was handed a Warehouse Food Safety & Quality Handbook. Sign in sheet verified attendance (5-3-2016)

Section

Re-certification Facility Audit Edition 7.2 Module 2 (3)

Clause

2.9.7.1 Training Skills Register Ed. 7.2

Item

A training skills register describing who has been trained in relevant skills shall be maintained. 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.

Primary Response

Compliant

Evidence

The facility maintains a 23016 Training Record which includes the following information: Employee name, Subject trained on, Training attended, Training Verified (verbal verification) - registered reviewed was current and up to date.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.1.1.1 Premises Location Ed. 7.2

Item

The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

Primary Response

Compliant

Evidence

The facility is surrounded by: North side - light industry and Sharon Road, South side - vacant grain elevator, East Side - Cold Storage and West Side is common drive for neighboring warehouse (Voght Warehouse). The surroundings do not interfere with the safe and hygienic storage and shipping of the products stored in the warehouse

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.1.2.1 Construction and Operational Approval Ed. 7.2

Item

The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

Primary Response

Compliant

Evidence

The facility is licensed by the State of Ohio as a Cold Storage Warehouse, license is valid through 31-3-2017. Note; The facility only uses a small portion of the facility for refrigerated or frozen storage, the majority of the building is used as a dry storage facility for finished goods, ingredients and non food items (stored separately from food items)

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.1.1 Materials and Surfaces Ed. 7.2

Item

In warehouses where food products are recouped or exposed, product contact surfaces shall be constructed of materials that will not contribute a food safety risk.

Primary Response

Compliant

Evidence

The facility only recoups products that are in their original container, no exposed product is handled in the facility. Surface used in the recouping of product was properly constructed and did not pose a contamination risk to the items being recouped.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.2.1 Floors, Drains and Waste Traps Ed. 7.2

Item

Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

Primary Response

Compliant

Evidence

Floors are concrete throughout the facility. Floors were properly maintained. Cracks in the floor are sealed as needed. Floor areas observed during the tour were properly maintained.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.2.2 Floors, Drains and Waste Traps Ed. 7.2

Item

Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

Primary Response

Compliant

Evidence

This is a dry warehouse, there is only one drain in the facility. If spillage occurs buckets and mops are used to remove the spillage. No product spillage was observed in the facility during the audit.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.3.1 Walls, Partitions, Doors and Ceilings Ed. 7.2

Item

Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious, and shall be kept clean (refer 12.2.11.1).

Primary Response

Compliant

Evidence

Walls are constructed of block , steel panels with some rubberized insulation materials. Ceilings are open rafters, Observations during the audit showed walls ceilings and doors were properly maintained and did pose a contamination risk to the items stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.3.2 Walls, Partitions, Doors and Ceilings Ed. 7.2

Item

Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

Primary Response

Compliant

Evidence

The wall to wall and wall to floor junction areas were properly maintained. No accumulation or blocked areas were observed during the audit of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.3.3 Walls, Partitions, Doors and Ceilings Ed. 7.2

Item

Doors shall be of solid construction; and windows shall be made of shatterproof glass or similar material.

Primary Response

Compliant

Evidence

Doors were properly constructed and maintained. Windows (in the overhead doors) were properly constructed of shatterproof materials.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.4.1 Lighting and Light Fittings Ed. 7.2

Item

Lighting in warehouses where food product is recouped or exposed shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

Primary Response

Compliant

Evidence

No exposed product is permitted to be reworked or recouped. The recouped area (only full intact packages) was properly located away from the storage area of the facility. Lighting in the area is adequate.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.4.2 Lighting and Light Fittings Ed. 7.2

Item

Light fittings in areas where food product is recouped or exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling.

Primary Response

Compliant

Evidence

Lighting in the warehouse is of proper intensity to allow the warehouse employees to properly perform their job tasks.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.4.3 Lighting and Light Fittings Ed. 7.2

Item

Light fittings in other areas where product is protected shall be designed such as to prevent breakage and product contamination.

Primary Response

Compliant

Evidence

Light fixtures (overhead lighting and insect lights) are properly protected against breakage throughout the warehouse.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.5.1 Dust, Fly and Vermin Proofing Ed. 7.2

Item

All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

Primary Response

Compliant

Evidence

External doors, windows and openings were properly sealed to prevent pests from entering the warehouse area of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.5.2 Dust, Fly and Vermin Proofing Ed. 7.2

Item

Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

Primary Response
Compliant

Evidence

Personnel access doors were properly sealed. Doors are equipped with self closing devices, doors tested properly closed with the aid of the closing device.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.5.3 Dust, Fly and Vermin Proofing Ed. 7.2

Item

External doors, including overhead dock doors, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods: a self-closing device, an effective air curtain, a fly-proof screen, a fly-proof annex, adequate sealing around trucks in docking areas.

Primary Response
Compliant

Evidence

External man doors and overhead doors were properly protected. Man doors are fitted with self closing devices (devices tested properly closed the doors) , dock seals were in acceptable conditions. Trailers observed backed into the dock areas confirmed the dock seals properly sealed the trailer.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.5.4 Dust, Fly and Vermin Proofing Ed. 7.2

Item

Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment.

Primary Response
Compliant

Evidence

Electric insect lights were properly located in the facility and did not pose a contamination risk to the items being stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.6.1?Ventilation Ed. 7.2

Item

Adequate ventilation shall be provided in enclosed storage and food handling areas.

Primary Response
Compliant

Evidence

Ventilation was adequate throughout the warehouse storage areas.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.7.1 Premises and Equipment Maintenance Ed. 7.2

Item

The methods and responsibility for the maintenance and repair of food storage areas, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

Primary Response
Compliant

Evidence

The Maintenance Program dated 7-3-2016 is a manually maintained program that covers all areas of the facility. The program addresses areas in the facility that are required to be completed on a Monthly, Quarterly, Bi-Annual and Annual basis. The program states all activities will be performed by trained, approved and competent personnel (employees and/or contractors), activities performed will be documented, proper notification of work to be performed (notification of affected area), and tools and parts used are to be accounted for.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.7.2 Premises and Equipment Maintenance Ed. 7.2

Item

Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any handling or storage area: routine maintenance of food storage areas and equipment shall be performed according to a maintenance-control schedule and recorded, failures of facility and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule, compliance with the personnel and process hygiene requirements (refer 12.3.1, 12.3.2, 12.3.3, 12.3.4) by maintenance staff and contractors, ensure warehouse supervisors are notified when maintenance or repairs are to be undertaken in any food handling area, inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times, remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

Primary Response

Compliant

Evidence

Maintenance and Contractors are required to follow safety and hygiene practices when performing work in the facility. The facility uses outside contractors for the following:
Fork Lift maintenance - as needed
Refrigeration maintenance - quarterly maintenance on the air conditioners and cooling units

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.7.3 Premises and Equipment Maintenance Ed. 7.2

Item

The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

Primary Response

Compliant

Evidence

The preventive maintenance program at the facility covers all areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.7.4 Premises and Equipment Maintenance Ed. 7.2

Item

Equipment located over exposed product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.

Primary Response

N/A

Evidence

This facility is a storage warehouse, there is no exposed product or conveyers used in this facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.7.5 Premises and Equipment Maintenance Ed. 7.2

Item

Paint used in a food handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

Primary Response

Compliant

Evidence

There is no painted food contact areas in the facility. No manufacturing occurs at this facility. The recoup area (only used to make full cases - no exposed product) was properly maintained. No peeling paint was observed in the facility at the time of the audit.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.1 Calibration Ed. 7.2

Item

The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in the pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

Primary Response

Compliant

Evidence

The Calibration policy dated 3-2-2016 describes the calibrations conducted at the facility. The facility only calibrates temperature measuring devices used to monitor the temperature of items received and storage areas that are used to maintain temperatures. Currently the facility maintains one small freezer and one cooler for items that require colder storage requirements. Temperature measuring devices used in the facility are scheduled each January to be calibrated.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.2 Calibration Ed. 7.2

Item

Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.

Primary Response

Compliant

Evidence

The facility does not own the product that is stored at the facility. The BCO - Beneficial Cargo Owner would be the one to disposition product if a calibrated piece of equipment was found to be out of calibration. The warehouse would be responsible to isolate the product and place it on hold until disposition of the product would take place.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.3 Calibration Ed. 7.2

Item

Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

Primary Response

Compliant

Evidence

The facility maintains 3 NIST certified thermometer which is properly stored in a box at the receivers desk.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.4 Calibration Ed. 7.2

Item

Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

Primary Response

Compliant

Evidence

Calibrations are certified against national reference standards by Cal Tec annually. Documentation reviewed was acceptable.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.5 Calibration Ed. 7.2

Item

Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

Primary Response

Compliant

Evidence

Calibrations of the data loggers and temperature probes are performed by an outside contractor annually. Fluke 62 Max (3 Units) last calibrated 17-11-15 and RHT 10 EXTECH Temperature Humidity Gage - calibrated 23-12-2015. Documentation reviewed was acceptable.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.8.6 Calibration Ed. 7.2

Item

Calibration records shall be maintained.

Primary Response

Compliant

Evidence

The following calibration records were reviewed:
Fluke 62 Max (3 Units) last calibrated 17-11-15 and RHT 10 EXTECH Temperature Humidity Gage - calibrated 23-12-2015. Calibrations were conducted by: CTPM

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.1 Management of Pests and Vermin Ed. 7.2

Item

The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

Primary Response

Compliant

Evidence

The facility uses an outside contractor to manage its pest control program at the facility. The outside contractor used is Terminex. Targeted pests include rodents, flying and crawling insects. Service is conducted 2X per month for the interior and exterior of the facility. The interior and exterior areas of the facility were maintained in a neat and orderly manner.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.2 Management of Pests and Vermin Ed. 7.2

Item

The pest and vermin management program shall describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program, identify the target pests for each pesticide application, outline the methods used to prevent pest problems, outline the pest elimination methods, outline the frequency with which pest status is to be checked, outline the frequency with which pest status is to be checked, include on a site map the identification, location, number and type of bait stations set, list the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available), outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station, the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits, measure the effectiveness of the program to verify the elimination of applicable pests.

Primary Response

Compliant

Evidence

The program states that the 70 interior Ketchalls (interior) will be inspected 2X per month, the Insect lights (11 units) will be monitored 2X per month, Pheromone traps (10 units) will be monitored each visit (2X per month). Exterior Bait stations (20 units) will be inspected 2X per month. Map of the devices listed was last updated 2-1-15. Service reports are documented after each visit which lists the service provided and amount of pesticides used. Checked the following MSDS Sheets - Generation Mini Blox SDS sheets was available for review.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.3 Management of Pests and Vermin Ed. 7.2

Item

Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

Primary Response

Compliant

Evidence

The facility uses an outside contractor who is a licensed Pest Control Operator by the State of Ohio. The PCO license is valid thru 30-9-2016

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.4 Management of Pests and Vermin Ed. 7.2

Item

Records of all pest control applications shall be maintained.

Primary Response

Compliant

Evidence

A service report is left after each visit to the facility. The report documents the date, time in facility, service provided, findings observed, chemicals used and any other items noted during the visit. The reports are signed off by the PCO and member of the management team. The following reports were reviewed -19-2-16 / 15-1-16 / 31-12-2015 / 23-12-2015 - reports reviewed were properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.5 Management of Pests and Vermin Ed. 7.2

Item

Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 12.5.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

Primary Response

Compliant

Evidence

Pesticides are not stored on site. Pesticide storage and use is the responsibility of the outside contractor.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.6 Management of Pests and Vermin Ed. 7.2

Item

Pest control contractors shall be licensed and approved by the local relevant authority, use only trained and qualified operators who comply with regulatory requirements, use only approved chemicals, provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps, report to a responsible senior management person on entering the premises and after the completion of inspections or treatments, provide a written report of their findings and the inspections and treatments applied.

Primary Response

Compliant

Evidence

The outside contractor maintains a business license in the State of Ohio which is valid until 30-9-16. The contractor is insured with the certificate of insurance good until 1-1-2018. The Pest Control Operator PCO is licensed by the State of Ohio - license is valid through 30-9-16. Service reports are left after each visit and are signed by the PCO and a member of the management team.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.9.7 Management of Pests and Vermin Ed. 7.2

Item

The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that empty chemical containers are not reused, are labeled, isolated and securely stored while awaiting collection, are stored under secure conditions while waiting authorized disposal by an approved vendor.

Primary Response

Compliant

Evidence

The outside service provider is responsible for the disposal of unused and empty pesticide containers.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.10.1 Equipment, Utensils and Protective Clothing Ed. 7.2

Item

Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to the product.

Primary Response

Compliant

Evidence

Equipment, storage and the recoup area (no exposed product) was properly maintained and did not pose a contamination risk to the items being stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.10.2 Equipment, Utensils and Protective Clothing Ed. 7.2

Item

Protective clothing in areas where food product is recouped or exposed shall be manufactured from material that is not liable to contaminate food and easily cleaned.

Primary Response

Compliant

Evidence

No exposed product is recouped in the facility. All open or exposed product is placed into trash containers. Employees who repack or

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recoup products are trained in the process. Protective clothing is not required since no exposed product is repacked or recouped at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.10.3 Equipment, Utensils and Protective Clothing Ed. 7.2

Item

In areas where food product is recouped or exposed, racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

Primary Response

Compliant

Evidence

No exposed product is recouped in the facility. All open or exposed product is placed into trash containers. Employees who repack or recoup products are trained in the process. Protective clothing is not required since no exposed product is repacked or recouped at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.1 Cleaning and Sanitation Ed. 7.2

Item

The methods and responsibility for the cleaning of the food handling and storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to what is to be cleaned, how it is to be cleaned, when it is to be cleaned, who is responsible for the cleaning, the responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

Primary Response

Compliant

Evidence

The Sanitation SOP 21 dated 14-1-2016 details the requirements to maintain sanitation standards in the warehouse. The SOP includes;

- Maintain a Master Cleaning Schedule
- Complete Daily Cleaning Tasks
- Follow Color coded procedure (yellow designates rest room only)
- Maintain 18" perimeter
- Empty trash containers as needed
- Keep interior free of webbing
- Dust racks as needed
- Maintain break room and rest rooms
- Maintain Floors - sweep as needed
- Outside dock areas - sweep weekly or as needed
- conduct monthly self inspections

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.2 Cleaning and Sanitation Ed. 7.2

Item

Provision shall be made for the effective cleaning of equipment, utensils and protective clothing.

Primary Response

Compliant

Evidence

The facility is a warehouse storage facility - the only equipment that is wiped down (sanitizing wipes) is the stainless steel table in the recoup area. NOTE: no exposed product is recouped at the facility. Product that is damaged is trashed, good product is placed into a new case.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.3 Cleaning and Sanitation Ed. 7.2

Item

Suitably equipped areas shall be designated for cleaning product containers, utensils and protective clothing that are used by cleaning staff in cleaning, sanitizing, and maintaining the facility. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

Primary Response

Compliant

Evidence

The facility is a storage warehouse. The majority of the cleaning method (sweeping & dusting) is conducted with out the use of water. A floor scrubber is utilize to maintain the warehouse floors.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.4 Cleaning and Sanitation Ed. 7.2

Item

Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food handling and storage areas, staff amenities and sanitary facilities and other essential areas are clean.

Primary Response

Compliant

Evidence

The Vice President of the facility conducts the pre-operational inspections of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.5 Cleaning and Sanitation Ed. 7.2

Item

The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

Primary Response

Compliant

Evidence

Visual Pre-Op inspections are conducted to verify that he equipment and warehouse is properly cleaned and maintained.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.6 Cleaning and Sanitation Ed. 7.2

Item

Detergents and sanitizers that are used to clean, sanitize and maintain the facility shall be purchased in accordance with applicable legislation. The organization shall ensure an inventory of all chemicals purchased and used shall be maintained, detergents and chemicals are stored as outlined in 12.5.4, Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased, only trained staff handles sanitizers and detergents.

Primary Response

Compliant

Evidence

The facility uses a floor scrubber to maintain the floors in the facility. The scrubber is only used on the weekend when no fork lift traffic is present. The detergent used is purchased from a local supplier - Equipment Depot - Extreme Clean Plus -is the soap used.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.7 Cleaning and Sanitation Ed. 7.2

Item

The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use, labeled, isolated and securely stored while awaiting collection, unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

Primary Response

Compliant

Evidence

Empty chemical containers are placed in the dumpster when emptied.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.2.11.8 Cleaning and Sanitation Ed. 7.2

Item

A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:

8,9,10 June 2015

8,9,10 September 2015

8, 9, 10 December 2015

8,9,10 March 2016

Daily Equipment Checklist and Work Approval (documents conditions of the lifts)

Daily Pre-Operation Checklist (includes re-coup area)

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.1.1 Personnel Ed. 7.2

Item

Personnel suffering from infectious diseases or are carriers of, any infectious disease are not permitted to work in the distribution center or in the transportation of food, and shall not engage in food handling operations, or be permitted access to storage areas where the product is exposed.

Primary Response

Compliant

Evidence

No employee was observed suffering from infectious disease during the audit. Interviews with employees confirmed that they understand that they cannot work if they are infectious or are a carrier of an infectious disease.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.1.2 Personnel Ed. 7.2

Item

Personnel with exposed cuts, sores or lesions shall not be engaged in handling exposed product or handling packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage, or an alternative suitable waterproof and colored dressing.

Primary Response

Compliant

Evidence

No employee was observed working with exposed sores or cuts. Small abrasions are required to be covered by a company issued blue band aid.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.1.3 Personnel Ed. 7.2

Item

Smoking, chewing, eating, drinking or spitting is not permitted in any food handling or storage areas where the product is exposed.

Primary Response

Compliant

Evidence

No evidence of smoking, chewing, eating or spitting was observed in the warehouse areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.2.1 Hand Washing Ed. 7.2

Item

Hand wash basins shall be provided, and in accessible locations throughout the facility as required.

Primary Response

Compliant

Evidence

Hand wash stations were properly located to allow employees to properly wash their hands upon returning to the warehouse area.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.2.2 Hand Washing Ed. 7.2

Item

Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with a potable water supply at an appropriate temperature, supplied with liquid soap contained within a fixed dispenser, with paper towels or effective hand dryer, with a means of containing used paper towels.

Primary Response

Compliant

Evidence

Hand wash basins were properly constructed (stainless steel) , supplied with hot and cold water, contained soap, towels and a trash can for used towel disposal.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.2.3 Hand Washing Ed. 7.2

Item

A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.

Primary Response

Compliant

Evidence

Hand wash reminder signs are properly posted reminding employees to properly wash their hands upon return to their work areas.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

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Clause

12.3.2.4 Hand Washing Ed. 7.2

Item

Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors after each visit to a toilet, after smoking, eating or drinking, handling wash down hoses or contaminated material.

Primary Response

Compliant

Evidence

Interviews with employees confirmed that they know to wash their hands when beginning their work day, after each break and when returning from the outside.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.2.5 Hand Washing Ed. 7.2

Item

When gloves are used, personnel shall maintain the hand washing practices outlined above.

Primary Response

N/A

Evidence

This is a finished goods warehouse, gloves are not worn. No product contact occurs at the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.3.1 Clothing Ed. 7.2

Item

Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to product.

Primary Response

Compliant

Evidence

No manufacturing occurs at this facility. Employees are required to wear clean clothes (no changing facility at the warehouse) to work. Observations during the audit confirmed that the employees were properly attired for the warehouse facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.3.2 Clothing Ed. 7.2

Item

Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition.

Primary Response

Compliant

Evidence

Clothing is required to be clean at the start of every shift. Observations during the audit showed compliance to the policy.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.4.1 Jewelry and Personal Effects Ed. 7.2

Item

Jewelry and other loose objects shall not be worn or taken into a food handling area or any area where food is recouped. The wearing of

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wedding rings and medical alert bracelets (plain bands with no stones) that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

Primary Response
Compliant

Evidence

No jewelry or loose objects were observed being worn by the employees . The policy for the facility states that wedding bands with stones are permitted (exemption applied for and granted) . Note this is a finished goods warehouse no open product or containers are repacked or recouped in this facility. Open or damaged product is destroyed.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.3.5.1 Visitors Ed. 7.2

Item
All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food handling area.

Primary Response
Compliant

Evidence

Visitors, management and maintenance are required to wear suitable clothing and foot wear when entering the food storage areas of the facility. Observations during the audit showed compliance to the protocol.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.3.5.2 Visitors Ed. 7.2

Item
All visitors shall be required to remove jewelry and other loose objects.

Primary Response
Compliant

Evidence

Auditor was reminded to remove watch prior to the tour of the facility. No unauthorized jewelry was observed in the warehouse facility during the audit.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.3.5.3 Visitors Ed. 7.2

Item
Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or exposed.

Primary Response
Compliant

Evidence

Visitors are not permitted to enter the food storage areas if they show signs of visible illness. Visitors observed were in compliance.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.3.5.4 Visitors Ed. 7.2

Item
Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.

Primary Response

Compliant

Evidence

Visitors are required to enter and exit food storage areas through the proper staff entrance points. Observations during the audit showed compliance to the protocol.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.6.1 Staff Amenities Ed. 7.2

Item

Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

Primary Response

Compliant

Evidence

Staff amenities were properly lighted and ventilated in the food warehouse areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.7.1 Change Rooms Ed. 7.2

Item

Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

Primary Response

Compliant

Evidence

The facility is a warehouse for finished goods, no products are produced at the location. Employees are expected to report to work in clean acceptable clothing. No change rooms are provided, employees observed were in compliance.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.7.2 Change Rooms Ed. 7.2

Item

Provision shall be made for staff to store their street clothing and personal items separate from food contact zones and food and packaging storage areas.

Primary Response

Compliant

Evidence

The facility provides coat racks for jackets in the lunch room area. Personal items are not permitted in the warehouse area. No personal items were observed being stored in the food handling areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.8.1 Sanitary Facilities Ed. 7.2

Item

Toilet rooms shall be designed and constructed so that they are accessible to staff and separate from any food handling operations, accessed from the warehouse or product handling area via an airlock vented to the exterior or through an adjoining room, sufficient in number for the maximum number of staff, constructed so that they can be easily cleaned and maintained, kept clean and tidy

Primary Response

Compliant

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Evidence

Rest rooms are properly located away from the food handling areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.8.2 Sanitary Facilities Ed. 7.2

Item

Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system. Procedure shall be documented and implemented to properly manage sewage back-ups in order to minimize the potential for contamination.

Primary Response

Compliant

Evidence

Sanitary drainage is directed towards the city sewer system.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.8.4 Sanitary Facilities Ed. 7.2

Item

Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 12.3.2.2.

Primary Response

Compliant

Evidence

Hand wash basins are properly located inside the rest room areas.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.9.1 Lunch Rooms Ed. 7.2

Item

Separate lunch room facilities shall be provided away from a food handling or storage areas. Lunch rooms shall be kept clean and tidy and free from waste materials and pests.

Primary Response

Compliant

Evidence

Lunch room areas are properly located away from the food handling areas of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.9.2 Lunch Rooms Ed. 7.2

Item

Signage in appropriate languages advising people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

Primary Response

Compliant

Evidence

Hand wash reminder signs are properly posted reminding employees to wash their hands after using the facilities.

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Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.3.10.1 First Aid Ed. 7.2

Item

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.

Primary Response

Compliant

Evidence

Basic first aid stations are available in the facility, if more urgent care is needed , 911 emergency system would be used.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.4.1.1 Staff Engaged in Food Handling Operations Ed. 7.2

Item

All personnel engaged in the direct handling of exposed food shall comply with the following practices: personnel entry to food handling areas shall be through the personnel access doors only, all doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or stock transfer, the wearing of false fingernails or fingernail polish is not permitted when handling food, 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, staff shall not eat or taste any product being processed in the food handling/contact zone.

Primary Response

N/A

Evidence

No direct handling of exposed food is conducted at this facility. If product is exposed it is dumped.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.4.1.2 Staff Engaged in Food Handling Operations Ed. 7.2

Item

All personnel engaged in storage, transport and handling of packaged products and materials shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination.

Primary Response

Compliant

Evidence

Proper handling of the food products stored in the warehouse was observed during the audit.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.1.1 Water supply Ed. 7.2

Item

Adequate supplies of water drawn from a known clean source shall be provided for use during holding or storage and for cleaning the premises and equipment

Primary Response

Compliant

Evidence

Water is purchased from Greater Cincinnati Water Works.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.1.2 Water supply Ed. 7.2

Item

Supplier of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment

Primary Response

Compliant

Evidence

The facility has an adequate amount of hot and cold water to properly clean the facility. The facility uses hot water tanks to produce the hot water used in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.2.1 Monitoring Water Microbiology and Quality Ed. 7.2

Item

Water used for

- i. washing, thawing and treating food;?
 - ii. an ingredient or food processing aid;?
 - iii. cleaning food contact surfaces;?
 - iv. the manufacture of ice;? and
 - v. the manufacture of steam that will come in contact with food or used to heat water that will come in contact with food
- shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

Primary Response

Compliant

Evidence

Only potable water is used in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.3.1 Water Delivery Ed. 7.2

Item

The delivery of water within the premises shall ensure potable water is not contaminated

Primary Response

Compliant

Evidence

The facility is required to test the main back flow device annually by an outside contractor - the last test of the device was conducted 13-10-2015.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.3.2 Water Delivery Ed. 7.2

Item

The use of non-potable water shall be controlled such that there is no cross contamination between potable and non-potable water lines, non-potable water piping and outlets are clearly identified.

Primary Response

Compliant

Evidence

Only potable water is used in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.4.1 Ice Supply Ed. 7.2

Item

Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 12.5.2.1.

Primary Response

N/A

Evidence

Ice is not used as an ingredient or processing aid at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.4.2 Ice Supply Ed. 7.2

Item

Ice rooms and receptacles shall be constructed of materials as outlined in elements 12.2.1, 12.2.2 and 12.2.3 and designed to minimize contamination of the ice during storage and distribution.

Primary Response

N/A

Evidence

Ice is not used as an ingredient or processing aid at this storage facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.5.1 Analysis Ed. 7.2

Item

Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

Primary Response

Compliant

Evidence

The warehouse maintains the most current microbiological water analysis dated 2014 report from the the City of Cincinnati. Current report dated 2014 showed the water was acceptable.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.5.5.2 Analysis Ed. 7.2

Item

Water and ice shall be analyzed using reference standards and methods.

Primary Response

Compliant

Evidence

Water analyzed by the City of Cincinnati is in compliance with the National Primary Drinking Water Act including Lead and Copper standards.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.5.6.1 Air Quality Ed. 7.2

Item
Compressed air that contacts food or food contact surfaces shall be clean and present no risk to food safety

Primary Response
N/A

Evidence
No compressed air is used in the facility, this is a finished goods storage warehouse onl

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.5.6.2 Air Quality Ed. 7.2

Item
Compressed air systems
used in the production process shall be
maintained and regularly monitored for
purity

Primary Response
N/A

Evidence
No manufacturing occurs at this warehouse facility.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.6.1.1 Cold and Chilled Storage Ed. 7.2

Item
The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be designed and constructed to allow for the hygienic and efficient refrigeration of food, easily accessible for inspection and cleaning.

Primary Response
Compliant

Evidence
The facility maintains 2 coolers (40'x80') - Cooler 80 average temperature 34.1F , Cooler 200 average temperature-Not in use, Freezer 500 (40x40') average temperature -2.5F.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause
12.6.1.2 Cold and Chilled Storage Ed. 7.2

Item
Sufficient refrigeration capacity shall be available to store chilled or frozen food at the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.

Primary Response
Compliant

Evidence
Temperature documentation confirmed that there is sufficient refrigeration in the facility to maintain the temperatures in the cooler and freezer areas.

Section
Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.1.3 Cold and Chilled Storage Ed. 7.2

Item

Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

Primary Response

Compliant

Evidence

Discharge from the condensate lines is properly discharged to a drain in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.1.4 Cold and Chilled Storage Ed. 7.2

Item

Cold and chilled 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 a temperature measurement device that is easily readable and accessible.

Primary Response

Compliant

Evidence

The facility uses data loggers to monitor the temperatures in the cooler and freezer areas. The units are located right inside the door area so the warmest part of the area is being monitored.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.1.5 Cold and Chilled Storage Ed. 7.2

Item

Loading and unloading docks shall be designed to protect product during loading and unloading.

Primary Response

Compliant

Evidence

Loading and unloading docks properly protect the products during the loading and unloading process The Inbound inspection SOP dated 25-1-2016 stated trailer temperature will be documented on the BOL and reefer units should be running during the unloading process.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.2.1 Storage of Shelf Stable Packaged Goods Ed. 7.2

Item

Rooms used for the storage of dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

Primary Response

Compliant

Evidence

This facility only stores ingredients, finished goods or non-food grade items separately). No product contamination issues were observed during the audit of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.2.2 Storage of Shelf Stable Packaged Goods Ed. 7.2

Item

Racks provided for the storage of food Products shall be constructed of impervious materials and designed to enable cleaning of the floors

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and the storage room. Storage areas shall be constructed to prevent food products becoming a harborage for pests or vermin.

Primary Response
Compliant

Evidence

Racks were properly constructed (steel) and allowed access for cleaning purposes. The facility maintains an 18" perimeter along the interior walls for inspection purposes. The perimeter was properly maintained at the time of the audit.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.2.3 Storage of Shelf Stable Packaged Goods Ed. 7.2

Item

Vehicles used in storage rooms shall be designed and operated so as not to present a food safety hazard.

Primary Response
Compliant

Evidence

The facility uses electric and propane vehicles to move finished goods in the warehouse area. The units observed (electric and propane) were properly maintained. Propane powered lifts are checked for emissions - sticker on the the two lifts checked showed they were in compliance. Emissions are checked 2X per year, the last check of the propane lifts was conducted on 25-6-2015.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.3.1 Storage of Equipment and Containers Ed. 7.2

Item

Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

Primary Response
Compliant

Evidence

Storage room and storage areas of the facility were properly maintained for the hygienic and proper storage of equipment in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.4.1 Storage of Hazardous Chemicals and Toxic Substances Ed. 7.2

Item

Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.

Primary Response
Compliant

Evidence

Hazardous materials are properly stored in locked cabinets away from the storage area of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.5.1 Alternative Storage and Handling of Goods Ed. 7.2

Item

Where goods described in 12.5.1 to 12.5.4 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.

Primary Response

N/A

Evidence

No alternate storage facilities are used

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.6.1 Loading, Transport and Unloading Practices Ed. 7.2

Item

The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

Primary Response

Compliant

Evidence

The Shipping Procedures dated 7-3-2016 details the requirements followed by the facility during the shipping process. The policy states:
-All vehicles will be inspected prior to the loading process
-All items will be inspected prior to being loaded
-Products being loaded will; be checked to ensure they have been properly released
-Bill of Lading will be confirmed - must contain 4 signatures prior to release

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.7.1 Loading Ed. 7.2

Item

Vehicles (trucks/vans/containers) used for transporting food 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 product.

Primary Response

Compliant

Evidence

Records supplied as evidence of compliance were dated:
8,9,10 June 2015
8,9,10 September 2015
8, 9, 10 December 2015
8,9,10 March 2016

TWC Positive Release Log – (Outbound)
Logs reviewed were properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.7.2 Loading Ed. 7.2

Item

Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.

Primary Response

Compliant

Evidence

Loading practices observed were acceptable. The majority of the loads being shipped are ambient temperature loads. If a refrigerated load is shipped the policy (Shipping Procedure) states that the transport vehicles will; be pre-chilled to the proper temperature prior to the loading process. Temperature (pre-chilled) will be recorded on the Positive Release Log.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

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Clause

12.6.8.1 Transport Ed. 7.2

Item

Refrigerated units shall maintain the food 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.

Primary Response

Compliant

Evidence

If a refrigerated load is shipped the policy (Shipping Procedure) states that the transport vehicles will; be pre-chilled to the proper temperature prior to the loading process. Temperature (pre-chilled) will be recorded on the Positive Release Log. After the loading process and the trailer is sealed the driver takes responsibility for the load.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.8.2 Transport Ed. 7.2

Item

The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.

Primary Response

Compliant

Evidence

Product temperature checks are documented on the Outgoing Goods Inspection Log . Only common carriers are used for refrigerated product shipments from the facility. The driver takes ownership of the product once the trailer is loaded and sealed.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.8.3 Transport Ed. 7.2

Item

The refrigeration unit shall be monitored for environmental contraminants

Primary Response

Compliant

Evidence

The interior of the trailers or trucks are inspected prior to the loading process. Refrigerated shipments are transported using common carriers, once the trailer is loaded and sealed the driver takes full responsibility of the product.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.9.1 Unloading Ed. 7.2

Item

Prior to opening the doors the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

Primary Response

Compliant

Evidence

Temperatures of the trailers are checked and documented on the Inbound Log & Bills of Lading when the doors of the trailer are opened.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.6.9.2 Unloading Ed. 7.2

Item

Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.

Primary Response
Compliant

Evidence

Observations during the unloading of a trailer confirmed that the process used by the facility did not pose the product to conditions that were detrimental to the items being unloaded.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.1.1 Control of Foreign Matter Ed. 7.2

Item

The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.

Primary Response
Compliant

Evidence

The Foreign Material Program dated 25-1-16 states the following SOP's are used in the facility to control possible foreign material contamination:

Glass Hazard Checklist - Monthly Audit
Glass Incident report - completed if a breakage occurs
Glass location map - last updated 25-1-16
Glass, Brittle Plastics and Ceramics Policy
Pallets SOP

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.1.2 Control of Foreign Matter Ed. 7.2

Item

Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

Primary Response
Compliant

Evidence

The facility conducts monthly Glass and Brittle plastic audits - Reviewed the following audits - Aug. 2015, Nov. 2015 and Jan. 2016 - Audits reviewed were properly documented.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.1.3 Control of Foreign Matter Ed. 7.2

Item

The following preventative measures shall be implemented where applicable to prevent glass contamination: all glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location, containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing/contact zones, conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register, inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

Primary Response
Compliant

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Evidence

The facility maintains a glass register. The register is a floor plan of the facility that documents the areas in the facility that contain glass or brittle plastics. The map was last updated 25-1-2016.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.1.4 Control of Foreign Matter Ed. 7.2

Item

Wooden pallets and other wooden utensils used in food handling and storage shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

Primary Response

Compliant

Evidence

Wood pallets observed during the audit of the facility were properly maintained.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.1.5 Control of Foreign Matter Ed. 7.2

Item

Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

Primary Response

Compliant

Evidence

No loose metal objects were observed improperly stored in the warehouse area during the audit.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.2.1 Managing Foreign Matter Contamination Incidents Ed. 7.2

Item

In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

Primary Response

Compliant

Evidence

The Foreign Material Program dated 25-1-2016 states that if a foreign matter contamination occurs in the facility the affected item shall be isolated and inspected by management. Disposition of the affected product will be conducted by management.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.7.2.2 Managing Foreign Matter Contamination Incidents Ed. 7.2

Item

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.

Primary Response

Compliant

Evidence

The Glass and Brittle Plastics and Ceramics policy dated 21-1-16 - Section 4 states the in the event of Accidental breakage potentially affected product will be isolated, inspected for signs of contamination and cleaned prior to commencement of operations. The policy included inspection or disposal of equipment used and inspection of foot wear for those that were involved in the clean up process.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.8.1.1 Dry and Liquid Waste Disposal Ed. 7.2

Item

The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

Primary Response

Compliant

Evidence

The Waste Control 19-1-2016 details the procedures used by the facility to properly dispose of the waste materials generated by the facility. These controls include: Removing waste materials from the facility in a timely manner, defective finished goods are removed and properly disposed of, so as not to return to the food supply chain, if materials need to be destroyed, proper procedures are followed and recall items are properly handled.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.8.1.2 Dry and Liquid Waste Disposal Ed. 7.2

Item

Waste shall be removed on a regular basis and not build up in food handling or storage areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

Primary Response

Compliant

Evidence

Waste collection areas inside and outside were properly maintained during the audit of the facility. No accumulation of waste materials was observed in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.8.1.3 Dry and Liquid Waste Disposal Ed. 7.2

Item

Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

Primary Response

Compliant

Evidence

Trash containers and collection bins were properly maintained. No excessive accumulation of trash materials was observed in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.8.1.4 Dry and Liquid Waste Disposal Ed. 7.2

Item

Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

Primary Response

Compliant

Evidence

The following reviews are conducted in the facility:
-Daily Pre-Op - #4 - documents the dumpster area is properly maintained

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-Monthly GDP Inspection - documents incidents observed during the inspection of the facility
-Building Accountability Schedule - rows are assigned to employees to maintain in a neat and orderly fashion - Daily accountability for the week is included on the list.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.9.1.1 Grounds and Roadways Ed. 7.2

Item

The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

Primary Response

Compliant

Evidence

No excess debris was observed during the tour of the exterior grounds. Roadways and dock areas were properly paved to minimize dust on the exterior of the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.9.1.2 Grounds and Roadways Ed. 7.2

Item

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.

Primary Response

Compliant

Evidence

Paths, roadways, loading and unloading areas were properly maintained and did not pose a contamination risk to the items being stored in the facility.

Section

Re-certification Facility Audit Edition 7.2 Module 12 (3)

Clause

12.9.1.3 Grounds and Roadways Ed. 7.2

Item

Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

Primary Response

Compliant

Evidence

Observations during the tour of the exterior showed the facility to be properly maintained. The surroundings did not present a hazard for the products being stored in the warehouse.

Access Control

Additional Document Security

Last Edited by Miranda Miller on Apr 25, 2016 11:38:38 AM

Comments

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 **Miranda Miller,** Apr 25, 2016 11:38:35 AM, :



 **Miranda Miller,** Apr 25, 2016 11:38:38 AM, :

