

## Warehouse and Distribution Center Food Safety, Sanitation and Quality Audit

Company Information	Audit Information
<p><b>Facility:</b> C0267479 - Wrist USA, Inc. - Long Beach</p> <p><b>Address:</b> 2835 E. Ana Street Rancho Dominguez, California United States, 90221</p> <p><b>Contact:</b> Andrew Licht</p> <p><b>Title:</b></p> <p><b>Phone:</b> 1-510-444-7200</p> <p><b>Fax:</b></p> <p><b>Email:</b> anli@wrist.com</p>	<p><b>Audit# - Visit#:</b> 2104883 - 1665793</p> <p><b>Audit Type:</b> DC - Warehouse and Distribution Center Food Safety, Sanitation and Quality Audit</p> <p><b>Template Version:</b> 1.9</p> <p><b>Audit Category:</b> REGULAR</p> <p><b>Auditor:</b> Mark Updike</p> <p><b>Audit Start Time:</b> 02-JUL-2019 07:55:00 AM</p> <p><b>Audit End Time:</b> 02-JUL-2019 04:55:00 PM</p> <p><b>Prior Audit Date:</b> 17-JUL-18</p>

**Explanation of Section Scorings (below)**

Section scorings in the below table are provided as a reference and are calculated on the following formula:

Non-Conformance	Deduction of 5% per finding
Major Non-Conformance	Deduction of 25% per finding
Critical	0%

Summary By Section				
Section Name	Non-Conformance	Major Non-Conformance	Critical	Score
Section A - Administration and Regulatory Compliance	2	0	0	90.00%
Section B - HACCP Management	0	0	0	100.00%
Section C - Facilities and Equipment	1	0	0	95.00%
Section D - Sanitation, Housekeeping and Hygiene	1	0	0	95.00%
Section E - Rodent and Pest Control Management	1	0	0	95.00%
Section F - Approved Suppliers, Receiving and Inventory Control	0	0	0	100.00%
Section G - Process and Product Evaluation	0	0	0	100.00%
Section H - Packaging and Labeling	0	0	0	100.00%
Section I - Storage and Shipping	0	0	0	100.00%
Section J - Training Requirements	0	0	0	100.00%
Section K - Food Defense	0	0	0	100.00%

**Explanation of Overall Audit Result (below)**

The overall score result is based on the total number and level of non-conformances. The audit is allocated 100% and deductions made as follows:

- Non-Conformance = 1% deduction per finding off the total score
- Major Non-conformance = 10% deduction per finding off the total score
- Critical Non-conformance = 25% deduction per finding off the total score

Scoring Guide	
Final Audit Rating	Based on Score
Meets Expectations	100-95%
Needs Improvement	94.99-85%
Significant Improvement Needed	84.99-76%
Fail	≤ 75.99%

Overall Audit Result	
Grade Rule Result	% Score
Meets Expectations	95.00%

Present at Audit					
Name	Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Vladimir Medina	Warehouse Manager	Yes	Yes	Yes	Yes
Andrew Licht	V.P. of Quality Assurance	Yes	Yes	Yes	Yes
Prithavi Grovind	Business Process Manager	Yes	No	No	Yes
Diane Perdikaris	HACCP Coordinator	Yes	Yes	Yes	Yes
Demetrius Carter	Warehouse Manager	Yes	Yes	Yes	Yes
Garrett Laudenback	Branch Manager LOB	Yes	Yes	Yes	Yes
Martin Deal	Houston Warehouse Manager	Yes	No	Yes	Yes
Zander Kraschinski	Inventory Manager	Yes	Yes	Yes	Yes
Omar Burhanldeen	Inventory Analyst	Yes	Yes	Yes	Yes

GENERAL INFORMATION	
No	Question/Notes
1.1	<p><b>Facility and Operations Description.</b></p> <p>Auditor's Notes:                      Wrist USA Inc. – Long Beach distribution branch located in an industrial area of Rancho Dominguez, CA (actually a section of Compton, CA) has been at this location since October 2014. Wrist has been in business in Southern, CA for approximately 24 years and this facility serves the Southern CA market. The facility is 70,000 square feet and operates 24/7. The building is constructed of concrete walls and floors; with a wood beam roof. The facility has 58 employees and operates on the following schedule: Monday to Friday: 7:00 am to 7:00 pm. Saturday: 7:00 am to 5:00 pm. Sunday: 7:00 am to Noon. The facility is NOT closed on company holidays. There are a total of 10 Wrist locations in North America with its headquarters located in Houston, TX.</p> <p>Wrist USA Inc. Rancho Dominguez performs box in, box out shipping functions with partial cases used for piece sales. The warehouse facilities include a palletizing system, dry storage, frozen and refrigerated storage that is routinely monitored. NO food handling/processing operations are present.</p> <p>Deliveries are made utilizing Wrist LOB's fleet of delivery vehicles including temperature controlled, refrigerated trucks. Contracted / leased trucks are also used to deliver products to shipping docks.</p> <p>The facility has one HACCP plan that covers Chilled Storage, Freezer Storage and Dry Storage. The Inventory Manager is the designated QA Manager with the assistance of the HACCP Coordinator. The VP of Quality located in Oakland, CA is HACCP and FSPCA certified.</p>
1.2	<p><b>Regulatory Inspection Type and Establishment #:</b></p> <p>The facility has registrations as follows:</p> <p>California Department of Food and Agriculture Meat, Poultry and Egg Safety Branch: Egg Handler Registration, Handler # 4182.</p> <p>State of California Department of Public Health Food and Drug Branch: Processed Food Registration, Registration Number: 54070.</p> <p>U.S. Department of Agriculture Agricultural Marketing Service Specialty Crops Program, P.A.C.A. Division: License No. 20140113.</p> <p>The facility is registered with the FDA under the Bioterrorism Act of 2002. Their registration number is xxxxxx0232.</p>
1.3	<p><b>Products warehoused/produced at this facility.</b></p> <p>The company is a broad line distributor of frozen foods, refrigerated foods, produce, dry groceries, beverages, and nonfood merchandise. The facility has expertise in supplying the cruise ship industry.</p>
1.4	<p><b>The following departments and individuals participated in the audit process:</b></p> <p>Andrew Licht: VP of QA, Prithvi Grovind: Business Process Manager, Diane Perdikaris: HACCP Coordinator, Demetrius Carter: Warehouse Manager, Garrett Laudenback: Branch Manager LOB, Martin Deal: Houston Warehouse Manager, Zander Kraschinski: Inventory Manager, Omar Burhanldeen: Inventory Analyst, Vladimir Medina: Warehouse Manager</p>
1.5	<p><b>Notes from Auditor</b></p> <p>The facility was well organized, clean and effectively managed based on the audit tour and document review.</p>

<b>Non-Compliance Summary</b>		
No	Question/Notes	Result
Section A/A.4	<p><b>Product Identification, Traceability and Recall Plans and Procedures</b>  <i>There is a documented "Recall Program" in place with two trace exercises conducted on 6/20/2019. A recall team is assigned and the use of Microsoft Axapta is used to track cases / pieces of inventory.</i></p> <p><i>The first trace exercise was for Spam (12 oz.) Wrist assigned number 000431485. There were 1285 pieces received, 1258 pieces in stock, 1800 pieces shipped and 739 pieces left on inventory. There should have been 743 pieces left on inventory, (4 pieces were not located). This trace was performed in 53 minutes with 99.5 % recovery.</i></p> <p><i>The other trace exercise was for Shrimp (4 oz.). There were 120 pieces received on 4/19/2019 with an initial stock on hand of 82 pieces and 120 pieces shipped to clients. The stock left on inventory was 84 pieces. There were two additional cases that were not addressed for the inventory overage. This trace exercise was conducted in less that 2 hours with 102 % recovery.</i></p> <p><i>NC: The first mock recall performed on 6/20/2019 ended with 739 cases on inventory when there should have been 743 cases on hand. The variance of 4 cases was not addressed in the mock recall notes. The other mock recall conducted on 6/20/2019 for 4 oz. shrimp had a variance of 2 pieces that was identified in the report but did not have the appropriate detail for why the variance existed.</i></p>	Non-Conformance*
Section A/A.9	<p><b>Crisis and Natural Disaster Management</b>  <i>There is a documented Crisis Management Plan that was last updated on 6/5/2019. The team is lead by the Branch Manager with the HACCP Coordinator responsible for conducting crisis exercises.</i></p> <p><i>NC: The first two contact phone numbers on the emergency contact list are Corporate phone numbers for Pasadena, TX.</i></p>	Non-Conformance*
Section C/C.3	<p><b>Facility Condition (Walls, Ceilings, Floors, etc.)</b>  <i>The walls and floor areas were observed as being well maintained.</i></p> <p><i>NC: The ceiling insulation in the west section of the warehouse was observed as open and not properly secured.</i></p>	Non-Conformance*
Section D/D.3	<p><b>Cleaning Chemical and Sanitizer Control</b>  <i>Chemicals used for cleaning are very few. The nature of cleaning in this operations is dry cleaning, wipe down, sweeping and quarterly floor (machine) cleaning. Chemicals are maintained in a secure cabinet restricted to authorized personnel.</i></p> <p><i>NC: There were two spray bottles in a locked cabinet that were not properly labeled.</i>  <i>NC: A container of petroleum jelly was observed on top of a locker in the change room.</i></p>	Non-Conformance*
Section E/E.2	<p><b>Outside Premises Management (Grounds, Waste Disposal Areas)</b>  <i>Pest traps (bait stations are properly marked and identified and the 15 bait stations opened were observed as in good condition.</i></p> <p><i>NC: Five of the bait stations were found without any bait. Several of the bait stations had bagged bait but the bait had been consumed. The Pest Reports reviewed for the last time the bait was changed was on 6/20/2019. An inspection on 6/25/2019 also noted on the pest report that there was not any pest activity.</i></p>	Non-Conformance*

Section A. Administration and Regulatory Compliance		
No	Question/Notes	Result
A.1	<p><b>Organization and Responsibilities</b></p> <p><i>The organization chart is current dated 6/27/2019 and shows that the person responsible for Quality reports directly into the Branch Manager.</i></p>	Acceptable
A.2	<p><b>Policies and Procedures Manual</b></p> <p><i>There is a documented "Wrist North America (Long Beach) Quality Assurance Manual and HACCP plan that contains all of the policies and procedures to guide the facility quality program.</i></p>	Acceptable
A.3	<p><b>Management Awareness and Commitment</b></p> <p><i>There were nine participants in the audit opening meeting and seven of the nine were also involved in the facility tour. The VP of QA lead the audit team in the process of facilitating the audit. Staff have been trained in all phases of the food safety program and are committed to the programs success.</i></p>	Acceptable
A.4	<p><b>Product Identification, Traceability and Recall Plans and Procedures</b></p> <p><i>There is a documented "Recall Program" in place with two trace exercises conducted on 6/20/2019. A recall team is assigned and the use of Microsoft Axapta is used to track cases / pieces of inventory.</i></p> <p><i>The first trace exercise was for Spam (12 oz.) Wrist assigned number 000431485. There were 1285 pieces received, 1258 pieces in stock, 1800 pieces shipped and 739 pieces left on inventory. There should have been 743 pieces left on inventory, (4 pieces were not located). This trace was performed in 53 minutes with 99.5 % recovery.</i></p> <p><i>The other trace exercise was for Shrimp (4 oz.). There were 120 pieces received on 4/19/2019 with an initial stock on hand of 82 pieces and 120 pieces shipped to clients. The stock left on inventory was 84 pieces. There were two additional cases that were not addressed for the inventory overage. This trace exercise was conducted in less that 2 hours with 102 % recovery.</i></p> <p><i>NC: The first mock recall performed on 6/20/2019 ended with 739 cases on inventory when there should have been 743 cases on hand. The variance of 4 cases was not addressed in the mock recall notes. The other mock recall conducted on 6/20/2019 for 4 oz. shrimp had a variance of 2 pieces that was identified in the report but did not have the appropriate detail for why the variance existed.</i></p>	Non-Conformance*
A.5	<p><b>Regulatory Compliance</b></p> <p><i>The facility is inspected by the FDA, USDA, LA County Public Health, Egg Handlers and the State of California:</i></p> <p><i>The Egg Handlers registration is CA-4182</i></p> <p><i>On May 30th, 2019 the FDA conducted an inspection for imported products. There were some noted issues regarding product branding. Corporate Purchasing is working with the FDA to resolve the supply anomalies going forward.</i></p>	Acceptable
A.6	<p><b>Document and Records Management</b></p> <p><i>A documented records management program Policy and Procedure was reviewed during the audit and found to be implemented. Documents are retained for at least 2 years.</i></p>	Acceptable
A.7	<p><b>Change Management</b></p> <p><i>The Quality Assurance Manual has a documented Change Management policy and procedure. The change management system was reviewed for changes to the HACCP team. There has also been several departmental changes over the last 12 months and change management procedures were implemented to properly communicate those changes.</i></p>	Acceptable
A.8	<p><b>Documentation to Track Effectiveness of Policies</b></p> <p><i>Monthly Internal audits are utilized to track the effectiveness of the facility policies. The May internal audit was reviewed and found to contain documented observations with corrective actions when deficiencies were noted.</i></p>	Acceptable
A.9	<p><b>Crisis and Natural Disaster Management</b></p> <p><i>There is a documented Crisis Management Plan that was last updated on 6/5/2019. The team is lead by the Branch Manager with the HACCP Coordinator responsible for conducting crisis exercises.</i></p> <p><i>NC: The first two contact phone numbers on the emergency contact list are Corporate phone numbers for Pasadena, TX.</i></p>	Non-Conformance*
A.10	<p><b>Customer/Consumer Complaints (Policies, Follow Up and Response)</b></p> <p><i>Customer complaints (7.5) has been documented and implemented.</i></p>	Acceptable

Section B. HACCP Management		
No	Question/Notes	Result
B.1	<b>Preliminary HACCP Tasks</b> <i>There is a documented HACCP team that meets at least monthly to review the HACCP plan and make any necessary adjustments if needed. The notes were reviewed from 5/2/2019 and found to contain specific information regarding program adjustments or changes. The overall plan was actually signed by the HACCP team on 6/5/2019.</i>	Acceptable
B.2	<b>Hazard Analysis (HACCP Principle 1)</b> <i>There is a detailed Hazard Analysis that identifies the potential hazards in each step of the program (based on the flow diagram). The hazard analysis appears to be complete and has detailed information for the physical, biological and chemical hazards for each step.</i>	Acceptable
B.3	<b>Critical Control Points (HACCP Principle 2)</b> <i>The facility has identified the following Critical Control Points: CCP-1: Receiving &amp; Inspection of Food and Beverages that require refrigeration. CCP-2: Cooler Storage.</i>	Acceptable
B.4	<b>Critical Limits (HACCP Principle 3)</b> <i>The facility has identified the following Critical Limits: CL-1: Chilled food during receiving at &lt; 41 F with requirements of 33 F to 40 F. (Eggs at &lt; 46 F) CL-2: Chilled food at Storage at &lt; 41 F with requirements of 33 F to 40 F. (Eggs at &lt; 46 F)</i>	Acceptable
B.5	<b>CCP Monitoring (HACCP Principle 4)</b> <i>Monitoring records were reviewed for receiving and storage temperatures in May 2019 and found to be compliant.</i>	Acceptable
B.6	<b>Corrective Actions (HACCP Principle 5)</b> <i>The only noted corrective actions were on receiving frozen storage products that were noted to be above 20 F, (22 F) and those products were inspected and found not to have any freeze / thaw conditions. Freezer receiving temperature are not a CCP.</i>	Acceptable
B.7	<b>Verification and Validation (HACCP Principle 6)</b> <i>Verification / Validation of the program was reviewed and signed by the HACCP team on 6/5/2019. Monitoring documents over the last year verified that the program was operating as designed.</i>	Acceptable
B.8	<b>Documentation and Record Keeping (HACCP Principle 7)</b> <i>The inventory manager is assigned the task of record keeping. Records reviewed during the audit were readily available.</i>	Acceptable

Section C. Facilities and Equipment		
No	Question/Notes	Result
C.1	<b>Potable Water, Ice, Backflow Prevention, Steam and Waste Water Management</b> <i>A water quality report was reviewed for Rancho Dominguez District (Supplied by Cal Water) with the most current report dated 2017. The back flow test was conducted by California Water Service performed on 7/19/2018.</i>	Acceptable
C.2	<b>Facility Construction and Design</b> <i>The facility is a storage warehouse with sealed cement floors, tilt-up concrete walls, a wood roof with insulation. The racking systems are constructed of metal supports and the product picking lanes between racks are properly spaced. changes to the facility layout is revised for worker efficiency. The warehouse areas including refrigeration / freezing storage is well maintained.</i>	Acceptable
C.3	<b>Facility Condition (Walls, Ceilings, Floors, etc.)</b> <i>The walls and floor areas were observed as being well maintained.</i>  <i>NC: The ceiling insulation in the west section of the warehouse was observed as open and not properly secured.</i>	Non-Conformance*
C.4	<b>Employee Facilities</b> <i>Employee facilities (restrooms and break areas) were observe clean and well maintained.</i>	Acceptable
C.5	<b>Handwashing Facilities</b> <i>There is adequate tempered water, soap, single service towels and a refuse container available at the handwashing stations. There is adequate signage requiring hand wash available.</i>	Acceptable
C.6	<b>Equipment Layout, Design and Conditions</b> <i>The only equipment used in this facility are forklifts and racking systems for product storage. Forklifts are maintained by an outside company the the racking units appeared to be in good condition.</i>	Acceptable
C.7	<b>Plant Lighting and Protection</b> <i>Plant lighting is sufficient for the tasks being performed. Lighting is shielded and protected from shattering.</i>	Acceptable
C.8	<b>Maintenance Standard (Support of GMPs, Housekeeping, Lubricants)</b> <i>There is a documented PM and work order program in place. The maintenance manager maintains hard copy records of the work that is performed by outside contractors, (pallets jacks, fork lifts</i>	Acceptable

Section C. Facilities and Equipment		
No	Question/Notes	Result
	<i>and refrigeration). Contractors have to sign in on each visit and are required to acknowledge / sign the GMP requirements.</i>	

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
D.1	<b>Master Sanitation Schedule and Monitoring</b> <i>A Master Sanitation Schedule has been developed in (under section 14.3 in the Quality Manual. The schedule identifies all areas of the facility the requires cleaning the and frequency of each application.</i>	Acceptable
D.2	<b>Standard Sanitation Operating Procedures and Monitoring</b> <i>Documented SSOP's have been developed and are very limited to sweeping, moping and wiping down equipment.</i>	Acceptable
D.3	<b>Cleaning Chemical and Sanitizer Control</b> <i>Chemicals used for cleaning are very few. The nature of cleaning in this operations is dry cleaning, wipe down, sweeping and quarterly floor (machine) cleaning. Chemicals are maintained in a secure cabinet restricted to authorized personnel.</i>  <i>NC: There were two spray bottles in a locked cabinet that were not properly labeled.</i> <i>NC: A container of petroleum jelly was observed on top of a locker in the change room.</i>	Non-Conformance*
D.4	<b>Pre Operational Monitoring and Corrective Action</b> <i>Pre-operational inspections are conducted for daily and monthly cleaning. Cleaning schedules were completed for May 2019 as noted by the person conducting the cleaning and verified by the supervisor.</i>	Acceptable
D.5	<b>Verification of Cleaning Effectiveness</b> <i>Cleaning verification is conducted visually by the Supervisor. Corrective actions are applied when deficiencies are documented. Personnel are trained on form completion for corrective actions.</i>	Acceptable
D.6	<b>Operational Housekeeping and Monitoring</b> <i>Operational housekeeping is monitored through daily pre-operative inspections and monthly GMP inspections.</i>	Acceptable
D.7	<b>Personal Hygiene and Good Manufacturing Practices</b> <i>Personnel are trained on GMP and hygiene requirements as evidenced by the test quizzes given to employees covering those topics.</i>	Acceptable
D.8	<b>Internal Audits and Corrective Actions</b> <i>The Internal Audit form is contained within document QAF B09. A monthly audit was reviewed for June 2019 and there were many deficiencies noted with corrective actions assigned to an individual and a completed date.</i>	Acceptable

Section E. Rodent and Pest Control Management		
No	Question/Notes	Result
E.1	<b>Documented and Specific Pest Control Program</b> <i>A documented pest management control program is contained with in manual that has service reports, pest chemical usage, targeted pests, SDS's, an updated pest map, licenses and pest activity information. The facility has a designated person responsible for weekly inspections of the interior pest traps.</i>  <i>The PCO is licensed through the state of CA, (license number 62184, expiry 6/30/2021). The COI is in effect until 1/1/2020. Service reports were reviewed for 3/8, 3/22, 4/4, 4/18, 5/3, 5/17, 6/7, 6/20 and 6/25. There are 44 tin cats on the interior of the facility and 20 bait stations. There were 14 bait stations inspected during the audit with many findings of pest activity. The internal pest inspections conducted by a plant representative were reviewed for May (these are done weekly) and found to contain activity. the activity is reported to the PCO.</i>	Acceptable
E.2	<b>Outside Premises Management (Grounds, Waste Disposal Areas)</b> <i>Pest traps (bait stations are properly marked and identified and the 15 bait stations opened were observed as in good condition.</i>  <i>NC: Five of the bait stations were found without any bait. Several of the bait stations had bagged bait but the bait had been consumed. The Pest Reports reviewed for the last time the bait was changed was on 6/20/2019. An inspection on 6/25/2019 also noted on the pest report that there was not any pest activity.</i>	Non-Conformance*

Section E. Rodent and Pest Control Management		
No	Question/Notes	Result
E.3	Inside Premises Management	Acceptable
E.4	Pest Tight Doors and Entrance Closures	Acceptable
E.5	Secure Storage and Documentation of Pest Related Chemicals <i>The pest chemical storage is handled off-site by the PCO.</i>	N/A
E.6	Detailed Activity Reports with Corrective Actions <i>Service reports were reviewed for 3/8, 3/22, 4/4, 4/18, 5/3, 5/17, 6/7, 6/20 and 6/25 and found to include observations with corrective actions when needed.</i>	Acceptable

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
F.1	Supplier Approval Policies and Procedures <i>There is a documented Approved Food And Beverage Supplier policy and procedure under 11.2. Approved Suppliers are based on a risk assessment. Global suppliers have 2nd party audits and domestic suppliers are required to have a questionnaire completed prior to being an approved supplier.</i>	Acceptable
F.2	Incoming Vehicle Inspection and Documentation <i>Incoming vehicles are inspected temperatures of chilled and frozen products, cleanliness, odor, damage, pest harborage and product evaluation. The receiving operator was interviewed during the audit and trailer inspections were found to be conducted per protocol.</i>	Acceptable
F.3	Release Criteria for Ingredients <i>Release criteria for packaged products is that the product meets temperature requirements and / or trailer inspection criteria.</i>	Acceptable
F.4	Storage and Handling Policies and Practices <i>A document titled Storage is the guidance for the handling and storage of Food and Beverage materials. The ERP system used to manage inventory on a FIFO / FEFO basis is Microsoft Axapta.</i>	Acceptable
F.5	Bulk Receiving Systems Sanitation and Monitoring <i>There is not any bulk products received into this facility.</i>	N/A
F.6	Restricted and/or Sensitive Ingredient Control, Including Chemical Compounds <i>The facility is inspected by DOT and maintains restricted chemical compounds in one area of the facility.</i>	Acceptable

Section G. Process and Product Evaluation		
No	Question/Notes	Result
G.1	Process Control and Documentation Procedures <i>Process Control and Documentation (Picking &amp; Dispatch) 11.5 is the guidance for the picking and dispatching of products. A P.O. is required into the ERP system to generate an order picking list. The order is picked and entered into the system for verification.</i>	Acceptable
G.2	Specification and Formulation Control and Accuracy <i>Order picking is conducted by the warehouse associate and entered into the system. A random audit is conducted to verify that the order picked is correct.</i>	Acceptable
G.3	Routine Calibration of Operational Equipment and Measuring Devices <i>NIST infrared temperature guns are calibrated monthly using an ice bath and the temperature guns are replace annually. A traceable gun was reviewed with a date of December 2020. The refrigeration units on the trucks are calibrated by the truck leasing company. The temperature probes for the cooler and freezer are calibrated by JC Mechanical with the last calibration identified for October 2018.</i>	Acceptable
G.4	Foreign Material Control <i>Monthly foreign material control is monitored through a monthly facility audit. The last audit was reviewed for May 2018 and found to contain corrective actions as identified.</i>	Acceptable
G.5	Application of Statistical Control <i>Statistics are gathered from a business intelligence system to enhance process effectiveness.</i>	Acceptable
G.6	Allergen and Sensitive Ingredient Controls <i>There is a documented Food Allergens Control Policy from section 4.3. The facility handles packaged products and any packaged products with allergens are segregated and identified in each section of the facility. The employee's are trained on allergens.</i>	Acceptable
G.7	Specification Compliance Documentation <i>Order picking is conducted by the warehouse associate and entered into the system. A random audit is conducted to verify that the order picked is correct.</i>	Acceptable
G.8	Rework and Carryover Products <i>This facility does not conduct any rework or carryover product.</i>	N/A

Section G. Process and Product Evaluation		
No	Question/Notes	Result
G.9	Analytical Records Management	Acceptable

Section H. Packaging and Labeling		
No	Question/Notes	Result
H.1	Label Accuracy and Regulatory Compliance <i>The facility does not conduct any product labeling. All products coming into the facility are pre-labeled from the manufacturer.</i>	N/A
H.2	Documented Net Weight or Count Compliance Policy and Performance <i>The facility does not conduct any product labeling. All products coming into the facility are pre-labeled from the manufacturer.</i>	N/A
H.3	Clear Manufacturing Codes on Individual and Cased Product <i>The facility does not conduct any product labeling. All products coming into the facility are pre-labeled from the manufacturer.</i>	N/A
H.4	Package Integrity and Function <i>The facility does not conduct any product labeling. All products coming into the facility are pre-labeled from the manufacturer.</i>	N/A
H.5	Label Security and Obsolete Label Controls <i>The facility does not conduct any product labeling. All products coming into the facility are pre-labeled from the manufacturer.</i>	N/A

Section I. Storage and Shipping		
No	Question/Notes	Result
I.1	Warehouse and Finished Product Management <i>The warehouse and finished product management was observed during the audit tour. Finished product appeared to be properly staged and identified for shipment. The warehouse was clean and well organized for effective and efficient order picking and staging.</i>	Acceptable
I.2	Retained and Returned Products <i>There is a returned and retained product policy and procedure (SOP) that allows for product return if the product was maintained in the control of this facility. Product returned is place on hold and inspected or discarded if temperature abuse occurred.</i>	Acceptable
I.3	Storage Facility and Dock Maintenance <i>The storage areas and dock maintenance appeared during the audit tour to be clean, well organized and properly maintained. All dock doors and dock ramps were in good condition and there were not any gaps noted.</i>	Acceptable
I.4	Transport Condition <i>Transport condition reports were reviewed for May and the first part of June 2019 (including temperatures) and found to be compliant.</i>	Acceptable
I.5	Release Authorization to Ship Product <i>A valid PO is an approval for product release.</i>	Acceptable

Section J. Training Requirements		
No	Question/Notes	Result
J.1	New Hire Training <i>There is a company on-boarding hiring process that includes basic HACCP training. Training records were reviewed for three employees for 5/17</i>	Acceptable
J.2	Training Language <i>All employees are required to speak English.</i>	Acceptable
J.3	Prerequisite Program Training <i>The prerequisite program training is conducted at least annually. Records were reviewed from 6/13/2019 with tests attached to verify compliance.</i>	Acceptable
J.4	Refresher Training <i>Employees receive annual HACCP refresher training (includes prerequisite programs) last performed on 6/13/2019.</i>	Acceptable
J.5	Proof of Knowledge <i>Tests were reviewed on the HACCP refresher training (includes prerequisite programs) for 6/13/2019.</i>	Acceptable
J.6	Training Records	Acceptable



<b>Section J. Training Requirements</b>		
<b>No</b>	<b>Question/Notes</b>	<b>Result</b>
	<i>Training records are maintained by the HACCP coordinator. Records reviewed for employee training during the audit were found to be properly maintained.</i>	
J.7	<b>Training Program Review</b> <i>The training program is reviewed annually by the HACCP Coordinator and the Inventory / QA Manager.</i>	Acceptable

<b>Section K. Food Defense</b>		
<b>No</b>	<b>Question/Notes</b>	<b>Result</b>
K.1	<b>Management</b> <i>A documented Food Defense Program has been developed and implemented for this facility dated 6/5/2019. The food defense team is lead by the branch manager with members identified as the HACCP coordinator, Logistics / Warehouse Manager and HACCP / QA Manager. A list of emergency contact information has been included in the plan. There is a documented mitigation strategy and vulnerability assessment hat has been included in the plan last reviewed on 6/5/2019.</i>	Acceptable
K.2	<b>Human Element</b> <i>The Human Element is addressed in the mitigation strategy (Food Defense Assessment) under the topic of "Personnel Security."</i>	Acceptable
K.3	<b>Facility</b> <i>"General Inside Security" in the Food Defense mitigation strategy is the section that address the Facility / Plan.</i>	Acceptable
K.4	<b>Operations</b> <i>The "Vulnerability Assessment" in the Food Defense plan targets receiving, shipping docks and the main office.</i>	Acceptable

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