SQFI Audit Report

I. Company Information

Company Name	Taylor Warehouse Corp.			Company #	8201
Address 1	2875 E. Sharon Rd.				
Address 2	Click here to enter text.				
City	Cincinnati	State	OH	Zip Code	45241
Country	United States	Phone #	513-773-2123		
SQF Practitioner	Rex Taylor	Email	rex@taylordist.com		
Food Sector Categories	26. Food Wholesaling and Distribution				
Modules Audited	Module 2 (Level 3); Module 12				
Certified Products	warehouse				

II. Certification Body

Certifying Body	Mérieux NutriSciences Certification			CB #	CB-1-Silliker
Address 1	111 E Upper Wacker Drive				
Address 2	Suite 2300				
City	Chicago	State	IL	Zip Code	60601
Country	United States	Phone #	+13129385151		
Accreditation Body	JAS-ANZ	Accreditation Number	Z3720906AB		

III. Audit Schedule

Certification Type	Recertification	Level	Level 3
Start Date	3/14/2017	End Date	3/16/2017
Scope of Certification	warehouse		

IV. Audit Team

First Name	Last Name	Person #	Role
Harold	Russell	10418	Lead Auditor

Add Team Member

V. Audit Duration

Actual Start Date	3/14/2017	Actual End Date	3/16/2017
Hours Spent at Facility	17	Hours Spent Writing Report	8

VI. Certification Decision

Certificate Decision Date	5/6/2017	Certificate Issue Date	5/9/2017
Audit Score	99	Audit Rating	Excellent
Certification #	640780		
Re-certification Date	3/31/2018	Expiration Date	6/14/2018
Surveillance Audit Due Date	Click here to enter a date.	Certification Decision	Certified

Calculate Dates

VII. Non-Conformities

Element	Description	Primary Response	Evidence
12.2.7.2	12.2.7.2 Premises and Equipment Maintenance	Minor	Minor: There are openings around piping in some of the interior walls that that have not been sealed. These pipe are very close to the ceiling. Minor: There are several areas in the upper wall insulation that has been torn or punctured and/or the insulation is loose.

VIII. Root Cause Analysis *(To be completed by supplier)*

Element	Description	Primary Response	Root Cause
12.2.7.2	12.2.7.2 Premises and Equipment Maintenance	Minor	Missed on Internal Audit. Internal Audit process will be reviewed and steps will be taken to ensure upper structure receives more attention.

IX. Corrective Actions

Clause	Primary Response	Corrective Action *(Supplier)*	Verification of Closeout *(Certification Body)*	Required Completion Date	Close Out *(CB)*
12.2.7.2	Minor	Holes and tears to insulation were sealed and repaired.	The attached photos show that appropriate corrective actions have been taken for the resolution of this NCR.	4/15/2017	4/4/2017

Populate Stats From Sections

(Requires Enabled Macros)

Audit Statement		
Header	**Item**	**Evidence**
Opening Meeting	People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by comas)	Rex Taylor: President/Lead SQF Practitioner, Harold Russell: SQF Auditor, Rick Johnson: Food Safety Manager/SQF Practitioner, Timothy Paff: Maintenance, and AJ Roaker: Warehouse Manager.
Closing Meeting	People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by comas)	Rex Taylor: President/Lead SQF Practitioner, Harold Russell: SQF Auditor, Rick Johnson: Food Safety Manager/SQF Practitioner, Timothy Paff: Maintenance, Timothy, and AJ Roaker: Warehouse Manager.
Facility Description	Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details	Taylor Warehouse located in Cincinnati, OH is a food storage warehouse located in an industrial park section of the city. The facility was constructed in 1972. 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 facility warehouse has a footprint of 129, 600 sq. ft. There are 1 small cooler 40 x 80 and 1 small freezer 40 x 40. The Cooler and Freezer square footage in included in the facility square footage. The facility air conditions one area for items that need to be maintained at approx. 70 F. (Candy Storage). 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 11 employees that work 1 shift 6 AM - 5:30 pm 5 days a week. The facility distributes food and grocery items and food ingredients. The facility also distributes non-food items but none that would be considered hazardous. The non-food items observed were inert materials. The building has been sold to another entity who

		also warehouses materials in the sections of the warehouse that have been vacated by the Taylor Warehouse. The building owners are storing and distributing swimming pools, high-end outside furniture and other furniture items. Taylor Warehouse has maintained control of the pest control activities for the entire building.
Auditor Recommendation	Auditor Recommendation	Maintain Certification

2.1.1 Management Policy

Element	Description	Primary Response	Evidence
2.1.1.1 Management Policy (M)	Senior management shall prepare and implement a policy statement that outlines as a minimum: the organization's commitment to supply safe food; the methods used to comply with its customer and regulatory requirements and continually improve its food safety and quality management system; and the organization's commitment to establish and review food safety and quality and quality objectives.	Compliant	Click here to enter text.
2.1.1.2 Management Policy (M)	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	Compliant	Click here to enter text.

2.1.1 Management Policy Summary

The policy statement has been prepared and implemented by the facility's senior management. The policy was signed by the company president on 2-10-17.

2.1.2 Management Responsibility

Element	Description	Primary Response	Evidence
2.1.2.1 Management Responsibility (M)	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.	Compliant	The Organizational Chart is in place and Current as of 1-30-17. The organizational chart has been posted strategically throughout the facility where employees would be able to see.
2.1.2.2 Management Responsibility (M)	The senior management shall make provision to ensure fundamental food safety and quality and quality practices are adopted and maintained.	Compliant	Click here to enter text.
2.1.2.3 Management Responsibility (M)	The senior management shall ensure adequate resources are available to achieve food safety and quality objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System.	Compliant	Click here to enter text.
2.1.2.4 Management Responsibility (M)	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, the food safety plan outlined in 2.4.3, and the food quality plan outlined in 2.4.4; 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 of the SQF System.	Compliant	Click here to enter text.

2.1.2 Management Responsibility

Element	Description	Primary Response	Evidence
2.1.2.5 Management Responsibility (M)	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 and be competent to implement and maintain HACCP-based food safety 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.	Compliant	Click here to enter text.
2.1.2.6 Management Responsibility (M)	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 shall be defined and documented.	Compliant	Click here to enter text.
2.1.2.7 Management Responsibility (M)	All staff shall be informed of their responsibility to report food safety and quality problems to personnel with authority to initiate action.	Compliant	Click here to enter text.

2.1.2 Management Responsibility

Element	Description	Primary Response	Evidence
2.1.2.8 Management Responsibility (M)	Job descriptions for those responsible for food safety and quality shall be documented and include provision to cover for the absence of key personnel.	Compliant	Click here to enter text.
2.1.2.9 Management Responsibility (M)	The senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.	Compliant	Click here to enter text.

2.1.2 Management Responsibility Summary

The senior management has made provision for all employees to receive Food Safety & Quality Training on a regular routine. The resources have been made available to the employees to be trained with the Food Safety and Quality tools they need so that the SQF system can be maintained and improved. The facility has three trained SQF Practitioners. Those who have received training are the Company President/SQF Practitioner, Food Safety Manager, and the Maintenance Manager. The facility has designated a SQF Practitioner who is also the facility's President. The job descriptions are in place and the following job descriptions were reviewed: President, Warehouse Manager, Food Safety, and maintenance manager. The staff has been informed that they should report anything that could be a food safety issue to someone who is authorized to take actions. Senior Management has established processes to improve the SQF System by providing training of personnel. Several facility personnel have received HACCP training, and three (3) employees have received SQF Training.

2.1.3 Food Safety and Quality Management System

Element	Description	Primary Response	Evidence
2.1.3.1 Food Safety and Quality Management System (M)	A food safety and quality and quality manual 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 and quality policies and the methods it will apply to meet the requirements of this standard: the policy statement and organization chart: The scope of the certification; and a list of the products covered under the scope of certification.	Compliant	The FSPs and FQPs are maintained in both electronically and in Hard Copy formats.
2.1.3.2 Food Safety and Quality Management System (M)	A food safety manual 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.	Compliant	Click here to enter text.
2.1.3.3 Food Safety and Quality Management System (M)	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 and quality manual.	Compliant	The FQPs are in-place and current and the last review date was 2-17-17.

2.1.3 Food Safety and Quality Management System Summary

The FSPs and FQPs have both developed for the facility and both are maintained in electronic and hard copy format. The FSP and FQP Plans do not have any CCPs or CQPs. The appropriate PRPs are in place for the facility.

2.1.4 Management Review

Element	Description	Primary Response	Evidence
2.1.4.1 Management Review (M)	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.	Compliant	The Senior Management review was completed on 2-21-17.
2.1.4.2 Management Review (M)	The SQF System in its entirety shall be reviewed at least annually.	Compliant	Click here to enter text.
2.1.4.3 Management Review (M)	Food safety fundamentals food safety plans and food quality plans shall be reviewed when any changes implemented have an impact on the supplier's ability to deliver safe, quality food.	Compliant	Click here to enter text.

2.1.4 Management Review

Element	Description	Primary Response	Evidence
2.1.4.4 Management Review (M)	Changes to food safety fundamentals, food safety plans and food quality plans that have an impact on the supplier's ability to deliver safe, quality food are to be validated.	Compliant	Click here to enter text.
2.1.4.5 Management Review (M)	Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.	Compliant	Click here to enter text.

2.1.4 Management Review Summary

The FSPs and FQPs are reviewed on and annual schedule. The SQF Practitioner is responsible for reviewing and validating the FSPs and FQPs when changes are made that could impact product food safety or quality. These records would be maintained were such an event occur.

2.1.5 Complaint Management			
Element	**Description**	**Primary Response**	**Evidence**
2.1.5.1 Complaint Management	The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.	Compliant	These protocols are addressed in SOP 8.3 Customer Complaints.
2.1.5.2 Complaint Management	Trends of customer complaint data shall be investigated and analyzed by personnel knowledgeable about the incidents.	Compliant	Click here to enter text.
2.1.5.3 Complaint Management	Corrective action shall be implemented commensurate with the seriousness of the incident and as outlined under 2.5.5.	Compliant	Click here to enter text.

2.1.5 Complaint Management

Element	Description	Primary Response	Evidence
2.1.5.4 Complaint Management	Records of customer complaints and their investigations shall be maintained.	Compliant	Click here to enter text.

2.1.5 Complaint Management Summary

The customer complaints are trended on a regular routine. When a Customer Complaint has been investigated and resolved the CAPA report info is automatically put into the Trend analyses. The following CAPA Reports were reviewed: 2-14-17 – developed as the result of the facility's BCP, 2-15-17 – Trailer rejected due to broken glass on the trailer floor, 10-27-16 – Wrong #of pallets were shipped. The incidents were resolved with corrective actions that were commensurate with the seriousness of the incident.

2.1.6 Business Continuity Planning

Element	Description	Primary Response	Evidence
2.1.6.1 Business Continuity Planning	A business continuity plan based on the understanding of known 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, quality food.	Compliant	These protocols for the facility's BCP is addressed as part of facility's Crisis Management SOP – Doc # 2.1.
2.1.6.2 Business Continuity Planning	The business continuity plan shall include as a minimum sources of legal and expert advice. The business continuity plan shall include as a minimum: i. A senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident; ii. The nomination and training of a crisis management team; iii. The controls implemented to ensure a response to a crisis does not compromise product safety and quality; iv. The measures to isolate and identify product affected by a response to a crisis; v. The measures taken to verify the acceptability of food prior to release; vi. The preparation and maintenance of a current crisis alert contact list; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations and media.	Compliant	Click here to enter text.

2.1.6 Business Continuity Planning

Element	Description	Primary Response	Evidence
2.1.6.3 Business Continuity Planning	The business continuity plan shall be reviewed, tested and verified at least annually.	Compliant	Click here to enter text.
2.1.6.4 Business Continuity Planning	Records of reviews and verification of the business continuity plan shall be maintained.	Compliant	Click here to enter text.

2.1.6 Business Continuity Planning Summary

The most senior manager on the BCP (Crisis Management Team) is the facility President. Protocols are in-place for segregating any product that could have been affected by an incident. The BCP – Test for this year was a fire a fire drill that lasted 7 minutes to conduct. The test resulted in a CAPA being executed because the facility paging system did not function as designed. The records of the BCP reviews and verifications are maintained.

2.2.1 Document Control

Element	Description	Primary Response	Evidence
2.2.1.1 Document Control (M)	The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented.	Compliant	These protocols are addressed in SOP 7.3 – Document Control.
2.2.1.2 Document Control (M)	A register of current SQF System documents and amendments to documents shall be maintained.	Compliant	Click here to enter text.
2.2.1.3 Document Control (M)	Documents shall be safely stored and readily accessible.	Compliant	Click here to enter text.

2.2.1 Document Control Summary

The register is in place and current as 3-10-17. The documents are safely stored and accessible.

2.2.2 Records			
Element	**Description**	**Primary Response**	**Evidence**
2.2.2.1 Records (M)	The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.	Compliant	Records reviewed are as follows: Outbound Freight Inspection Records: 9-2-16, 9-23-16, 10-11-16, 10-13-16, 3-14-16, 3-15-16, 3-16-16, 7-11-16, 7-2-16, 7-26-16, 2-15-17, & 2-22-17. – A new Form has been developed by the facility to better assure that the loads are correct before they load the trailers – Outgoing Freight – the facility required the order filler, and a supervisor and the loader to sign – off each outgoing load before the load leaves the facility. Inbound Freight Inspection: 1-23-17, 1-29-17, 2-1-17, 5-2-16, 5-4-16, 5-5-16, 10-13-16, 10-14-16, 10-17-16, 2-23-17, 2-21-17, & 2-22-17. PM's Reviewed: All PM's are manually maintained. The Preventative Maintenance in the facility is contracted to contracted service provider: The following maintenance records from the contracted service provider were reviewed: $-22-16 thru 5-6-16, 6-2-16, & 10-18-16 thru 11-3-16. The cooler temperature records for the two coolers and freezer are maintained electronically. The cooler refrigeration system is connected to an Alarm System that contacts the facility personnel when the system gets out of its set parameters. The following Cooler and Freezer Temperature records were reviewed: Jan – 2017, Mar – 2016, Jul

			– 2016, & Oct – 2016. Exemptions have been granted to the facility for: 12.6.8.1/12.6.8.1 Internal Product Temperatures, and 12.3.4.1 – jewelry requirements, and alternative practice to having cool docks was authorized – SOP # 36 is acceptable. The facility conducts the following internal audits: Monthly GDP Warehouse Audits- Includes Glass and Brittle Plastics register as a tool during the audit: 4-18-16, 7-14-16, 11-17-16, & 2-10-17. The Glass and Brittle Plastics register is in place and was updated on 2016-17. Food Defense Audits are also conducted Monthly. The facility also conducts monthly allergens for individual allergens. Currently the only allergens in the facility are in other products as ingredients. The facility completes daily Pre-Op Inspections on a daily schedule. Reviewed the Pre-Op inspections for the year of 2016 and Jan and Feb of 2017. The facility also completes daily equipment checks at the beginning of each day. These records were reviewed. The following facility personnel have received training: Tim Paff – Principles in Internal Auditing: Maintenance: March 12 & 13, 2015 & Quality

			Analysis and Control – May 13, 2015, & Implementing SQF Systems – July 23, 2014. Rick Johnson: Principles in Internal Auditing: Maintenance: March 12 & 13, 2015, Quality Analysis and Control – May 13, 2015, & Implementing SQF Systems – July 23, 2014. Rex Taylor: Verifying and validating: Food Safety Overview: May 21, 2-15, Principles of Internal Auditing: Nov 13 &14, 2014, & Advanced SQF Practitioner: 11-5-15, Quality Analysis and Control – 9-30-15. Pest Control Records: The Facility has chosen Terminix as its PCO: The Pesticide Usage report was in-place: Pheromone Trap Overview -1-30-17, 2-17-17, The approved Pesticide list Checklist is in place. PCO's are licensed by the State of Ohio Department of Agriculture: 9-30-17, & 9-30-19. Certificate of Liability Insurance: 1-1-18. Service Reports: ILT's: 3-3-17, 8-5-16, 10-21-26, 1-6-17, 7-1-16, 3-4-16 Inside Traps: 2-17-17, 2-3-17, 1-6-17, 12-2-16, 12-2-16, 11-3-16, 3-4-16, 2-5-16, 1-8-16 Outside Bait Stations: 1-20-17, 12-16-16, 11-18-16, 8-19-16, 8-5-16, 7-15-16, 3-18-16, 2-19-16, 1-15-16 The Pest Control Scope of service is in place: 1-6-17 The facility map is in place and current as of 1-6-17, The calibration Protocols are spelled out ij The Calibration SOP Version 16 – 1-18-17 Doc. # 4.4.

			The facility Pyrometers were calibrated on (two (2) units) 2-2-17. Calibration Log: Two (2) Monitoring Devices (Fluke 62 Max Temp Gun – 2-2-17 90 Cooler Monitor – 2-16-17, 500 Cooler Monitor – 2-26-17, 20 Cooler Monitor – 2-16-17 and 80 Cooler Monitor – 2-16-17 The water report from the Greater Cincinnati Water Works is on file. The results are that the water is potable. The Master Sanitation Schedule is in place for other than Master Cleaning Schedule: 1-6-17 thru 3-10-17, 5-20-16 thru 9-23-16, 1-8-16 thru 5-13-16. The Daily Cleaning Schedule is in place and current: 1-25-17 thru 2-21-17, 12-21-16 thru 1-24-17, 5-6-16 thru 7-7-16, 7-13-16 thru 8-10-16.
2.2.2.2 Records (M)	All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.	Compliant	These protocols are addressed in Doc # 7.12 – Records Management.
2.2.2.3 Records (M)	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.	Compliant	Click here to enter text.

2.2.2 Records Summary
The records were legible and properly authorized. The records were readily accessible, retrievable and stored securely.

2.3.1 Specification and Product Development

Element	Description	Primary Response	Evidence
2.3.1.1 Specification and Product Development	The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.	N/A	Click here to enter text.
2.3.1.2 Specification and Product Development	Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.	N/A	Click here to enter text.
2.3.1.3 Specification and Product Development	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.	N/A	Click here to enter text.

2.3.1 Specification and Product Development

Element	Description	Primary Response	Evidence
2.3.1.4 Specification and Product Development	A food safety plan and food quality plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process, or packaging occurs that may impact food safety and quality.	N/A	Click here to enter text.
2.3.1.5 Specification and Product Development	Records of all product design, process development, shelf life trials and approvals shall be maintained.	N/A	Click here to enter text.

2.3.1 Specification and Product Development Summary

This is a warehouse facility only. No processing or reprocessing occurs in this facility.

2.3.2 Raw and Packaging Materials			
Element	**Description**	**Primary Response**	**Evidence**
2.3.2.1 Raw and Packaging Materials	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 and quality shall be documented and kept current.	N/A	Click here to enter text.
2.3.2.2 Raw and Packaging Materials	All raw and packaging materials and ingredients shall comply with the relevant legislation.	N/A	Click here to enter text.
2.3.2.3 Raw and Packaging Materials	The methods and responsibility for developing and approving detailed raw material, ingredient, and packaging specifications shall be documented.	N/A	Click here to enter text.
2.3.2.4 Raw and Packaging Materials	Raw and packaging materials and ingredients shall be validated to ensure product safety and quality 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.	N/A	Click here to enter text.

2.3.2 Raw and Packaging Materials

Element	Description	Primary Response	Evidence
2.3.2.5 Raw and Packaging Materials	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.	N/A	Click here to enter text.
2.3.2.6 Raw and Packaging Materials	Product labels shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.	N/A	Click here to enter text.
2.3.2.7 Raw and Packaging Materials	A register of raw and packaging material specifications and labels shall be maintained and kept current.	N/A	Click here to enter text.

2.3.2 Raw and Packaging Materials Summary

This facility is a warehouse facility only. So, no raw and packaging materials are developed or needed. The manufacturing facilities are responsible for their products and all specifications.

2.3.3 Contract Service Providers

Element	Description	Primary Response	Evidence
2.3.3.1 Contract Service Providers	Specifications for contract services that have an impact on finished product safety and quality shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract personnel.	Compliant	These protocols are addressed in SOP 6.2 Documenting Maintenance Activities.
2.3.3.2 Contract Service Providers	A register of all contract service specifications shall be maintained.	Compliant	Click here to enter text.

2.3.3 Contract Service Providers Summary

The contractor register is in place and maintained electronically.

2.3.4 Contract Manufacturers

Element	Description	Primary Response	Evidence
2.3.4.1 Contract Manufacturers	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.	N/A	Click here to enter text.
2.3.4.2 Contract Manufacturers	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 undergo 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	N/A	Click here to enter text.
2.3.4.3 Contract Manufacturers	Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.	N/A	Click here to enter text.

2.3.4 Contract Manufacturers Summary

The facility is a distribution warehouse so the facility does not have any co-mans.

2.3.5 Finished Product

Element	Description	Primary Response	Evidence
2.3.5.1 Finished Product	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, product quality attributes.	N/A	Click here to enter text.
2.3.5.2 Finished Product	A register of finished product specifications shall be maintained.	N/A	Click here to enter text.

2.3.5 Finished Product Summary

This facility is not a manufacturing facility so no finished products are used or needed.

2.4.1 Food Legislation

Element	Description	Primary Response	Evidence
2.4.1.1 Food Legislation (M)	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, trade weights and measures, packaging, product description, nutritional, allergen and additive labeling, and to relevant established Industry codes of practice.	Compliant	These protocols are addressed in the facilities guide to regulatory inspection, and the Regulatory Currency (Current Docs): Doc # 7.14.
2.4.1.2 Food Legislation (M)	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.	Compliant	Click here to enter text.
2.4.1.3 Food Legislation (M)	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).	Compliant	Click here to enter text.

2.4.1 Food Legislation Summary

The facility stays up to date by being members of several trade organizations: IWLA, WERC, TIA, CSCMP and subscribing to and reading industry publications. Also, by regularly consulting the FDA and Web sites and having candid conversations with regulators when on site.

2.4.2 Food Safety Fundamentals

Element	Description	Primary Response	Evidence
2.4.2.1 Food Safety Fundamentals (M)	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.	Compliant	The site, building, are located appropriately for a food distribution warehouse. 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 facility is well maintained.
2.4.2.2 Food Safety Fundamentals (M)	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.	Compliant	Click here to enter text.
2.4.2.3 Food Safety Fundamentals (M)	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.	Compliant	The facility has the following PRPs: Allergen Control, Business Continuity, Foreign Material, Good Distribution Practices, Inbound Shipments, Maintenance, Management Structure Report and Support Non-Conforming Product Equipment and Services, Outbound Shipments, Pest Management, Sanitation Practices, Supplier Approval, Training,

			and Waste Control.

2.4.2 Food Safety Fundamentals

Element	Description	Primary Response	Evidence
2.4.2.4 Food Safety Fundamentals (M)	The effectiveness of the pre-requisite programs shall be verified as described in 2.5.4.	Compliant	Click here to enter text.

2.4.2 Food Safety Fundamentals Summary

The food safety fundamentals are as described in SQF Code. The facility has a letter from Silliker dated 10-8-14 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. The effectiveness of the prerequisites are to be verified throughout facility and audit conducted by the internal facility audits.

2.4.3 Food Safety Plan

Element	Description	Primary Response	Evidence
2.4.3.1 Food Safety Plan (M)	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.	Compliant	These protocols are addressed in the facility's HACCP Plan Manual. The FSP and FQP are maintained in the same manual as separate plans. The food safety plan has been developed and is current. The product description, flow diagram, and Hazard Analysis are in place for the facility's HACCP Plan. The facility has not identified any CCPs.

2.4.3 Food Safety Plan Summary

The food safety plans has been developed and contains the required elements. The plan was last reviewed on 2-17-17.

2.4.4 Food Quality Plan

Element	Description	Primary Response	Evidence
2.4.4.1 Food Quality Plan (M)	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 outline the results of a food quality risk analysis conducted to identify threats to achieving and maintaining product and process quality, prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food quality, include process controls at quality points in production to monitor product quality, identify when a process is deviating from set parameters and make corrections to keep a process under control, cover a food or food group and the associated processes, include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organization's scope of certification.	Compliant	These protocols are addressed in the facility's HACQP Plan Manual. The FSP and FQP are maintained in the same manual as separate plans. The food safety plan has been developed and is current. The product description, flow diagram, and Hazard Analysis are in place for the facility's HACQP Plan. The facility has not identified any CQPs.
2.4.4.2 Food Quality Plan	Use of the SQF quality shield shall follow the requirements outlined in Appendix 3: SQF Quality Shield and Logo Rules of Use.	Compliant	The facility uses the SQF Quality Shield on its Website. The facility received permission to use the SQF Shield.

2.4.4 Food Quality Plan Summary

The facility has developed and implemented FSP and FQP plans and these plans have been signed by the HACCP Team Leader – the company President.

2.4.5 Incoming Goods and Services

Element	Description	Primary Response	Evidence
2.4.5.1 Incoming Goods and Services	Raw materials, ingredients, packaging materials and services that impact on finished product safety and quality shall be supplied by an approved supplier.	Compliant	These protocols are addressed in Taylor Warehouse Supplier Approval Procedure.
2.4.5.2 Incoming Goods and Services	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.	Compliant	Click here to enter text.
2.4.5.3 Incoming Goods and Services	The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented.	Compliant	Click here to enter text.

2.4.5 Incoming Goods and Services

Element	Description	Primary Response	Evidence
2.4.5.4 Incoming Goods and Services	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: i. agreed specifications: ii. reference to the rating of the level of risk applied to a raw material's ingredients, packaging materials and services and the approved supplier; iii. a summary of the food safety and quality controls implemented by the approved supplier; iv. methods for granting approved supplier status; v. methods and frequency of monitoring approved suppliers; vi. details of the certificates of conformance; and vii. Methods and frequency of reviewing approved supplier performance and status.	Compliant	Click here to enter text.
2.4.5.5 Incoming Goods and Services	A register of approved supplier and records of inspections and audits of approved suppliers shall be maintained.	Compliant	The register has been divided in to the following categories: General Suppliers, Packaging Suppliers, Depositor-Bailor Suppliers and Contractors.

2.4.5 Incoming Goods and Services Summary

Any materials from a non-approved supplier cannot be used until they have been thoroughly inspected for defects. These materials can only be used during emergency circumstances. These protocols were last updated on 2-16-17. The responsibility for these procedures belongs to the company President, AJ Raaker, Tim Paff, and Rick Johnson. Rick Johnson tis the primary back-up. The supplies status is based on prior performance and some of these requirements are: Required 3rd Party Audits, Food Safety Programs, Allergen Programs, methods for granting approved status, the frequency of site visits, SDS Sheets, & Food Defense. Pest Food Distribution: SQF – Expires 5-13-17, Bon Appetit Danish Inc. Dist. – AIB – Expires – 2-23-17, Smarties Candy Company: Expires – 5-14-17.

2.4.6 Non-conforming Product or Equipment

Element	Description	Primary Response	Evidence
2.4.6.1 Non-conforming Product or Equipment	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.	Compliant	These protocols are addressed in the SOP – 8.4 – Non-Conforming Products and Equipment.
2.4.6.2 Non-conforming Product or Equipment	Quarantine records, and records of the handling, corrective action, or disposal of non-conforming product or equipment shall be maintained.	Compliant	Click here to enter text.

2.4.6 Non-conforming Product or Equipment Summary

The on HOLD equipment log was reviewed and the last item placed of hold was Racking on 2-16-17. The Hold Log for products is maintained electronically and the last date an item was placed on hold was 3-8-17. The most prevalent reason for placing items was that the product was out of code. The Hold logs for the Year 2016 and to date in 2017 were reviewed.

2.4.7 Product Rework

Element	Description	Primary Response	Evidence
2.4.7.1 Product Rework	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.	Compliant	The protocols are addressed in the Packaging and & Recoup – SOP – Doc # 4.13.
2.4.7.2 Product Rework	Records of all reworking operations shall be maintained.	Compliant	Click here to enter text.

2.4.7 Product Rework Summary

The facility does not do what would be considered to be true Rework. No food items are exposed to the atmosphere. The facility only recoups items. Partial cases are put together if the same code date when cases are damaged. Partial cases would be the result if the codes were different.

2.4.8 Product Release

Element	Description	Primary Response	Evidence
2.4.8.1 Product Release (M)	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.	Compliant	These protocols are addressed in SOP 9.10 – Product Release Program.
2.4.8.2 Product Release (M)	Records of all product release shall be maintained.	Compliant	These records are maintained.

2.4.8 Product Release Summary

Product release records are maintained. The following protocols are used when preparing a load to ship. Order Filling SOP: (Doc 9.5), Outbound Shipping WI (Doc 9.7), and Shipping Procedures (Doc 9.11). The shipping release records are maintained. All items are inspected to ascertain that the product to be shipped meet all of the requirements for Customers, Regulatory, and Taylor Warehouse requirements. The Load Inspection (Outbound Freight Report) sheet requires three (3) signatures for the process to be completed – Order filler, supervisor, and the loader.

2.4.9 Stock Rotation

Element	Description	Primary Response	Evidence
2.4.9.1 Stock Rotation	The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented.	Compliant	The protocols are addressed in SOP 4.11 – Inventory and Accuracy.
2.4.9.2 Stock Rotation	Procedures are in place to ensure that all ingredients, materials, work-in-progress, and finished product are utilized within their designated shelf-life.	Compliant	Click here to enter text.

2.4.9 Stock Rotation Summary

The uses the primarily the FEFO (First Expired-First Out) stock rotation system. The customer's requirements are taken into account with respect to product shipments. The primary focus is the customer's requirements for shipping products and tracking the expiration dates of the products to make sure that all items are shipped within the limits of the expiration codes.

2.5.1 Responsibility Frequency and Methods

Element	Description	Primary Response	Evidence
2.5.1.1 Responsibility Frequency and Methods	Validation and verification activities shall be conducted.	Compliant	These activities are the responsibility of the SQF Practitioner.
2.5.1.2 Responsibility Frequency and Methods	The frequency and methods used to validate and verify food safety fundamentals, critical limits, and other food safety and quality controls identified in food safety and quality plans shall be documented and implemented and meet their intended purpose.	Compliant	Click here to enter text.
2.5.1.3 Responsibility Frequency and Methods	Records of all verification activities shall be maintained.	Compliant	Click here to enter text.

2.5.1 Responsibility Frequency and Methods Summary

The SQF Practitioner validates the PRPs on an at least an annual schedule primarily through audits. The verifications of the PRPs are conducted as per the schedule set by the SQF Practitioner. The last validations were completed on 2-19-17.

2.5.2 Validation and Effectiveness

Element	Description	Primary Response	Evidence
2.5.2.1 Validation and Effectiveness (M)	The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs, and validating critical food safety and quality limits to 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 and quality hazard(s), 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; Critical food safety and quality limits are re-validated at least annually.	Compliant	These protocols are addressed in the version 5: 2 - 19-17 of the Validations and verifications register.
2.5.2.2 Validation and Effectiveness (M)	Records of all validation activities shall be maintained.	Compliant	Click here to enter text.

2.5.2 Validation and Effectiveness Summary

The records of validations are maintained and the last review of these protocols was addressed on 2-19-17.

2.5.3 Verification Schedule

Element	Description	Primary Response	Evidence
2.5.3.1 Verification Schedule	A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.	Compliant	Click here to enter text.

2.5.3 Verification Schedule Summary

The verification schedule is in place as to who, what, when and where. These plans are set – up by the SQF Practitioner.

2.5.4 Verification of Monitoring Activities

Element	Description	Primary Response	Evidence
2.5.4.1 Verification of Monitoring Activities (M)	The methods, responsibility and criteria for verifying the effectiveness of monitoring pre-requisite programs, critical control points, critical quality points and other food safety and quality controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each record verified.	Compliant	The activities are spelled out in the Version 5 – 2-19-17 of Validations and Verifications Doc # 7.17.
2.5.4.2 Verification of Monitoring Activities (M)	Records of the verification of monitoring activities shall be maintained.	Compliant	Click here to enter text.

2.5.4 Verification of Monitoring Activities Summary

The facility has not identified any CCP's or CQP's in the facility's HACCP Plan. The verifications are conducted of the PRP's on the schedule that is set up in the frequency set up in the Validations and Verifications – Doc # 7.17.

2.5.5 Corrective and Preventative Action

Element	Description	Primary Response	Evidence
2.5.5.1 Corrective and Preventative Action (M)	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 and quality limits, and deviations from food safety and quality requirements, shall be documented and implemented.	Compliant	These protocols are addressed in SOP # MG 8.2 Corrective Action and Preventative Actions Program.
2.5.5.2 Corrective and Preventative Action (M)	Records of all investigation and resolution of corrections and corrective action shall be maintained.	Compliant	Click here to enter text.

2.5.5 Corrective and Preventative Action Summary

The CAPAs are maintained as a record. Corrective Action records were reviewed. The following CAPA Reports were reviewed: 2-14-17 – developed as the result of the facility's BCP, 2-15-17 – Trailer rejected due to broken glass on the trailer floor, 10-27-16 – Wrong #of pallets were shipped. The incidents were resolved with corrective actions that were commensurate with the seriousness of the incident.

2.5.6 Product Sampling, Inspection and Analysis

Element	Description	Primary Response	Evidence
2.5.6.1 Product Sampling, Inspection and Analysis	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; i. 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 ii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. iii. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard. iv. 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; v. Sensory evaluations comply with the relevant product sensory attributes specified by the customer; and vi. Sensory evaluations are conducted by trained personnel in accordance with established methods or as specified by the customer.	N/A	This facility is a Warehouse only. There is no manufacturing on site.

2.5.6 Product Sampling, Inspection and Analysis

Element	Description	Primary Response	Evidence
2.5.6.2 Product Sampling, Inspection and Analysis	Records of all inspections, analyses, sensory evaluations and actions arising from inspections, analyses and sensory evaluations shall be maintained.	N/A	Click here to enter text.

2.5.6 Product Sampling, Inspection and Analysis Summary

This facility is a storage warehouse only, there is no manufacturing.

2.5.7 Internal Audits

Element	Description	Primary Response	Evidence
2.5.7.1 Internal Audits (M)	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, food quality plans and legislative controls shall be documented and implemented. The methods applied shall ensure: i. An internal audit schedule is prepared detailing the scope and frequency of internal audits; ii. Correction and corrective action of deficiencies identified during the internal audits is undertaken; iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; and iv. Records of internal audits and any corrections and corrective action taken as a result of internal audits shall be maintained.	Compliant	These protocols are addressed in the SOP # 7.5 Internal Audits Programs.
2.5.7.2 Internal Audits (M)	Staff conducting internal audits shall be trained in internal audit procedures.	Compliant	Click here to enter text.
2.5.7.3 Internal Audits (M)	Where possible staff conducting internal audits shall be independent of the function being audited.	Compliant	Click here to enter text.

2.5.7 Internal Audits Summary

The personnel conducting the audits have received in-use training. Most of the time the same person will be conducting the audits. This facility has a staff of eleven (11). The facility conducts the following internal audits: Monthly GDP Warehouse Audits- Includes Glass and Brittle Plastics register as a tool during the audit: 4-18-16, 7-14-16, 11-17-16, & 2-10-17.
Food Defense Audits are also conducted Monthly.
The facility also conducts monthly allergens for individual allergens. Currently the only allergens in the facility are in other products as ingredients.
The facility completes daily Pre-Op Inspections on a daily schedule. Reviewed the Pre-Op inspections for the year of 2016 and Jan and Feb of 2017.

The following facility personnel have received training:
Tim Paff – Principles in Internal Auditing: Maintenance: March 12 & 13, 2015 & Quality Analysis and Control – May 13, 2015, & Implementing SQF Systems – July 23, 2014.
Rick Johnson: Principles in Internal Auditing: Maintenance: March 12 & 13, 2015, Quality Analysis and Control – May 13, 2015, & Implementing SQF Systems – July 23, 2014.
Rex Taylor: Verifying and validating: Food Safety Overview: May 21, 2-15, Principles of Internal Auditing: Nov 13 &14, 2014, & Advanced SQF Practitioner: 11-5-15, Quality Analysis and Control – 9-30-15.

2.6.1 Product Identification

Element	Description	Primary Response	Evidence
2.6.1.1 Product Identification (M)	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.	Compliant	These protocols are addressed in the Traceability program SOP Version 10 – Doc # 2.16. The warehouse maintained code date records of the products per customer requirement and stack rotation.
2.6.1.2 Product Identification (M)	Product identification records shall be maintained.	Compliant	Click here to enter text.

2.6.1 Product Identification Summary

Records were reviewed: Outbound Freight Inspection Records: 9-2-16, 9-23-16, 10-11-16, 10-13-16, 3-14-16, 3-15-16, 3-16-16, 7-11-16, 7-2-16, 7-26-16, 2-15-17, & 2-22-17. – A new Form has been developed by the facility to better assure that the loads are correct before they load the trailers – Outgoing Freight – the facility required the order filler, and a supervisor and the loader to sign – off each outgoing load before the load leaves the facility.

Inbound Freight Inspection: 1-23-17, 1-29-17, 2-1-17, 5-2-16, 5-4-16, 5-5-16, 10-13-16, 10-14-16, 10-17-16, 2-23-17, 2-21-17, & 2-22-17.

2.6.2 Product Trace

Element	Description	Primary Response	Evidence
2.6.2.1 Product Trace (M)	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.	Compliant	A trace exercise was conducted during the audit on 3-14-17.
2.6.2.2 Product Trace (M)	Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.	Compliant	Click here to enter text.

2.6.2 Product Trace Summary

The methods and responsibility for the product traceability is spelled out in the facility recall plan. The records of all product received and shipped are maintained. A total of 770 Cases of 12 PK Dry Crumb were received on 2-21-17. The product was shipped out from 2-22-17 thru 3-14-17 and the facility has 33 cases left in inventory. A 100 % recovery was realized.

2.6.3 Product Withdrawal and Recall

Element	Description	Primary Response	Evidence
2.6.3.1 Product Withdrawal and Recall (M)	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.	Compliant	These protocols are addressed in Version 19 – Recall Business Continuity 2.8.17 – Doc # 2.13. Since this facility is warehouse only, the recall responsibility is to provide the customer with a paperwork trail within 2 hours of notification and with 100 % accuracy to the first level of distribution. If these metrics were not met then a CAPA process would be initiated to ascertain why the metrics were not met.
2.6.3.2 Product Withdrawal and Recall (M)	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.	Compliant	Click here to enter text.

2.6.3 Product Withdrawal and Recall

Element	Description	Primary Response	Evidence
2.6.3.3 Product Withdrawal and Recall (M)	The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually.	Compliant	Click here to enter text.
2.6.3.4 Product Withdrawal and Recall (M)	Records of all product withdrawals, recalls and mock exercises shall be maintained.	Compliant	Click here to enter text.

2.6.3 Product Withdrawal and Recall Summary

The facility's recall system is required to be checked on a bi-annual schedule. The records of recalls and mocks are maintained. The last mock recall was conducted on 1-20-17 and the scenario was that a customer called and wanted a product that was in the warehouse to be placed on Hold and that the pallets were for disposition. This exercise required 30 minutes to complete. The previous Mock recall was conducted on 3-15-16 which was that a Customer had requested that product be segregated for possible destruction – identified with Hold tag – this exercise required 1 hour to complete. Since this is a warehouse only no sampling or tested was conducted.

2.7.1 Food Defense

Element	Description	Primary Response	Evidence
2.7.1.1 Food Defense (M)	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.	Compliant	These protocols are addressed in the facility's Business Continuity Plan. The SOP's that address facility security are: BCP – 2.2, 2.3, 2.4, 2.5, 2.6, 2.7, 2.8, 2.9, & 2.10.
2.7.1.2 Food Defense (M)	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.	Compliant	Click here to enter text.

2.7.1 Food Defense Summary

The most senior member of the Food Defense team in the Company President – Rex Taylor. The Facility is registered with the FDA – Food Facility Registration. The contact information for the key personnel and emergency services are in place. Legal personnel are also listed as support for the Food Defense Team.

2.8.1 General Requirements for Identity Preserved Foods

Element	Description	Primary Response	Evidence
2.8.1.1 General Requirements for Identity Preserved Foods	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.	N/A	The manufacturer is responsible for making sure that the ingredients and or products are Identity preserved – properly sealed. There is no manufacturing at this warehouse.
2.8.1.2 General Requirements for Identity Preserved Foods	Identification shall include a statement of the product's identity preserved status of all ingredients, including additives, preservatives, processing aids and flavorings.	N/A	Click here to enter text.
2.8.1.3 General Requirements for Identity Preserved Foods	Raw material and ingredient specifications to identity preserved foods shall include requirements for their handling, transport, storage and delivery prior to use.	N/A	Click here to enter text.
2.8.1.4 General Requirements for Identity Preserved Foods	Assurances concerning the raw material or ingredient's identity preserved status shall be by agreement with the supplier.	N/A	Click here to enter text.

2.8.1 General Requirements for Identity Preserved Foods

Element	Description	Primary Response	Evidence
2.8.1.5 General Requirements for Identity Preserved Foods	The process description shall allow for a product's identity preserved status to be maintained during manufacturing.	N/A	Click here to enter text.
2.8.1.6 General Requirements for Identity Preserved Foods	The processing of identity preserved foods shall be conducted under controlled conditions such that: i. Ingredients are physically separated from ingredients identified as incompatible with the identity preserved food; ii. Processing is completed in separate rooms; or scheduled as the first production run; or carried out after the completion of a thorough sanitation of the area and equipment; and iii. Finished product is stored and transported in separate units or isolated by a physical barrier from non-specialty product.	N/A	Click here to enter text.
2.8.1.7 General Requirements for Identity Preserved Foods	The identity preserved status shall be declared in accordance with current legal requirements.	N/A	Click here to enter text.
2.8.1.8 General Requirements for Identity Preserved Foods	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.	N/A	Click here to enter text.
2.8.1 General Requirements for Identity Preserved Foods Summary			

The facility stores IP products. The storage of IP Products are required to be in compliance with the Certifying Organization's storage requirements.

2.8.2 Allergen Management

Element	Description	Primary Response	Evidence
2.8.2.1 Allergen Management	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 i. A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain allergens; ii. A register of allergens which is applicable in the country of manufacture and the country(ies) of destination; iii. A list of allergens which is accessible by relevant staff. iv. The hazards associated with allergens and their control incorporated into the food safety plan. v. Instructions on how to identify, handle, store and segregate raw materials containing allergens provided to staff responsible for receiving those target raw materials. vi. Provision to clearly identify and segregate foods that contain allergens, vii. 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. viii. Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be	Compliant	The facility addresses the Allergen Protocols in their Allergen Control Plan – Version 16 – 2-8-17 – Doc # 1.1.

	effectively implemented. ix. Separate handling and production equipment where satisfactory line hygiene and clean-up or segregation is not possible.		
2.8.2.2 Allergen Management	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.	Compliant	Click here to enter text.

2.8.2 Allergen Management

Element	Description	Primary Response	Evidence
2.8.2.3 Allergen Management	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.	N/A	The facility is warehouse only there is no production.
2.8.2.4 Allergen Management	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.	N/A	Click here to enter text.

2.8.2 Allergen Management Summary

The pallet IDs are in place and stay with the pallets from receiving through the shipping process. There is no manufacturing in this facility. No “true” rework activities are carried out at this location – only “recouping”. The allergens are stored and the procedure calls for like allergens stored over like allergens – or Harmonized Stored of Allergens. The facility also conducts monthly allergens audits for individual allergens. Currently the only allergens in the facility are in other products as ingredients.

2.9.1 Training Requirements

Element	Description	Primary Response	Evidence
2.9.1.1 Training Requirements	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.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.

2.9.1 Training Requirements Summary

The SQF Practitioner is responsible for the training needs of the organization. The programs spells all of the training that is required for warehouse personnel and the facility's management.

2.9.2 Training Program

Element	Description	Primary Response	Evidence
2.9.2.1 Training Program (M)	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: i. Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate). ii. Applying food regulatory requirements; iii. Steps identified by the hazard analysis and other instructions as critical to effective implementation of the food safety plan and the maintenance of food safety; iv. Steps identified as critical to effective implementation of the food quality plan and the maintenance of food quality; and v. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.

2.9.2 Training Program Summary

The training requirements who work in the facility include: GDP Requirements, CAPA, Outgoing Inspections, Foreign Material Control, Pest Control, Sanitation Practices, Business Continuity, Personal Hygiene, Storage Practices, Safe Employee Practices, GMP requirements, HACCP, Job Specific, Company Specific, and Customer Specific. The management personnel are also required to have been trained in Document Control, Root Cause Analysis, & Supplier.

2.9.3 Instructions

Element	Description	Primary Response	Evidence
2.9.3.1 Instructions	Instructions shall be available explaining how all tasks critical to meeting regulatory compliance; the maintenance of food safety and quality and process efficiency are to be performed.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.

2.9.3 Instructions Summary

The work instructions are available for all of the tasks required to maintain the facility's FSP and FQF plans in an efficient manner.

2.9.4 HACCP Training Requirement

Element	Description	Primary Response	Evidence
2.9.4.1 HACCP Training Requirement	HACCP training shall be provided for staff involved in developing and maintaining food safety and quality plans.	Compliant	The facility have received classroom HACCP Training.

2.9.4 HACCP Training Requirement Summary

The following personnel have received HACCP Training: Rex Taylor: Oct 9 & 10, 2012, Rick Johnson: Oct. 9 & 10, 2012, Brian Burkhart: Oct 9 & 10, 2012, Timothy Paff: Oct 9 & 10, 2012, Rhonda Mettey – 8-11-14 , Andrew Raaker: 8-11-14,

2.9.5 Language			
Element	**Description**	**Primary Response**	**Evidence**
2.9.5.1 Language	Training materials and the delivery of training shall be provided in language understood by staff.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.
2.9.5 Language Summary			
English is the language used for training in the facility.			

2.9.6 Refresher Training

Element	Description	Primary Response	Evidence
2.9.6.1 Refresher Training	The training program shall include provision for identifying and implementing the refresher training needs of the organization.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.

2.9.6 Refresher Training Summary

Refresher training is required of all employees on an annual schedule. The last personnel training was conducted on 3-11-17.

2.9.7 Training Skills Register

Element	Description	Primary Response	Evidence
2.9.7.1 Training Skills Register	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.	Compliant	These protocols are addressed in SOP Training – Doc # 13.6 – Training Program.

2.9.7 Training Skills Register Summary

The training skills register is in place and current. Several of the employees comprehension quizzes were reviewed. The training includes SQF, HACCP, Pest Control, and waste management. The last training was conducted on 3-11-17. The following employees were interviewed during the course of the audit: 2 – Loader/Receivers, and 1- Warehouse Manager.

12.1.1 Premises Location

Element	Description	Primary Response	Evidence
12.1.1.1 Premises Location	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.	Compliant	Click here to enter text.

12.1.1 Premises Location Summary

The facility is located in a warehouse section of Cincinnati and the surrounding do not present a risk hazard to the facility's operation.

12.1.2 Construction and Operational Approval

Element	Description	Primary Response	Evidence
12.1.2 Construction and Operational Approval	The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.	Compliant	Click here to enter text.

12.1.2 Construction and Operational Approval Summary

The facility is authorized to operate as a Cold Storage Distribution facility by the State of Ohio. Only a small portion of the facility is used for Cold Storage. The remaining areas are for Dry Goods Storage – Ingredients, finished goods and inert non-food items. The building has been sold and Taylor Warehousing uses a small portion of the overall facility for its needs. The major portion of the warehouse is used for the storage of furniture (inside and outside) and swimming pool parts and accessories.

12.2.1 Materials and Surfaces

Element	Description	Primary Response	Evidence
12.2.1 Materials and Surfaces	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.	N/A	Click here to enter text.

12.2.1 Materials and Surfaces Summary

No products exposed while in the warehouse. Any product that was exposed would be destroyed. The facility has no approvals in – place to reclaim any products.

12.2.2 Floors, Drains and Waste Traps

Element	Description	Primary Response	Evidence
12.2.2.1 Floors, Drains and Waste Traps	Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.	Compliant	Click here to enter text.
12.2.2.2 Floors, Drains and Waste Traps	Drains shall be constructed and located so they can be easily cleaned and not present a hazard.	Compliant	Click here to enter text.

12.2.2 Floors, Drains and Waste Traps Summary

The floors are constructed on dense smooth concrete. The drains do not present a risk hazard to the facility's operations.

12.2.3 Walls, Partitions, Doors and Ceilings

Element	Description	Primary Response	Evidence
12.2.3.1 Walls, Partitions, Doors and Ceilings	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).	Compliant	Click here to enter text.
12.2.3.2 Walls, Partitions, Doors and Ceilings	Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.	Compliant	Click here to enter text.
12.2.3.3 Walls, Partitions, Doors and Ceilings	Doors shall be of solid construction; and windows shall be made of shatterproof glass or similar material.	Compliant	Click here to enter text.

12.2.3 Walls, Partitions, Doors and Ceilings Summary

The walls, partitions, ceilings, and doors are constructed of appropriate materials and were observed to be well maintained.

12.2.4 Lighting and Light Fittings

Element	Description	Primary Response	Evidence
12.2.4.1 Lighting and Light Fittings	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.	Compliant	Click here to enter text.
12.2.4.2 Lighting and Light Fittings	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.	Compliant	Click here to enter text.
12.2.4.3 Lighting and Light Fittings	Light fittings in other areas where product is protected shall be designed such as to prevent breakage and product contamination.	Compliant	Click here to enter text.

12.2.4 Lighting and Light Fittings Summary

The light fixtures throughout the facility are properly shielded. No product is exposed under normal circumstances in this facility. If any product were to be exposed that product would have to be destroyed. The candlepower throughout the facility is very adequate.

12.2.5 Dust, Fly and Vermin Proofing

Element	Description	Primary Response	Evidence
12.2.5.1 Dust, Fly and Vermin Proofing	All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.	Compliant	Click here to enter text.
12.2.5.2 Dust, Fly and Vermin Proofing	Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.	Compliant	Click here to enter text.
12.2.5.3 Dust, Fly and Vermin Proofing	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.	Compliant	Click here to enter text.

12.2.5 Dust, Fly and Vermin Proofing

Element	Description	Primary Response	Evidence
12.2.5.4 Dust, Fly and Vermin Proofing	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.	Compliant	Click here to enter text.

12.2.5 Dust, Fly and Vermin Proofing Summary

All of the facility's doors are effectively sealed when closed, which includes all overhead doors, and employee access doors. The ILT's used in the facility do not present a risk hazard to the facility's operation.

12.2.6 Ventilation

Element	Description	Primary Response	Evidence
12.2.6.1 Ventilation	Adequate ventilation shall be provided in enclosed storage and food handling areas.	Compliant	Click here to enter text.

12.2.6 Ventilation Summary

Adequate ventilation was observed to be adequate throughout the facility.

12.2.7 Premises and Equipment Maintenance

Element	Description	Primary Response	Evidence
12.2.7.1 Premises and Equipment Maintenance	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.	Compliant	All PM's are manually maintained. The Preventative Maintenance in the facility is contracted to contracted service provider: The following maintenance records from the contracted service provider were reviewed: 4-22-16 thru 5-6-16, 6-2-16, & 10-18-16 thru 11-3-16.
12.2.7.2 Premises and Equipment Maintenance	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.	Minor	Minor: There are openings around piping in some of the interior walls that that have not been sealed. These pipe are very close to the ceiling. Minor: There are several areas in the upper wall insulation that has been torn or punctured and/or the insulation is loose.

12.2.7 Premises and Equipment Maintenance			
Element	**Description**	**Primary Response**	**Evidence**
12.2.7.3 Premises and Equipment Maintenance	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.	Compliant	These protocols are addressed in Maintenance PRP.
12.2.7.4 Premises and Equipment Maintenance	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.	N/A	Products are not exposed inside the facility – storage only.
12.2.7.5 Premises and Equipment Maintenance	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.	Compliant	Click here to enter text.
12.2.7 Premises and Equipment Maintenance Summary			
The maintenance protocols cover the entire facility. The paint used in the facility is approved for use in food facilities.			

12.2.8 Calibration			
Element	**Description**	**Primary Response**	**Evidence**
12.2.8.1 Calibration	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.	Compliant	The calibration Protocols are spelled out in The Calibration SOP Version 16 – 1-18-17 Doc. # 4.4.
12.2.8.2 Calibration	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.	Compliant	Click here to enter text.
12.2.8.3 Calibration	Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.	Compliant	Click here to enter text.

12.2.8 Calibration

Element	Description	Primary Response	Evidence
12.2.8.4 Calibration	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.	Compliant	Click here to enter text.
12.2.8.5 Calibration	Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.	Compliant	Click here to enter text.
12.2.8.6 Calibration	Calibration records shall be maintained.	Compliant	Click here to enter text.

12.2.8 Calibration Summary

The calibration Protocols are spelled out in The Calibration SOP Version 16 – 1-18-17 Doc. # 4.4. The facility Pyrometers were calibrated on (two (2) units) 2-2-17.
Calibration Log (Temperature): Two (2) Monitoring Devices (Fluke 62 Max Temp Gun – 2-2-17)
90 Cooler Monitor – 2-16-17,
500 Cooler Monitor – 2-26-17,
20 Cooler Monitor – 2-16-17
and 80 Cooler Monitor – 2-16-17

No products are produced or exposed in this facility. The facility's temperature monitoring devices are kept safe when not in use – stored safely in the Receiver's area.

The Pyrometers and other temperature measuring devices are sent out for calibration annually. The contractors who perform the calibrations use standard methods and or the recommendations of the device manufacturer. The calibration records are maintained.

12.2.9 Management of Pests and Vermin			
Element	**Description**	**Primary Response**	**Evidence**
12.2.9.1 Management of Pests and Vermin	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.	Compliant	These protocols are addressed in the Pest Control PRP.
12.2.9.2 Management of Pests and Vermin	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.	Compliant	Click here to enter text.

12.2.9 Management of Pests and Vermin

Element	Description	Primary Response	Evidence
12.2.9.3 Management of Pests and Vermin	Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.	Compliant	Click here to enter text.
12.2.9.4 Management of Pests and Vermin	Records of all pest control applications shall be maintained.	Compliant	Click here to enter text.
12.2.9.5 Management of Pests and Vermin	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.	Compliant	This is the responsibility of the PCO.

12.2.9 Management of Pests and Vermin

Element	Description	Primary Response	Evidence
12.2.9.6 Management of Pests and Vermin	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.	Compliant	Click here to enter text.
12.2.9.7 Management of Pests and Vermin	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.	Compliant	These activities are the responsibility of the PCO.

12.2.9 Management of Pests and Vermin Summary

The Facility has chosen Terminix as its PCO:
The Pesticide Usage report was in-place:
Pheromone Trap Overview -1-30-17, 2-17-17,
Approved Pesticide list Checklist is in place and current.
PCO's are licensed by the State of Ohio Department of Agriculture: 9-30-17, & 9-30-19.
Certificate of Liability Insurance: 1-1-18.
Service Reports:
ILT's: 3-3-17, 8-5-16, 10-21-26, 1-6-17, 7-1-16, 3-4-16
Inside Traps: 2-17-17, 2-3-17, 1-6-17, 12-2-16, 12-2-16, 11-3-16, 3-4-16, 2-5-16, 1-8-16
Outside Bait Stations: 1-20-17, 12-16-16, 11-18-16, 8-19-16, 8-5-16, 7-15-16, 3-18-16, 2-19-16, 1-15-16
The Pest Control Scope of service is in place: 1-6-17

The facility map is in place and current as of 1-6-17,

12.2.10 Equipment, Utensils and Protective Clothing

Element	Description	Primary Response	Evidence
12.2.10.1 Equipment, Utensils and Protective Clothing	Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to the product.	Compliant	Click here to enter text.
12.2.10.2 Equipment, Utensils and Protective Clothing	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.	N/A	Click here to enter text.
12.2.10.3 Equipment, Utensils and Protective Clothing	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.	N/A	Click here to enter text.

12.2.10 Equipment, Utensils and Protective Clothing Summary

The equipment used in the facility does not present a risk hazard to the operation of the facility. All products handled through this facility are in packages and if any product were to become exposed that product would be destroyed. This facility is not authorized to recoup exposed product.

12.2.11 Cleaning and Sanitation

Element	Description	Primary Response	Evidence
12.2.11.1 Cleaning and Sanitation	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.	Compliant	These protocols are addressed in the Sanitation Practices – PRP.
12.2.11.2 Cleaning and Sanitation	Provision shall be made for the effective cleaning of equipment, utensils and protective clothing.	Compliant	Click here to enter text.
12.2.11.3 Cleaning and Sanitation	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.	N/A	Click here to enter text.

12.2.11 Cleaning and Sanitation			
Element	**Description**	**Primary Response**	**Evidence**
12.2.11.4 Cleaning and Sanitation	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.	Compliant	Click here to enter text.
12.2.11.5 Cleaning and Sanitation	The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.	Compliant	Click here to enter text.
12.2.11.6 Cleaning and Sanitation	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.	Compliant	Click here to enter text.

12.2.11 Cleaning and Sanitation

Element	Description	Primary Response	Evidence
12.2.11.7 Cleaning and Sanitation	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.	Compliant	Click here to enter text.
12.2.11.8 Cleaning and Sanitation	A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.	Compliant	The Company V-P is responsible for the daily Pre-Op Inspections.

12.2.11 Cleaning and Sanitation Summary

The primary methods utilized for cleaning of the facility warehouses is a wipe-down or dry cleaning procedures. A floor scrubber is used to maintain the floors in a sanitary condition. Appropriate cleaners are utilized when cleaning the Restrooms and Breakrooms. The Master Sanitation Schedule is in place for other than Master Cleaning Schedule: 1-6-17 thru 3-10-17, 5-20-16 thru 9-23-16, 1-8-16 thru 5-13-16. No product contact equipment is used by this facility.
The Daily Cleaning Schedule is in place and current: 1-25-17 thru 2-21-17, 12-21-16 thru 1-24-17, 5-6-16 thru 7-7-16, 7-13-16 thru 8-10-16. The Floor Scrubber Soap is purchased from an approved supplier. The empty soap containers are disposed of with the facility's solid waste. The facility completes daily Pre-Op Inspections. Reviewed the Pre-Op inspections for the year of 2016 and Jan and Feb of 2017.

12.3.1 Personnel

Element	Description	Primary Response	Evidence
12.3.1.1 Personnel	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.	Compliant	Click here to enter text.
12.3.1.2 Personnel	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.	Compliant	Click here to enter text.
12.3.1.3 Personnel	Smoking, chewing, eating, drinking or spitting is not permitted in any food handling or storage areas where the product is exposed.	Compliant	Click here to enter text.

12.3.1 Personnel Summary

The facility personnel know from their GMP/GWP/GDP training that they are not to work when sick. The employees also n=now from the GMP Training that they are not to have open sores or cuts while working. The activities noted in 12.3.1.3 are allowed only in designated locations.

12.3.2 Hand Washing

Element	Description	Primary Response	Evidence
12.3.2.1 Hand Washing	Hand wash basins shall be provided, and in accessible locations throughout the facility as required.	Compliant	Click here to enter text.
12.3.2.2 Hand Washing	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.	Compliant	Click here to enter text.
12.3.2.3 Hand Washing	A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.	Compliant	Click here to enter text.

12.3.2 Hand Washing

Element	Description	Primary Response	Evidence
12.3.2.4 Hand Washing	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.	Compliant	Click here to enter text.
12.3.2.5 Hand Washing	When gloves are used, personnel shall maintain the hand washing practices outlined above.	Compliant	Click here to enter text.

12.3.2 Hand Washing Summary

Handwashing sinks are in place for employees to wash their hands before returning to work. The Stainless Steel sink is located just inside the warehouse when entering from the breakroom, offices and restroom area. The appropriate signage is in-place.

12.3.3 Clothing

Element	Description	Primary Response	Evidence
12.3.3.1 Clothing	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.	Compliant	Click here to enter text.
12.3.3.2 Clothing	Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition.	Compliant	Click here to enter text.

12.3.3 Clothing Summary

The clothing worn by the facility employees is required to be clean at the beginning of their workday. There is i=no exposed product in this facility. The employees wear their clothes from home. There are not change facility on site.

12.3.4 Jewelry and Personal Effects

Element	Description	Primary Response	Evidence
12.3.4.1 Jewelry and Personal Effects	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 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.	Exempt	12.3.4.1 – Jewelry requirements, and alternative practice to having cool docks was authorized – SOP # 36 is acceptable.

12.3.4 Jewelry and Personal Effects Summary

Jewelry with stones are allowed per letter form Martin Fowell from 2014.

12.3.5 Visitors			
Element	**Description**	**Primary Response**	**Evidence**
12.3.5.1 Visitors	All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food handling area.	Compliant	Click here to enter text.
12.3.5.2 Visitors	All visitors shall be required to remove jewelry and other loose objects.	Compliant	Click here to enter text.
12.3.5.3 Visitors	Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or exposed.	Compliant	Click here to enter text.

12.3.5 Visitors

Element	Description	Primary Response	Evidence
12.3.5.4 Visitors	Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.	Compliant	Click here to enter text.

12.3.5 Visitors Summary

Everyone who enters the warehouse is required to wear appropriate clothing and footwear. All unauthorized jewelry and other loose objects are not allowed inside the warehouse.

12.3.6 Staff Amenities

Element	Description	Primary Response	Evidence
12.3.6.1 Staff Amenities	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.	Compliant	Click here to enter text.

12.3.6 Staff Amenities Summary

The staff amenities are appropriately lighted and ventilated.

12.3.7 Change Rooms

Element	Description	Primary Response	Evidence
12.3.7.1 Change Rooms	Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.	N/A	Click here to enter text.
12.3.7.2 Change Rooms	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.	N/A	Click here to enter text.

12.3.7 Change Rooms Summary

Protective Clothing is not required for this facility since there is no exposed product present inside this facility. The food items and other personnel items are stored in the breakroom. No unauthorized items were observed in the warehouse.

12.3.8 Sanitary Facilities

Element	Description	Primary Response	Evidence
12.3.8.1 Sanitary Facilities	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	Compliant	Click here to enter text.
12.3.8.2 Sanitary Facilities	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.	Compliant	Click here to enter text.
12.3.8.4 Sanitary Facilities	Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 12.3.2.2.	Compliant	Click here to enter text.

12.3.8 Sanitary Facilities Summary

The restrooms are properly designed and maintained. The restrooms are separate from the rest of the warehouse. The drainage from the restrooms goes to the city sewer. Hands wash sinks are located just inside the restrooms.

12.3.9 Lunch Rooms			
Element	**Description**	**Primary Response**	**Evidence**
12.3.9.1 Lunch Rooms	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.	Compliant	Click here to enter text.
12.3.9.2 Lunch Rooms	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.	Compliant	Click here to enter text.
12.3.9 Lunch Rooms Summary			
The lunchroom is separate from the warehouse areas. The appropriate signage is in-place.			

12.3.10 First Aid			
Element	**Description**	**Primary Response**	**Evidence**
12.3.10.1 First Aid	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.	Compliant	Click here to enter text.
12.3.10 First Aid Summary			
Basic First Aid supplies are available in the office.			

12.4.1 Staff Engaged in Food Handling Operations

Element	Description	Primary Response	Evidence
12.4.1.1 Staff Engaged in Food Handling Operations	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.	N/A	Click here to enter text.
12.4.1.2 Staff Engaged in Food Handling Operations	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.	Compliant	Click here to enter text.

12.4.1 Staff Engaged in Food Handling Operations Summary

There is no exposed food items handled in this facility. The facility personnel where working in an appropriate manner when handling the food items in the warehouse. The personnel operating the Forklifts and other materials handling devices were observed handling the food items in an appropriate manner.

12.5.1 Water supply

Element	Description	Primary Response	Evidence
12.5.1.1 Water supply	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	Compliant	Click here to enter text.
12.5.1.2 Water supply	Supplier of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment	Compliant	Click here to enter text.

12.5.1 Water supply Summary

The water that is used in the facility is sourced from the City of Cincinnati, OH. The amount of hot and cold water used in the facility is very adequate for the facility's needs.

12.5.2 Monitoring Water Microbiology and Quality

Element	Description	Primary Response	Evidence
12.5.2.1 Monitoring Water Microbiology and Quality	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.	Compliant	Click here to enter text.

12.5.2 Monitoring Water Microbiology and Quality Summary

The water used in the facility does not come in contact with the food items moved through this facility. The water report from the Greater Cincinnati Water Works is on file. The results are that the water is potable. There are no exposed food items in this facility.

12.5.3 Water Delivery

Element	Description	Primary Response	Evidence
12.5.3.1 Water Delivery	The delivery of water within the premises shall ensure potable water is not contaminated	Compliant	Click here to enter text.
12.5.3.2 Water Delivery	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.	Compliant	Click here to enter text.

12.5.3 Water Delivery Summary

The water delivery system throughout the facility was observed to have been maintained potable. The facility does not use Non-Potable water.

12.5.4 Ice Supply

Element	Description	Primary Response	Evidence
12.5.4.1 Ice Supply	Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 12.5.2.1.	N/A	Click here to enter text.
12.5.4.2 Ice Supply	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.	N/A	Click here to enter text.

12.5.4 Ice Supply Summary

Ice is not used in the operation of this facility.

12.5.5 Analysis			
Element	**Description**	**Primary Response**	**Evidence**
12.5.5.1 Analysis	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.	Compliant	Click here to enter text.
12.5.5.2 Analysis	Water and ice shall be analyzed using reference standards and methods.	Compliant	Click here to enter text.
12.5.5 Analysis Summary			
The facility had on file that the Water Report for the City of Cincinnati, OH and the report indicated that the water was potable.			

12.5.6 Air Quality

Element	Description	Primary Response	Evidence
12.5.6.1 Air Quality	Compressed air that contacts food or food contact surfaces shall be clean and present no risk to food safety.	N/A	Click here to enter text.
12.5.6.2 Air Quality	Compressed air systems used in the production process shall be maintained and regularly monitored for purity.	N/A	Click here to enter text.

12.5.6 Air Quality Summary

No compressed air comes in contact with the exposed product.

12.6.1 Cold and Chilled Storage			
Element	**Description**	**Primary Response**	**Evidence**
12.6.1.1 Cold and Chilled Storage	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.	Compliant	The operation of the coolers and freezer were observed to be effective.
12.6.1.2 Cold and Chilled Storage	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.	Compliant	Click here to enter text.
12.6.1.3 Cold and Chilled Storage	Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.	Compliant	Click here to enter text.

12.6.1 Cold and Chilled Storage

Element	Description	Primary Response	Evidence
12.6.1.4 Cold and Chilled Storage	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.	Compliant	Click here to enter text.
12.6.1.5 Cold and Chilled Storage	Loading and unloading docks shall be designed to protect product during loading and unloading.	Compliant	Click here to enter text.

12.6.1 Cold and Chilled Storage Summary

The cooler temperature records for the two coolers and freezer are maintained electronically. The cooler refrigeration system is connected to an Alarm System that contacts the facility personnel when the system gets out of its set parameters.
The following Coolers and Freezer Temperature records were reviewed: Jan – 2017, Mar – 2016, Jul – 2016, & Oct – 2016. The loading docks are part of the main warehouse. When loading temperature sensitive items these items are transferred directly from the Cooler/Freezer to the reefer truck.

12.6.2 Storage of Shelf Stable Packaged Goods

Element	Description	Primary Response	Evidence
12.6.2.1 Storage of Shelf Stable Packaged Goods	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.	Compliant	Click here to enter text.
12.6.2.2 Storage of Shelf Stable Packaged Goods	Racks provided for the storage of food Products shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent food products becoming a harborage for pests or vermin.	Compliant	Click here to enter text.
12.6.2.3 Storage of Shelf Stable Packaged Goods	Vehicles used in storage rooms shall be designed and operated so as not to present a food safety hazard.	Compliant	Click here to enter text.

12.6.2 Storage of Shelf Stable Packaged Goods Summary

The dry and chilled storage areas are separate. The racks used in the facility are made of appropriate materials. The vehicles used in the facility to transfer goods were observed to be in good operating condition.

12.6.3 Storage of Equipment and Containers			
Element	**Description**	**Primary Response**	**Evidence**
12.6.3.1 Storage of Equipment and Containers	Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.	Compliant	Click here to enter text.
12.6.3 Storage of Equipment and Containers Summary			
The storage areas were designed and maintained for a hygienic flow of goods, personnel, and materials.			

12.6.4 Storage of Hazardous Chemicals and Toxic Substances

Element	Description	Primary Response	Evidence
12.6.4.1 Storage of Hazardous Chemicals and Toxic Substances	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.	Compliant	Click here to enter text.

12.6.4 Storage of Hazardous Chemicals and Toxic Substances Summary

The hazardous materials are stored in locked cabinets away from any food storage areas.

12.6.5 Alternative Storage and Handling of Goods

Element	Description	Primary Response	Evidence
12.6.5.1 Alternative Storage and Handling of Goods	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.	Compliant	Click here to enter text.

12.6.5 Alternative Storage and Handling of Goods Summary

Alternate storage facilities are available in the vicinity were the need arise.

12.6.6 Loading, Transport and Unloading Practices

Element	Description	Primary Response	Evidence
12.6.6.1 Loading, Transport and Unloading Practices	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.	Compliant	These protocols are addressed in the Inbound and Outbound shipments – PRPs.

12.6.6 Loading, Transport and Unloading Practices Summary

All inbound and outbound shipments are inspection by facility personnel.
Outbound Freight Inspection Records: 9-2-16, 9-23-16, 10-11-16, 10-13-16, 3-14-16, 3-15-16, 3-16-16, 7-11-16, 7-2-16, 7-26-16, 2-15-17, & 2-22-17. – A new Form has been developed by the facility to better assure that the loads are correct before they load the trailers – Outgoing Freight – the facility required the order filler, and a supervisor and the loader to sign – off each outgoing load before the load leaves the facility.

Inbound Freight Inspection: 1-23-17, 1-29-17, 2-1-17, 5-2-16, 5-4-16, 5-5-16, 10-13-16, 10-14-16, 10-17-16, 2-23-17, 2-21-17, & 2-22-17.

12.6.7 Loading

Element	Description	Primary Response	Evidence
12.6.7.1 Loading	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.	Compliant	Click here to enter text.
12.6.7.2 Loading	Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.	Compliant	Click here to enter text.

12.6.7 Loading Summary

Outbound Freight Inspection Records (Includes Temperatures if required by the product): 9-2-16, 9-23-16, 10-11-16, 10-13-16, 3-14-16, 3-15-16, 3-16-16, 7-11-16, 7-2-16, 7-26-16, 2-15-17, & 2-22-17. – A new Form has been developed by the facility to better assure that the loads are correct before they load the trailers – Outgoing Freight – the facility required the order filler, and a supervisor and the loader to sign – off each outgoing load before the load leaves the facility. The loading conditions are designed so that the subjection of products to averse condition is minimized.

12.6.8 Transport

Element	Description	Primary Response	Evidence
12.6.8.1 Transport	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.	Exempt	These protocols are addressed in the Outbound Shipments PRP. Exempt Status has been granted for the have been granted to the facility for: 12.6.8.1 Internal Product Temperatures – Per memo from Martin Fowell – 2014.
12.6.8.2 Transport	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.	Compliant	Click here to enter text.
12.6.8.3 Transport	The refrigeration unit shall be monitored for environmental contaminants	Compliant	Click here to enter text.

12.6.8 Transport Summary

The shipping procedures call for the trailers to be pre-chilled prior to loading. The reefer unit is required to be operational until unloaded at its destination. The driver takes ownership of the load once the trailer has been sealed. Only Common Carriers are used for refrigerated shipments. The units are inspected prior to loading.

12.6.9 Unloading

Element	Description	Primary Response	Evidence
12.6.9.1 Unloading	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.	Compliant	These protocols are addressed in the Inbound Shipments PRP.
12.6.9.2 Unloading	Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.	Compliant	Click here to enter text.

12.6.9 Unloading Summary

The inbound shipments procedure calls for an inspection of the trailer and temperatures when required. The unloading conditions are designed the exposure to adverse conditions are minimized for the refrigerated product to adverse conditions.
Inbound Freight Inspection: 1-23-17, 1-29-17, 2-1-17, 5-2-16, 5-4-16, 5-5-16, 10-13-16, 10-14-16, 10-17-16, 2-23-17, 2-21-17, & 2-22-17.

12.7.1 Control of Foreign Matter

Element	Description	Primary Response	Evidence
12.7.1.1 Control of Foreign Matter	The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.	Compliant	These protocols are addressed in the Foreign Material PRP.
12.7.1.2 Control of Foreign Matter	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.	Compliant	Click here to enter text.
12.7.1.3 Control of Foreign Matter	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.	Compliant	Click here to enter text.

12.7.1 Control of Foreign Matter

Element	Description	Primary Response	Evidence
12.7.1.4 Control of Foreign Matter	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.	Compliant	Click here to enter text.
12.7.1.5 Control of Foreign Matter	Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.	Compliant	Click here to enter text.

12.7.1 Control of Foreign Matter Summary

The facility conducts the following internal audits: Monthly GDP Warehouse Audits- Includes Glass and Brittle Plastics register as a tool during the audit: 4-18-16, 7-14-16, 11-17-16, & 2-10-17.
The Glass and Brittle Plastics register is in place and was updated on 2-16-17.
Food Defense Audits are also conducted Monthly.
The facility also conducts monthly allergens audits for individual allergens. Currently the only allergens in the facility are in other products as ingredients. The facility's pallets were observed to be in good condition. No loose metal objects were observed.

12.7.2 Managing Foreign Matter Contamination Incidents

Element	Description	Primary Response	Evidence
12.7.2.1 Managing Foreign Matter Contamination Incidents	In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.	Compliant	Click here to enter text.
12.7.2.2 Managing Foreign Matter Contamination Incidents	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.	Compliant	Click here to enter text.

12.7.2 Managing Foreign Matter Contamination Incidents Summary

The facility conducts the following internal audits: Monthly GDP Warehouse Audits- Includes Glass and Brittle Plastics register as a tool during the audit: 4-18-16, 7-14-16, 11-17-16, & 2-10-17. Any glass breakage would result in the Glass & Brittle Plastics Clean up protocols to be implemented.

12.8.1 Dry and Liquid Waste Disposal

Element	Description	Primary Response	Evidence
12.8.1.1 Dry and Liquid Waste Disposal	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.	Compliant	These protocols are addressed in The Waste Control PRP.
12.8.1.2 Dry and Liquid Waste Disposal	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.	Compliant	Click here to enter text.
12.8.1.3 Dry and Liquid Waste Disposal	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.	Compliant	Click here to enter text.

12.8.1 Dry and Liquid Waste Disposal

Element	Description	Primary Response	Evidence
12.8.1.4 Dry and Liquid Waste Disposal	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.	Compliant	Click here to enter text.

12.8.1 Dry and Liquid Waste Disposal Summary

No waste accumulation was observed during the tour of the facility. The vehicles and containers used to accumulated and dispose of the solid waste. The waste removal effectiveness is done as part of the daily Pre-OP.

12.9.1 Grounds and Roadways

Element	Description	Primary Response	Evidence
12.9.1.1 Grounds and Roadways	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.	Compliant	These protocols are addressed in the Maintenance and Sanitation PRPs.
12.9.1.2 Grounds and Roadways	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.	Compliant	Click here to enter text.
12.9.1.3 Grounds and Roadways	Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.	Compliant	Click here to enter text.

12.9.1 Grounds and Roadways Summary

The roadways around the facility are all asphalt or concrete. The surrounding are also kept neat and tidy and do not present a risk hazard to the operation of the facility.